

# SEWERAGE & WATER BOARD OF NEW ORLEANS BOARD OF DIRECTORS' MEETING

WEDNESDAY, JANUARY 20, 2021

**9:00 AM**

[January 2021 Board of Directors' Attendee Link](#)  
[+1 504-224-8698](#) United States, New Orleans (Toll)  
Conference ID: 115 762 432#

PUBLIC COMMENT WILL BE ACCEPTED VIA EMAIL TO  
[BOARDRELATIONS@SWBNO.ORG](mailto:BOARDRELATIONS@SWBNO.ORG). ALL PUBLIC COMMENTS MUST BE RECEIVED PRIOR TO  
9:30 AM ON January 20, 2021. COMMENTS WILL BE READ VERBATIM INTO THE RECORD.

LaToya Cantrell, President • Tamika Duplessis, President Pro Tem • Jay H. Banks, Councilmember  
Joseph Peychaud • Robin Barnes • Ralph Johnson • Alejandra Guzman • Lynes Sloss  
• Maurice Sholas • Janet Howard

---

## FINAL AGENDA

---

### 1. **ROLL CALL**

### 2. **APPROVAL OF MINUTES dated December 21, 2020**

### 3. **EXECUTIVE DIRECTOR'S REPORT**

### 4. **COMMITTEE REPORTS**

- Finance and Administration Committee – Director Sloss, Chair

### 5. **ACTION ITEMS**

#### **CHIEF FINANCIAL OFFICER'S RESOLUTIONS**

- Resolution (R-014-2021) Sixth Supplemental Sewerage Service Revenue Bond Resolution
- Resolution (R-015-2021) Third Supplemental Water Revenue Bond Resolution

#### **GENERAL SUPERINTENDENT'S RESOLUTION**

- Resolution (R-016-2021) Ratification of Extreme Emergency Award of Contract 6267 – Turbine 5 Exhaust System Fabrication and Installation

### 6. **CORRESPONDING RESOLUTIONS**

#### **GENERAL SUPERINTENDENT'S RESOLUTIONS**

##### **BIDS & RENEWALS**

- Resolution (R-003-2021) First and Final Renewal of Contract for Furnishing Sodium Hypochlorite.
- Resolution (R-005-2021) Second and Final Renewal of Contract 8145 – Repaving Open Cuts in Streets, Driveways, Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities



- Resolution (R-007-2021) Award of Contract to Furnish Liquid Ferric Sulfate
- Resolution (R-012-2021) Authorization for Third Extension of Contract 8138 for Furnishing Skilled and Unskilled Labor for Maintenance Services with the Gee Cee Company of Louisiana, Inc.

- **CHANGE ORDERS**

- Resolution (R-002-2021) Ratification of Change Order No. 4 For Contract 3799- Installation of Sludge Dryer at The East Bank Wastewater Treatment Plant

- **CONTRACT AMENDMENTS**

- Resolution (R-004-2021) Amendment No. 4 to Agreement with Stanley Consultants, Inc. for Design and Engineering Services for the Bulk Storage and Chemical Feed Facility Project
- Resolution (R-006-2021) Authorization of Amendment No. 6 to the Agreement between the Sewerage and Water Board of New Orleans and Digital Engineering & Imaging, Inc., for Design and Engineering Services for the Water Line Replacement Program
- Resolution (R-008-2021) Authorization of Contract Amendment No. 7 to the Agreement between the Sewerage and Water Board of New Orleans and Linfield, Hunter & Junius, Inc., for Design and Engineering Services for the Waterline Replacement Program
- Resolution (R-009-2021) Authorization of Contract Amendment No. 8 to the Agreement between the Sewerage and Water Board of New Orleans and Meyer Engineers, LTD., for Design and Engineering Services for the Waterline Replacement Program
- Resolution (R-010-2021) Authorization of Amendment No. 7 to the Agreement between the Sewerage and Water Board of New Orleans and Rahman and Associates, Inc., for Engineering and Design Services for the Waterline Replacement Program
- Resolution (R-011-2021) Contract Amendment No. 2 to the Agreement between the Sewerage and Water Board of New Orleans and Volkert, Inc., for Design and Engineering Service for the Demolition of the Two Abandoned Carrollton Water Plant Clarifiers

- **FINAL ACCEPTANCE**

- Resolution (R-013-2021) Ratification of Change Order No. 1 and Final Acceptance and Closeout for Contract 5243 – DPS #4 Anti-Siphon Project

## **7. PUBLIC COMMENT**

**Public comments received until 30 minutes after the presentation of the Agenda will be read into the record.**



## **8. INFORMATION ITEMS**

- Preliminary Financial Results through November 1-30, 2020
- Human Resources Report December 1-31, 2020
- General Superintendent's Report
- Special Counsel's Report
- Safety Report December 1-31, 2020
- Executive Director's Approval of Contracts of \$1,000,000.00 or less
- FEMA December Project Worksheet Status
- DBE Participation on Contracts
  - Bid Recommendations
  - Construction Review Committee – Goal Setting
  - Staff Contract Review Committee – Goal Setting
  - Final Acceptance of Construction Contracts with DBE Participation

## **9. EXECUTIVE SESSION**

Executive Director Evaluation: Pursuant to La. R.S. 42:17(A)(1), the Board of Directors of the Sewerage and Water Board of New Orleans will meet in Executive Session to discuss the character, professional competence, and fitness of its Executive Director.

Ronnie Mitchell v. SWBNO, Workers' Compensation Claim #RM042716966

## **10. ADJOURNMENT**

*This teleconference meeting is being held pursuant to and in accordance with the provisions of Section 4 of Proclamation Number JBE 2020-30, extended by Proclamation 7 JBE 2021, pursuant to Section 3 of Act 302 of 2020*



# BOARD OF DIRECTORS' MEETING

December 21, 2020

MEETING MINUTES

**SEWERAGE AND WATER BOARD OF NEW ORLEANS**

---

## **ROLL CALL**

---

The Board of Directors for the Sewerage and Water Board of New Orleans (SWBNO) met on Monday December 21, 2020 at 9:00 AM via Microsoft team. Deputy Chief Administrative Officer of DPW, Ramsey Green called meeting to order. Special Counsel, Ms. Yolanda Grinstead, called the roll and confirmed the following members were present: Director Joseph Peychaud, Director Lynes Sloss, Director Ralph Johnson, Director Alejandra Guzman, Director Robin Barnes, Director Maurice Sholas, Director Janet Howard, and Councilmember Jay H. Banks.

The following member(s) were absent: Hon. Latoya Cantrell Director Dr. Tamika Duplessis,

Staff present were: Mr. Ghassan Korban, Executive Director; Mr. Robert Turner, General Superintendent; Ms. Christy Harowski, Chief of Staff; Ms. Yolanda Grinstead, Special Counsel; Mr. Darryl Harrison, Deputy Special Counsel; Mr. Dexter Joseph, Budget Department; Mr. Robert Jackson, Customer Service; Ms. Patti Wallace, Purchasing; Ms. Irma Plummer, EDBP; Mr. Jason Higginbotham, Emergency Management, SWBNO; Ms. Tanyell Allen, Board Relations.

---

## **APPROVAL OF PREVIOUS MINUTES**

---

Deputy Chief Administrative Officer of DPW, Ramsey Green presented a motion to accept the minutes of the November 18, 2020, Board Meeting. Director Lynes Sloss moved for approval of the minutes. Director Maurice Sholas seconded. The motion carried.

---

## **REPORT OF THE EXECUTIVE DIRECTOR**

---

Executive Director Ghassan Korban presented a slide overview that focused on the following topics:

- Executive Director Korban started his report giving update on the power Turbines. Turbine 3 repairs estimated to over 30 million dollars. Turbine 4 final inspections are almost completed, the completed work will take four months. Turbine 5 will have a new control system installed by May 2021 and estimated to service by June 1, 2020. Turbine 6 will be completed near the end of March. Turbine 7 is designed and estimated to be completed by mid-2022.
- Mr. Korban stated the meter reading is improving and they are continuing to work towards giving accurate water bills. Sewerage and Water Board are still on track to read 80% of meters.



- Despite the COVID-19 pandemic and associated fiscal impacts to both revenues and expenditures, SWBNO is proud to present a legal, balanced budget that meet the utility obligations.

---

## COMMITTEE REPORTS

---

### Finance and Administration Committee Report

Director Lynes Sloss reported on the summary and actions taken by the Finance and Administration Committee. The Finance and Administration Committee Report for the month of December was presented and recommended for approval.

Deputy Chief Administrative Officer of DPW, Ramsey Green asked for a motion to adopt the Finance and Administration reports as amended. Director Maurice Sholas moved to adopt Finance minutes as proposed. Director Janet Howard seconded. The motion carried.

### Action Items

- Resolution (R-156-2020) 2021 Board/Committee Calendar

- **Director Lynes Sloss moved to accept R-156-2020. Director Ralph Johnson seconded. The motion carried.**

- Resolution (R-157-2020) Resolution to Authorize Execution of Documents Related to The National Disaster Resilience Entergy Reliability and Monitoring Project.

- **Director Janet Howard moved to accept R-157-2020. Director Lynes Sloss seconded. The motion carried.**

- Resolution (R-159-2020) Resolution to Adopt the Required CDBG-DR Program Policies and Procedures; Accept that Receipt of Program Funds be Administered in Accordance with OCD-DRU Grantee Administrative Manual; Appoint Various Coordinators/Officers; Authorize Individuals to Execute the Request for Payment; and, Authorize the Executive Director to Execute all Documents Related to the Turbine Replacement (T7) Project.

- **Director Joseph Psychaud moved to accept R-159-2020. Director Ralph Johnson seconded. The motion carried.**



## **CORRESPONDING RESOLUTIONS**

---

**The following resolutions were discussed at the November 11, 2020 Finance and Administration Committee Meeting:**

- Resolution (R-147-2020) 2021 Operating Budget and 2021 Capital Budget Blanket Appropriations, December 21, 2020
- Resolution (R-149-2020) 2021 Operating Budget
- Resolution (R-150-2020) Adoption of 2021 Capital Budget
- Resolution (R-154-2020) Award of Contract 8165 – Repaving Open Cuts in Driveways and Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities.
- Resolution (R-131-2020) Ratification of Change Order #1 for Contract 5224 – Hurricane Katrina Related Repairs to New Carrollton, Hospital, Marconi, Paris, and Press Drainage Underpass Pumping Station.
- Resolution (R-038-2020) Authorization of Amendment No. 2 to the Agreement Between the Sewerage and Water Board of New Orleans and N-Y Associates, Inc. for Design and Engineering Services for the Waterline Replacement Program.
- Resolution (R-115-2020) Authorization of Amendment No. 7 to the Agreement Between the Sewerage and Water Board of New Orleans and Meyer Engineers, Ltd. for Design and Engineering Services for the Waterline Replacement Program.
- Resolution (R-152-2020) Authorization of Amendment No. 5 to the Agreement Between the Sewerage and Water Board of New Orleans and Arcadis U.S., Inc. for Design and Engineering Services for the Waterline Replacement Program
- Resolution (R-146-2020) Authorization of Amendment No. 4 to the Agreement Between the Sewerage and Water Board of New Orleans and HNTB Corporation for Design and Engineering Services for the Algiers Water Plant Purification Improvements
- Resolution (R-153-2020) Authorization of Amendment No. 4 to the Agreement Between the Sewerage and Water Board of New Orleans and Veolia Water North America, LLC for Capital Program Management Services

### **Chief Financial Officer's Report**

- Resolution (R-158-2020) Authorization for Agreement for Consulting Services for Managing the Preparation, Selection and Implementation of an Advanced Metering Infrastructure Solution with Jacobs Engineering, Inc.



Deputy Chief Administrative Officer of DPW, Ramsey Green presented a motion to accept the Corresponding Resolutions in globo. Director Lynes Sloss moved. Director Janet Howard seconded. The motion carried.

Deputy Chief Administrative Officer of DPW, Ramsey Green presented a motion to enter in executive session. Director Ralph Johnson moved. Director Janet Howard seconded. The motion carried.

Deputy Chief Administrative Officer of DPW, Ramsey Green presented a motion to exit executive session. Director Lynes Sloss moved. Director Ralph Johnson seconded. The motion carried.

Deputy Chief Administrative Officer of DPW, Ramsey Green presented a motion to approve Special Counsel Recommendations. Director Janet Howard moved. Director Lynes Sloss seconded. The motion carried.

---

### **INFORMATION ITEMS**

---

The following items were submitted for informational purposes only:

- Preliminary Financial Results through October 1- 31, 2020
- Human Resources Report November 1-30, 2020
- Report of the General Superintendent
- FEMA November Project Worksheet Status
- DBE Participation on Contracts

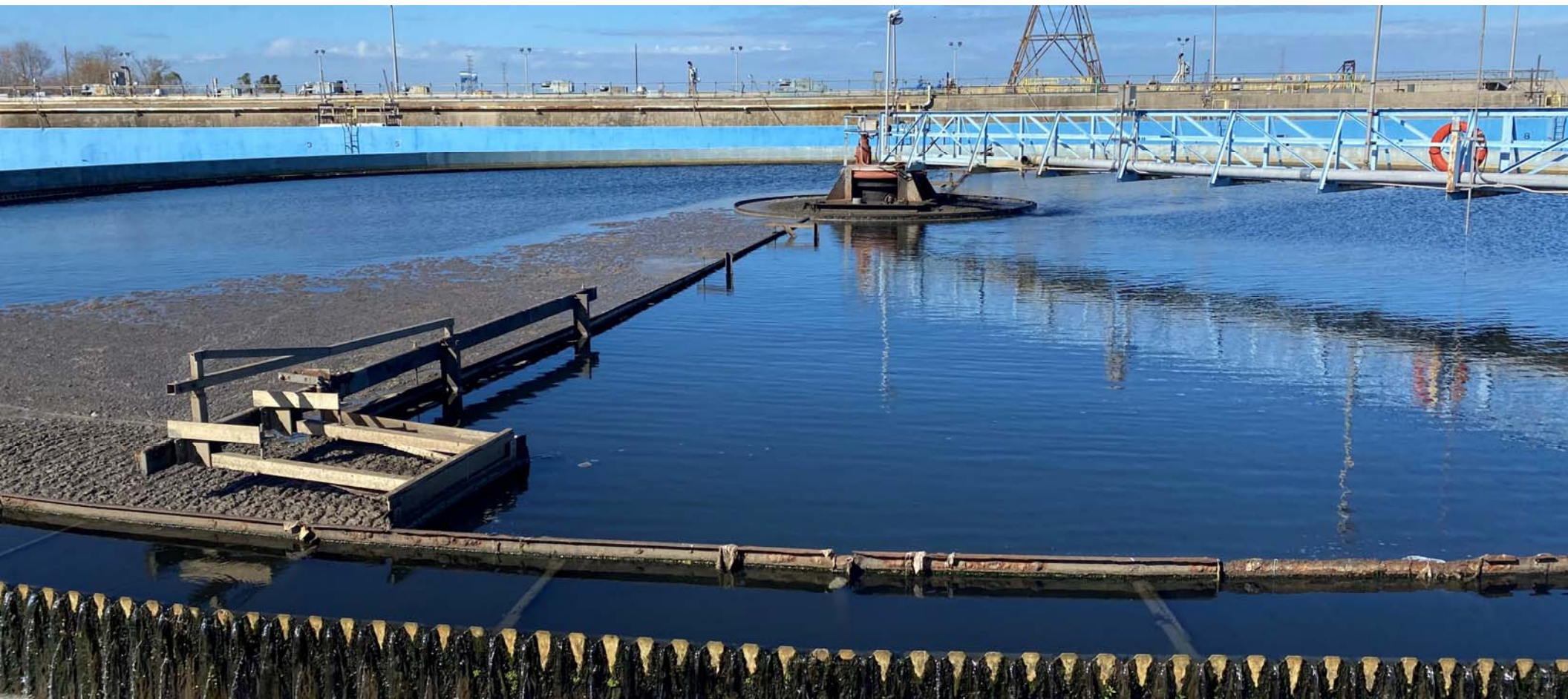
---

### **ADJOURNMENT**

---

There being no further business to come before the Board, the meeting adjourned at approximately 10:30 AM.





## **Executive Director's Report: January 20, 2021**



# EXECUTIVE DIRECTOR'S REPORT

- **Power Update**
- **Meter Reading Updates**
- **Social Media Highlights**



# Power Update

## EMD

- Taking advantage of dry weather and proactively simulating EMD testing to ensure they are more reliable during a rainstorm.
- We recognize the importance of being creative while we continue to focus on turbine repairs

## Turbine 4

- Inspection complete
- Repairs to be expedited
- Cost: 1.5M
- Return to service date estimated to be late May

## Turbine 5

- New control system installed by May 2021
- Return to service date estimated to be early May
- Expediting repairs

## Sub-Station Site Prep

- C7/C8 Demolition Underway
- Completion estimated by mid-May

## Entergy Substation

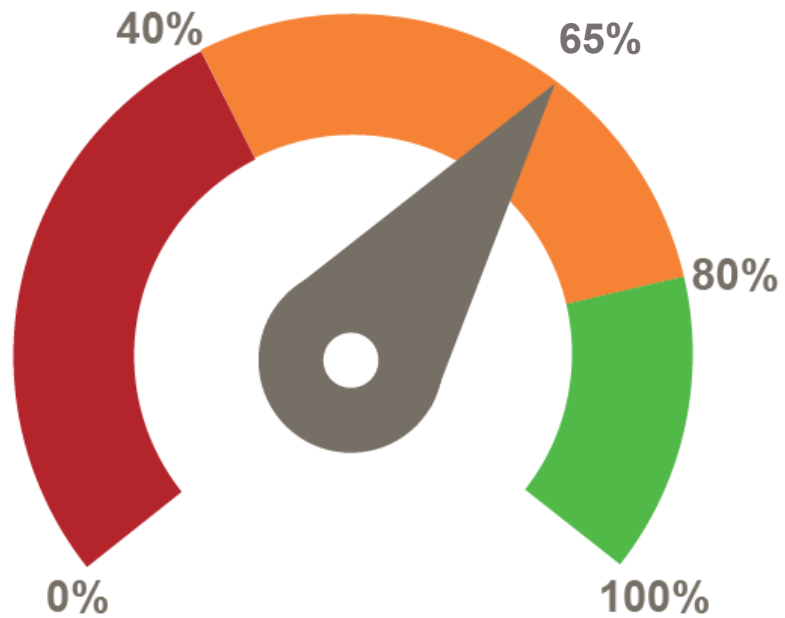
- Entergy continues to be a collaborative partner



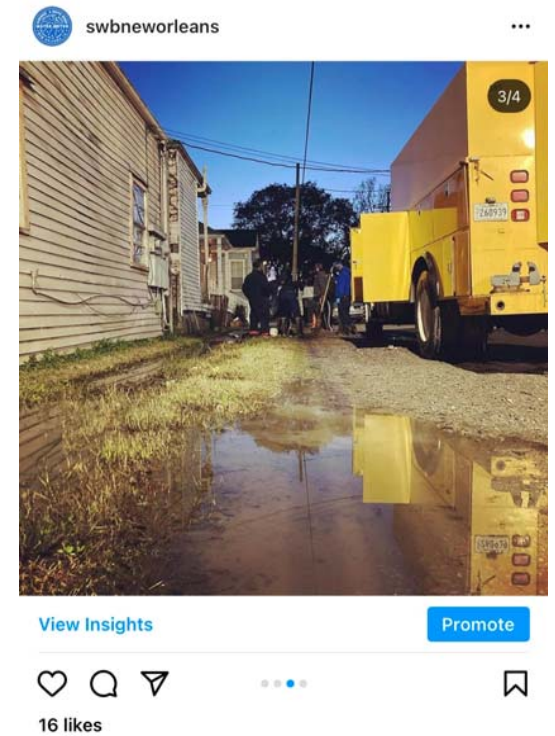
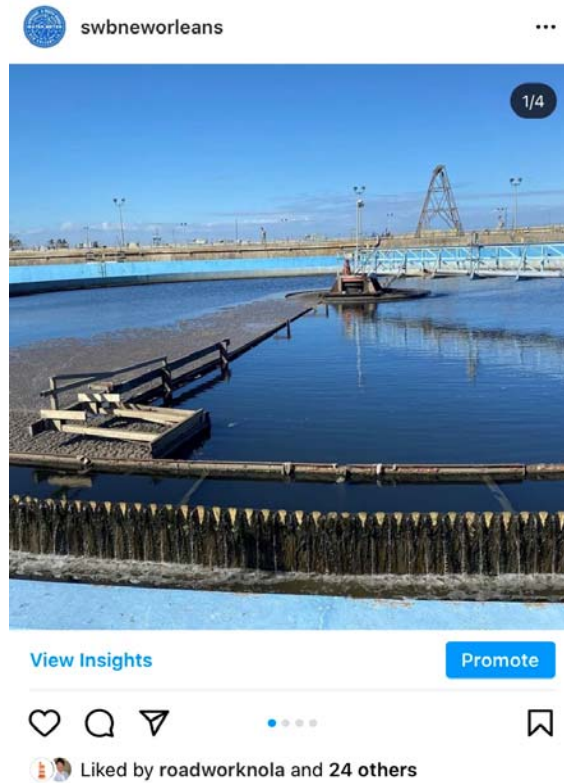
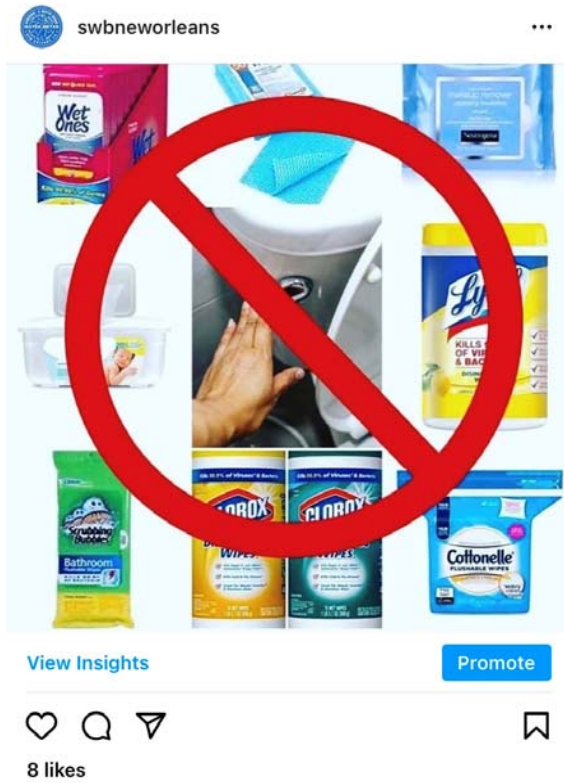


# METER READING UPDATES cont.

Percent Meters Read January 2021  
(Last 4 Weeks)







# SOCIAL MEDIA HIGHLIGHTS



**ARE YOU FOLLOWING US ON SOCIAL?**



**@SWBNewOrleans**





**"RE-BUILDING THE CITY'S WATER SYSTEMS FOR THE 21<sup>ST</sup> CENTURY"**

# **Sewerage & Water Board** OF NEW ORLEANS

LATOYA CANTRELL, PRESIDENT

625 ST. JOSEPH STREET  
NEW ORLEANS, LA 70165 • 504-529-2837 OR 52W-ATER  
[www.swbno.org](http://www.swbno.org)

January 13, 2021

The Finance and Administration Committee met on Wednesday, January 13, 2021, via Microsoft Teams. The meeting convened at approximately 9:00 A.M.

## **1. ROLL CALL**

### **Present:**

Director Lynes Sloss  
Director Janet Howard  
Director Ralph Johnson  
Director Alejandra Guzman  
Director Joseph Peychaud

### **Absent:**

## **2. Cash Flow Overview**

Chief Financial Officer, Mr. Grey Lewis presented update on the cash flow during the COVID-19. Its important Sewerage and Water Board make sure the cash flow continues to provide service for clean water. While the actual revenues and expenditures to date are close to 2019 levels, despite a 10% rate increase, reflecting the downward pressures caused by COVID-19. Management continues to identify opportunities to reduce expenditures to mitigate the negative affect of revenue depression due to COVID-19. These estimated assumptions are a model of estimations, they will continue to update this model as the data changes.



## **General Superintendent's Report**

### **Bid/Renewals**

- Resolution (R-003-2021) First and Final Renewal of Contract for Furnishing Sodium Hypochlorite.
- Resolution (R-005-2021) Second and Final Renewal of Contract 8145 – Repaving Open Cuts in Streets, Driveways, Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities
- Resolution (R-007-2021) Award of Contract to Furnish Liquid Ferric Sulfate
- Resolution (R-012-2021) Authorization for Third Extension of Contract 8138 for Furnishing Skilled and Unskilled Labor for Maintenance Services with the Gee Cee Company of Louisiana, Inc.
  - **Director Ralph Johnson moved to accept Bid Renewals. Director Janet Howard seconded. The motion carried.**

### **Change Orders**

- Resolution (R-002-2021) Ratification of Change Order No. 4 For Contract 3799 Installation of Sludge Dryer at The East Bank Wastewater Treatment Plant
  - **Director Janet Howard moved to accept R-002-2021. Director Joseph Peychaud seconded. The motion carried.**

### **Contract Amendments**

- Resolution (R-004-2021) Amendment No. 4 to Agreement with Stanley Consultants, Inc. for Design and Engineering Services for the Bulk Storage and Chemical Feed Facility Project
- Resolution (R-006-2021) Authorization of Amendment No. 6 to the Agreement between the Sewerage and Water Board of New Orleans and Digital Engineering & Imaging, Inc., for Design and Engineering Services for the Water Line Replacement Program



- Resolution (R-008-2021) Authorization of Contract Amendment No. 7 to the Agreement between the Sewerage and Water Board of New Orleans and Linfield, Hunter & Junius, Inc., for Design and Engineering Services for the Waterline Replacement Program
- Resolution (R-009-2021) Authorization of Contract Amendment No. 8 to the Agreement between the Sewerage and Water Board of New Orleans and Meyer Engineers, LTD., for Design and Engineering Services for the Waterline Replacement Program
- Resolution (R-010-2021) Authorization of Amendment No. 7 to the Agreement between the Sewerage and Water Board of New Orleans and Rahman and Associates, Inc., for Engineering and Design Services for the Waterline Replacement Program
- Resolution (R-011-2021) Contract Amendment No. 2 to the Agreement between the Sewerage and Water Board of New Orleans and Volkert, Inc., for Design and Engineering Service for the Demolition of the Two Abandoned Carrollton Water Plant Clarifiers

- **Director Ralph Johnson moved to accept Contract Amendments. Director Janet Howard seconded. The motion carried.**

### **Final Acceptance**

- Resolution (R-013-2021) Ratification of Change Order No. 1 and Final Acceptance and Closeout for Contract 5243 – DPS #4 Anti-Siphon Project
  - **Director Janet Howard moved to accept R-013-2021. Director Ralph Johnson seconded. The motion carried.**

### **Chief Financial Officer's Report**

- Resolution (R-014-2021) Sixth Supplemental Sewerage Service Revenue Bond Resolution
  - **Director Janet Howard moved to accept R-014-2021. Director Ralph Johnson seconded. The motion carried.**
- Resolution (R-015-2021) Third Supplemental Water Revenue Bond Resolution
  - **Director Ralph Johnson moved to accept R-015-2021. Director Janet Howard seconded. The motion carried.**



3. **INFORMATION ITEMS** –

The information items were received.

4. **PUBLIC COMMENT** –

5. **ADJOURNMENT**

There being no further business to come before the Finance and Administration Committee Meeting. The meeting adjourned at approximately 10:04 AM.

Respectfully submitted,

---

Lynes Sloss, Chair



**SIXTH SUPPLEMENTAL SEWERAGE SERVICE  
REVENUE BOND RESOLUTION**

adopted on January 20, 2021

by the

**SEWERAGE AND WATER BOARD OF NEW ORLEANS**

---

**IN CONNECTION WITH THE ISSUANCE OF**

**NOT EXCEEDING \$215,000,000**

**TAXABLE SEWERAGE SERVICE REVENUE REFUNDING BONDS, SERIES 2021**

**OF THE**

**CITY OF NEW ORLEANS, LOUISIANA**

---



## **TABLE OF CONTENTS**

### **ARTICLE I DEFINITIONS AND FINDINGS**

|               |                  |   |
|---------------|------------------|---|
| SECTION 1.01. | Definitions..... | 3 |
|---------------|------------------|---|

### **ARTICLE II AUTHORIZATION AND ISSUANCE OF SERIES 2021 BONDS**

|               |                                       |   |
|---------------|---------------------------------------|---|
| SECTION 2.01. | Authorization. ....                   | 4 |
| SECTION 2.02. | Form of Series 2021 Bond. ....        | 5 |
| SECTION 2.03. | Form of Series 2021 Bonds.....        | 5 |
| SECTION 2.04. | Book-Entry Registration of Bonds..... | 5 |
| SECTION 2.05. | Paying Agent's Registration.....      | 6 |

### **ARTICLE III REDEMPTION FEATURES OF SERIES 2021 BONDS**

|               |  |   |
|---------------|--|---|
| SECTION 3.01. | Optional Redemption. ....                  | 6 |
| SECTION 3.02. | Mandatory Sinking Fund Redemption.....     | 6 |
| SECTION 3.03. | Notice of Redemption. ....                 | 6 |
| SECTION 3.04. | Transfer, Registration and Assignment..... | 7 |

### **ARTICLE IV APPLICATION OF PROCEEDS OF SERIES 2021 BONDS**

|               |                                 |   |
|---------------|---------------------------------|---|
| SECTION 4.01. | Obligations and Conditions..... | 7 |
|---------------|---------------------------------|---|

### **ARTICLE V SALE OF SERIES 2021 BONDS**

|               |   |   |
|---------------|---|---|
| SECTION 5.01. | Sale of Series 2021 Bonds. ....   | 7 |
| SECTION 5.02. | Certificate of Determination. ....  | 8 |
| SECTION 5.03. | Approval of Preliminary Official Statement, Official Statement, Purchase Agreement and Other Documents..... | 9 |
| SECTION 5.04. | Authorized Officers. ....   | 9 |

### **ARTICLE VI EXECUTION AND DELIVERY OF SERIES 2021 BONDS**

|               |                          |   |
|---------------|--------------------------|---|
| SECTION 6.01. | Execution/Delivery. .... | 9 |
|---------------|--------------------------|---|

### **ARTICLE VII MISCELLANEOUS PROVISIONS**

|               |                                 |   |
|---------------|---------------------------------|---|
| SECTION 7.01. | Selection of Paying Agent. .... | 9 |
|---------------|---------------------------------|---|



|               |  |    |
|---------------|--|----|
| SECTION 7.02. | Effect of Partial Invalidity. ....             | 9  |
| SECTION 7.03. | Effect of Covenants.....                       | 10 |
| SECTION 7.04. | Section Headings. ....                         | 10 |
| SECTION 7.05. | Conflicts.....                                 | 10 |
| SECTION 7.06. | Publication. ....                              | 10 |
| SECTION 7.07. | Amendment to the General Bond Resolution. .... | 10 |

## ARTICLE VIII REQUEST FOR APPROVALS

|               |   |    |
|---------------|---|----|
| SECTION 8.01. | Request to the Board of Liquidation, City Debt, for the Sale and Delivery of the Series 2021 Bonds..... | 10 |
| SECTION 8.02. | Direction to Deliver Documents to the Board of Liquidation. ....  | 10 |
| SECTION 8.03. | Request for Approval.....   | 11 |
| SECTION 8.04. | Effective Date. ....  | 11 |
| EXHIBIT A     | FORM OF BOND  |    |
| EXHIBIT B     | FORM OF CERTIFICATE OF DETERMINATION  |    |

\* \* \* \* \*



## SEWERAGE AND WATER BOARD OF NEW ORLEANS

SIXTH SUPPLEMENTAL SEWERAGE SERVICE REVENUE BOND RESOLUTION  
AUTHORIZING THE ISSUANCE OF

## TAXABLE SEWERAGE SERVICE REVENUE REFUNDING BONDS, SERIES 2021

The following resolution was offered by \_\_\_\_\_ and seconded by \_\_\_\_\_:

A Sixth Supplemental Resolution authorizing the issuance of Taxable Sewerage Service Revenue Refunding Bonds, Series 2021, of the City of New Orleans, Louisiana, in the maximum principal amount of Two Hundred Fifteen Million Dollars (\$215,000,000) in accordance with the terms of the General Sewerage Service Revenue Bond Resolution; setting forth certain details in connection therewith; authorizing the execution and delivery of said Bonds; authorizing the execution of a Bond Purchase Agreement and a Certificate of Determination; and providing for other matters relating to the foregoing.

**WHEREAS**, pursuant to the provisions of Part III of Chapter 9, Title 33 of the Revised Statutes of Louisiana of 1950, as amended, and other constitutional and statutory authority (the "Act"), the Sewerage and Water Board of New Orleans (the "Board") in the name of the City of New Orleans, Louisiana (the "City") is authorized to issue bonds; and

**WHEREAS**, on May 21, 2014, the Board adopted a General Sewerage Service Revenue Bond Resolution entitled "A resolution authorizing the issuance from time to time of Sewerage Service Revenue Bonds of the City of New Orleans, Louisiana, providing for the general terms, form, manner of payment and security for payment of said bonds, providing for the issuance of a series of Sewerage Service Revenue and Refunding Bonds, and providing for other matters in connection therewith" (the "General Bond Resolution"), in which the Board authorized the issuance from time to time of Sewerage Service Revenue Bonds under the Act; and

**WHEREAS**, pursuant to the provisions of the General Bond Resolution and the First Supplemental Sewerage Service Revenue Bond Resolution adopted by the Board on May 21, 2014 (the "First Supplemental Resolution"), the Board authorized the issuance of the City's Sewerage Service Revenue and Refunding Bonds, Series 2014 (the "Series 2014 Bonds"), further authorized the reissuance of the City's Sewerage Service Revenue Bonds, Series 2011 (the "Series 2011 Bonds") as Common Debt Service Reserve Secured Bonds on a parity with the Series 2014 Bonds, and set forth certain details in connection with the issuance of the Series 2014 Bonds; and

**WHEREAS**, pursuant to the provisions of the General Bond Resolution and the Second Supplemental Sewerage Service Revenue Bond Resolution adopted by the Board on October 21, 2015 (the "Second Supplemental Resolution"), the Board authorized the issuance of the City's Sewerage Service Revenue Bonds, Series 2015 (the "Series 2015 Bonds") as Common Debt Service Reserve Secured Bonds on a parity with the Series 2011 Bonds and the Series 2014 Bonds, and set forth certain details in connection with the issuance of the Series 2015 Bonds; and

**WHEREAS**, pursuant to the provisions of the General Bond Resolution and the Third Supplemental Sewerage Service Revenue Bond Resolution adopted by the Board on August 21, 2019 (the "Third Supplemental Resolution"), the Board authorized the issuance of the City's Sewerage Service



Revenue Bond, Series 2019 (the "Series 2019 Bond") as Separate Series Debt Service Reserve Secured Bonds on a parity with the Series 2011 Bonds, the Series 2014 Bonds and the Series 2015 Bonds, except with respect to certain reserve funds, and set forth certain details in connection with the issuance of the Series 2019 Bonds; and

**WHEREAS**, pursuant to the provisions of the General Bond Resolution and the Fourth Supplemental Sewerage Service Revenue Bond Resolution adopted by the Board on April 22, 2020 (the "Fourth Supplemental Resolution"), the Board authorized the issuance of the City's Sewerage Service Revenue Bond, Series 2020A (the "Series 2020A Bond") as Common Debt Service Reserve Secured Bonds on a parity with the Series 2011 Bonds, the Series 2014 Bonds, the Series 2015 Bonds and the Series 2019 Bonds, and set forth certain details in connection with the issuance of the Series 2020A Bonds; and

**WHEREAS**, pursuant to the provisions of the General Bond Resolution and the Fifth Supplemental Sewerage Service Revenue Bond Resolution adopted by the Board on September 24, 2020 (the "Fifth Supplemental Resolution"), the Board authorized the issuance of the City's Sewerage Service Revenue Bonds, Series 2020B (the "Series 2020B Bonds") as Common Debt Service Reserve Secured Bonds on a parity with the Series 2011 Bonds, the Series 2014 Bonds, the Series 2015 Bonds, the Series 2019 Bonds, and the Series 2020A Bonds and set forth certain details in connection with the issuance of the Series 2020B Bonds; and

**WHEREAS**, capitalized terms used herein and not specifically defined herein shall have the meanings assigned to them in the General Bond Resolution as supplemented to date; and

**WHEREAS**, it is now the desire of this Board to authorize the issuance of the City's Taxable Sewerage Service Revenue Refunding Bonds, Series 2021 (the "Series 2021 Bonds") in the maximum principal amount of Two Hundred Fifteen Million Dollars (\$215,000,000), for the purposes of refunding all or a portion of the Series 2014 Bonds and the Series 2015 Bonds (such refunded maturities referred to herein collectively as the "Refunded Bonds"), funding reserves, and paying costs of issuance, including insurance, if necessary; and

**WHEREAS**, at an upcoming meeting, the New Orleans City Council (the "City Council") will consider for approval a resolution approving the issuance of the Series 2021 Bonds; and

**WHEREAS**, at an upcoming meeting, the Board of Liquidation, City Debt (the "Board of Liquidation") will consider for approval a resolution authorizing the issuance and sale of the Series 2021 Bonds; and

**WHEREAS**, in accordance with the Act and Section 4.03 of the General Bond Resolution, the Board now desires to adopt this Sixth Supplemental Resolution in order to provide for the issuance of the Series 2021 Bonds to defease and refund the Refunded Bonds, to provide for the execution of a Bond Purchase Agreement, an Escrow Deposit Agreement and a Certificate of Determination which designates certain details of the Series 2021 Bonds, and certain other matters in connection therewith;

**NOW, THEREFORE, BE IT RESOLVED** by the Sewerage and Water Board of New Orleans, that:



## ARTICLE I

### DEFINITIONS AND FINDINGS

**SECTION 1.01. Definitions.** In this Sixth Supplemental Resolution all capitalized terms shall have the meanings assigned thereto in the above preambles, in this Section 1.01 and in the General Bond Resolution:

**"Board of Liquidation Resolution"** means the resolution to be adopted by the Board of Liquidation authorizing the issuance and sale of the Series 2021 Bonds.

**"Bond Purchase Agreement"** shall mean the Bond Purchase Agreement dated as of the date of the sale of the Series 2021 Bonds by and between the Board of Liquidation and the Underwriters, and agreed to by the Board as to certain provisions.

**"Certificate of Determination"** means the Certificate of Determination authorized by Section 5.02 hereof.

**"Escrow Agent"** shall mean the Escrow Agent designated by the Board of Liquidation in connection with the Series 2021 Bonds.

**"Escrow Agreement"** shall mean the Defeasance and Escrow Deposit Agreement entered into by and among the Board of Liquidation, the Escrow Agent, and the Board.

**"Paying Agent"** shall mean the Paying Agent set forth in the Board of Liquidation Resolution, and any successors and assigns.

**"Outstanding Parity Bonds"** shall mean the City's outstanding (i) Sewerage Service Revenue Bonds, Series 2011; (ii) unrefunded Series 2014 Bonds, if any; (iii) unrefunded Series 2015 Bonds, if any; (iv) Sewerage Service Revenue Bond, Series 2019; (v) Sewerage Service Revenue Bonds, Series 2020A, and (vi) Sewerage Service Revenue Bonds, Series 2020B.

**"Refunded Bonds"** shall mean those maturities (or portions thereof) of the Series 2014 Bonds and the Series 2015 Bonds being defeased and refunded by the Series 2021 Bonds to be identified in the Certificate of Determination.

**"Series 2021 Bonds"** shall mean the City's Taxable Sewerage Service Revenue Refunding Bonds, Series 2021, authorized to be issued by this Sixth Supplemental Resolution in the maximum principal amount of Two Hundred Fifteen Million Dollars (\$215,000,000).

**"Sixth Supplemental Resolution"** shall mean this resolution of the Board, authorizing the issuance of the Series 2021 Bonds.

**"Underwriters"** shall mean a team of underwriters led by J.P. Morgan Securities LLC, as managing underwriter (unless the syndicate roles are adjusted by the Board of Liquidation at a later date), and composed of other underwriters selected by the Board of Liquidation.



**ARTICLE II**  
**AUTHORIZATION AND ISSUANCE OF SERIES 2021 BONDS**

**SECTION 2.01. Authorization.**

(a) In compliance with and under the authority of the Act and the General Bond Resolution, and contingent upon the approval of the City Council and the adoption of the Board of Liquidation Resolution, there is hereby authorized the incurring of an indebtedness and issuance of revenue bonds in an aggregate maximum principal amount of Two Hundred Fifteen Million Dollars (\$215,000,000) (the "Series 2021 Bonds") for, on behalf of and in the name of the City, for the purposes of refunding the Refunded Bonds, funding reserves, and paying costs of issuance, including insurance, if necessary. The aforesaid indebtedness shall be represented by the Series 2021 Bonds to be designated "City of New Orleans, Louisiana, Taxable Sewerage Service Revenue Refunding Bonds, Series 2021." The Series 2021 Bonds are Senior Debt under the General Bond Resolution. Notwithstanding the foregoing, if the Series 2021 Bonds are delivered in a calendar year other than 2021, the series designation may change accordingly without the necessity of amending this Sixth Supplemental Resolution if set forth in the Certificate of Determination.

(b) The Series 2021 Bonds shall be fixed rate bonds, shall be dated the date of delivery, shall be in fully registered form, shall be in the denomination of Five Thousand Dollars (\$5,000) each or any integral multiple thereof within a single maturity, shall be numbered from No. R-1 upward and shall bear interest from the date thereof or from the most recent interest payment date to which interest has been paid or duly provided for at the rates set forth in the Certificate of Determination, such interest to be payable semiannually on each June 1 and December 1, commencing June 1, 2021 (unless another date shall be set forth in the Certificate of Determination), and shall have such other details as shall be set forth in the Certificate of Determination and the Board of Liquidation Resolution. As required by Resolution R-138-2020 adopted by the Board on November 18, 2020, the Board specifies that the Series 2021 Bonds shall bear interest at a rate not to exceed six percent (6.0%) per annum and shall mature not later than June 1, 2045, as shall be set forth in the Certificate of Determination. The Series 2021 Bonds shall mature on June 1 in each of the years set forth in the Certificate of Determination.

(c) The Series 2021 Bonds shall be issued as Common Debt Service Reserve Secured Bonds. The Board of Liquidation is authorized and directed to determine (i) the amount of proceeds of the Series 2021 Bonds to be deposited in the Common Debt Service Reserve Fund, (ii) the amount and proper use of any funds currently on deposit in the Common Debt Service Reserve fund that may be withdrawn therefrom upon the delivery of the Series 2021 Bonds, and (iii) whether to deposit a Credit Facility therein in accordance with the terms of Section 7.06 of the General Bond Resolution.

(d) The Series 2021 Bonds, equally with the Outstanding Parity Bonds, are equally and ratably secured by the Pledge of Net Revenues, as set forth in Section 4.02 of the General Bond Resolution.

(e) The interest on the Series 2021 Bonds shall be payable by check or draft of the Paying Agent mailed on or prior to the interest payment date by the Paying Agent to the Registered Owners of the Series 2021 Bonds as shown on the registration books of the Paying Agent on the 15th day of the calendar month next preceding the interest payment date. During any period after the initial delivery of the Series 2021 Bonds in book-entry-only form when the Bonds are delivered in multiple certificates form, upon request of a registered owner of at least \$1,000,000 in principal amount of Series 2021 Bonds outstanding, payments of principal, premium, if any, and interest on the Series 2021 Bonds will be paid by wire transfer in immediately available funds to an account designated by such registered owner; CUSIP number identification with appropriate dollar amounts for each CUSIP number must accompany all payments of principal, premium, and interest, whether by check or by wire transfer



**SECTION 2.02. Form of Series 2021 Bond.** The Series 2021 Bonds shall be substantially in the form attached hereto as **Exhibit A.**

**SECTION 2.03. Form of Series 2021 Bonds.** The Series 2021 Bonds shall be substantially in the form attached hereto as **Exhibit A.**

**SECTION 2.04. Book-Entry Registration of Bonds.** The Series 2021 Bonds shall be initially issued in the name of Cede & Co., as nominee for The Depository Trust Company ("DTC"), as registered owner of the Bonds, and held in the custody of DTC. The Board of Liquidation has delivered a Blanket Letter of Representation (the "Letter of Representation") to DTC on behalf of the City and the Board with respect to the issuance of bonds in "book-entry only" format. The terms and provisions of said Letter of Representation shall govern in the event of any inconsistency between the provisions of the General Bond Resolution and this Sixth Supplemental Resolution and said Letter of Representation. A single certificate will be issued and delivered to DTC for each maturity of the Series 2021 Bonds. The Beneficial Owners will not receive physical delivery of Series 2021 Bond certificates except as provided herein. Beneficial Owners are expected to receive a written confirmation of their purchase providing details of each Series 2021 Bond acquired. For so long as DTC shall continue to serve as securities depository for the Series 2021 Bonds as provided herein, all transfers of beneficial ownership interest will be made by book-entry only, and no investor or other party purchasing, selling or otherwise transferring beneficial ownership of Series 2021 Bonds is to receive, hold or deliver any Series 2021 Bond certificate.

Notwithstanding anything to the contrary herein, while the Series 2021 Bonds are issued in the book-entry-only form, the payment of principal of, premium, if any, and interest on the Series 2021 Bonds may be payable by the Paying Agent by wire transfer to DTC in accordance with the Letter of Representation.

For every transfer and exchange of the Series 2021 Bonds, the Beneficial Owner may be charged a sum sufficient to cover such Beneficial Owner's allocable share of any tax, fee or other governmental charge that may be imposed in relation thereto.

Series 2021 Bond certificates are required to be delivered to and registered in the name of the Beneficial Owner under the following circumstances:

(a) DTC determines to discontinue providing its service with respect to the Series 2021 Bonds. Such a determination may be made at any time by giving 30 days' notice to the Board of Liquidation and the Paying Agent and discharging its responsibilities with respect thereto under applicable law.

(b) The Board or the Board of Liquidation determines that continuation of the system of book-entry transfer through DTC (or a successor securities depository) is not in its best interests or the best interests of the Beneficial Owners.

The Board of Liquidation and the Paying Agent will recognize DTC or its nominee as the Bondholder for all purposes, including notices and voting.

Neither the City, the Board, the Board of Liquidation or the Paying Agent are responsible for the performance by DTC of any of its obligations, including, without limitation, the payment of moneys received by DTC, the forwarding of notices received by DTC or the giving of any consent or proxy in lieu of consent.



Whenever during the term of the Series 2021 Bonds the beneficial ownership thereof is determined by a book entry at DTC, the requirements of this Sixth Supplemental Resolution of holding, delivering or transferring the Series 2021 Bonds shall be deemed modified to require the appropriate person to meet the requirements of DTC as to registering or transferring the book entry to produce the same effect.

If at any time DTC ceases to hold the Series 2021 Bonds, all references herein to DTC shall be of no further force or effect.

**SECTION 2.05. Paying Agent's Registration.** No Series 2021 Bond shall be entitled to any right or benefit under the General Bond Resolution or this Sixth Supplemental Resolution, or be valid or obligatory for any purpose unless there appears on such Series 2021 Bond a certificate of registration, substantially in the form provided in the bond form attached hereto, executed by the Paying Agent by manual signature.

### **ARTICLE III REDEMPTION FEATURES OF SERIES 2021 BONDS**

**SECTION 3.01. Optional Redemption.** The optional redemption provisions of the Series 2021 Bonds shall be set forth in the Certificate of Determination.

**SECTION 3.02. Mandatory Sinking Fund Redemption.** The mandatory sinking fund redemption provisions, if any, of the Series 2021 Bonds shall be set forth in the Certificate of Determination.

**SECTION 3.03. Notice of Redemption.** In the event a Series 2021 Bond to be redeemed is of a denomination larger than \$5,000, a portion of such Series 2021 Bond (in any integral multiple of \$5,000 thereof) may be redeemed. Any Series 2021 Bond which is to be redeemed only in part may be surrendered at the designated corporate trust office of the Paying Agent, and there shall be delivered to the Owner of such Series 2021 Bond a new Series 2021 Bond or Series 2021 Bonds of the same maturity and of any authorized denomination or denominations as requested by such Owner in aggregate principal amount equal to and in exchange for the unredeemed portion of the principal of the Series 2021 Bond so surrendered. All notices of redemption shall state (i) the redemption date; (ii) the redemption price; (iii) if fewer than all the Series 2021 Bonds are to be redeemed, the identifying number (and in the case of partial redemption, the respective principal amounts) and CUSIP number of the Series 2021 Bonds to be redeemed (all of which shall be selected by the Board of Liquidation in its discretion); (iv) that on the redemption date the redemption price will become due and payable on each such Series 2021 Bond and interest thereon will cease to accrue thereon from and after said date; and (v) the place where such Series 2021 Bonds are to be surrendered for payment. Official notice of such call of any of the Series 2021 Bonds for redemption shall be given by means of first-class mail, postage prepaid, by notice deposited in the United States mails, or via accepted means of electronic communication, not less than thirty (30) days prior to the redemption date addressed to the registered owner of each Series 2021 Bond to be redeemed at his address as shown on the registration books maintained by the Paying Agent.

In the case of an optional redemption, the notice may state (i) that it is conditioned upon the deposit of moneys, in an amount equal to the amount necessary to effect the redemption, with the Paying Agent no later than the redemption date, or (ii) that the Board of Liquidation retains the right to rescind such notice at any time prior to the scheduled redemption date if the Board of Liquidation delivers a certificate of an Authorized Officer to the Paying Agent instructing the Paying Agent to rescind the redemption notice (in either case, a "Conditional Redemption"), and such notice and optional redemption shall be of no effect if such moneys are not so deposited or if the notice is rescinded as described herein. The Paying Agent shall give prompt notice of such rescission to the affected Bondowners. Any Series 2021 Bonds subject to Conditional Redemption where redemption has been rescinded shall remain Outstanding, and the rescission



shall not constitute an Event of Default. Further, in the case of a Conditional Redemption, the failure of the Board of Liquidation to make funds available in part or in whole on or before the redemption date shall not constitute an Event of Default.

Any notice mailed or provided herein shall conclusively be presumed to have been given whether or not actually received by any Bondholder. Failure to give such notice or any defect therein shall not affect the validity of the redemption proceedings.

**SECTION 3.04. Transfer, Registration and Assignment.** The Series 2021 Bonds may be transferred, registered and assigned only on the registration books of the Paying Agent, and such registration shall be at the expense of the Issuer. A Series 2021 Bond may be assigned by the execution of an assignment form on such Series 2021 Bonds or by other instruments of transfer and assignment acceptable to the Paying Agent. A new Series 2021 Bond or Series 2021 Bonds will be delivered by the Paying Agent to the last assignee (the new registered owner) in exchange for such transferred and assigned Series 2021 Bonds after receipt of such Series 2021 Bonds to be transferred in proper form. Such new Series 2021 Bond or Series 2021 Bonds must be in the denomination of \$5,000 or any integral multiple in excess thereof within a single maturity. Neither the Board of Liquidation nor the Paying Agent shall be required to issue, register the transfer of, or exchange (i) any Series 2021 Bond during a period beginning at the opening of business on the 15th day of the month next preceding any interest payment date and ending at the close of business on the interest payment date, or (ii) any Series 2021 Bond called for redemption prior to maturity during the period of fifteen (15) days after the mailing of notice of redemption as provided herein, but only with respect to those Series 2021 Bonds which are the subject of such redemption.

#### **ARTICLE IV APPLICATION OF PROCEEDS OF SERIES 2021 BONDS**

**SECTION 4.01. Obligations and Conditions.** As a condition to the issuance of the Series 2021 Bonds, the Board hereby obligates itself or shall cause the Board of Liquidation to:

- (a) Transfer to the Escrow Agent the amount necessary to provide for the payment in full in principal and interest of the Refunded Bonds through their respective maturities or earlier redemption as determined by the Board of Liquidation.
- (b) Transfer to the Common Debt Service Reserve Fund the amount, if any, necessary to fully fund the Common Debt Service Reserve Fund for the Series 2021 Bonds and the Outstanding Parity Bonds secured thereby in an amount equal to the Common Debt Service Reserve Requirement, which amount may be satisfied by a Credit Facility pursuant to the terms of Section 2.01(c) hereof
- (c) Provide for the payment of all Cost of Issuance of the Series 2021 Bonds from proceeds of the Series 2021 Bonds set aside by the Board of Liquidation for this purpose.
- (d) Provide for the payment of bond insurance should it be available and cost effective.
- (e) The amounts of the deposits set forth above shall be set forth in the Certificate of Determination.

#### **ARTICLE V SALE OF SERIES 2021 BONDS**

**SECTION 5.01. Sale of Series 2021 Bonds.** The Series 2021 Bonds shall be sold for and on behalf of the Board and the City by the Board of Liquidation at a private (negotiated) sale in accordance



with the provisions of the Act. The Board of Liquidation may determine to sell less than all of the Series 2021 Bonds authorized herein. The President, President *pro tempore* and the Executive Director of the Board are each hereby authorized to execute any and all instruments, certificates, documents, and papers relating to the issuance, sale and delivery of the Series 2021 Bonds, in connection with the sale of the Series 2021 Bonds in such form as may be approved by said officers upon the advice of Co-Bond Counsel.

**SECTION 5.02. Certificate of Determination.** Certain details of the Series 2021 Bonds (which shall be established in accordance with the parameters set forth in Section 2.01 hereof) shall be established by the Certificate of Determination contemporaneously with the execution and delivery by the Board and the Board of Liquidation of the hereinafter defined Bond Purchase Agreement. Each and every such determination set forth in the Certificate of Determination shall be deemed conclusive for all purposes. The Certificate of Determination shall be substantially in the form set forth in **Exhibit B** hereto, with such variations, omissions and insertions as are permitted or required by this Sixth Supplemental Resolution.

Subject to the parameters set forth herein, the Executive Director of the Board is hereby authorized to determine, upon the advice of the Co-Financial Advisors to the Board of Liquidation and after consultation with and concurrence of Co-Bond Counsel and the Board of Liquidation:

- (a) The principal amount of the Series 2021 Bonds;
- (b) The purchase price of the Series 2021 Bonds;
- (c) The maturity schedule of the Series 2021 Bonds;
- (d) The redemption provisions, if any, of the Series 2021 Bonds;
- (e) The mandatory sinking fund redemption schedule, if any, of the Series 2021 Bonds;
- (f) The interest rate(s) on the Series 2021 Bonds;
- (g) A final form of the Escrow Agreement;
- (h) The application of proceeds of the Series 2021 Bonds; and
- (i) Any other matters or provisions related to the Series 2021 Bonds, including any change necessitated by the pricing of the Series 2021 Bonds, in each case in accordance or not inconsistent with the provisions of the General Bond Resolution or this Sixth Supplemental Resolution.

The Board shall deliver the executed Certificate of Determination to the Board of Liquidation as soon as possible after the execution of the Bond Purchase Agreement.



**SECTION 5.03. Approval of Preliminary Official Statement, Official Statement, Purchase Agreement and Other Documents.**

(a) In connection with the issuance and sale of the Series 2021 Bonds, the Authorized Officers are authorized to assist in the preparation of and approve:

- (i) Preliminary Official Statement to be used in connection with the marketing of the Series 2021 Bonds;
- (ii) a final Official Statement to be used in connection with the sale of the Series 2021 Bonds;
- (iii) a Bond Purchase Agreement in connection with the sale of the Series 2021 Bonds;
- (iv) a Continuing Disclosure Certificate pursuant to S.E.C. Rule 15c2-12(b)(5); and
- (v) the Escrow Agreement.

(b) The Authorized Officers, or any of them, are hereby authorized and directed to execute and deliver foregoing documents as may be required, said execution being conclusive evidence of such approval.

**SECTION 5.04. Authorized Officers.** The Executive Director and the President and the President *pro tempore* of the Board, acting singly, be and each of them hereby is authorized and directed to execute and deliver any and all documents and instruments and to do and cause to be done any and all acts and things necessary or proper for carrying out the transactions contemplated by the General Bond Resolution and this Sixth Supplemental Resolution.

**ARTICLE VI  
EXECUTION AND DELIVERY OF SERIES 2021 BONDS**

**SECTION 6.01. Execution/Delivery.** The President of this Board is hereby authorized and the Mayor of the City and the President and Secretary of the Board of Liquidation are requested to sign in their official capacities and deliver the Series 2021 Bonds in the form set forth in **Exhibit A** hereto, including any changes, additions and deletions thereto approved by Co-Bond Counsel, in definitive form, as printed bonds, and to execute and deliver any and all additional proofs, instruments and certificates required by or provided for in the General Bond Resolution, this Sixth Supplemental Resolution, or the Series 2021 Bonds, and perform such other acts as may otherwise be required to effectuate the financing herein provided for. All of the signatures authorized hereinabove as so executed shall be deemed conclusive evidence of the due exercise of the authority vested in each such officer hereunder, and shall be sufficient to create binding obligations of the Board, the City and the Board of Liquidation. All such signatures may be facsimiles thereof, so long as the signature of the Paying Agent is manually executed.

**ARTICLE VII  
MISCELLANEOUS PROVISIONS**

**SECTION 7.01. Selection of Paying Agent.** The Board hereby approves the Paying Agent designated in the Board of Liquidation Resolution to serve as Paying Agent for the Series 2021 Bonds. The Paying Agent shall signify in writing its acceptance of its duties under this Sixth Supplemental Resolution at or prior to the delivery of the Series 2021 Bonds.

**SECTION 7.02. Effect of Partial Invalidity.** In case any one or more of the provisions of the General Bond Resolution or this Sixth Supplemental Resolution shall for any reason be held to be illegal



or invalid, such illegality or invalidity shall not affect other provisions of the General Bond Resolution or this Sixth Supplemental Resolution, but the General Bond Resolution and this Sixth Supplemental Resolution shall be construed and enforced as if such illegal or invalid provisions had not been contained therein.

**SECTION 7.03. Effect of Covenants.** All covenants, stipulations, obligations and agreements of the Board contained in this Sixth Supplemental Resolution shall be deemed to be covenants, stipulations, obligations and agreements of the Board to the full extent permitted by the Constitution and laws of the State of Louisiana.

**SECTION 7.04. Section Headings.** The headings of the various Sections hereof are inserted for convenience of reference only and shall not control or affect the meaning or construction of any of the provisions hereof.

**SECTION 7.05. Conflicts.** All resolutions and orders or parts thereof in conflict herewith as they are applicable to the Series 2021 Bonds, to the extent of such conflict and only with respect to their applicability to the Series 2021 Bonds, shall be superseded by the applicable provisions of this Sixth Supplemental Resolution.

**SECTION 7.06. Publication.** A copy of this Sixth Supplemental Resolution shall be published as soon as practicable after its adoption in one issue of the official journal of the City, and it shall not be necessary to publish the exhibits hereto if the exhibits are made available for public inspection at reasonable times and that fact is stated in the publication. For a period of thirty (30) days from the date of publication, any person in interest may contest the legality of this Sixth Supplemental Resolution and of any provision hereof made for the security and payment of the Series 2021 Bonds. After the expiration of said thirty (30) days, no one shall have any cause or right of action to test the regularity, formality, legality or effectiveness of this Sixth Supplemental Resolution and the provisions hereof or of the Series 2021 Bonds for any cause whatsoever. If no suit, action, or proceeding is begun contesting the validity of the Series 2021 Bonds within the thirty days, the authority to issue the bonds and to provide for the payment thereof, and the legality thereof and of all of this Sixth Supplemental Resolution shall be conclusively presumed, and no court shall thereafter have authority to inquire into such matters.

**SECTION 7.07. Amendment to the General Bond Resolution.** Section 7.04(f) of the General Bond Resolution is hereby removed to strike "through July 15, 2026," where it appears in said Section. The remainder of the General Bond Resolution shall remain in full force and effect except as expressly amended hereby.

## **ARTICLE VIII REQUEST FOR APPROVALS**

**SECTION 8.01. Request to the Board of Liquidation, City Debt, for the Sale and Delivery of the Series 2021 Bonds.** The Board of Liquidation is hereby requested to cause the Series 2021 Bonds to be sold, executed and delivered to the purchaser thereof upon receipt of the purchase price thereof and accrued interest, if any, to the date of delivery.

**SECTION 8.02. Direction to Deliver Documents to the Board of Liquidation.** The Executive Director of the Board is hereby directed to deliver to the Board of Liquidation, as soon as such



documents are available, the documents specified in Section 4.03 of the General Bond Resolution with respect to the Series 2021 Bonds.

**SECTION 8.03. Request for Approval.** A certified copy of this resolution shall be furnished to the City Council. The Board hereby requests the City Council and the Board of Liquidation to approve this Sixth Supplemental Resolution and any other resolutions of the Board providing for the issuance of the Series 2021 Bonds, if required by law.

**SECTION 8.04. Effective Date.** This Sixth Supplemental Resolution shall become effective immediately.

This resolution having been submitted to a vote, the vote thereon was as follows:

| <b><u>Member</u></b>     | <b><u>Yea</u></b> | <b><u>Nay</u></b> | <b><u>Absent</u></b> | <b><u>Abstaining</u></b> |
|--------------------------|-------------------|-------------------|----------------------|--------------------------|
| Jay H. Banks             | _____             | _____             | _____                | _____                    |
| Robin Barnes             | _____             | _____             | _____                | _____                    |
| Tamika Duplessis, Ph. D. | _____             | _____             | _____                | _____                    |
| Alejandra Guzman         | _____             | _____             | _____                | _____                    |
| Janet Howard             | _____             | _____             | _____                | _____                    |
| Ralph Johnson            | _____             | _____             | _____                | _____                    |
| Joseph Peychaud          | _____             | _____             | _____                | _____                    |
| Lynes R. "Poco" Sloss    | _____             | _____             | _____                | _____                    |
| Maurice G. Sholas        | _____             | _____             | _____                | _____                    |
| Mayor LaToya Cantrell    | _____             | _____             | _____                | _____                    |

And the resolution was declared adopted on this 20<sup>th</sup> day of January, 2021.



**EXHIBIT A  
TO SIXTH SUPPLEMENTAL RESOLUTION**

**FORM OF BOND**

Unless this Bond is presented by an authorized representative of the Depository Trust Company, a New York corporation ("DTC"), to the Board or the City or their agent for registration of transfer, exchange, or payment, and any Bond issued is registered in the name of CEDE & CO. or in such other name as is requested by an authorized representative of DTC (and any payment is made to CEDE & CO. or to such other entity as is requested by an authorized representative of DTC), ANY TRANSFER, PLEDGE, OR OTHER USE HEREOF FOR VALUE OR OTHERWISE BY OR TO ANY PERSON IS WRONGFUL inasmuch as the registered owner hereof, CEDE & CO., has an interest herein.

As provided in the Resolution referred to herein, until the termination of the system of book-entry-only transfers through DTC and notwithstanding any other provision of the Resolution (herein defined) to the contrary, this Bond may be transferred, in whole but not in part, only to a nominee of DTC, or by a nominee of DTC to DTC or a nominee of DTC, or by DTC or a nominee of DTC to any successor securities depository or any nominee thereof.

No. R-\_\_\_\_\_

Principal Amount: \$\_\_\_\_\_

**UNITED STATES OF AMERICA  
STATE OF LOUISIANA  
PARISH OF ORLEANS**

**CITY OF NEW ORLEANS, LOUISIANA  
TAXABLE SEWERAGE SERVICE REVENUE REFUNDING BOND, SERIES 2021**

| <u>Maturity Date</u> | <u>Interest Rate</u> | <u>Bond Date</u> | <u>CUSIP</u> |
|----------------------|----------------------|------------------|--------------|
| June 1, 20____       | _____                | _____            | _____        |

**PRINCIPAL AMOUNT:**

The CITY OF NEW ORLEANS, LOUISIANA (the "City"), for value received, promises to pay, but only from the sources and as hereinafter provided, to

REGISTERED OWNER:        CEDE & CO. (Tax Identification #13-2555119)

or registered assigns, on the Maturity Date set forth above, the Principal Amount set forth above, together with interest thereon from the Bond Date set forth above or the most recent interest payment date to which interest has been paid or duly provided for, payable on June 1 and December 1 of each year, commencing [June 1, 2021] (each an "Interest Payment Date"), at the Interest Rate per annum set forth above until said Principal Amount is paid, unless this Bond shall have been previously called for redemption and payment shall have been duly made or provided for. The principal of this Bond, upon maturity or redemption, is payable at the designated corporate trust office of \_\_\_\_\_, or successor thereto (the "Paying Agent") upon presentation and surrender hereof, and interest on this Bond will be payable by the Paying Agent by check mailed by the Paying Agent to the registered owner (determined as of the close of business on the 15th calendar day of the month next preceding said Interest Payment Date (the "Record



Date"), whether or not such day is a Business Day (as defined in the Resolution) at the address as shown on the registration books of the Paying Agent. Interest on this Bond shall be calculated on the basis of a 360-day year consisting of twelve 30-day months.

During any period after the initial delivery of the Bonds in book-entry-only form when the Bonds are delivered in multiple certificates form, upon request of a registered owner of at least \$1,000,000 in principal amount of Bonds outstanding, all payments of principal, premium, if any, and interest on the Bonds will be paid by wire transfer in immediately available funds to an account designated by such registered owner; CUSIP number identification with appropriate dollar amounts for each CUSIP number must accompany all payments of principal, premium, and interest, whether by check or by wire transfer.

FOR SO LONG AS THIS BOND IS HELD IN BOOK-ENTRY FORM REGISTERED IN THE NAME OF CEDE & CO. ON THE REGISTRATION BOOKS OF THE CITY KEPT BY THE PAYING AGENT, AS BOND REGISTRAR, THIS BOND, IF CALLED FOR PARTIAL REDEMPTION IN ACCORDANCE WITH THE BOND RESOLUTION, SHALL BECOME DUE AND PAYABLE ON THE REDEMPTION DATE DESIGNATED IN THE NOTICE OF REDEMPTION GIVEN IN ACCORDANCE WITH THE BOND RESOLUTION AT, AND ONLY TO THE EXTENT OF, THE REDEMPTION PRICE, PLUS ACCRUED INTEREST TO THE SPECIFIED REDEMPTION DATE; AND THIS BOND SHALL BE PAID, TO THE EXTENT SO REDEEMED, (i) UPON PRESENTATION AND SURRENDER THEREOF AT THE OFFICE SPECIFIED IN SUCH NOTICE OR (ii) AT THE WRITTEN REQUEST OF CEDE & CO., BY CHECK MAILED TO CEDE & CO. BY THE PAYING AGENT OR BY WIRE TRANSFER TO CEDE & CO. BY THE PAYING AGENT IF CEDE & CO. AS BONDOWNER SO ELECTS. IF, ON THE REDEMPTION DATE, MONEYS FOR THE REDEMPTION OF BONDS OF SUCH MATURITY TO BE REDEEMED, TOGETHER WITH INTEREST TO THE REDEMPTION DATE, SHALL BE HELD BY THE PAYING AGENT SO AS TO BE AVAILABLE THEREFOR ON SUCH DATE, AND AFTER NOTICE OF REDEMPTION SHALL HAVE BEEN GIVEN IN ACCORDANCE WITH THE BOND RESOLUTION, THEN, FROM AND AFTER THE REDEMPTION DATE, THE AGGREGATE PRINCIPAL AMOUNT OF THIS BOND SHALL BE IMMEDIATELY REDUCED BY AN AMOUNT EQUAL TO THE AGGREGATE PRINCIPAL AMOUNT THEREOF SO REDEEMED, NOTWITHSTANDING WHETHER THIS BOND HAS BEEN SURRENDERED TO THE PAYING AGENT FOR CANCELLATION.

This Bond is one of an authorized issue aggregating in principal the sum of [Two Hundred Fifteen Million Dollars (\$215,000,000)] (the "Bonds"), all of like tenor and effect except as to number, interest rate and maturity, said Bonds having been issued in the name of the City, acting by and through the Sewerage and Water Board of New Orleans (the "Board"), for the purpose of (i) refunding the outstanding Sewerage Service Revenue and Refunding Bonds, Series 2014, maturing June 1, 20\_\_ to 20\_\_, and Sewerage Service Revenue Bonds, Series 2015, maturing June 1, 20\_\_ to 20\_\_, (ii) funding reserves, and (iii) paying costs of issuance, including insurance, if necessary. The Bonds have been issued pursuant to a General Sewerage Service Revenue Bond Resolution adopted by the Board on May 21, 2014 and a Sixth Supplemental Sewerage Service Bond Resolution adopted by the Board on [January 20], 2021, and by a resolution adopted by the Board of Liquidation, City Debt (the "Board of Liquidation") on [January 20], 2021 (collectively, the "Resolution"), under the authority conferred by Part III of Chapter 9, Title 33 of the Revised Statutes of Louisiana, as amended, and other constitutional and statutory authority (the "Act"), and other constitutional and statutory authority. This Bond and the issue of which it forms a part are payable as to both principal and interest solely from the Net Revenues and other funds of the Board pledged for that purpose by the Resolution. Subject to the foregoing, this Bond and the issue of which it forms a part are issued on a complete parity with the Issuer's outstanding (i) Sewerage Service Revenue Bonds, Series 2011; (ii) unrefunded Series 2014 Bonds, if any; (iii) unrefunded Series 2015 Bonds, if any; (iv) Sewerage Service Revenue Bond, Series 2019; (v) Sewerage Service Revenue Bond, Series 2020A, and (vi) Sewerage Service Revenue Bonds, Series 2020B (collectively, the "Outstanding Parity Bonds"), with respect to the revenues



derived from sewerage service charges and other funds pledged by the Resolution for the payment and security of the Bonds and the Outstanding Parity Bonds.

The Bonds, equally with the Outstanding Parity Bonds and such additional bonds as may hereafter be issued under the Resolution on a parity therewith are, and are to be, equally and ratably secured by the pledge of the revenues derived from sewerage service charges of the City, for purposes relating to the sewerage system of the City, as provided in the Act and the Resolution, to which reference is hereby made for a more complete description of the rights of the owners of the Bonds and of the Board with respect to the sewerage system of the City, and the revenues thereof, and the terms and conditions upon which the Bonds and such additional parity bonds are, and are to be, issued, to all of the provisions of which Resolution each Bond owner, by acceptance hereof, assents. This Bond and the issue of which it forms a part do not constitute a debt of the City, and neither the credit nor the taxing power of the City is pledged to the payment thereof, or any part thereof, or to the payment of any interest thereon.

Pursuant to the Act, the Board of Liquidation, as now organized and created and with the powers, duties and functions prescribed by existing laws, shall be continued while any bonds authorized by the aforesaid provisions of law are outstanding and unpaid; and all sewer revenues which may be collected for the payment of said Bonds shall, be paid over to said Board of Liquidation, and shall by it be applied in payment of the principal of and interest on said Bonds; and said Board of Liquidation shall, with respect to all Bonds authorized, be entitled to exercise all the rights and enforce the performance of all the obligations, the same as it is authorized to do under existing laws with respect to any of the registered outstanding Bonds of the Board. Each Bond of this issue constitutes a contract between the City, the Board, the Board of Liquidation, and the Registered Owner of such Bond.

Those Bonds maturing June 1, 20\_\_ and thereafter shall be subject to redemption at the option of the Board of Liquidation in full or in part at any time on after June 1, 20\_\_, at a redemption price equal to 100% of the principal amount of the Series 2021 Bonds to be redeemed, together with accrued interest to the date fixed for redemption. The maturities of the Bonds to be redeemed shall be selected by the Board of Liquidation in its discretion.

In the event of redemption of fewer than all the outstanding Bonds of like maturity, such Bonds shall be redeemed by lot or in such other manner as shall be deemed fair and equitable by the Paying Agent for random selection.

The Bonds due on June 1, 20\_\_, shall be subject to mandatory redemption prior to maturity through application of sinking fund payments on June 1 in each of the years and in the respective principal amounts set forth below, in each case at a redemption price equal to 100 of their principal amount, plus accrued interest to the date of redemption.

| <u>Year</u><br><u>(June 1)</u> | <u>Amount</u> |
|--------------------------------|---------------|
| 20__                           | \$ ____       |
| 20__                           | _____         |
| 20__                           | _____         |
| 20__                           | _____         |
| 20__ *                         | _____         |

\*Final maturity

In the event a Bond is of a denomination larger than \$5,000, a portion of such Bond (\$5,000 or any multiple thereof) may be redeemed. Official notice of such call of any of the Bonds for redemption will be given by first class mail, postage prepaid, by notice deposited in the United States mails or via accepted



means of electronic communication not less than thirty (30) days prior to the redemption date addressed to the registered owner of each Bond to be redeemed at his address as shown on the registration books of the Paying Agent.

There shall be kept at the designated corporate trust office of the Paying Agent a register (the "Bond Register") in which registration of the Bonds shall be made as provided herein. This Bond is transferable only upon the records kept for that purpose at the designated corporate trust office of the Paying Agent by the person in whose name this Bond is registered (the "Registered Owner") or by his or her attorney duly authorized in writing, upon surrender hereof together with a written instrument of transfer satisfactory to the Paying Agent duly executed by the Registered Owner or such duly authorized attorney, and thereupon the Paying Agent shall issue in the name of the transferee a new fully registered Bond or Bonds of the same aggregate principal amount and designation, maturity and interest rate as the surrendered Bond, and upon the payment of the costs of any transfer taxes or other governmental charges relating thereto. The Board of Liquidation and the Paying Agent may treat and consider the person in whose name this Bond is registered as the absolute owner hereof for the purpose of receiving payment of or on account of the principal hereof and interest and premium, if any, hereon, and for all other purposes whatsoever. Neither the Board of Liquidation nor the Paying Agent shall be required to issue, register the transfer of, or exchange (i) any Bond during a period beginning at the opening of business on the 15th day of the month next preceding any interest payment date and ending at the close of business on the interest payment date, or (ii) any Bond called for redemption prior to maturity during the period of fifteen (15) days after the mailing of notice of redemption as provided herein, but only with respect to those Bonds which are the subject of such redemption.

This Bond and the series of which it forms a part are issuable in the form of fully registered bonds of the denomination of \$5,000 each or any integral multiple thereof. Subject to the conditions and upon the payment of the costs of any transfer taxes or other governmental charges relating to the transfer of this Bond upon surrender hereof at the principal corporate trust office of the Paying Agent with a written instrument of transfer satisfactory to the Paying Agent duly executed by the Registered Owner or by his attorney duly authorized in writing, this Board may at the option of the Registered Owner hereof be exchanged for an equal aggregate principal amount of fully registered bonds of the same designation, maturity and interest rate and of any authorized denomination.

For a more complete statement of the source of moneys from which and conditions under which this Bond is payable, a statement of the conditions under which additional Bonds may hereafter be issued on a parity with the Bonds, and the general covenants and provisions pursuant to which this Bond is issued, and the conditions under which the pledges and covenants of the City, the Board and the Board of Liquidation may be discharged and this Bond no longer be deemed outstanding, reference is hereby made to the Resolution. This Bond and the issue of which it forms a part do not constitute a debt of the City, but are payable as to principal and interest, solely out of the Net Revenues of the Board pledged for that purpose.

This Bond shall not be valid or become obligatory for any purpose or be entitled to any security or benefit under the Resolution (herein defined) until the certificate of registration hereon shall have been signed by the Paying Agent.

It is hereby certified, recited and declared that all acts, conditions and things required by the Constitution and laws of the State of Louisiana to exist, to have happened and to have been performed precedent to and in the issuance of this Bond do exist, have happened and have been performed in regular and due time form and manner as prescribed by law, and the amount of this Bond and the issue of which it forms a part, together with all other obligations or indebtedness of the City and the Board, does not exceed any constitutional, statutory or other limitation of indebtedness.



IN WITNESS WHEREOF, the City of New Orleans, Louisiana has caused this Bond to be executed in its name by the facsimile signatures of its Mayor, the President of the Sewerage and Water Board of New Orleans, and the President and Secretary of the Board of Liquidation, City Debt, and a facsimile of its corporate seal to be imprinted hereon.

CITY OF NEW ORLEANS, LOUISIANA

By: \_\_\_\_\_  
President,  
Board of Liquidation, City Debt

By: \_\_\_\_\_  
Mayor,  
City of New Orleans, Louisiana

By: \_\_\_\_\_  
Secretary,  
Board of Liquidation, City Debt

By: \_\_\_\_\_  
President,  
Sewerage and Water Board of New Orleans

[SEAL]

\* \* \* \* \*

**PAYING AGENT'S CERTIFICATE OF REGISTRATION**

This Bond is one of the Bonds referred to in the within-mentioned Resolution.

\_\_\_\_\_,  
as Paying Agent

Date of Registration: \_\_\_\_\_

By: \_\_\_\_\_  
Authorized Officer

\* \* \* \* \*



FORM OF ASSIGNMENT

FOR VALUE RECEIVED, the undersigned hereby sells, assigns and transfers unto \_\_\_\_\_

Please Insert Social Security  
or other Identifying Number of  
Assignee

the within Bond and all rights thereunder, and hereby irrevocably constitutes and appoints \_\_\_\_\_

attorney or agent to transfer the within Bond on the books kept for registration thereof, with full power of substitution in the premises.

Dated: \_\_\_\_\_

NOTICE: The signature to this assignment must correspond with the name as it appears upon the face of the within Bond in every particular, without alteration or enlargement or any change whatever.

\* \* \* \* \*



**EXHIBIT B**  
**TO SIXTH SUPPLEMENTAL RESOLUTION**

**FORM OF CERTIFICATE OF DETERMINATION**

**\$215,000,000**

**CITY OF NEW ORLEANS, LOUISIANA**  
**SEWERAGE SERVICE REVENUE REFUNDING BONDS, SERIES 2021**

We, the undersigned representatives of the Sewerage and Water Board of New Orleans (the "Board"), pursuant to the General Sewerage Service Bond Resolution adopted by the Board on May 21, 2014 and the Sixth Supplemental Sewerage Service Revenue Bond Resolution adopted by the Board on \_\_\_\_\_, 2021 (collectively, the "Resolution"), do hereby certify and determine, on behalf of the Board, with respect to the sale of the above captioned bonds (the "Bonds") to \_\_\_\_\_, as representative of the underwriters (the "Underwriter"), as follows:

1. **Defined Terms.** Terms not otherwise defined in this Certificate of Determination shall have the same meanings as set forth in the Resolution unless the context otherwise requires.

2. **Principal Amount.** The principal amount of the Bonds is Two Hundred Fifteen Million Dollars (\$215,000,000).

3. **Purchase Price.** The Bonds were sold at a price of \$\_\_\_\_\_, representing \$\_\_\_\_\_ principal amount, plus original issue premium of \$\_\_\_\_\_, less underwriting discount of \$\_\_\_\_\_.

4. **Maturity Schedule and Interest Rates.** The Bonds shall mature on June 1 of each year in the principal amounts and shall bear interest at the rates as follows:

| Year<br>(June 1) | Principal<br>Amount* | Interest<br>Rate | Year<br>(June 1) | Principal<br>Amount* | Interest<br>Rate |
|------------------|----------------------|------------------|------------------|----------------------|------------------|
| 2021             | \$_____              | _____%           | 2034             | _____                | _____%           |
| 2022             | _____                | _____%           | 2035             | _____                | _____%           |
| 2023             | _____                | _____%           | 2036             | _____                | _____%           |
| 2024             | _____                | _____%           | 2037             | _____                | _____%           |
| 2025             | _____                | _____%           | 2038             | _____                | _____%           |
| 2026             | _____                | _____%           | 2039             | _____                | _____%           |
| 2027             | _____                | _____%           | 2040             | _____                | _____%           |
| 2028             | _____                | _____%           | 2041             | _____                | _____%           |
| 2029             | _____                | _____%           | 2042             | _____                | _____%           |
| 2030             | _____                | _____%           | 2043             | _____                | _____%           |
| 2031             | _____                | _____%           | 2044             | _____                | _____%           |
| 2032             | _____                | _____%           | 2045             | _____                | _____%           |
| 2033             | _____                | _____%           |                  |                      |                  |

5. **Optional Redemption.** Those Bonds maturing June 1, 20\_\_ and thereafter shall be subject to redemption at the option of the Board of Liquidation in full or in part at any time on or after June 1, 20\_\_, at a redemption price equal to 100% of the principal amount of the Series 2021 Bonds to be redeemed,



together with accrued interest to the date fixed for redemption. The maturities of the Bonds to be redeemed shall be selected by the Board of Liquidation in its discretion.

6. **Mandatory Sinking Redemption Fund.** The Bonds due on June 1, 20\_\_, shall be subject to mandatory redemption prior to maturity through application of sinking fund payments on June 1 in each of the years and in the respective principal amounts set forth below, in each case at a redemption price equal to 100 of their principal amount, plus accrued interest to the date of redemption.

| <u>Year</u><br><u>(June 1)</u> | <u>Amount</u> |
|--------------------------------|---------------|
| 20__                           | \$ _____      |
| 20__                           | _____         |
| 20__                           | _____         |
| 20__                           | _____         |
| 20__ *                         | _____         |

\*Final maturity

7. **Use of Proceeds.** The proceeds of the Bonds in the amount of \$215,000,000 shall be disbursed as follows:

(a) \$\_\_\_\_\_ shall be deposited in the Escrow Fund established with the Escrow Agent and used to refund the Refunded Bonds;

(b) \$\_\_\_\_\_ shall be [deposited to the Common Debt Service Reserve Fund/paid to \_\_\_\_\_ as the premium on the \_\_\_\_\_ to be deposited to the Common Debt Service Reserve Fund];

(c) \$\_\_\_\_\_ shall be used to pay Costs of Issuance; and

(d) \$\_\_\_\_\_ shall be paid to \_\_\_\_\_ as the premium on the \_\_\_\_\_.

8. **Refunded Bonds.** The maturities (or portions thereof) of the Series 2014 Bonds and Series 2015 Bonds to be defeased and refunded by the Bonds are listed on Schedule 1 attached hereto.

9. **Common Debt Service Reserve Fund. [TO COME]**

IN WITNESS WHEREOF, witness our signatures on this \_\_\_\_\_ day of \_\_\_\_\_, 2021.

SEWERAGE AND WATER BOARD OF  
NEW ORLEANS

By: \_\_\_\_\_  
Title: Executive Director

By: \_\_\_\_\_  
Title: President

**SCHEDULE 1  
TO  
CERTIFICATE OF DETERMINATION**



**Refunded Bonds**



STATE OF LOUISIANA

PARISH OF ORLEANS

I, the undersigned Executive Director of the Sewerage and Water Board of New Orleans (the “Board”), do hereby certify that the foregoing pages constitute a true and correct copy of a Sixth Supplemental Resolution adopted on January 20, 2021, authorizing the issuance of Taxable Sewerage Service Revenue Refunding Bonds, Series 2021, of the City of New Orleans, Louisiana, in the maximum principal amount of Two Hundred Fifteen Million Dollars (\$215,000,000) in accordance with the terms of the General Sewerage Service Revenue Bond Resolution; setting forth certain details in connection therewith; authorizing the execution and delivery of said bonds; authorizing the execution of a Bond Purchase Agreement and a Certificate of Determination; and providing for other matters relating to the foregoing.

IN FAITH WHEREOF, witness my official signature, on this, the 20<sup>th</sup> day of January, 2021.

---

Executive Director of the Sewerage  
and Water Board of New Orleans



**THIRD SUPPLEMENTAL  
WATER REVENUE BOND RESOLUTION**

adopted on January 20, 2021

by the

**SEWERAGE AND WATER BOARD OF NEW ORLEANS**

---

**IN CONNECTION WITH THE ISSUANCE OF  
NOT EXCEEDING \$200,000,000  
TAXABLE WATER REVENUE REFUNDING BONDS, SERIES 2021  
OF THE  
CITY OF NEW ORLEANS, LOUISIANA**

---



## TABLE OF CONTENTS

\* \* \* \* \*

### ARTICLE I DEFINITIONS AND FINDINGS

|               |                  |   |
|---------------|------------------|---|
| SECTION 1.01. | Definitions..... | 2 |
|---------------|------------------|---|

### ARTICLE II AUTHORIZATION AND ISSUANCE OF SERIES 2021 BONDS

|               |                                       |   |
|---------------|---------------------------------------|---|
| SECTION 2.01. | Authorization. ....                   | 3 |
| SECTION 2.02. | Form of Series 2021 Bonds.....        | 4 |
| SECTION 2.03. | Book-Entry Registration of Bonds..... | 4 |
| SECTION 2.04. | Paying Agent's Registration.....      | 5 |

### ARTICLE III REDEMPTION FEATURES OF SERIES 2021 BONDS

|               |  |   |
|---------------|--|---|
| SECTION 3.01. | Optional Redemption. ....                  | 5 |
| SECTION 3.02. | Mandatory Sinking Fund Redemption.....     | 5 |
| SECTION 3.03. | Notice of Redemption. ....                 | 5 |
| SECTION 3.04. | Transfer, Registration and Assignment..... | 6 |

### ARTICLE IV APPLICATION OF PROCEEDS OF SERIES 2021 BONDS

|               |                                 |   |
|---------------|---------------------------------|---|
| SECTION 4.01. | Obligations and Conditions..... | 6 |
|---------------|---------------------------------|---|

### ARTICLE V SALE OF SERIES 2021 BONDS

|               |   |   |
|---------------|---|---|
| SECTION 5.01. | Sale of Series 2021 Bonds. ....   | 7 |
| SECTION 5.02. | Certificate of Determination. ....  | 7 |
| SECTION 5.03. | Approval of Preliminary Official Statement, Official Statement, Purchase Agreement and Other Documents..... | 8 |
| SECTION 5.04. | Authorized Officers. ....   | 8 |

### ARTICLE VI EXECUTION AND DELIVERY OF SERIES 2021 BONDS

|               |                          |   |
|---------------|--------------------------|---|
| SECTION 6.01. | Execution/Delivery. .... | 8 |
|---------------|--------------------------|---|

### ARTICLE VII MISCELLANEOUS PROVISIONS

|               |                                    |   |
|---------------|------------------------------------|---|
| SECTION 7.01. | Selection of Paying Agent. ....    | 8 |
| SECTION 7.02. | Effect of Partial Invalidity. .... | 9 |



|               |  |   |
|---------------|--|---|
| SECTION 7.03. | Effect of Covenants.....                       | 9 |
| SECTION 7.04. | Section Headings. ....                         | 9 |
| SECTION 7.05. | Conflicts. ....                                | 9 |
| SECTION 7.06. | Publication. ....                              | 9 |
| SECTION 7.07. | Amendment to the General Bond Resolution. .... | 9 |

## ARTICLE VIII REQUEST FOR APPROVALS

|               |   |    |
|---------------|---|----|
| SECTION 8.01. | Request to the Board of Liquidation, City Debt, for the Sale and Delivery of the Series 2021 Bonds..... | 9  |
| SECTION 8.02. | Direction to Deliver Documents to the Board of Liquidation. ....  | 10 |
| SECTION 8.03. | Request for Approval. ....  | 10 |
| SECTION 8.04. | Effective Date. ....  | 10 |

EXHIBIT A     FORM OF BOND

EXHIBIT B     FORM OF CERTIFICATE OF DETERMINATION

\*   \*   \*   \*   \*   \*



SEWERAGE AND WATER BOARD OF NEW ORLEANS

THIRD SUPPLEMENTAL WATER REVENUE BOND RESOLUTION  
AUTHORIZING THE ISSUANCE OF

TAXABLE WATER REVENUE REFUNDING BONDS, SERIES 2021

The following resolution was offered by \_\_\_\_\_ and seconded by \_\_\_\_\_:

A Third Supplemental Resolution authorizing the issuance of Taxable Water Revenue Refunding Bonds, Series 2021, of the City of New Orleans, Louisiana, in the maximum principal amount of Two Hundred Million Dollars (\$200,000,000) in accordance with the terms of the General Water Revenue Bond Resolution; setting forth certain details in connection therewith; authorizing the execution and delivery of said bonds; authorizing the execution of a Bond Purchase Agreement and a Certificate of Determination; and providing for other matters relating to the foregoing.

**WHEREAS**, pursuant to the provisions of Part III of Chapter 9, Title 33 of the Revised Statutes of Louisiana, as amended, and other constitutional and statutory authority (the "Act"), the Sewerage and Water Board of New Orleans (the "Board") in the name of the City of New Orleans, Louisiana (the "City") is authorized to issue bonds; and

**WHEREAS**, on May 21, 2014, the Board adopted a General Water Revenue Bond Resolution entitled "A resolution authorizing the issuance from time to time of Water Revenue Bonds of the City of New Orleans, Louisiana, providing for the general terms, form, manner of payment and security for payment of said bonds, providing for the issuance of a series of Water Revenue and Refunding Bonds, and providing for other matters in connection therewith" (the "General Bond Resolution"), in which the Board authorized the issuance from time to time of Water Revenue Bonds under the Act; and

**WHEREAS**, pursuant to the provisions of the General Bond Resolution and the First Supplemental Water Revenue Bond Resolution adopted by the Board on May 21, 2014 (the "First Supplemental Resolution"), the Board authorized the issuance of the City of New Orleans, Louisiana Water Revenue and Refunding Bonds, Series 2014 (the "Series 2014 Bonds") and set forth certain details in connection with the issuance of the Series 2014 Bonds; and

**WHEREAS**, pursuant to the provisions of the General Bond Resolution and the Second Supplemental Water Revenue Bond Resolution adopted by the Board on October 21, 2015 (the "Second Supplemental Resolution"), the Board authorized the issuance of the City of New Orleans, Louisiana Water Revenue Bonds, Series 2015 (the "Series 2015 Bonds") and set forth certain details in connection with the issuance of the Series 2015 Bonds; and

**WHEREAS**, capitalized terms used herein and not specifically defined herein shall have the meanings assigned to them in the General Bond Resolution as supplemented to date; and

**WHEREAS**, it is now the desire of this Board to authorize the issuance of the City's Taxable Water Revenue Refunding Bonds, Series 2021 (the "Series 2021 Bonds") in the maximum principal amount of Two Hundred Million Dollars (\$200,000,000), for the purposes of refunding all or a portion of the Series



2014 Bonds and the Series 2015 Bonds (such refunded maturities referred to herein collectively as the "Refunded Bonds"), funding reserves, and paying costs of issuance, including insurance, if necessary; and

**WHEREAS**, at an upcoming meeting, the New Orleans City Council (the "City Council") will consider for approval a resolution approving the issuance of the Series 2021 Bonds; and

**WHEREAS**, at an upcoming meeting, the Board of Liquidation, City Debt (the "Board of Liquidation") will consider for approval a resolution authorizing the issuance and sale of the Series 2021 Bonds; and

**WHEREAS**, in accordance with the Act and Section 4.03 of the General Bond Resolution, the Board now desires to adopt this Third Supplemental Resolution in order to provide for the issuance of the Series 2021 Bonds to defease and refund the Refunded Bonds, to provide for the execution of a Bond Purchase Agreement, an Escrow Deposit Agreement and a Certificate of Determination which designates certain details of the Series 2021 Bonds, and certain other matters in connection therewith;

**NOW, THEREFORE, BE IT RESOLVED** by the Sewerage and Water Board of New Orleans, that:

## **ARTICLE I DEFINITIONS AND FINDINGS**

**SECTION 1.01. Definitions.** In this Third Supplemental Resolution all capitalized terms shall have the meanings assigned thereto in the above preambles, in this Section 1.01 and in the General Bond Resolution:

**"Board of Liquidation Resolution"** means the resolution to be adopted by the Board of Liquidation authorizing the issuance and sale of the Series 2021 Bonds.

**"Bond Purchase Agreement"** shall mean the Bond Purchase Agreement dated as of the date of the sale of the Series 2021 Bonds by and between the Board of Liquidation and the Underwriters, and agreed to by the Board as to certain provisions.

**"Certificate of Determination"** means the Certificate of Determination authorized by Section 5.02 hereof.

**"Escrow Agent"** shall mean the Escrow Agent designated by the Board of Liquidation in connection with the Series 2021 Bonds.

**"Escrow Agreement"** shall mean the Defeasance and Escrow Deposit Agreement entered into by and among the Board of Liquidation, the Escrow Agent, and the Board.

**"Paying Agent"** shall mean the Paying Agent set forth in the Board of Liquidation Resolution and any successors and assigns.

**"Outstanding Parity Bonds"** shall mean the City's outstanding (i) unrefunded Series 2014 Bonds, if any; and (ii) unrefunded Series 2015 Bonds, if any.

**"Refunded Bonds"** shall mean those maturities (or portions thereof) of the Series 2014 Bonds and the Series 2015 Bonds being defeased and refunded by the Series 2021 Bonds to be identified in the Certificate of Determination.



**"Series 2021 Bonds"** shall mean the City's Taxable Water Revenue Bonds, Series 2021, authorized to be issued by this Third Supplemental Resolution in the maximum principal amount of Two Hundred Million Dollars (\$200,000,000).

**"Third Supplemental Resolution"** shall mean this resolution of the Board, authorizing the issuance of the Series 2021 Bonds.

**"Underwriters"** shall mean a team of underwriters led by J.P. Morgan Securities LLC, as managing underwriter (unless the syndicate roles are adjusted by the Board of Liquidation at a later date), and composed of other underwriters selected by the Board of Liquidation.

## **ARTICLE II**

### **AUTHORIZATION AND ISSUANCE OF SERIES 2021 BONDS**

#### **SECTION 2.01. Authorization.**

(a) In compliance with and under the authority of the Act and the General Bond Resolution, and contingent upon the approval of the City Council and the adoption of the Board of Liquidation Resolution, there is hereby authorized the incurring of an indebtedness and issuance of revenue bonds in an aggregate maximum principal amount of Two Hundred Million Dollars (\$200,000,000) (the "Series 2021 Bonds") for, on behalf of and in the name of the City, for the purposes of refunding the Refunded Bonds, funding reserves, and paying costs of issuance, including insurance, if necessary. The aforesaid indebtedness shall be represented by the Series 2021 Bonds to be designated "City of New Orleans, Louisiana, Taxable Water Revenue Refunding Bonds, Series 2021." The Series 2021 Bonds are Senior Debt under the General Bond Resolution. Notwithstanding the foregoing, if the Series 2021 Bonds are delivered in a calendar year other than 2021, the series designation may change accordingly without the necessity of amending this Third Supplemental Resolution if set forth in the Certificate of Determination.

(b) The Series 2021 Bonds shall be fixed rate bonds, shall be dated the date of delivery, shall be in fully registered form, shall be in the denomination of Five Thousand Dollars (\$5,000) each or any integral multiple thereof within a single maturity, shall be numbered from No. R-1 upward and shall bear interest from the date thereof or from the most recent interest payment date to which interest has been paid or duly provided for at the rates set forth in the Certificate of Determination, such interest to be payable semiannually on each June 1 and December 1, commencing June 1, 2021 (unless another date shall be set forth in the Certificate of Determination), and shall have such other details as shall be set forth in the Certificate of Determination and the Board of Liquidation Resolution. As required by Resolution R-139-2020 adopted by the Board on November 18, 2020, the Board specifies that the Series 2021 Bonds shall bear interest at a rate not to exceed six percent (6.0%) per annum and shall mature not later than December 1, 2045, as shall be set forth in the Certificate of Determination. The Series 2021 Bonds shall mature on December 1 in each of the years set forth in the Certificate of Determination.

(c) The Series 2021 Bonds shall be issued as Common Debt Service Reserve Secured Bonds. The Board of Liquidation is authorized and directed to determine (i) the amount of proceeds of the Series 2021 Bonds to be deposited in the Common Debt Service Reserve Fund, (ii) the amount and proper use of any funds currently on deposit in the Common Debt Service Reserve fund that may be withdrawn therefrom upon the delivery of the Series 2021 Bonds, and (iii) whether to deposit a Credit Facility therein in accordance with the terms of Section 7.06 of the General Bond Resolution.

(d) The Series 2021 Bonds, equally with the Outstanding Parity Bonds, are equally and ratably secured by the Pledge of Net Revenues, as set forth in Section 4.02 of the General Bond Resolution.



(c) The interest on the Series 2021 Bonds shall be payable by check or draft of the Paying Agent mailed on or prior to the interest payment date by the Paying Agent to the Registered Owners of the Series 2021 Bonds as shown on the registration books of the Paying Agent on the 15th day of the calendar month next preceding the interest payment date. During any period after the initial delivery of the Series 2021 Bonds in book-entry-only form when the Bonds are delivered in multiple certificates form, upon request of a registered owner of at least \$1,000,000 in principal amount of Series 2021 Bonds outstanding, payments of principal, premium, if any, and interest on the Series 2021 Bonds will be paid by wire transfer in immediately available funds to an account designated by such registered owner; CUSIP number identification with appropriate dollar amounts for each CUSIP number must accompany all payments of principal, premium, and interest, whether by check or by wire transfer.

**SECTION 2.02. Form of Series 2021 Bonds.** The Series 2021 Bonds shall be substantially in the form attached hereto as **Exhibit A.**

**SECTION 2.03. Book-Entry Registration of Bonds.** The Series 2021 Bonds shall be initially issued in the name of Cede & Co., as nominee for The Depository Trust Company ("DTC"), as registered owner of the Bonds, and held in the custody of DTC. The Board of Liquidation has delivered a Blanket Letter of Representation (the "Letter of Representation") to DTC on behalf of the City and the Board with respect to the issuance of bonds in "book-entry only" format. The terms and provisions of said Letter of Representation shall govern in the event of any inconsistency between the provisions of the General Bond Resolution and this Third Supplemental Resolution and said Letter of Representation. A single certificate will be issued and delivered to DTC for each maturity of the Series 2021 Bonds. The Beneficial Owners will not receive physical delivery of Series 2021 Bond certificates except as provided herein. Beneficial Owners are expected to receive a written confirmation of their purchase providing details of each Series 2021 Bond acquired. For so long as DTC shall continue to serve as securities depository for the Series 2021 Bonds as provided herein, all transfers of beneficial ownership interest will be made by book-entry only, and no investor or other party purchasing, selling or otherwise transferring beneficial ownership of Series 2021 Bonds is to receive, hold or deliver any Series 2021 Bond certificate.

Notwithstanding anything to the contrary herein, while the Series 2021 Bonds are issued in the book-entry-only form, the payment of principal of, premium, if any, and interest on the Series 2021 Bonds may be payable by the Paying Agent by wire transfer to DTC in accordance with the Letter of Representation.

For every transfer and exchange of the Series 2021 Bonds, the Beneficial Owner may be charged a sum sufficient to cover such Beneficial Owner's allocable share of any tax, fee or other governmental charge that may be imposed in relation thereto.

Series 2021 Bond certificates are required to be delivered to and registered in the name of the Beneficial Owner under the following circumstances:

(a) DTC determines to discontinue providing its service with respect to the Series 2021 Bonds. Such a determination may be made at any time by giving 30 days' notice to the Board of Liquidation and the Paying Agent and discharging its responsibilities with respect thereto under applicable law.

(b) The Board or the Board of Liquidation determines that continuation of the system of book-entry transfer through DTC (or a successor securities depository) is not in its best interests or the best interests of the Beneficial Owners.

The Board of Liquidation and the Paying Agent will recognize DTC or its nominee as the Bondholder for all purposes, including notices and voting.



Neither the City, the Board, the Board of Liquidation or the Paying Agent are responsible for the performance by DTC of any of its obligations, including, without limitation, the payment of moneys received by DTC, the forwarding of notices received by DTC or the giving of any consent or proxy in lieu of consent.

Whenever during the term of the Series 2021 Bonds the beneficial ownership thereof is determined by a book entry at DTC, the requirements of this Third Supplemental Resolution of holding, delivering or transferring the Series 2021 Bonds shall be deemed modified to require the appropriate person to meet the requirements of DTC as to registering or transferring the book entry to produce the same effect.

If at any time DTC ceases to hold the Series 2021 Bonds, all references herein to DTC shall be of no further force or effect.

**SECTION 2.04. Paying Agent's Registration.** No Series 2021 Bond shall be entitled to any right or benefit under the General Bond Resolution or this Third Supplemental Resolution, or be valid or obligatory for any purpose unless there appears on such Series 2021 Bond a certificate of registration, substantially in the form provided in the bond form attached hereto, executed by the Paying Agent by manual signature.

### **ARTICLE III REDEMPTION FEATURES OF SERIES 2021 BONDS**

**SECTION 3.01. Optional Redemption.** The optional redemption provisions of the Series 2021 Bonds shall be set forth in the Certificate of Determination.

**SECTION 3.02. Mandatory Sinking Fund Redemption.** The mandatory sinking fund redemption provisions, if any, of the Series 2021 Bonds shall be set forth in the Certificate of Determination.

**SECTION 3.03. Notice of Redemption.** In the event a Series 2021 Bond to be redeemed is of a denomination larger than \$5,000, a portion of such Series 2021 Bond (in any integral multiple of \$5,000 thereof) may be redeemed. Any Series 2021 Bond which is to be redeemed only in part may be surrendered at the designated corporate trust office of the Paying Agent, and there shall be delivered to the Owner of such Series 2021 Bond a new Series 2021 Bond or Series 2021 Bonds of the same maturity and of any authorized denomination or denominations as requested by such Owner in aggregate principal amount equal to and in exchange for the unredeemed portion of the principal of the Series 2021 Bond so surrendered. All notices of redemption shall state (i) the redemption date; (ii) the redemption price; (iii) if fewer than all the Series 2021 Bonds are to be redeemed, the identifying number (and in the case of partial redemption, the respective principal amounts) and CUSIP number of the Series 2021 Bonds to be redeemed (all of which shall be selected by the Board of Liquidation in its discretion); (iv) that on the redemption date the redemption price will become due and payable on each such Series 2021 Bond and interest thereon will cease to accrue thereon from and after said date; and (v) the place where such Series 2021 Bonds are to be surrendered for payment. Official notice of such call of any of the Series 2021 Bonds for redemption shall be given by means of first-class mail, postage prepaid, by notice deposited in the United States mails, or via accepted means of electronic communication, not less than thirty (30) days prior to the redemption date addressed to the registered owner of each Series 2021 Bond to be redeemed at his address as shown on the registration books maintained by the Paying Agent.

In the case of an optional redemption, the notice may state (i) that it is conditioned upon the deposit of moneys, in an amount equal to the amount necessary to effect the redemption, with the Paying Agent no later than the redemption date, or (ii) that the Board of Liquidation retains the right to rescind such notice at any time prior to the scheduled redemption date if the Board of Liquidation delivers a certificate of an



Authorized Officer to the Paying Agent instructing the Paying Agent to rescind the redemption notice (in either case, a "Conditional Redemption"), and such notice and optional redemption shall be of no effect if such moneys are not so deposited or if the notice is rescinded as described herein. The Paying Agent shall give prompt notice of such rescission to the affected Bondholders. Any Series 2021 Bonds subject to Conditional Redemption where redemption has been rescinded shall remain Outstanding, and the rescission shall not constitute an Event of Default. Further, in the case of a Conditional Redemption, the failure of the Board of Liquidation to make funds available in part or in whole on or before the redemption date shall not constitute an Event of Default.

Any notice mailed or provided herein shall conclusively be presumed to have been given whether or not actually received by any Bondholder. Failure to give such notice or any defect therein shall not affect the validity of the redemption proceedings.

**SECTION 3.04. Transfer, Registration and Assignment.** The Series 2021 Bonds may be transferred, registered and assigned only on the registration books of the Paying Agent, and such registration shall be at the expense of the Issuer. A Series 2021 Bond may be assigned by the execution of an assignment form on such Series 2021 Bonds or by other instruments of transfer and assignment acceptable to the Paying Agent. A new Series 2021 Bond or Series 2021 Bonds will be delivered by the Paying Agent to the last assignee (the new registered owner) in exchange for such transferred and assigned Series 2021 Bonds after receipt of such Series 2021 Bonds to be transferred in proper form. Such new Series 2021 Bond or Series 2021 Bonds must be in the denomination of \$5,000 or any integral multiple in excess thereof within a single maturity. Neither the Board of Liquidation nor the Paying Agent shall be required to issue, register the transfer of, or exchange (i) any Series 2021 Bond during a period beginning at the opening of business on the 15th day of the month next preceding any interest payment date and ending at the close of business on the interest payment date, or (ii) any Series 2021 Bond called for redemption prior to maturity during the period of fifteen (15) days after the mailing of notice of redemption as provided herein, but only with respect to those Series 2021 Bonds which are the subject of such redemption.

#### **ARTICLE IV**

##### **APPLICATION OF PROCEEDS OF SERIES 2021 BONDS**

**SECTION 4.01. Obligations and Conditions.** As a condition to the issuance of the Series 2021 Bonds, the Board hereby obligates itself or shall cause the Board of Liquidation to:

(a) Transfer to the Escrow Agent the amount necessary to provide for the payment in full in principal and interest of the Refunded Bonds through their respective maturities or earlier redemption as determined by the Board of Liquidation.

(b) Transfer to the Common Debt Service Reserve Fund the amount, if any, necessary to fully fund the Common Debt Service Reserve Fund for the Series 2021 Bonds and the Outstanding Parity Bonds secured thereby in an amount equal to the Common Debt Service Reserve Requirement, which amount may be satisfied by a Credit Facility pursuant to the terms of Section 2.01(c) hereof.

(c) Provide for the payment of all Cost of Issuance of the Series 2021 Bonds from proceeds of the Series 2021 Bonds set aside by the Board of Liquidation for this purpose.

(d) Provide for the payment of bond insurance should it be available and cost effective.

The amounts of the deposits set forth above shall be set forth in the Certificate of Determination.



**ARTICLE V**  
**SALE OF SERIES 2021 BONDS**

**SECTION 5.01. Sale of Series 2021 Bonds.** The Series 2021 Bonds shall be sold for and on behalf of the Board and the City by the Board of Liquidation at a private (negotiated) sale in accordance with the provisions of the Act. The Board of Liquidation may determine to sell less than all of the Series 2021 Bonds authorized herein. The President, President *pro tempore* and the Executive Director of the Board are each hereby authorized to execute any and all instruments, certificates, documents, and papers relating to the issuance, sale and delivery of the Series 2021 Bonds, in connection with the sale of the Series 2021 Bonds in such form as may be approved by said officers upon the advice of Co-Bond Counsel.

**SECTION 5.02. Certificate of Determination.** Certain details of the Series 2021 Bonds (which shall be established in accordance with the parameters set forth in Section 2.01 hereof) shall be established by the Certificate of Determination contemporaneously with the execution and delivery by the Board and the Board of Liquidation of the hereinafter defined Bond Purchase Agreement. Each and every such determination set forth in the Certificate of Determination shall be deemed conclusive for all purposes. The Certificate of Determination shall be substantially in the form set forth in **Exhibit B** hereto, with such variations, omissions and insertions as are permitted or required by this Third Supplemental Resolution.

Subject to the parameters set forth herein, the Executive Director of the Board of Liquidation is hereby authorized to determine, upon the advice of the Co-Financial Advisors to the Board of Liquidation and after consultation with and concurrence of Co-Bond Counsel and the Board of Liquidation:

- (a) The principal amount of the Series 2021 Bonds;
- (b) The purchase price of the Series 2021 Bonds;
- (c) The maturity schedule of the Series 2021 Bonds;
- (d) The redemption provisions, if any, of the Series 2021 Bonds;
- (e) The mandatory sinking fund redemption schedule, if any, of the Series 2021 Bonds;
- (f) The interest rate(s) on the Series 2021 Bonds;
- (g) The final form of the Escrow Agreement;
- (h) The application of proceeds of the Series 2021 Bonds; and
- (i) Any other matters or provisions related to the Series 2021 Bonds, including any change necessitated by the pricing of the Series 2021 Bonds, in each case in accordance or not inconsistent with the provisions of the General Bond Resolution or this Third Supplemental Resolution.

The Board shall deliver the executed Certificate of Determination to the Board of Liquidation as soon as possible after the execution of the Bond Purchase Agreement.



**SECTION 5.03. Approval of Preliminary Official Statement, Official Statement, Purchase Agreement and Other Documents.**

(a) In connection with the issuance and sale of the Series 2021 Bonds, the Authorized Officers are authorized to assist in the preparation of and approve:

- (i) a Preliminary Official Statement to be used in connection with the marketing of the Series 2021 Bonds;
- (ii) a final Official Statement to be used in connection with the sale of the Series 2021 Bonds;
- (iii) a Bond Purchase Agreement in connection with the sale of the Series 2021 Bonds; and
- (iv) a Continuing Disclosure Certificate pursuant to S.E.C. Rule 15c2-12(b)(5); and
- (v) the Escrow Agreement.

(b) The Authorized Officers, or any of them, are hereby authorized and directed to execute and deliver foregoing documents as may be required, said execution being conclusive evidence of such approval.

**SECTION 5.04. Authorized Officers.** The Executive Director and the President and the President *pro tempore* of the Board, acting singly, be and each of them hereby is authorized and directed to execute and deliver any and all documents and instruments and to do and cause to be done any and all acts and things necessary or proper for carrying out the transactions contemplated by the General Bond Resolution and this Third Supplemental Resolution.

**ARTICLE VI  
EXECUTION AND DELIVERY OF SERIES 2021 BONDS**

**SECTION 6.01. Execution/Delivery.** The President of this Board is hereby authorized and the Mayor of the City and the President and Secretary of the Board of Liquidation are requested to sign in their official capacities and deliver the Series 2021 Bonds in the form set forth in **Exhibit A** hereto, including any changes, additions and deletions thereto approved by Co-Bond Counsel, in definitive form, as printed bonds, and to execute and deliver any and all additional proofs, instruments and certificates required by or provided for in the General Bond Resolution, this Third Supplemental Resolution, or the Series 2021 Bonds, and perform such other acts as may otherwise be required to effectuate the financing herein provided for. All of the signatures authorized hereinabove as so executed shall be deemed conclusive evidence of the due exercise of the authority vested in each such officer hereunder, and shall be sufficient to create binding obligations of the Board, the City and the Board of Liquidation. All such signatures may be facsimiles thereof, so long as the signature of the Paying Agent is manually executed.

**ARTICLE VII  
MISCELLANEOUS PROVISIONS**

**SECTION 7.01. Selection of Paying Agent.** The Board hereby approves the Paying Agent designated in the Board of Liquidation Resolution to serve as Paying Agent for the Series 2021 Bonds. The



Paying Agent shall signify in writing its acceptance of its duties under this Third Supplemental Resolution at or prior to the delivery of the Series 2021 Bonds.

**SECTION 7.02. Effect of Partial Invalidity.** In case any one or more of the provisions of the General Bond Resolution or this Third Supplemental Resolution shall for any reason be held to be illegal or invalid, such illegality or invalidity shall not affect other provisions of the General Bond Resolution or this Third Supplemental Resolution, but the General Bond Resolution and this Third Supplemental Resolution shall be construed and enforced as if such illegal or invalid provisions had not been contained therein.

**SECTION 7.03. Effect of Covenants.** All covenants, stipulations, obligations and agreements of the Board contained in this Third Supplemental Resolution shall be deemed to be covenants, stipulations, obligations and agreements of the Board to the full extent permitted by the Constitution and laws of the State of Louisiana.

**SECTION 7.04. Section Headings.** The headings of the various Sections hereof are inserted for convenience of reference only and shall not control or affect the meaning or construction of any of the provisions hereof.

**SECTION 7.05. Conflicts.** All resolutions and orders or parts thereof in conflict herewith as they are applicable to the Series 2021 Bonds, to the extent of such conflict and only with respect to their applicability to the Series 2021 Bonds, shall be superseded by the applicable provisions of this Third Supplemental Resolution.

**SECTION 7.06. Publication.** A copy of this Third Supplemental Resolution shall be published as soon as practicable after its adoption in one issue of the official journal of the City, and it shall not be necessary to publish the exhibits hereto if the exhibits are made available for public inspection at reasonable times and that fact is stated in the publication. For a period of thirty (30) days from the date of publication, any person in interest may contest the legality of this Third Supplemental Resolution and of any provision hereof made for the security and payment of the Series 2021 Bonds. After the expiration of said thirty (30) days, no one shall have any cause or right of action to test the regularity, formality, legality or effectiveness of this Third Supplemental Resolution and the provisions hereof or of the Series 2021 Bonds for any cause whatsoever. If no suit, action, or proceeding is begun contesting the validity of the Series 2021 Bonds within the thirty days, the authority to issue the bonds and to provide for the payment thereof, and the legality thereof and of all of this Third Supplemental Resolution shall be conclusively presumed, and no court shall thereafter have authority to inquire into such matters.

**SECTION 7.07. Amendment to the General Bond Resolution.** Section 7.04(f) of the General Bond Resolution is hereby removed to strike "through July 15, 2026," where it appears in said Section. The remainder of the General Bond Resolution shall remain in full force and effect except as expressly amended hereby.

## **ARTICLE VIII REQUEST FOR APPROVALS**

**SECTION 8.01. Request to the Board of Liquidation, City Debt, for the Sale and Delivery of the Series 2021 Bonds.** The Board of Liquidation is hereby requested to cause the Series 2021 Bonds to



be sold, executed and delivered to the purchaser thereof upon receipt of the purchase price thereof and accrued interest, if any, to the date of delivery.

**SECTION 8.02. Direction to Deliver Documents to the Board of Liquidation.** The Executive Director of the Board is hereby directed to deliver to the Board of Liquidation, as soon as such documents are available, the documents specified in Section 4.03 of the General Bond Resolution with respect to the Series 2021 Bonds.

**SECTION 8.03. Request for Approval.** A certified copy of this resolution shall be furnished to the City Council. The Board hereby requests the City Council and the Board of Liquidation to approve this Third Supplemental Resolution and any other resolutions of the Board providing for the issuance of the Series 2021 Bonds, if required by law.

**SECTION 8.04. Effective Date.** This Third Supplemental Resolution shall become effective immediately.

This resolution having been submitted to a vote, the vote thereon was as follows:

| <u>Member</u>            | <u>Yea</u> | <u>Nay</u> | <u>Absent</u> | <u>Abstaining</u> |
|--------------------------|------------|------------|---------------|-------------------|
| Jay H. Banks             |            |            |               |                   |
| Robin Barnes             |            |            |               |                   |
| Tamika Duplessis, Ph. D. |            |            |               |                   |
| Alejandra Guzman         |            |            |               |                   |
| Janet Howard             |            |            |               |                   |
| Ralph Johnson            |            |            |               |                   |
| Joseph Peychaud          |            |            |               |                   |
| Lynes R. "Poco" Sloss    |            |            |               |                   |
| Maurice G. Sholas        |            |            |               |                   |
| Mayor LaToya Cantrell    |            |            |               |                   |

And the resolution was declared adopted on this 20<sup>th</sup> day of January, 2021.



**EXHIBIT A**  
**TO THIRD SUPPLEMENTAL RESOLUTION**

**FORM OF BOND**

Unless this Bond is presented by an authorized representative of the Depository Trust Company, a New York corporation ("DTC"), to the Board or the City or their agent for registration of transfer, exchange, or payment, and any Bond issued is registered in the name of CEDE & CO. or in such other name as is requested by an authorized representative of DTC (and any payment is made to CEDE & CO. or to such other entity as is requested by an authorized representative of DTC), ANY TRANSFER, PLEDGE, OR OTHER USE HEREOF FOR VALUE OR OTHERWISE BY OR TO ANY PERSON IS WRONGFUL inasmuch as the registered owner hereof, CEDE & CO., has an interest herein.

As provided in the Resolution referred to herein, until the termination of the system of book-entry-only transfers through DTC and notwithstanding any other provision of the Resolution (herein defined) to the contrary, this Bond may be transferred, in whole but not in part, only to a nominee of DTC, or by a nominee of DTC to DTC or a nominee of DTC, or by DTC or a nominee of DTC to any successor securities depository or any nominee thereof.

No. R-\_\_\_\_\_

Principal Amount: \$\_\_\_\_\_

**UNITED STATES OF AMERICA  
STATE OF LOUISIANA  
PARISH OF ORLEANS**

**CITY OF NEW ORLEANS, LOUISIANA  
TAXABLE WATER REVENUE REFUNDING BOND, SERIES 2021**

| <u>Maturity Date</u> | <u>Interest Rate</u> | <u>Bond Date</u> | <u>CUSIP</u> |
|----------------------|----------------------|------------------|--------------|
| December 1, 20____   | _____                | _____            | _____        |

**PRINCIPAL AMOUNT:**

The CITY OF NEW ORLEANS, LOUISIANA (the "City"), for value received, promises to pay, but only from the sources and as hereinafter provided, to

REGISTERED OWNER: CEDE & CO. (Tax Identification #13-2555119)

or registered assigns, on the Maturity Date set forth above, the Principal Amount set forth above, together with interest thereon from the Bond Date set forth above or the most recent interest payment date to which interest has been paid or duly provided for, payable on June 1 and December 1 of each year, commencing [June 1, 2021] (each an "Interest Payment Date"), at the Interest Rate per annum set forth above until said Principal Amount is paid, unless this Bond shall have been previously called for redemption and payment shall have been duly made or provided for. The principal of this Bond, upon maturity or redemption, is payable at the designated corporate trust office of \_\_\_\_\_, or successor thereto (the "Paying Agent") upon presentation and surrender hereof, and interest on this Bond will be payable by the Paying Agent by check mailed by the Paying Agent to the registered owner (determined as of the close of business on the 15th calendar day of the month next preceding said Interest Payment Date (the "Record Date")), whether or not such day is a Business Day (as defined in the Resolution) at the address as shown



on the registration books of the Paying Agent. Interest on this Bond shall be calculated on the basis of a 360-day year consisting of twelve 30-day months.

During any period after the initial delivery of the Bonds in book-entry-only form when the Bonds are delivered in multiple certificates form, upon request of a registered owner of at least \$1,000,000 in principal amount of Bonds outstanding, all payments of principal, premium, if any, and interest on the Bonds will be paid by wire transfer in immediately available funds to an account designated by such registered owner; CUSIP number identification with appropriate dollar amounts for each CUSIP number must accompany all payments of principal, premium, and interest, whether by check or by wire transfer.

FOR SO LONG AS THIS BOND IS HELD IN BOOK-ENTRY FORM REGISTERED IN THE NAME OF CEDE & CO. ON THE REGISTRATION BOOKS OF THE CITY KEPT BY THE PAYING AGENT, AS BOND REGISTRAR, THIS BOND, IF CALLED FOR PARTIAL REDEMPTION IN ACCORDANCE WITH THE BOND RESOLUTION, SHALL BECOME DUE AND PAYABLE ON THE REDEMPTION DATE DESIGNATED IN THE NOTICE OF REDEMPTION GIVEN IN ACCORDANCE WITH THE BOND RESOLUTION AT, AND ONLY TO THE EXTENT OF, THE REDEMPTION PRICE, PLUS ACCRUED INTEREST TO THE SPECIFIED REDEMPTION DATE; AND THIS BOND SHALL BE PAID, TO THE EXTENT SO REDEEMED, (i) UPON PRESENTATION AND SURRENDER THEREOF AT THE OFFICE SPECIFIED IN SUCH NOTICE OR (ii) AT THE WRITTEN REQUEST OF CEDE & CO., BY CHECK MAILED TO CEDE & CO. BY THE PAYING AGENT OR BY WIRE TRANSFER TO CEDE & CO. BY THE PAYING AGENT IF CEDE & CO. AS BONDOWNER SO ELECTS. IF, ON THE REDEMPTION DATE, MONEYS FOR THE REDEMPTION OF BONDS OF SUCH MATURITY TO BE REDEEMED, TOGETHER WITH INTEREST TO THE REDEMPTION DATE, SHALL BE HELD BY THE PAYING AGENT SO AS TO BE AVAILABLE THEREFOR ON SUCH DATE, AND AFTER NOTICE OF REDEMPTION SHALL HAVE BEEN GIVEN IN ACCORDANCE WITH THE BOND RESOLUTION, THEN, FROM AND AFTER THE REDEMPTION DATE, THE AGGREGATE PRINCIPAL AMOUNT OF THIS BOND SHALL BE IMMEDIATELY REDUCED BY AN AMOUNT EQUAL TO THE AGGREGATE PRINCIPAL AMOUNT THEREOF SO REDEEMED, NOTWITHSTANDING WHETHER THIS BOND HAS BEEN SURRENDERED TO THE PAYING AGENT FOR CANCELLATION.

This Bond is one of an authorized issue aggregating in principal the sum of [Two Hundred Million Dollars (\$200,000,000)] (the "Bonds"), all of like tenor and effect except as to number, interest rate and maturity, said Bonds having been issued in the name of the City, acting by and through the Sewerage and Water Board of New Orleans (the "Board"), for the purpose of (i) refunding the outstanding Water Revenue and Refunding Bonds, Series 2014, maturing December 1, 20\_\_ to 20\_\_, (the "Series 2014 Bonds") and Water Revenue Bonds, Series 2015, maturing December 1, 20\_\_ to 20\_\_, (the "Series 2015 Bonds"), (ii) funding reserves, and (iii) paying costs of issuance, including insurance, if necessary. The Bonds have been issued pursuant to a General Water Revenue Bond Resolution adopted by the Board on May 21, 2014 and a Third Supplemental Water Revenue Bond Resolution adopted by the Board on [January 20], 2021, and by a resolution adopted by the Board of Liquidation, City Debt (the "Board of Liquidation") on [January 20], 2021 (collectively, the "Resolution"), under the authority conferred by Part III of Chapter 9, Title 33 of the Louisiana Revised Statutes of 1950, as amended, and other constitutional and statutory authority (the "Act"), and other constitutional and statutory authority. This Bond and the issue of which it forms a part are payable as to both principal and interest solely from the Net Revenues and other funds of the Board pledged for that purpose by the Resolution. Subject to the foregoing, this Bond and the issue of which it forms a part are issued on a complete parity with the Issuer's outstanding (i) unrefunded Series 2014 Bonds, if any; (ii) unrefunded Series 2015 Bonds, if any (collectively, the "Outstanding Parity Bonds"), with respect to the revenues derived from water charges and other funds pledged by the Resolution for the payment and security of the Bonds and the Outstanding Parity Bonds.



The Bonds, equally with the Outstanding Parity Bonds and such additional bonds as may hereafter be issued under the Resolution on a parity therewith are, and are to be, equally and ratably secured by the pledge of the revenues derived from the collection of charges for water, for purposes relating to the water system of the City, as provided in the Act and the Resolution, to which reference is hereby made for a more complete description of the rights of the owners of the Bonds and of the Board with respect to the water system of the City, and the revenues thereof, and the terms and conditions upon which the Bonds and such additional parity bonds are, and are to be, issued, to all of the provisions of which Resolution each Bond owner, by acceptance hereof, assents. This Bond and the issue of which it forms a part do not constitute a debt of the City, and neither the credit nor the taxing power of the City is pledged to the payment thereof, or any part thereof, or to the payment of any interest thereon.

Pursuant to the Act, the Board of Liquidation, as now organized and created and with the powers, duties and functions prescribed by existing laws, shall be continued while any bonds authorized by the aforesaid provisions of law are outstanding and unpaid; and all sewer revenues which may be collected for the payment of said Bonds shall, be paid over to said Board of Liquidation, and shall by it be applied in payment of the principal of and interest on said Bonds; and said Board of Liquidation shall, with respect to all Bonds authorized, be entitled to exercise all the rights and enforce the performance of all the obligations, the same as it is authorized to do under existing laws with respect to any of the registered outstanding Bonds of the Board. Each Bond of this issue constitutes a contract between the City, the Board, the Board of Liquidation, and the Registered Owner of such Bond.

Those Bonds maturing December 1, 20\_\_ and thereafter shall be subject to redemption at the option of the Board of Liquidation in full or in part at any time on after December 1, 20\_\_, at a redemption price equal to 100% of the principal amount of the Series 2021 Bonds to be redeemed, together with accrued interest to the date fixed for redemption. The maturities of the Bonds to be redeemed shall be selected by the Board of Liquidation in its discretion.

In the event of redemption of fewer than all the outstanding Bonds of like maturity, such Bonds shall be redeemed by lot or in such other manner as shall be deemed fair and equitable by the Paying Agent for random selection.

The Bonds due on December 1, 20\_\_, shall be subject to mandatory redemption prior to maturity through application of sinking fund payments on December 1 in each of the years and in the respective principal amounts set forth below, in each case at a redemption price equal to 100 of their principal amount, plus accrued interest to the date of redemption.

| <u>Year</u><br><u>(December 1)</u> | <u>Amount</u> |
|------------------------------------|---------------|
| 20__                               | \$ _____      |
| 20__                               | _____         |
| 20__                               | _____         |
| 20__                               | _____         |
| 20__*                              | _____         |

\*Final maturity

In the event a Bond is of a denomination larger than \$5,000, a portion of such Bond (\$5,000 or any multiple thereof) may be redeemed. Official notice of such call of any of the Bonds for redemption will be given by first class mail, postage prepaid, by notice deposited in the United States mails or via accepted means of electronic communication not less than thirty (30) days prior to the redemption date addressed to the registered owner of each Bond to be redeemed at his address as shown on the registration books of the Paying Agent.



There shall be kept at the designated corporate trust office of the Paying Agent a register (the "Bond Register") in which registration of the Bonds shall be made as provided herein. This Bond is transferable only upon the records kept for that purpose at the principal corporate trust office of the Paying Agent by the person in whose name this Bond is registered (the "Registered Owner") or by his or her attorney duly authorized in writing, upon surrender hereof together with a written instrument of transfer satisfactory to the Paying Agent duly executed by the Registered Owner or such duly authorized attorney, and thereupon the Paying Agent shall issue in the name of the transferee a new fully registered Bond or Bonds of the same aggregate principal amount and designation, maturity and interest rate as the surrendered Bond, and upon the payment of the costs of any transfer taxes or other governmental charges relating thereto. The Board of Liquidation and the Paying Agent may treat and consider the person in whose name this Bond is registered as the absolute owner hereof for the purpose of receiving payment of or on account of the principal hereof and interest and premium, if any, hereon, and for all other purposes whatsoever. Neither the Board of Liquidation nor the Paying Agent shall be required to issue, register the transfer of, or exchange (i) any Bond during a period beginning at the opening of business on the 15th day of the month next preceding any interest payment date and ending at the close of business on the interest payment date, or (ii) any Bond called for redemption prior to maturity during the period of fifteen (15) days after the mailing of notice of redemption as provided herein, but only with respect to those Bonds which are the subject of such redemption

This Bond and the series of which it forms a part are issuable in the form of fully registered bonds of the denomination of \$5,000 each or any integral multiple thereof. Subject to the conditions and upon the payment of the costs of any transfer taxes or other governmental charges relating to the transfer of this Bond upon surrender hereof at the principal corporate trust office of the Paying Agent with a written instrument of transfer satisfactory to the Paying Agent duly executed by the Registered Owner or by his attorney duly authorized in writing, this Board may at the option of the Registered Owner hereof be exchanged for an equal aggregate principal amount of fully registered bonds of the same designation, maturity and interest rate and of any authorized denomination.

For a more complete statement of the source of moneys from which and conditions under which this Bond is payable, a statement of the conditions under which additional Bonds may hereafter be issued on a parity with the Bonds, and the general covenants and provisions pursuant to which this Bond is issued, and the conditions under which the pledges and covenants of the City, the Board and the Board of Liquidation may be discharged and this Bond no longer be deemed outstanding, reference is hereby made to the Resolution. This Bond and the issue of which it forms a part do not constitute a debt of the City, but are payable as to principal and interest, solely out of the Net Revenues of the Board pledged for that purpose.

This Bond shall not be valid or become obligatory for any purpose or be entitled to any security or benefit under the Resolution (herein defined) until the certificate of registration hereon shall have been signed by the Paying Agent.

It is hereby certified, recited and declared that all acts, conditions and things required by the Constitution and laws of the State of Louisiana to exist, to have happened and to have been performed precedent to and in the issuance of this Bond do exist, have happened and have been performed in regular and due time form and manner as prescribed by law, and the amount of this Bond and the issue of which it forms a part, together with all other obligations or indebtedness of the City and the Board, does not exceed any constitutional, statutory or other limitation of indebtedness.

*[Remainder of page left intentionally blank]*



IN WITNESS WHEREOF, the City of New Orleans, Louisiana has caused this Bond to be executed in its name by the facsimile signatures of its Mayor, the President of the Sewerage and Water Board of New Orleans, and the President and Secretary of the Board of Liquidation, City Debt, and a facsimile of its corporate seal to be imprinted hereon.

CITY OF NEW ORLEANS, LOUISIANA

By: \_\_\_\_\_  
President,  
Board of Liquidation, City Debt

By: \_\_\_\_\_  
Mayor,  
City of New Orleans, Louisiana

By: \_\_\_\_\_  
Secretary,  
Board of Liquidation, City Debt

By: \_\_\_\_\_  
President,  
Sewerage and Water Board of New Orleans

[SEAL]

\* \* \* \* \*

**PAYING AGENT'S CERTIFICATE OF REGISTRATION**

This Bond is one of the Bonds referred to in the within-mentioned Resolution.

\_\_\_\_\_,  
as Paying Agent

Date of Registration: \_\_\_\_\_

By: \_\_\_\_\_  
Authorized Officer

\* \* \* \* \*



FORM OF ASSIGNMENT

FOR VALUE RECEIVED, the undersigned hereby sells, assigns and transfers unto \_\_\_\_\_

Please Insert Social Security  
or other Identifying Number of  
Assignee

the within Bond and all rights thereunder, and hereby irrevocably constitutes and appoints \_\_\_\_\_

attorney or agent to transfer the within Bond on the books kept for registration thereof, with full power of substitution in the premises.

Dated: \_\_\_\_\_

NOTICE: The signature to this assignment must correspond with the name as it appears upon the face of the within Bond in every particular, without alteration or enlargement or any change whatever.

\* \* \* \* \*



**EXHIBIT B**  
**TO THIRD SUPPLEMENTAL RESOLUTION**

**FORM OF CERTIFICATE OF DETERMINATION**

**\$200,000,000**

**CITY OF NEW ORLEANS, LOUISIANA**  
**WATER REVENUE REFUNDING BONDS, SERIES 2021**

We, the undersigned representatives of the Sewerage and Water Board of New Orleans (the "Board"), pursuant to the General Water Revenue Bond Resolution adopted by the Board on May 21, 2014 and the Third Supplemental Water Revenue Bond Resolution adopted by the Board on \_\_\_\_\_, 2021 (collectively, the "Resolution"), do hereby certify and determine, on behalf of the Board, with respect to the sale of the above captioned bonds (the "Bonds") to \_\_\_\_\_, as representative of the underwriters (the "Underwriter"), as follows:

1. **Defined Terms.** Terms not otherwise defined in this Certificate of Determination shall have the same meanings as set forth in the Resolution unless the context otherwise requires.

2. **Principal Amount.** The principal amount of the Bonds is Two Hundred Million Dollars (\$200,000,000).

3. **Purchase Price.** The Bonds were sold at a price of \$\_\_\_\_\_, representing \$\_\_\_\_\_ principal amount, plus original issue premium of \$\_\_\_\_\_, less underwriting discount of \$\_\_\_\_\_.

4. **Maturity Schedule and Interest Rates.** The Bonds shall mature on December 1 of each year in the principal amounts and shall bear interest at the rates as follows:

| Year<br>(December 1) | Principal<br>Amount* | Interest<br>Rate | Year<br>(December 1) | Principal<br>Amount* | Interest<br>Rate |
|----------------------|----------------------|------------------|----------------------|----------------------|------------------|
| 2021                 | \$_____              | _____%           | 2034                 | _____                | _____%           |
| 2022                 | _____                | _____%           | 2035                 | _____                | _____%           |
| 2023                 | _____                | _____%           | 2036                 | _____                | _____%           |
| 2024                 | _____                | _____%           | 2037                 | _____                | _____%           |
| 2025                 | _____                | _____%           | 2038                 | _____                | _____%           |
| 2026                 | _____                | _____%           | 2039                 | _____                | _____%           |
| 2027                 | _____                | _____%           | 2040                 | _____                | _____%           |
| 2028                 | _____                | _____%           | 2041                 | _____                | _____%           |
| 2029                 | _____                | _____%           | 2042                 | _____                | _____%           |
| 2030                 | _____                | _____%           | 2043                 | _____                | _____%           |
| 2031                 | _____                | _____%           | 2044                 | _____                | _____%           |
| 2032                 | _____                | _____%           | 2045                 | _____                | _____%           |
| 2033                 | _____                | _____%           |                      |                      |                  |



5. **Optional Redemption.** Those Bonds maturing December 1, 20\_\_ and thereafter shall be subject to redemption at the option of the Board of Liquidation in full or in part at any time on or after December 1, 20\_\_, at a redemption price equal to 100% of the principal amount of the Series 2021 Bonds to be redeemed, together with accrued interest to the date fixed for redemption. The maturities of the Bonds to be redeemed shall be selected by the Board of Liquidation in its discretion

6. **Mandatory Sinking Redemption Fund.** The Bonds due on December 1, 20\_\_, shall be subject to mandatory redemption prior to maturity through application of sinking fund payments on June 1 in each of the years and in the respective principal amounts set forth below, in each case at a redemption price equal to 100 of their principal amount, plus accrued interest to the date of redemption.

| Year<br>(December 1) | Amount   |
|----------------------|----------|
| 20__                 | \$ _____ |
| 20__                 | _____    |
| 20__                 | _____    |
| 20__                 | _____    |
| 20__ *               | _____    |

\*Final maturity

7. **Use of Proceeds.** The proceeds of the Bonds in the amount of \$200,000,000 shall be disbursed as follows:

(a) \$\_\_\_\_\_ shall be deposited in the Escrow Fund established with the Escrow Agent and used to refund the Refunded Bonds;

(b) \$\_\_\_\_\_ shall be [deposited to the Common Debt Service Reserve Fund/paid to \_\_\_\_\_ as the premium on the \_\_\_\_\_ to be deposited to the Common Debt Service Reserve Fund];

(c) \$\_\_\_\_\_ shall be used to pay Costs of Issuance; and

(d) \$\_\_\_\_\_ shall be paid to \_\_\_\_\_ as the premium on the \_\_\_\_\_.

8. **Refunded Bonds.** The maturities (or portions thereof) of the Series 2014 Bonds and Series 2015 Bonds to be defeased and refunded by the Bonds are listed on Schedule 1 attached hereto.

9. **Common Debt Service Reserve Fund. [TO COME]**

IN WITNESS WHEREOF, witness our signatures on this \_\_\_\_\_ day of \_\_\_\_\_, 2021.

SEWERAGE AND WATER BOARD OF  
NEW ORLEANS

By: \_\_\_\_\_  
Title: Executive Director

By: \_\_\_\_\_  
Title: President



**SCHEDULE 1  
TO  
CERTIFICATE OF DETERMINATION**

**Refunded Bonds**



STATE OF LOUISIANA

PARISH OF ORLEANS

I, the undersigned Executive Director of the Sewerage and Water Board of New Orleans (the “Board”), do hereby certify that the foregoing pages constitute a true and correct copy of a Third Supplemental Resolution adopted on January 20, 2021, authorizing the issuance of Taxable Water Revenue Refunding Bonds, Series 2021, of the City of New Orleans, Louisiana, in the maximum principal amount of Two Hundred Million Dollars (\$200,000,000) in accordance with the terms of the General Water Revenue Bond Resolution; setting forth certain details in connection therewith; authorizing the execution and delivery of said bonds; authorizing the execution of a Bond Purchase Agreement and a Certificate of Determination; and providing for other matters relating to the foregoing.

IN FAITH WHEREOF, witness my official signature, on this, the 20<sup>th</sup> day of January, 2021.

---

Executive Director of the Sewerage  
and Water Board of New Orleans



**RATIFICATION OF EXTREME EMERGENCY BID QUOTATIONS FOR  
CONTRACT 6267 – TURBINE 5 EXHAUST SYSTEM FABRICATION AND  
INSTALLATION**

---

**WHEREAS**, pursuant to **La. R.S. 33:4084(E)** on **February 6, 2020**, the Sewerage and Water Board of New Orleans declared an extreme emergency due to the explosion of Turbine 5, and thereafter, solicited emergency bid quotations for Contract 6267 – Turbine 5 Exhaust System Fabrication and Installation; and,

**WHEREAS**, three (3) bids were received on January 8, 2021: Cust-O-Fab (\$1,702,145); M.R. Pittman Group (\$2,218,500); Alfred Conhagen (\$3,419,890) and,

WHEREAS, all three (3) bids were reviewed by SWBNO staff, and it was determined that the lowest numerical bidder (Cust-O-Fab) did not meet the requirements of the bid documents and was deemed non-responsive; and, the second lowest numerical bidder (M.R. Pittman) met the requirements and is recommended for approval.

**NOW, THEREFORE BE IT RESOLVED**, that the responsible and responsive low bid is hereby accepted, and the contract is awarded to **M.R. Pittman Group, LLC** in the amount of \$2,218,500.00.

---

I, Ghassan Korban, Executive Director,  
Sewerage and Water Board of New Orleans,  
do hereby certify that the above and foregoing  
is a true and correct copy of a resolution adopted  
at the Regular Meeting of said Board,  
duly called and held, according to law, on  
January 20, 2021.

---

**Ghassan Korban,**  
EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW ORLEANS



**GENERAL SUPERINTENDENT RECOMMENDATIONS  
FOR THE JANUARY 13, 2021  
FINANCE AND ADMINISTRATION COMMITTEE MEETING**

A listing of the bids, change orders, amendments and final acceptances received during the month of December is included in the following report. A brief summary is attached for your review.

**BIDS, RENEWALS, AND EXTENSIONS (4)**

- |                    |  |
|--------------------|--|
| Page 4 R-003-2021  | First and Final Renewal of Contract for Furnishing Sodium Hypochlorite   |
| Page 7 R-005-2021  | Second and Final Renewal of Contract 8145 – Repaving Open Cuts in Streets, Driveways, Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities |
| Page 13 R-007-2021 | Award of Contract to Furnish Liquid Ferric Sulfate   |
| Page 17 R-012-2021 | Authorization for Third Extension of Contract 8138 for Furnishing Skilled and Unskilled Labor for Maintenance Services with the Gee Cee Company of Louisiana, INC                              |

**CHANGE ORDERS (1)**

- |                    |  |
|--------------------|--|
| Page 24 R-002-2021 | Ratification of Change Order No. 4 For Contract 3799- Installation of Sludge Dryer at The East Bank Wastewater Treatment Plant |
|--------------------|--|

**CONTRACT AMENDMENTS (6)**

- |                    |  |
|--------------------|--|
| Page 28 R-004-2021 | Amendment 4 to Agreement with Stanley Consultants, Inc. for Design and Engineering Services for the Bulk Storage and Chemical Feed Facility Project  |
| Page 32 R-006-2021 | Authorization of Amendment No. 6 to the Agreement Between the Sewerage and Water Board of New Orleans and Digital Engineering & Imaging, Inc. for Design and Engineering Services for the Water Line Replacement Program |



- Page 37 R-008-2021 Authorization of Contract Amendment No. 7 to the Agreement Between the Sewerage and Water Board of New Orleans and Linfield, Hunter & Junius, Inc., for Design and Engineering Services for the Waterline Replacement Program
- Page 42 R-009-2021 Authorization of Contract Amendment No. 8 to the Agreement Between the Sewerage and Water Board of New Orleans and Meyer Engineers, LTD., for Design and Engineering Services for the Waterline Replacement Program
- Page 47 R-010-2021 Authorization of Amendment No. 7 to the Agreement Between the Sewerage and Water Board of New Orleans and Rahman and Associates, Inc. for Engineering and Design Services for the Waterline Replacement Program
- Page 52 R-011-2021 Contract Amendment No. 2 to the Agreement Between the Sewerage and Water Board of New Orleans and Volkert, Inc for Design and Engineering Service for the Demolition of the Two Abandoned Carrollton Water Plant Clarifiers

#### **FINAL ACCEPTANCES (1)**

- Page 55 R-013-2021 Ratification of Change Order No. 1 and Final Acceptance for Contract 5243 – DPS #4 Anti-Siphon Project



# **GENERAL SUPERINTENDENT'S RECOMMENDATIONS**

## **BIDS AND RENEWALS**



**FIRST AND FINAL RENEWAL OF CONTRACT FOR FURNISHING SODIUM  
HYPOCHLORITE - REQ. NOS. AL200001 AND CM200002**

---

**WHEREAS**, under the provisions of the contract, the Board, with the contractor's concurrence, reserves the right to extend the contract for one (1) additional one-year period at no increase in the cost of services and no change in terms and conditions; and

**WHEREAS**, the contractor, **DPC Enterprises L.P.**, desires to exercise its option to renew Contract for the first one-year period as allowed under this contract with the total being **\$1,657,200.00**, for furnishing Sodium Hypochlorite.

**NOW, THEREFORE, BE IT RESOLVED** that the first renewal request of DPC Enterprises L.P., for a one (1) year extension beginning **March 1, 2021**, and ending **February 28, 2022**, with the total being **\$3,314,400.00**, is hereby approved.

---

---

I, Ghassan Korban, Executive  
Director, Sewerage and Water Board  
of New Orleans, do hereby certify  
that the above and foregoing is a  
true and correct copy of a  
resolution adopted at the Regular  
Meeting of the said Board, duly  
called and held, according to law,  
on January 20, 2021.

---

Ghassan Korban  
EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW ORLEANS



**Sewerage and Water Board of New Orleans  
BOARD OF DIRECTORS CONTRACTOR FACT SHEET**



**ACTION REQUESTED**

**Renewal for Furnishing Sodium Hypochlorite Contract AL200001 & CM200002**

Approval to modify contract AL200001 & CM200002, between the Sewerage and Water Board and CONTRACTOR, in the amount of \$1,657,200.00

**CONTRACTOR/SUB/VENDOR INFORMATION**

|       |      | DBE PARTICIPATION |        |
|-------|------|-------------------|--------|
| PRIME | SUBS | TARGET            | ACTUAL |
| DPC   | None | 0.00%             | 0.00%  |
|       |      | 0.00%             | 0.00%  |
|       |      | 0.00%             | 0.00%  |
| Total |      | 0.00%             | 0.00%  |

**DESCRIPTION AND PURPOSE**

|  |                       |
|--|-----------------------|
| Original Contract Value                  | \$1,657,200.00        |
| Previous Change Orders                   | \$0.00                |
| % Change of Contract To Date             | 0.0%                  |
| Value of Renewal                         | \$1,657,200.00        |
| <b>Total Revised Contract Value</b>      | <b>\$3,314,400.00</b> |
| Original Contract Completion Date        | 2/28/2021             |
| Previously Approved Extensions (Days)    | 0                     |
| Time Extension Requested (Days)          | 365                   |
| <b>Proposed Contract Completion Date</b> | <b>2/28/2022</b>      |

**Purpose and Scope of the Contract:**

*Sodium hypochlorite is a chemical that is used as a disinfectant in the potable water treatment process. This is a product that is manufactured; and subsequently shipped by the manufacturer in specially lined pneumatic trailers to our facilities in dedicated transport equipment. This contract does not lend itself to DBE participation because of the specialized nature of the manufacturing process and the transport equipment, and we therefore respectfully recommend zero percent DBE participation.*

**Reason for Change:**

|   |   |   |
|---|---|---|
| Error/Omission <input type="checkbox"/> | Differing Site Condition <input type="checkbox"/> | Regulatory Requirement <input type="checkbox"/> |
| Design Change <input type="checkbox"/>  | Other <input checked="" type="checkbox"/> Renewal |   |

*Exercising 1 year renewal option in contract.*

**Spending to Date:**

|  |                |
|--|----------------|
| Cumulative Contract Amount (as of 12/1/2020)   | \$1,657,200.00 |
| Cumulative Contract Spending (as of 12/1/2020) | \$1,113,801.00 |



**Contractor's Past Performance:**

The contractor's performance is satisfactory.

### PROCUREMENT INFORMATION

|  |   |                              |                        |
|--|---|------------------------------|------------------------|
| <b>Contract Type</b>                     | Base Bid  | <b>Award Based On</b>        | Lowest Competitive Bid |
| <b>Commodity</b>                         | Public Works Construction   | <b>Contract Number</b>       | AL200020 & CM200002    |
| <b>Contractor Market</b>                 | Public Bid  |                              |                        |
| <b>Compliance with Procurement Laws?</b> | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | <b>CMRC Date (if nec.) :</b> | 12/31/2020             |

### BUDGET INFORMATION

|                   |       |                         |                                       |
|-------------------|-------|-------------------------|---------------------------------------|
| <b>Funding</b>    | O&M   | <b>Department</b>       | Water Purification                    |
| <b>System</b>     | Water | <b>Project Manager</b>  | Chad Lavoie                           |
| <b>Job Number</b> |       | <b>Purchase Order #</b> | 6000027-20, 6000037-20,<br>6000038-20 |

### ESTIMATED FUND SOURCE

| User            | Share% | Dollar Amount   | Reimbursable? |
|-----------------|--------|-----------------|---------------|
| Sewer System    | 100%   | \$ 1,657,200.00 | No            |
| Water System    |        |                 |               |
| Drainage System |        | \$ 1,657,200.00 | No            |
| <b>TOTAL</b>    |        |                 |               |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

\_\_\_\_\_  
**Alton DeLarge III**  
*Asst. Water Purification Superintendent*  
*Water Purification*



**SECOND AND FINAL RENEWAL OF CONTRACT 8145 – Repaving Open Cuts in Streets, Driveways, Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities.**

---

**WHEREAS**, the Sewerage and Water Board of New Orleans entered into Contract No. 8145 with Wallace C. Drennan for the amount of \$4,784,650.00 (R-175-2018) of which only 4,032,832.14; and

**WHEREAS**, Wallace Drennan was awarded a one (1) year Contract Renewal No. 1 on January 22, 2020 in the amount of \$4,784,650.00 (R-003-2020), bringing the total contract dollar amount to \$8,817,482.14; and

**WHEREAS**, under the provisions of the contract, the Board, with the contractor's concurrence, reserves the right to extend their contract; and

**WHEREAS**, the contractor, Wallace C. Drennan, desires to extend its contract facilitating the continuity of its services, in the amount of \$4,784,650.00 for the Repaving Open Cuts in Streets, Driveways, Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities; and

**WHEREAS**, no change orders have been requested for Contract 8145 to date; and

**WHEREAS**, the DBE participation for this project is 36% and the participation through December 2020 is 37.20%; and

**WHEREAS**, this second and final renewal in the amount of \$4,784,650.00 will bring the total contract amount to \$13,602,132.14 and funds for this project are budgeted under the Operations & Maintenance Fund – ORG 6620 OBJ 4409, ORG 6621 OBJ 4407; and



**NOW, THEREFORE, BE IT RESOLVED**, that the second and final one year contract renewal of Contract 8145 – Repaving Open Cuts in Streets Driveways, Sidewalks Resulting From Repairs To The Sewerage and Water Board of New Orleans Underground Utilities requested by Wallace C. Drennan, Inc. with a renewal amount of **\$4,784,650.00** and a Contract End Date of **January 17, 2022** is hereby approved..

---

---

I, Ghassan Korban, Executive Director, Sewerage and Water Board of New Orleans, do hereby certify that the above and foregoing is a true and correct copy of a resolution adopted at the Regular Meeting of the said Board, duly called and held, according to law, on January 20, 2021.

---

**Ghassan Korban**  
EXECUTIVE DIRECTOR  
SEWERAGE AND WATERBOARD OF NEW ORLEANS



**Sewerage and Water Board of New Orleans  
BOARD OF DIRECTORS CONTRACTOR FACT SHEET**



**ACTION REQUESTED**

**Renewal for Contract 8145**

Approval for Second and Final Renewal of Contract 8145 – Repaving Open Cuts in Streets, Driveways, Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities.

**CONTRACTOR/SUB/VENDOR INFORMATION**

|                          |                           | DBE PARTICIPATION |        |
|--------------------------|---------------------------|-------------------|--------|
| PRIME                    | SUBS                      | TARGET            | ACTUAL |
| Wallace C. Drennan, Inc. | C&M Construction Group    | 21.90%            | 0.00%  |
|                          | Prince Dump Truck Service | 1.00%             | 0.00%  |
|                          | Dieudonne Enterprises     | 5.20%             | 0.00%  |
|                          | Landrieu Concrete         | 8.40%             |        |
| Total                    |                           | 36.50%            | 0.00%  |

**DESCRIPTION AND PURPOSE**

|  |  |
|--|--|
| Original Contract Value                  | \$4,784,650.00 (Spent Only \$4,032,832.14) |
| Previous Change Orders                   | \$0.00                                     |
| % Change of Contract To Date             | 0.0%                                       |
| Previous Renewal Value                   | \$4,784,650.00                             |
| Current Renewal Value                    | \$4,784,650.00                             |
| <b>Total Revised Contract Value</b>      | <b>\$13,602,132.14</b>                     |
| Original Contract Completion Date        | 1/17/2020                                  |
| Previously Approved Extensions (Days)    | 365  |
| Time Extension Requested (Days)          | 365  |
| <b>Proposed Contract Completion Date</b> | <b>1/16/2022</b>                           |

**Purpose and Scope of the Contract:**

*The purpose of this contract is for the repaving open cuts in streets, driveways, sidewalks resulting from the repair to the Sewerage and Water Board of New Orleans underground utilities.*

**Reason for Change:**

|   |  |   |
|---|--|---|
| Error/Omission <input type="checkbox"/> | Differing Site Condition <input type="checkbox"/>                          | Regulatory Requirement <input type="checkbox"/> |
| Design Change <input type="checkbox"/>  | Other <input type="checkbox"/> Renewal <input checked="" type="checkbox"/> |   |

*The purpose of this request is to continue Contract 8145, Repaving Open Cuts in Streets, Driveways, Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities.*

**Spending to Date:**

|  |                |
|--|----------------|
| Cumulative Contract Amount (as of 12/1/2020)   | \$8,817,482.14 |
| Cumulative Contract Spending (as of 12/1/2020) | \$8,817,482.14 |

**Contractor's Past Performance:**

*The contractor's performance is satisfactory.*



#### PROCUREMENT INFORMATION

|                                   |   |                      |                        |
|-----------------------------------|---|----------------------|------------------------|
| Contract Type                     | Fixed Unit Rate   | Award Based On       | Lowest Competitive Bid |
| Commodity                         | Construction Services   | Contract Number      | 8145                   |
| Contractor Market                 | Open Market with DBE participation                                  |                      |                        |
| Compliance with Procurement Laws? | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | CMRC Date (if nec.): | 12/31/2021             |

#### BUDGET INFORMATION

|            |                           |                  |                |
|------------|---------------------------|------------------|----------------|
| Funding    | O&M 6620/4409 ; 6621/4407 | Department       | Networks       |
| System     | Water, Sewer              | Project Manager  | Britton Husby  |
| Job Number |                           | Purchase Order # | 6000062 PG2020 |

#### ESTIMATED FUND SOURCE

| User            | Share% | Dollar Amount   | Reimbursable? |
|-----------------|--------|-----------------|---------------|
| Sewer System    | 30%    | \$ 1,435,395.00 |               |
| Water System    | 70%    | \$ 3,349,255.00 |               |
| Drainage System |        |                 |               |
| <b>TOTAL</b>    |        | \$ 4,784,650.00 | No            |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

\_\_\_\_\_  
*Fred Tharp, P.E.*  
*Chief of Networks*  
*Sewerage and Water Board of New Orleans*





# SEWERAGE AND WATER BOARD OF NEW ORLEANS

## Networks Department

---

Date: December 23, 2020

From: Fred Tharp  
Chief of Networks

To: Alvin Porter  
Director of EDBP

CC: Ghassan Korban, Robert Turner, Patty Wallace

Re: CONTRACT 8145 RENEWAL FOR CONTRACT EXTENSION

Please place the following Contract for Renewal on the Agenda for the Board Meeting on Wednesday, January 20th, 2021.

The contract for renewal is Contract 8145 Repaving Open Cuts in Streets, Driveways, Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities for a one-year period. All terms, conditions and pricing will remain the same as in the original contract.

I would appreciate you forwarding this to the attention of the appropriate committees of the Board for their consideration and approval.





# SEWERAGE AND WATER BOARD OF NEW ORLEANS

## Second and Final Renewal of Contract 8145

**PROPOSAL:** The Contractor **Wallace C. Drennan, INC.** has requested that the Board extend its current Contract 8145 for the Repaving Open Cuts in Streets, Driveways, Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities for a one-year period. All terms and conditions, including the bid price agreed upon in the present contract, shall remain unchanged.

### EVALUATION:

- The original Contract 8145 for the Repaving Open Cuts in Streets, Driveways, Sidewalks Resulting from the Repair to the Sewerage and Water Board of New Orleans Underground Utilities. was awarded to **Wallace C. Drennan, INC.** in the November 21, 2018 Board of Directors meeting in the total amount of four million seven hundred eighty-four thousand six hundred fifty dollars and no/100 (\$4,784,650.00) with two (2) 1-year renewal options.
- Expenditure for the original contract value was \$4,032,832.14, slightly lower than the original contract value of \$4,784,650.00. Due to this reason, there was a surplus of \$751,817.86.
- The first renewal for Contract 8145 was awarded to Wallace Drennan in the January 22, 2020 Board Meeting (R-003-2020) for the amount of \$4,784,650.00. Expenditure and work assigned to the contractor for the renewal amount was approximately the originally budgeted dollar amount.
- No change orders have been requested for this contract to date.
- If approved by the Board, this would be the second and final of two (2) optional renewals of this contract with thirty-six (36 %) percent DBE participation. The current DBE participation through December 2020 is 37.2%.
- It is recommended that the Board approve the request as proposed by the contractor.
- Funds for this project are budgeted under the O & M 6620/4409, O & M 6621/4407

**RECOMMENDATION:** It is recommended that the Board approve this second and final renewal to **Wallace C. Drennan, INC.** in the total amount of four million seven hundred eighty-four thousand six hundred fifty dollars and no/100 (\$4,784,650.00) for a period of one-year. **The renewal will bring the total contract amount to \$13,602,132.14.**



**AL200048 & CM200045-Furnishing Liquid Ferric Sulfate**

**WHEREAS**, the Sewerage and Water Board of New Orleans advertised, according to public bid law, a Request for Bids for Furnishing Liquid Ferric Sulfate to the Algiers Water Plant and Carrollton Water Plant; and,

**WHEREAS**, three (3) bids were received on December 18, 2020; and,

**NOW, THEREFORE BE IT RESOLVED** that the responsible and responsive low bid is hereby accepted, and contract awarded therefore to Altivia Chemicals, LLC, in the amount of **\$1,550,000**.

---

---

I, Ghassan Koban, Executive Director, Sewerage and Water Board of New Orleans, do hereby certify that the above and foregoing is a true and correct copy of a resolution adopted at the Regular Meeting of the said Board, duly called and held, according to law, on January 20, 2021.

---

**Ghassan Korban,**  
EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW ORLEANS



**Sewerage and Water Board of New Orleans  
BOARD OF DIRECTORS CONTRACTOR FACT SHEET**



**ACTION REQUESTED**

**Approval of  
AL200048 & CM200045-Furnishing Liquid Ferric Sulfate**

Approval to award contract AL200048 & CM200045, between the Sewerage and Water Board and Altivia Chemicals, LLC, in the amount of \$1,550,000

**CONTRACTOR/SUB/VENDOR INFORMATION**

|                               |      | DBE PARTICIPATION |        |
|-------------------------------|------|-------------------|--------|
| PRIME                         | SUBS | TARGET            | ACTUAL |
| <i>Altivia Chemicals, LLC</i> |      | 0.00%             | 0.00%  |
| Total                         |      | 0.00%             | 0.00%  |

**DESCRIPTION AND PURPOSE**

|  |                       |
|--|-----------------------|
| Original Contract Value                  | \$1,550,000.00        |
| <i>Has a NTP been Issued</i>             | <i>No</i>             |
| <b>Total Revised Contract Value</b>      | <b>\$1,550,000.00</b> |
| <b>Proposed Contract Completion Date</b> | <b>1/31/2022</b>      |

**Purpose and Scope of the Contract:**

*Ferric sulfate is a chemical that is used in the potable water treatment process for coagulation of the solids in our raw water supply. This is a product that is manufactured, and is subsequently shipped by the manufacturer in specially lined pneumatic trailers to our facilities in dedicated transport equipment. This contract does not lend itself to DBE participation because of the specialized nature of the manufacturing process and the transport equipment, and we therefore respectfully recommend zero percent DBE participation.*

**Spending to Date:**

|  |        |
|--|--------|
| Cumulative Contract Amount (as of 12/1/2020)   | \$0.00 |
| Cumulative Contract Spending (as of 12/1/2020) | \$0.00 |

**Contractor's Past Performance:**

*Satisfactory*

**PROCUREMENT INFORMATION**

|                      |          |                       |                        |
|----------------------|----------|-----------------------|------------------------|
| <b>Contract Type</b> | Base Bid | <b>Award Based On</b> | Lowest Competitive Bid |
|----------------------|----------|-----------------------|------------------------|



|  |   |                             |                              |
|--|---|-----------------------------|------------------------------|
| <b>Commodity</b>                         | Goods and Services                      | <b>Contract Number</b>      | AL200048 & CM200045          |
| <b>Contractor Market</b>                 | Public Bid with Zero DBE participation  |                             |                              |
| <b>Compliance with Procurement Laws?</b> | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/> | <b>CMRC Date (if nec.) :</b> |

#### BUDGET INFORMATION

|                   |         |                         |                    |
|-------------------|---------|-------------------------|--------------------|
| <b>Funding</b>    | SWB-O&M | <b>Department</b>       | Water Purification |
| <b>System</b>     | Water   | <b>Project Manager</b>  | Chad Lavoie        |
| <b>Job Number</b> | N/A     | <b>Purchase Order #</b> | TBD                |

#### ESTIMATED FUND SOURCE

| User            | Share% | Dollar Amount   | Reimbursable? |
|-----------------|--------|-----------------|---------------|
| Sewer System    | 100%   | \$ 1,900,000.00 | No            |
| Water System    |        |                 |               |
| Drainage System |        |                 |               |
| <b>TOTAL</b>    |        | \$ 1,900,000.00 | No            |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

\_\_\_\_\_  
*NAME-Alton DeLarge III*

*TITLE-Asst Water Purification Superintendent*

*DEPT-Water Purification*





## SEWERAGE AND WATER BOARD

### Inter-Office Memorandum

---

**Date:** December 18, 2020

**To:** Robert Turner, General Superintendent

**From:** Chad Lavoie, Water Purification Superintendent *MLD*

**Re:** Bid Proposals for: Furnishing Liquid Ferric Sulfate  
Proposals Opened: December 18, 2020  
Requisitions: AL200048 and CM200045

Four bids were received on December 18, 2020, for furnishing Liquid Ferric Sulfate to the Algiers and Carrollton Water Plants. The bids were evaluated, and the following recommendations are offered:

For Item I, Requisition No. AL200048, furnishing and delivering a quantity of Liquid Ferric Sulfate equal to 200,000 pounds of pure (100%) water soluble ferric iron to the Algiers Water Plant, the low bid of Altivia Chemicals LLC, for the net total amount of \$155,000 is recommended for acceptance. Funding for this Item is available under budget code SWB-3244-4780 – Ferric Chloride. DBE participation for this contract is 0%.

For Item II, Requisition No. CM200045, furnishing and delivering a quantity of Liquid Ferric Sulfate equal to 2,000,000 pounds of pure (100%) water soluble ferric iron to the Carrollton Water Plant, the low bid of Altivia Chemicals LLC, for the net total amount of \$1,550,000 is recommended for acceptance. Funding for this Item is available under budget code SWB-3224-4760 – Iron Sulfate. DBE participation for this contract is 0%.

Bid tabulations are attached for reference.

cc: Patti Wallace, Purchasing Dept.  
Andrew Kessler, Purchasing Dept.  
Dexter Joseph, Budget Dept.  
Julia Thomas, GSO  
Arlette Pierre, Operations  
Melvin Reis, Jr., Carrollton Water Plant  
Kerry Foret, Algiers Water Plant  
Alton DeLarge III, Water Purification  
Toni Berry, Water Purification Dept.



**AUTHORIZATION FOR THIRD EXTENSION  
of  
CONTRACT 8138  
for  
FURNISHING SKILLED AND UNSKILLED LABOR  
FOR MAINTENANCE SERVICES  
with  
THE GEE CEE COMPANY OF LOUISIANA, INC.**

**WHEREAS**, the Sewerage and Water Board (“Board”) and the Gee Cee Company of Louisiana, Inc., (“Contractor”) entered into **Contract 8138** (the “Original Contract”) on January 31, 2012, pursuant to Contractor’s successful bid dated October 28, 2011, following a publicly advertised bid process for a contractor to Furnish Skilled and Unskilled Labor for Maintenance Services for the Board (the “Services”) (the Original Contract as renewed and extended set forth below are referred to hereinafter as the “Current Contract”); and

**WHEREAS**, the Original Contract was for a period of one (1) year with three (3), one (1)-year options for renewal; and

**WHEREAS**, by Resolution R-026-2013 the Original Contract was renewed for a one-year extension beginning April 1, 2013 and ending March 31, 2014, for \$2,428,498.00; and

**WHEREAS**, by Resolution R-061-2014 the Original Contract as renewed, was again renewed effective April 1, 2014, for \$2,428,498.00; and

**WHEREAS**, by Resolution R-094-2015 the Original Contract as renewed was again renewed effective June 1, 2015, for \$2,428,498.00; and

**WHEREAS**, in 2016 the Board advertised for a new contract to furnish skilled and unskilled labor services on substantially the same terms as the Current Contract, but all bids were rejected, and Contractor continued to provide services pursuant to the Current Contract by purchase requisition; and

**WHEREAS**, in 2017 a second solicitation was prepared and issued seeking bids to furnish skilled and unskilled labor services; a pre-bid conference was held, but after issuance of multiple addenda in response to various questions posed by potential bidders the decision was made to cancel the bid; and

**WHEREAS**, by Resolution R-042-2019 adopted March 20, 2019, the Board authorized extension of the Original Contract through July 31, 2019, pending the completion of a new public bid process for a new contract for the Services; and



**WHEREAS**, pursuant to Resolution R-042-2019, the Board and Contractor executed the First Extension to the Original Contract, for a maximum amount payable for the period from January 1, 2019 through July 31, 2019, of One Million Nine Hundred Thousand and No/100 (\$1,900,000.00) Dollars, and continuing the Original Contract in effect on a month-to-month basis in the event no new contract was awarded and executed by July 31, 2019; and

**WHEREAS**, in April 2019 the Board advertised a third solicitation for bidders to contract for the furnishing of skilled and unskilled labor services, and four (4) bids were received and opened on April 25, 2019; and

**WHEREAS**, after opening all four (4) bids, Board staff determined that there were sufficient issues with all four submissions to warrant the withdrawal of this solicitation and issuance of a new bid package in the near future; and

**WHEREAS**, two (2) of the unsuccessful bidders formally protested such determination, and an administrative hearing was held May 23, 2019, and the hearing officer found that the determination that all proposals submitted were nonresponsive was made in accordance with applicable law and the rules of the Board, then recommended that the solicitation be re-bid for the fourth time; and

**WHEREAS**, on August 21, 2019, by Resolution R-124-2019, the Board ratified the continuation of Contract 8138 as between the Board and the Contractor (Gee Cee) on a month-to-month basis, and authorized the payment of the additional amount of One Million Five Hundred Thousand and No/100 (\$1,500,000.00) Dollars for the Services through December 31, 2019 while preparing to rebid for the current contract Services; and

**WHEREAS**, pursuant to Resolution R-124-2019, the Board and Contractor executed the Second Extension of the Original Contract; and

**WHEREAS**, Contractor has provided the Services pursuant to the Original Contract continually since the execution of the Original Contract and the renewal and extensions thereof, through and including the present time; and

**WHEREAS**, in the fall of 2019, the Board solicited bids for **Contract 8164** (a Contract to Furnish Skilled and Unskilled Labor for Maintenance Services for the Board) and on November 18, 2019, the Board received and opened bids for Contract 8164 and the results were that JEI Solutions, Inc. ("JEI") was the lowest bidder, with Gee Cee Company of LA, Inc. ("Gee Cee") being the second lowest bidder; and



**WHEREAS**, on December 6, 2019, staff advised JEI that although it was the apparent lowest bidder, Contract 8164 to Gee Cee because the JEI bid was deemed nonresponsive as it violated the Louisiana Code of Ethics (“Code of Ethics”) which prohibits contractual relationships between public entities and public employees’ immediate family members; and

**WHEREAS**, on December 10, 2019, JEI filed a bid protest regarding staff’s decision and a bid appeal to a Hearing Examiner was heard on February 7, 2020; and

**WHEREAS**, on February 20, 2020, the Hearing Examiner reversed the staff’s decision and recommended that the Executive Director award Contract 8164 to JEI. Thereafter, on April 13, 2020, the Board’s Executive Director adopted the recommendation of the Hearing Examiner; and

**WHEREAS**, on April 24, 2020, Gee Cee filed a formal sworn complaint with the Louisiana Board of Ethics (“Board of Ethics Complaint”) requesting the Board of Ethics to issue a ruling that JEI violated the Code of Ethics, and instructing the Sewerage and Water Board of New Orleans to rescind the award of Contract 8164 to JEI; and

**WHEREAS**, on May 12, 2020, the Louisiana Board of Ethics issued an advisory opinion stating that the Code of Ethics would not prohibit the Sewerage and Water Board of New Orleans from contracting with JEI; thereafter, on May 13, 2020, the Finance & Administration Committee of the Board recommended approval of the contract award to JEI; and

**WHEREAS**, on May 19, 2020, Gee Cee filed a Verified Petition for a Temporary Restraining Order, Preliminary Injunction, and Permanent Injunction with the Civil District Court for the Parish of Orleans (CDC No. 20-03863; Div. N-8; hereinafter the (“CDC Lawsuit”)); and

**WHEREAS**, on September 17, 2020, a Status Conference was held in the CDC Lawsuit whereby all parties to the litigation agreed to refrain from taking any further action on Board Contract 8164, pending a final determination in the CDC Lawsuit; and

**WHEREAS**, pending the outcome of the CDC Lawsuit, Contractor (Gee Cee) continues to provide skilled and unskilled labor services to the Board on a month-to-month basis pursuant to the Current Contract (Contract 8138) as the Board awaits a final disposition of the CDC Lawsuit; and

**WHEREAS**, the Board and Contractor (Gee Cee) have reviewed the Current Contract, and confirm the Board’s need for the Services by Contractor thereunder as have been provided continually since the inception of the Current Contract, have confirmed the ability and willingness of Contractor to continue to perform in accordance with and pursuant to the same terms and conditions of the Current Contract (Contract 8138), on a month-to-month basis to permit final resolution of the CDC Lawsuit and execution of a new contract for Services thereafter; and



**NOW THEREFORE BE IT RESOLVED**, that the Board hereby acknowledges, confirms and ratifies the above-described actions, authorizes the payment of the additional amount not to exceed Two Million Four Hundred Thousand and No/100 (\$2,400,000.00) Dollars for the Services between January 1, 2021 and December 31, 2021, and authorizes the President or President Pro Tem of the Board to execute an agreement by and between the Board and THE GEE CEE COMPANY OF LOUISIANA, INC. ("Contractor") documenting the same and continuing the Current Contract in effect on a month-to-month basis pending final resolution of the CDC Lawsuit and the subsequent award and execution of a new contract for the Services.

---

I, GHASSAN KORBAN, Executive Director,  
Sewerage and Water Board of New Orleans do hereby  
certify that the above and foregoing is a true and  
correct copy of a Resolution adopted at the Regular  
Monthly Meeting of said Board, duly called and held,  
according to law, on January 20, 2021.

---

GHASSAN KORBAN, EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW ORLEANS



**Sewerage and Water Board of New Orleans  
BOARD OF DIRECTORS CONTRACTOR FACT SHEET**



**ACTION REQUESTED**

**CONTRACT EXTENSION/RENEWAL  
CONTRACT NUMBER AND NAME**

Continuation of month-to-month extension for contract 8138, between the Sewerage and Water Board and CONTRACTOR, while contract litigation is on-going, for a maximum amount of \$2.4M in 2021.

**CONTRACTOR/SUB/VENDOR INFORMATION**

|                                     |                  | DBE PARTICIPATION |        |
|-------------------------------------|------------------|-------------------|--------|
| PRIME                               | SUBS             | TARGET            | ACTUAL |
| <i>Gee Cee company of Louisiana</i> | <i>JEI, Inc.</i> | 30.00%            | 30.00% |
|                                     | <i>Sub Name</i>  |                   |        |
|                                     | <i>Sub Name</i>  |                   |        |
| Total                               |                  | 30.00%            | 30.00% |

**DESCRIPTION AND PURPOSE**

|   |                         |
|---|-------------------------|
| Original Contract Value                 | \$ 2,428,498.00         |
| Previous Renewal and Extension Amounts  | \$ 20,709,671.10        |
| Value of Requested Extension            | \$ 2,400,000.00         |
| <b>Total Revised Contract Value</b>     | <b>\$ 25,538,169.10</b> |
| <b>Proposed Contract Extension Date</b> | <b>12/31/2021</b>       |

**Purpose and Scope of the Contract:**

*To provide the Facility Maintenance Department with skilled and semi -skilled workforce in order to assist with cititrcal necessary repair with respect to mehcinal and elertcial maintenance.*

**Reason for Change:**

|   |   |   |
|---|---|---|
| Error/Omission <input type="checkbox"/> | Differing Site Condition <input type="checkbox"/> | Regulatory Requirement <input type="checkbox"/> |
| Design Change <input type="checkbox"/>  | Other <input checked="" type="checkbox"/>         |   |

*Original contract was issued in 2012, with 3 renewal options exercised. Since that time, attempts at re-bidding the contract have been unsuccessful and a lawsuit was filed by bidder in 2019. While contract is in dispute, extension of services by Gee Cee Company of Louisiana is recommended, and will therefore require a contract extension until a decision is rendered.*

**Contractor's Past Performance:**

*The Gee Cee copporation of Louiana has been consistently providing satisfactory service for the Facility Maintenance*

**BUDGET INFORMATION**

|            |          |                  |                      |
|------------|----------|------------------|----------------------|
| Funding    | O&M      | Department       | Facility Maintenance |
| System     | Multiple | Project Manager  | M. Asgari            |
| Job Number | NA       | Purchase Order # | Mulitple             |



# ESTIMATED FUND SOURCE

| User            | Share% | Dollar Amount  | Reimbursable? |
|-----------------|--------|----------------|---------------|
| Sewer System    | 50%    | \$1,200,000.00 | No            |
| Water System    | 30%    | \$720,000.00   | No            |
| Drainage System | 20%    | \$480,000.00   | No            |
| <b>TOTAL</b>    | 100%   | \$2,400,000.00 | No            |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

---

*Majid Asgari*  
*Sr. Technical Administrator*  
*Facility Maintenance*



# **GENERAL SUPERINTENDENT'S RECOMMENDATIONS**

## **CHANGE ORDERS**



**RATIFICATION OF CHANGE ORDER NO. 4 FOR CONTRACT 3799-  
INSTALLATION OF SLUDGE DRYER AT THE EAST BANK WASTEWATER  
TREATMENT PLANT**

**WHEREAS**, on August 29, 2018 the Sewerage and Water Board (S&WB) entered into Contract 3799 with Industrial and Mechanical Contractors, Inc. in the amount of \$3,667,900.00 for Installation of the Sludge Dryer at the EBWWTP; and,

**WHEREAS**, Change Order #1 was ratified in the amount of \$3,102.80 on September 11, 2019; and,

**WHEREAS**, Change Order #2 added 90 days to the Contract Time and made the new contract completion date August 3, 2020; and,

**WHEREAS**, Change Order #3 was ratified in the amount of \$13,915.00 on May 13, 2020; and,

**WHEREAS**, Change Order #4 represents an increase in a vendor's quote due to project delays, a 120-day time extension and overhead costs due to required changes to the specified expansion joints, and the addition of hard-wired alarms to the sludge dryer controls; and,

**WHEREAS**, this change order, in the amount of \$50,731.03, brings the accumulated contract change order total to 1.8% of the original contract value and adds 127 days to the contract time; and,

**NOW, THEREFORE BE IT RESOLVED**, the approval of Change Order No. 4 for Contract 3799 is hereby ratified by the Sewerage and Water Board of New Orleans.

---

I, Ghassan Korban, Executive Director,  
Sewerage and Water Board of New Orleans,  
do hereby certify that the above and foregoing  
is a true and correct copy of a resolution adopted  
at the Regular Meeting of said Board,  
duly called and held, according to law, on  
January 20, 2021.

---

**Ghassan Korban**  
EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW ORLEANS



**Sewerage and Water Board of New Orleans  
BOARD OF DIRECTORS CONTRACTOR FACT SHEET**



**ACTION REQUESTED**

**CONTRACT CHANGE ORDER**

**Contract 3799**

Approval to modify Contract #3799 Installation of the Sludge Dryer at the East Bank Wastewater Treatment Plant, between the Sewerage and Water Board and Industrial and Mechanical Contractors (IMC), in the amount of \$3,667,900.00.

**CONTRACTOR/SUB/VENDOR INFORMATION**

|   |      | DBE PARTICIPATION |        |
|---|------|-------------------|--------|
| PRIME   | SUBS | TARGET            | ACTUAL |
| <i>Ashley Savarino Unlimited Construction</i> |      | 38.16%            | 36.70% |
| Total   |      | 38.16%            | 36.70% |

**DESCRIPTION AND PURPOSE**

|  |                       |
|--|-----------------------|
| Original Contract Value                  | \$3,667,900.00        |
| Previous Change Orders                   | \$17,017.80           |
| % Change of Contract To Date             | 0.5%                  |
| Value of Requested Change                | \$50,731.00           |
| % For This Change Order                  | 1.4%                  |
| <i>Has a NTP been Issued</i>             | <i>Yes</i>            |
| <b>Total Revised Contract Value</b>      | <b>\$3,735,648.80</b> |
| % Total Change of Contract               | 1.8%                  |
| Original Contract Completion Date        | 5/3/2020              |
| Previously Approved Extensions (Days)    | 90                    |
| Time Extension Requested (Days)          | 127                   |
| <b>Proposed Contract Completion Date</b> | <b>12/6/2020</b>      |

**Purpose and Scope of the Contract:**

*The Original SOW was to install a sludge dryer in the Solids Building at the East Bank Wastewater Treatment Plant. The sludge dryer was previously purchased in a separate contract.*

**Reason for Change:**

|  |   |   |
|--|---|---|
| Error/Omission <input checked="" type="checkbox"/> | Differing Site Condition <input type="checkbox"/> | Regulatory Requirement <input type="checkbox"/> |
| Design Change <input checked="" type="checkbox"/>  | Other <input type="checkbox"/>                    |   |

*Change Order 4: Involves the increase in a vendor's (Onspec) quote due to the project's delay of a year's time. The increase aligns with the CPI increase for the year.*



*Change Order 5: Involves a 120 day time extension due to delays concerning expansion joint RFI's and submittals. The expansion joints detailed in the specifications could not be built as described, therefore changes had to be made. An amount for overhead is also requested.*

*Change Order 6: Involves the addition of several hard-wired alarms and interlocks to the controls for the sludge dryer and its interface with the incinerator controls. These are required to ensure the safe operation and/or equipment shutdown should the computer control system experience a failure.*

**Spending to Date:**

|   |                |
|---|----------------|
| Cumulative Contract Amount (as of 10/20/2020)   | \$3,684,917.80 |
| Cumulative Contract Spending (as of 10/20/2020) | \$3,556,515.60 |

**Contractor's Past Performance:**

*The contractor's timeliness of deliverables, conformance to SWBNO policies and procedures, and quality meet expectations.*

**PROCUREMENT INFORMATION**

|  |   |                              |                        |
|--|---|------------------------------|------------------------|
| <b>Contract Type</b>                     | Base Bid  | <b>Award Based On</b>        | Lowest Competitive Bid |
| <b>Commodity</b>                         | Public Works Construction   | <b>Contract Number</b>       | 3799                   |
| <b>Contractor Market</b>                 | Public Bid with DBE participation                                   |                              |                        |
| <b>Compliance with Procurement Laws?</b> | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | <b>CMRC Date (if nec.) :</b> |                        |

**BUDGET INFORMATION**

|                   |                |                         |                  |
|-------------------|----------------|-------------------------|------------------|
| <b>Funding</b>    | CP - 348/ FEMA | <b>Department</b>       | WWTP Operations  |
| <b>System</b>     | Sewer          | <b>Project Manager</b>  | Felicia Bergeron |
| <b>Job Number</b> | 03799XXX       | <b>Purchase Order #</b> |                  |

**ESTIMATED FUND SOURCE**

| User            | Share% | Dollar Amount | Reimbursable? |
|-----------------|--------|---------------|---------------|
| Sewer System    | 100    | \$50,731.00   | No            |
| Water System    |        |               |               |
| Drainage System |        |               |               |
| <b>TOTAL</b>    |        | \$ 50,731.00  |               |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

\_\_\_\_\_  
**Felicia Bergeron**  
**WWT Superintendent**  
**WWTP Operations**



# **GENERAL SUPERINTENDENT'S RECOMMENDATIONS**

## **CONTRACT AMENDMENTS**



**AMENDMENT 4 TO AGREEMENT WITH STANLEY CONSULTANTS, INC.  
FOR DESIGN AND ENGINEERING SERVICES FOR THE BULK STORAGE  
AND CHEMICAL FEED FACILITY PROJECT**

**WHEREAS**, by action of the Sewerage and Water Board of New Orleans (Board), through the adoption of Resolution R-081-2015, an agreement was authorized with Stanley Consultants, Inc. (SCI) to perform all phases of work inclusive of preliminary design, engineering design, and construction administration and inspection; and

**WHEREAS**, Phase I consisted of the preliminary design services for the Bulk Storage and Chemical Feed Facility Project; and,

**WHEREAS**, Phase II consisted of the preparation of the design and bidding documents for this proposed facility; and

**WHEREAS**, through adoption of R-097-2018, the Board authorized additional scope of services, including the addition of electrical scope to accommodate a future construction project among other additional services; and

**WHEREAS**, through adoption of R-145-2018, the Board authorized engineering services during construction, inclusive of on-site inspection, engineering administration and project final acceptance; and,

**WHEREAS**, solicitation of bids for the facility has not been authorized by staff, requiring an extension of the Contract Times with SCI.



**NOW THEREFORE, BE IT RESOLVED**, that the President and/or President Pro Tem shall be authorized to execute the amendment to this agreement with Stanley Consultants, Inc. for the Bulk Storage and Chemical Feed Facility Project extending the contract through December 31, 2022, with no change in the contract value of \$1,558,953.20.

---

---

I, Ghassan Korban, Executive Director,  
Sewerage and Water Board of New Orleans,  
do hereby certify that the above and foregoing  
is a true and correct copy of a resolution adopted  
at the Regular Meeting of said Board,  
duly called and held, according to law, on  
January 20, 2021.

---

**Ghassan Korban,**  
EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW  
ORLEANS



**Sewerage and Water Board of New Orleans  
BOARD OF DIRECTORS CONTRACTOR FACT SHEET**



**ACTION REQUESTED**

**CONTRACT AMENDMENT  
DESIGN SERVICES FOR BULK CHEMICAL FEED FACILITY - AMENDMENT 4**

Approval to amend contract between the Sewerage and Water Board and Stanley Consultants, Inc., in the amount of \$0.

**CONTRACTOR/SUB/VENDOR INFORMATION**

|                                  |  | DBE PARTICIPATION |        |
|----------------------------------|--|-------------------|--------|
| PRIME                            | SUBS   | TARGET            | ACTUAL |
| <i>Stanley Consultants, Inc.</i> | <i>Infinity</i>                                  | 13.00%            | 10.00% |
|                                  | <i>GoTech, Inc.</i>                              | 3.00%             | 3.00%  |
|                                  | <i>The Beta Group</i>                            | 1.00%             | 1.00%  |
|                                  | <i>Marrero, Couvillion &amp; Associates, LLC</i> | 21.00%            | 12.00% |
| Total                            |  | 38.00%            | 26.00% |

**DESCRIPTION AND PURPOSE**

|  |                       |
|--|-----------------------|
| Original Contract Value                  | \$60,786.00           |
| Previous Change Orders                   | \$1,498,167.20        |
| % Change of Contract To Date             | 2464.7%               |
| Value of Requested Change                | \$0.00                |
| % For This Change Order                  | 0.0%                  |
| <i>Has a NTP been Issued</i>             | <i>No</i>             |
| <b>Total Revised Contract Value</b>      | <b>\$1,558,953.20</b> |
| % Total Change of Contract               | 2464.7%               |
| Original Contract Completion Date        | 6/26/2021             |
| Previously Approved Extensions (Days)    | 0                     |
| Time Extension Requested (Days)          | 553                   |
| <b>Proposed Contract Completion Date</b> | <b>12/31/2022</b>     |

**Purpose and Scope of the Contract:**

*Stanley Consultants, Inc. was contracted with a phased approach to provide preliminary engineering analysis, design services, and construction administration of a Bulk Chemical Storage and Feed Facility for the Carrollton Water Treatment Plant.*

*This construction would consolidate all the chemicals that the SWB uses to purify the river water into one facility with storage capacity as required by the Louisiana Department of Health.*

*Phase 1 - \$60,786.00 - Preliminary Engineering Analysis - Allowed the consultant to scope the site and present alternatives to SWB Staff to select for a final design.*

*Phase 2 - \$638,478.00 + \$244,823.00 - Design Services - Consisted of the design from inception to 95% design.*

*Phase 3 - \$614,866.20 - Construction Services - Future construction management and administration during the Future Construction Contract 1391.*

**Reason for Change:**

|   |   |   |
|---|---|---|
| Error/Omission <input type="checkbox"/> | Differing Site Condition <input type="checkbox"/> | Regulatory Requirement <input type="checkbox"/> |
| Design Change <input type="checkbox"/>  | Other <input checked="" type="checkbox"/>         |   |

*Due to the construction's \$10,000,000 cost estimate, Contract 1391 has not been authorized for solicitation of bids. As such, this consulting contract has effectively been put on hold. This amendment would extend the contract times until the end of 2022 to*



allow for the completion of design and construction should funding become available.

**Spending to Date:**

|   |                |
|---|----------------|
| Cumulative Contract Amount (as of 1/1/2020)   | \$1,558,953.20 |
| Cumulative Contract Spending (as of 1/1/2020) | \$967,507.05   |

**Contractor's Past Performance:**

*Detail Contractor Performance here*

**PROCUREMENT INFORMATION**

|                                   |   |                      |                |
|-----------------------------------|---|----------------------|----------------|
| Contract Type                     | Level of Effort   | Award Based On       | Qualifications |
| Commodity                         | Design Services   | Contract Number      | N/A            |
| Contractor Market                 | Public Bid with DBE participation                                   |                      |                |
| Compliance with Procurement Laws? | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | CMRC Date (if nec.): | 12/10/2020     |

**BUDGET INFORMATION**

|            |        |                  |                        |
|------------|--------|------------------|------------------------|
| Funding    | CP 156 | Department       | Mechanical Engineering |
| System     | Water  | Project Manager  | Chris Bergeron         |
| Job Number | A1182  | Purchase Order # | PG2019 60000059        |

**ESTIMATED FUND SOURCE**

| User            | Share%  | Dollar Amount | Reimbursable? |
|-----------------|---------|---------------|---------------|
| Sewer System    | 100.00% |               | No            |
| Water System    |         | \$ -          |               |
| Drainage System |         | \$ -          |               |
| <b>TOTAL</b>    |         | \$ -          |               |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

*Chris Bergeron*  
*Mechanical Engineering*



**AUTHORIZATION OF AMENDMENT NO. 6 TO THE AGREEMENT BETWEEN THE SEWERAGE AND WATER BOARD OF NEW ORLEANS AND DIGITAL ENGINEERING & IMAGING, INC. FOR DESIGN AND ENGINEERING SERVICES FOR THE WATER LINE REPLACEMENT PROGRAM**

**WHEREAS**, the SEWERAGE AND WATER BOARD OF NEW ORLEANS (“Board”) and Digital Engineering & Imaging, Inc. (“Consultant”) are parties to that certain Agreement dated January 10, 2013 (the “Original Agreement”), as amended by Amendment No. 1 dated September 17, 2014, Amendment No. 2 dated July 1, 2020, and Amendment No. 3 dated August 3, 2020, Amendment 4 dated September 30, 2020 and Amendment 5 approved November 18, 2020) (as amended, the “Current Agreement”); and

**WHEREAS**, the Original Agreement engaged Consultant to provide engineering and design services for the Water Line Replacement Program for the Hollygrove and Gert Town neighborhoods, design and inspection services of repair or replacement of water lines damaged by Katrina as approved and funded by FEMA PWs for the City Department of Public Works; and

**WHEREAS**, Amendment 1 added program/project management and design/inspection services of repair or replacement of street drainage, with compensation at a percentage of construction costs, not to exceed 10% and that the fees, as defined in the original agreement, should be based on the amounts FEMA approved on PWs for design and construction inspection; and

**WHEREAS**, Amendment 2 included additional design services within the scope of services to be provided, deleted any future program/project management services from the scope of services and deleted all unaccrued program/project management services fees, incorporated federally - required provisions for FEMA compliance, established a contract expiration date of June 30, 2023, and increased the compensation by \$411,556.85 to a maximum compensation not to exceed \$798,171.24; and

**WHEREAS**, Amendment 3 added engineering design services for RR015 BW Cooper, Gert Town, Dixon Group B with fees in the amount of \$184,080.40 (for a total maximum compensation of \$982,251.64; and

**WHEREAS**, Amendment 4 updated survey fees, additional Construction Administration and Resident Inspection services in RR015 BW Cooper, Gert Town, and Dixon Group B at fees not to exceed \$108,150.70 and Construction Administration and Resident Inspection services in RR062 Hollygrove Group B at fees not to exceed \$133,263.60 for a total maximum compensation of \$1,223,665.94; and



**WHEREAS**, Amendment 5 provided construction and inspection services for RR064 Hollygrove Group D for a total not to exceed fee \$70,950.60 for a total maximum compensation of \$1,294,616.54; and

**WHEREAS**, the Board is in need of design, construction and inspection services for TM005 Eden, Grape, and S Claiborne @ Third St Transmission Main and RR064 Hollygrove Group D projects and the Consultant is willing to perform these services for a total not to exceed fee \$821,769.88 for a total maximum compensation of \$2,116,386.42.

**NOW THEREFORE, BE IT RESOLVED**, that the President or President Pro Tem of the Sewerage and Water Board of New Orleans is hereby authorized to execute on behalf of the Sewerage and Water Board of New Orleans Amendment No. 6 with Digital Engineering & Imaging, Inc., to include design, construction and inspection services for TM005 Eden, Grape, and S Claiborne @ Third St Transmission Main and RR064 Hollygrove Group D projects and the Consultant is willing to perform these services for a total not to exceed fee \$821,769.88 for a total maximum compensation of \$2,116,386.42.

---

I, Ghassan Korban, Executive Director,  
Sewerage and Water Board of New Orleans,  
do hereby certify that the above and foregoing  
is a true and correct copy of a Resolution adopted  
at the Regular Monthly Meeting of said Board,  
duly called and held, according to law, on  
January 20, 2021.

---

**Ghassan Korban,**  
EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW ORLEANS



**Sewerage and Water Board of New Orleans**  
**BOARD OF DIRECTORS PROFESSIONAL SERVICES FACT SHEET**



**ACTION REQUESTED**

**Amendment to Professional Engineering Services Agreement**  
**Digital Engineering & Imaging, Inc. WLRP Agreement**

Request authorization for Amendment No.6 to our WLRP Agreement for Projects TM005 Eden, Grape, and S Claiborne @ Third St Transmission Main Project and RR065 Hollygrove Group E and in the total amount not to exceed \$821,769.88.

**CONTRACTOR/SUB/VENDOR INFORMATION**

|  |                                    | DBE PARTICIPATION |        |
|--|------------------------------------|-------------------|--------|
| PRIME  | SUBS                               | TARGET            | ACTUAL |
| <i>Digital Engineering &amp; Imaging, Inc.</i> | <i>Royal Engineering &amp; ...</i> | 40.00%            | 0.00%  |
|  | <i>APS</i>                         |                   | 7.76%  |
|  | <i>The Beta Group</i>              |                   | 15.71% |
| Total  |                                    | 40.00%            | 23.47% |

**DESCRIPTION AND PURPOSE**

|  |                          |
|--|--------------------------|
| Original Contract - Not to Exceed 18% Cost of Amendments 1-5 | \$0.00<br>\$1,294,616.54 |
| Value of Requested Amendment                                 | \$821,769.88             |
| <i>Has a NTP been Issued</i>                                 | <i>No</i>                |
| <b>Total Revised Contract Value</b>                          | <b>\$2,116,386.42</b>    |
| Original Contract Completion Date                            | 12/30/2022               |
| Previously Approved Extensions (Days)                        | 182                      |
| Time Extension Requested (Days)                              | 0                        |
| <b>Proposed Contract Completion Date</b>                     | <b>6/30/2023</b>         |

**Purpose and Scope of the Contract:**

*Per R-052-2012 on 3/15/2012 an agreement for Water Line Replacement Program (WLRP) engineering services for the following neighborhoods – Hollygrove and Gert Town was executed 1/10/2013. This WLRP Agreement is FEMA reimbursable. Construction will be reimbursed through the FEMA Project Worksheet (PW) 21031 The Settlement. Design is being reimbursed through PW 20752 Holly Grove, PW 20753 Gert Town, PW 20694 Central City and PW 21031 The Settlement.*

**Reason for Change:**

|                  |                          |                        |
|------------------|--------------------------|------------------------|
| Negotiate Fees X | Differing Site Condition | Regulatory Requirement |
| Design Change    | Other - X - Enhanced TM  |                        |

*Amendment No.6 is required to capture negotiated fees for the enhanced TM005 Eden, Grape, and S Claiborne @ Third St Transmission Main Project NTE \$741,542.58 ( Basic Services (design, bidding, construction admin and Record Drawings) \$518,312, Survey \$42,270.58 and resident inspection @ \$87 per hour not to Exceed \$180,960.) and capture negotiated fees for Basic Services and resident inspection for project RR065 Hollygrove Group E not to Exceed \$80,227.30. Future amendments are needed for 3rd Future amendments are needed for 3rd Wave (RR016, RR017, RR063) and 4th Wave (RR018, RR019, RR066) Projects.*

**Spending to Date:**

|   |                |
|---|----------------|
| Cumulative Contract Amount (as of 12/17/2020)   | \$1,294,616.54 |
| Cumulative Contract Spending (as of 12/11/2020) | \$520,102.46   |



**Contractor's Past Performance:**

*The designer's timeliness of deliverables, conformance to SWBNO policies, procedures, and quality meet expectations. Targeted DBE participation is promised by Resident Inspection services during Construction.*

**PROCUREMENT INFORMATION**

|  |                                   |                              |                        |
|--|-----------------------------------|------------------------------|------------------------|
| <b>Contract Type</b>                     | Professional Services             | <b>Award Base</b>            | Qualified List         |
| <b>Commodity</b>                         | Public Works Construction         | <b>Name &amp; FEMA PW</b>    | WLRP & 21031           |
| <b>Contractor Market</b>                 | Public RFQ with DBE participation |                              |                        |
| <b>Compliance with Procurement Laws?</b> | Yes                      No       | <b>CMRC Date (if nec.) :</b> | 12/3/2020 & 12/17/2020 |

**BUDGET INFORMATION**

|                   |                       |                         |                         |
|-------------------|-----------------------|-------------------------|-------------------------|
| <b>Funding</b>    | CP 175-13 & CP 317-06 | <b>Department</b>       | JIRR                    |
| <b>System</b>     | Water & Sewer         | <b>Project Manager</b>  | Er.Rockwell PM Carriere |
| <b>Job Number</b> | A1348FEM & C1399XXX   | <b>Purchase Order #</b> | PCCG192040236           |

**ESTIMATED FUND SOURCE**

| User            | Share% | Dollar Amount | Reimbursible?     |
|-----------------|--------|---------------|-------------------|
| Sewer System    | 10%    | 28,881.83     | WIFIA Loan - 100% |
| Water System    | 90%    | \$ 792,888.05 | FEMA - 100%       |
| Drainage System |        |               |                   |
| <b>TOTAL</b>    |        | \$ 821,769.88 |                   |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

\_\_\_\_\_  
 Mark D. Van Hala, P.E.  
 Program Administrator  
 Joint Infrastructure Recovery Request



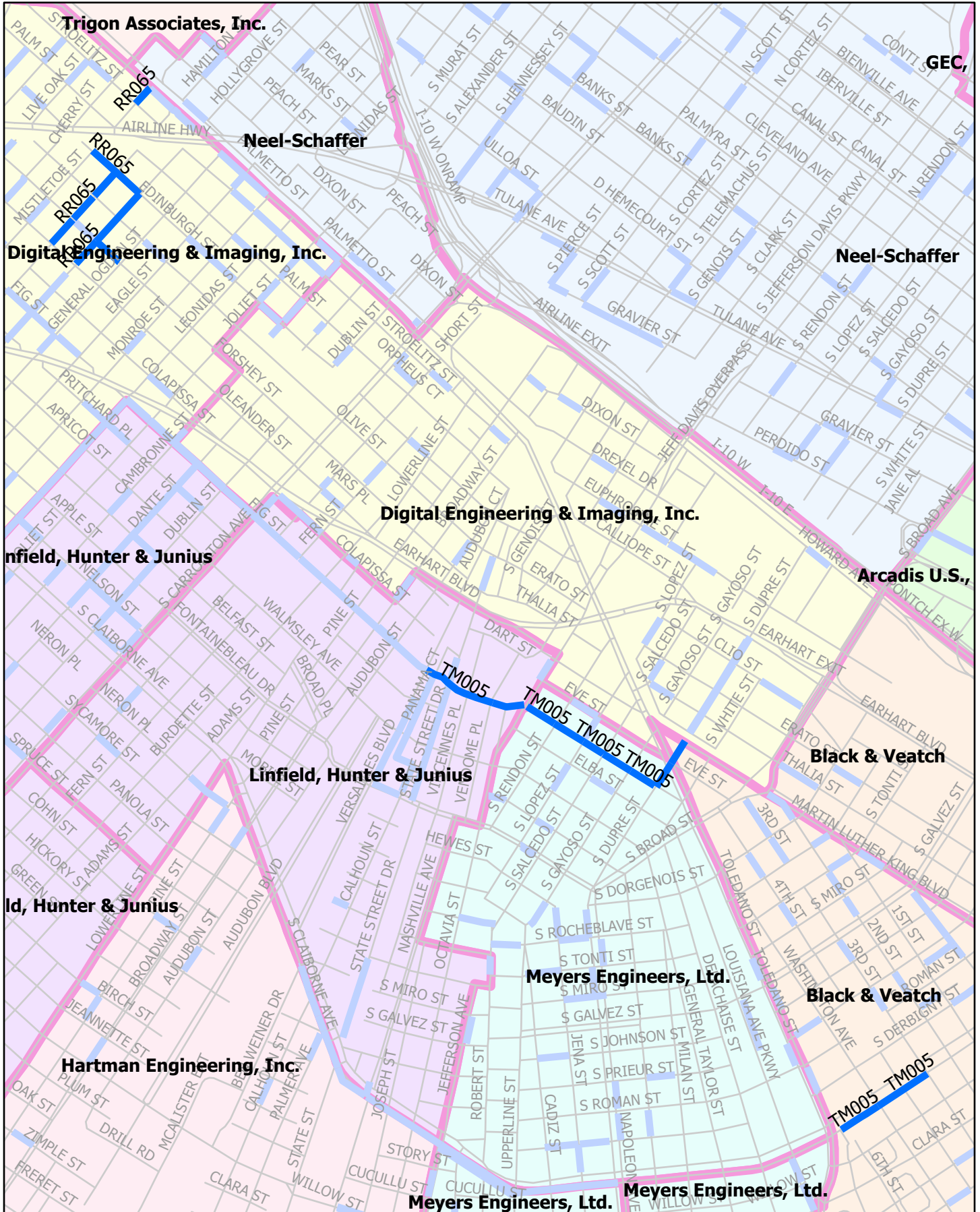
# Digital Engineering and Imaging, Inc.

## RR065 & TM005

■ FEMA Water Line Replacement RR065 & TM005

■ FEMA Water Line Replacement (Other Projects)

N





**AUTHORIZATION OF CONTRACT AMENDMENT NO. 7 TO THE AGREEMENT BETWEEN THE SEWERAGE AND WATER BOARD OF NEW ORLEANS AND LINFIELD, HUNTER & JUNIUS, INC., FOR DESIGN AND ENGINEERING SERVICES FOR THE WATERLINE REPLACEMENT PROGRAM**

**WHEREAS**, pursuant to Resolution R-042-2012 approved March 15, 2012, **THE SEWERAGE AND WATER BOARD OF NEW ORLEANS** (Board) and **LINFIELD, HUNTER & JUNIUS, INC.**, (Consultant) executed an agreement dated September 10, 2012, for Consultant to provide engineering and design services for the Water Line Replacement Program (WLRP) for the Leonidas, Marlyville-Fountainbleau, East Carrollton and Black Pearl neighborhoods (the “Original Agreement”); and

**WHEREAS**, the fee under the Original Agreement was not to exceed 18% of the construction cost and the Consultant provided a DBE participation summary; and

**WHEREAS**, pursuant to Resolution R-161-2014 on August 20, 2014, the Board and Contractor executed Amendment No. 1 to the Original Agreement (as amended, the “Agreement”), adding program/project management services, design and inspection services for repair or replacement of water lines damaged by Katrina as approved and funded by FEMA PWs for the City Department of Public Works, and payment of fees therefor; and

**WHEREAS**, the fee under Amendment No. 1 was not to exceed 10% of the construction cost; and

**WHEREAS**, pursuant to Resolution R-007-2020 on January 22, 2020, the Board and Contractor executed Amendment No. 2, amending the Agreement to delete any future program/project management services and all unaccrued program/project management services fees, to include engineering construction services in the RR009 Black Pearl, East Carrollton Group A and RR118 Marlyville-Fontainebleau Group C at a fee not to exceed \$26,274.82 (for a total fee not to exceed \$813,913.28) and to establish a contract expiration date of June 30, 2023; and

**WHEREAS**, the Board was in need of additional engineering construction services in projects RR008 Black Pearl Group B and RR009 Black Pearl, East Carrollton Group A, and RR118 Marleyville Fontainebleau Group C at a fee not to exceed \$119,651.11 (for a total fee not to exceed \$933,564.39) and executed Amendment No. 3 on July 20, 2020; and

**WHEREAS**, the Board needed surveying, geotechnical, design and engineering construction service fees for RRTM006 Leonidas/Fig Transmission Main Project and the Board authorized Amendment No. 4 on June 17, 2020 to the WLRP Agreement with the Consultant for these described services for fee not to exceed \$832,977.91, and a total contract fee not to exceed \$1,766,542.30; and



**WHEREAS**, the Board needed bidding, construction administration, record drawings and resident inspection for RR097 Leonidas Group A; and the Consultant was willing to perform the described services for fee not to exceed \$83,608.00, and the Board Authorized Amendment No. 5 on September 24, 2020 to the WLRP Agreement with the Consultant for these described services for fee not to exceed \$83,608.9100 and a total contract fee not to exceed \$1,850,150.30; and

**WHEREAS**, the Board needed bidding, construction administration, record drawings and resident inspection for RR098 Leonidas Group C and RR099 Leonidas Group D; and the Consultant was willing to perform the described services for fee not to exceed \$275,838.00, and \$275,838.00 was available in the WLRP Agreement, and the Board Authorized Amendment No. 6 on November 18, 2020 to the WLRP Agreement with the Consultant for these described services for fee not to exceed \$275,838.00 and a total contract fee not to exceed \$1,850,150.30; and

**WHEREAS**, the Board is need of surveying, geotechnical, design, bidding, construction administration, record drawings and resident inspection for TM009 Spruce Transmission Main; and

**WHEREAS**, the Consultant is willing to perform the described services for fee not to exceed \$356,951.00; and

**NOW, THEREFORE BE IT RESOLVED, that** the President or President Pro Tem of the Sewerage and Water Board is hereby authorized to execute on behalf of the Sewerage and Water Board of New Orleans Contract Amendment No. 7 to the existing agreement with Linfield, Hunter and Junius, Inc. to include engineering design and construction services for TM009 Spruce Transmission Main; for fee not to exceed \$356,951.00 for a total contract fee not to exceed \$2,207,101.30.

---

I, Ghassan Korban, Executive Director,  
Sewerage and Water Board of New Orleans,  
do hereby certify that the above and foregoing  
is a true and correct copy of a resolution adopted  
at the Regular Meeting of said Board,  
duly called and held, according to law, on  
January 20, 2021.

---

**Ghassan Korban**  
**EXECUTIVE DIRECTOR**  
**SEWERAGE AND WATER BOARD OF NEW ORLEANS**







Cumulative Contract Spending (as of 11/18/2020)

\$483,808.05

**Contractor's Past Performance:**

*The designer's timeliness of deliverables, conformance to SWBNO policies and procedures, quality meet expectations. To date the consultant has achieved a DBE participation rate of 33.25% of the 35% goal. Remaining DBE participation will be met by Resident Inspection Services during Construction.*

**PROCUREMENT INFORMATION**

|  |   |                              |                |
|--|---|------------------------------|----------------|
| <b>Contract Type</b>                     | Professional Services   | <b>Award Based On</b>        | Qualified List |
| <b>Commodity</b>                         | Public Works Construction   | <b>Name &amp; FEMA PW</b>    | WLRP & 21031   |
| <b>Contractor Market</b>                 | Public RFQ with DBE participation                                   |                              |                |
| <b>Compliance with Procurement Laws?</b> | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | <b>CMRC Date (if nec.) :</b> | 12/17/2020     |

**BUDGET INFORMATION**

|                   |           |                         |                     |
|-------------------|-----------|-------------------------|---------------------|
| <b>Funding</b>    | CP 175-13 | <b>Department</b>       | JIRR                |
| <b>System</b>     | Water     | <b>Project Manager</b>  | Norman Rockwell, PE |
| <b>Job Number</b> | A1369FEM  | <b>Purchase Order #</b> | PG20196000146       |

**ESTIMATED FUND SOURCE**

| User            | Share% | Dollar Amount | Reimbursible? |
|-----------------|--------|---------------|---------------|
| Sewer System    | 100%   |               | FEMA - 100%   |
| Water System    |        | \$356,951.00  |               |
| Drainage System |        |               |               |
| <b>TOTAL</b>    |        | \$356,951.00  |               |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

\_\_\_\_\_  
Mark D. Van Hala, P.E.

Program Administrator

Joint Infrastructure Recovery Request

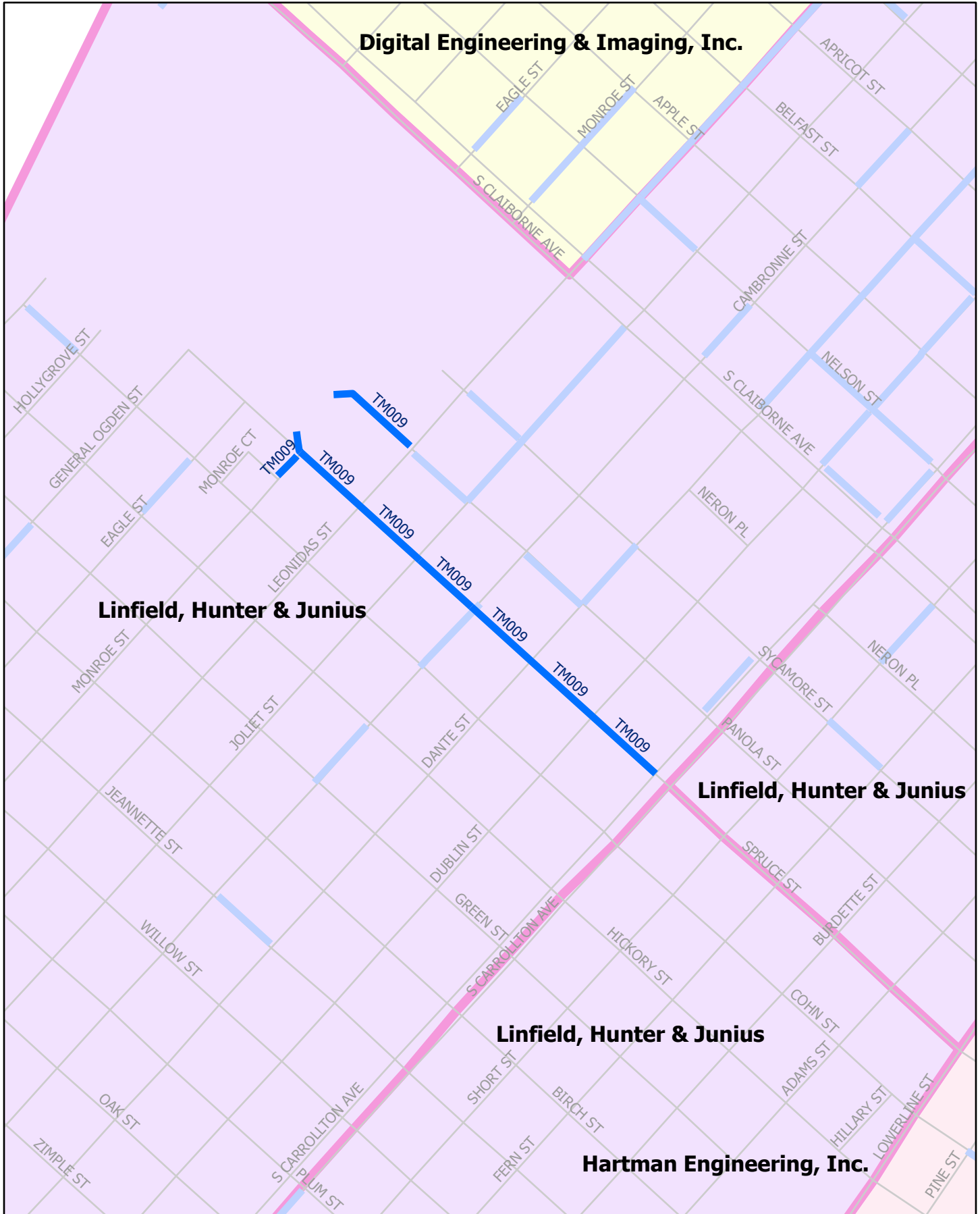


# Linfield, Hunter & Junius, Inc.

## TM009

■ FEMA Water Line Replacement TM009

■ FEMA Water Line Replacement (Other Projects)





**AUTHORIZATION OF CONTRACT AMENDMENT NO. 8 TO THE AGREEMENT BETWEEN THE SEWERAGE AND WATER BOARD OF NEW ORLEANS AND MEYER ENGINEERS, LTD., FOR DESIGN AND ENGINEERING SERVICES FOR THE WATERLINE REPLACEMENT PROGRAM**

**WHEREAS**, by Resolution R-214–2011, adopted at its December 2011 meeting, the SEWERAGE AND WATER BOARD OF NEW ORLEANS (“Board”) approved a list of engineering and consulting firms, including MEYER ENGINEERS, LTD. (“Consultant”), to provide engineering and design services for the Water Line Replacement Program (WLRP); and

**WHEREAS**, by Resolution R-001-2012 approved January 18, 2012, the Board authorized execution of a contract with Consultant to provide WLRP engineering and design services the Broadmoor, Freret and Milan neighborhoods; and

**WHEREAS**, by Resolution R-033-2012 approved March 21, 2012, the Board authorized adding the Holy Cross and Lower Ninth Ward (LNW) neighborhoods to the contract with Consultant; and

**WHEREAS**, pursuant to Resolutions R-001-2012 and R-033-2012 the Board and Consultant entered into a Professional Services Agreement dated May 7, 2012(the “Original Agreement” with compensation based on a percentage of construction costs; and

**WHEREAS**, by Resolution R-143-2012, approved August 15, 2012, the Board authorized amendment of the Original Agreement to provide for compensation for surveying services to be billed in accordance with the prevailing FEMA recommended policy (not to exceed \$7.00 per linear foot in 2012, which includes Consultant’s mark-up on the direct cost of surveying); and

**WHEREAS**, pursuant to Resolution R-143-2012, the Board and Consultant executed an Amendment to the Original Agreement, dated September 24, 2012 (“Amendment No. 1”); and

**WHEREAS**, by Resolution R-162-2014 adopted August 20, 2014, the Board authorized amendment of the Agreement to include program/project management services, and to provide that the fees for the new and original scope of work, including drain lines shall reflect the FEMA Project Worksheets (PWs); and

**WHEREAS**, pursuant to Resolution R-162-2014 the Board and Consultant executed Amendment No. 2 on September 17, 2014; and

**WHEREAS**, by R-178-2019 adopted at its meeting on November 20, 2019, the Board authorized execution of Amendment No. 3 to the Agreement for additional services for RR050 Freret Group A, RR103 LNW NE Group A RR108, LNW NW Group A, RR129 Milan Group A, RR104 LNW NE Group B, RR109 LNW NW Group B, RR112 LNW South Group A, RR010- Broadmoor Group A and TM003A Broadmoor/ Freret neighborhoods, additional fees of \$805,853.36, establishing a total fee of \$2,570,520.14, and setting a contract expiration date of May 30, 2022; Amendment No. 3 was executed on February 26, 2020; and

**WHEREAS**, by R-030-2020 adopted at its meeting on April 22, 2020, the Board authorized execution of Amendment No. 4 to the Agreement for engineering services for RR104 Lower Ninth Ward Northeast Group B, RR112 Lower Ninth Ward South Group A, RR129 Milan Group A, RR050 Freret Group A, RR010 Broadmoor Group A, and RR011 Broadmoor Group C in the amount of \$422,255.00, establishing a total not to exceed fee of \$2,992,775.14; and



**WHEREAS**, by R-069-2020 adopted at its meeting on July 22, 2020, the Board authorized execution of Amendment No. 5 to the Agreement for engineering services RR012 Broadmoor Group D, R013 Broadmoor Group E, RR111 LNW Northwest Group D, RR110 LNW Northwest Group C, RR115 LNW South Group E and the Consultant has agreed to provide same for fees in the amount of \$250,901.00, establishing a total not to exceed fee of \$3,243,676.14; and ;

**WHEREAS**, by R-103-2020 adopted at its meeting on September 24, 2020, the Board authorized execution of Amendment No. 7 to the Agreement for engineering services for RR105 Lower Ninth Ward Northeast Group C, RR106 Lower Ninth Ward Northeast Group D, and RR107 Lower Ninth Ward Northeast Group E and the Consultant has agreed to provide same for fees in the amount of \$191,666.00 and the existing agreement has funds in the amount of \$191,666.00 in the WLRP neighborhoods which are available to transfer to these projects and the total maximum compensation will remain \$3,243,676.14; and

**WHEREAS**, by R-115-2020 adopted at its meeting on September 24, 2020, the Board authorized execution of Amendment No. 8 to the Agreement for engineering services for RR107 LNW Northeast Group E, RR113 LNW South Group C, RR114 LNW South Group D: Final Design, and RR115 LNW South Group E, RR012 Broadmoor Group D, RR013 Broadmoor Group E, RR110 LNW Northwest Group C, RR050 Freret Group A, RR112 LNW South Group A and TM003 Claiborne (Audubon to Napoleon) Transmission Main and the Consultant has agreed to provide same for fees in the amount of \$778,690.86;

**WHEREAS**, the Board now has need of engineering design and construction services for RR105 LNW Northeast Group C RR106 LNW Northeast Group D RR111 LNW Northwest Group D and the Consultant has agreed to provide same for fees in the amount of \$354,000.

**NOW THEREFORE, BE IT RESOLVED**, that the President or President Pro Tem of the Sewerage and Water Board is hereby authorized to execute on behalf of the Sewerage and Water Board of New Orleans Contract Amendment No. 8 with Meyer Engineers, Ltd., to include design and construction services for RR105 LNW Northeast Group C, RR106 LNW Northeast Group D and RR111 LNW Northwest Group D and the Consultant has agreed to provide same for fees in the amount of \$354,000.and the total maximum compensation will not exceed \$4,376,367.00.

---

I, Ghassan Korban, Executive Director,  
Sewerage and Water Board of New Orleans,  
do hereby certify that the above and foregoing  
is a true and correct copy of a Resolution adopted  
at the Regular Monthly Meeting of said Board,  
duly called and held, according to law, on  
January 20, 2021.

---

**Ghassan Korban,**  
EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW ORLEANS



**Sewerage and Water Board of New Orleans**  
**BOARD OF DIRECTORS PROFESSIONAL SERVICES FACT SHEET**



**ACTION REQUESTED**

**Amendment to Professional Engineering Services Agreement**  
**Meyer Engineers, Ltd. WLRP Agreement**

Request authorization for Amendment No.8 to our WLRP Agreement for Projects RR105 Lower Ninth Ward (LNW) Northeast Group C RR106 LNW Northeast Group D RR111 LNW Northwest Group D in an amount not to exceed \$354,000.

**CONTRACTOR/SUB/VENDOR INFORMATION**

|                              |   | DBE PARTICIPATION |        |
|------------------------------|---|-------------------|--------|
| PRIME                        | SUBS  | TARGET            | ACTUAL |
| <i>Meyer Engineers, Ltd.</i> | <i>Royal Engineering &amp; Consultants, LLC</i> | 35.00%            | 12.15% |
|                              | <i>APS</i>                                      |                   | 2.15%  |
| Total                        |   | 35.00%            | 14.30% |

**DESCRIPTION AND PURPOSE**

|  |                       |
|--|-----------------------|
| Original Contract - Not to Exceed 18% Cost of Construction |                       |
| Amendments 1-7   | \$4,022,367.00        |
| Value of Requested Amendment                               | \$354,000.00          |
| <i>Has a NTP been Issued</i>                               | <i>No</i>             |
| <b>Total Revised Contract Value</b>                        | <b>\$4,376,367.00</b> |
| Original Contract Completion Date                          | 5/30/2022             |
| Previously Approved Extensions (Days)                      | 396                   |
| Time Extension Requested (Days)                            | 0                     |
| <b>Proposed Contract Completion Date</b>                   | <b>6/30/2023</b>      |

**Purpose and Scope of the Contract:**

*Our WLRP agreement with Meyer Engineers, Ltd. provides engineering services for the Joint Infrastructure Recovery Request (JIRR) program in coordination with the City of New Orleans (CNO) Recovery Roads (RR) Program for the Broadmoor, Freret, Milan, Holy Cross, and Lower Ninth Ward (LNW) neighborhoods. Our WLRP agreement with Meyer Engineers, Ltd. is a FEMA reimbursable agreement. FEMA will reimburse our engineering construction services through the FEMA Settlement, PW 21031 and PW19846 and the design services from PW20531, PW20679, PW 21031 and PW1984.*

**Reason for Change:**

|  |                          |                        |
|--|--------------------------|------------------------|
| Negotiate Fees <input checked="" type="checkbox"/> | Differing Site Condition | Regulatory Requirement |
| Design Change                                      | Other _____              |                        |

*Amendment No.8 provides negotiated engineering design and construction services fees for Resident Inspection for Projects RR105 Lower Ninth Ward (LNW) Northeast Group C not to exceed (NTE) \$69,000, RR106 LNW Northeast Group D NTE \$240,000.00, RR111 LNW Northwest Group D \$45,000.00 in an amount not to exceed \$354,000. Additional amendment(s) are not anticipated.*

**Spending to Date:**

|   |                |
|---|----------------|
| Cumulative Contract Amount (as of 12/21/2020)   | \$4,022,367.00 |
| Cumulative Contract Spending (as of 12/11/2020) | \$1,324,163.84 |



**Contractor's Past Performance:**

The designer's timeliness of deliverables, conformance to SWBNO policies, procedures, and quality meet expectations. Targeted BE participation is promised by Resident Inspection services during Construction.

|                                |
|--------------------------------|
| <b>PROCUREMENT INFORMATION</b> |
|--------------------------------|

|  |                                   |                              |                       |
|--|-----------------------------------|------------------------------|-----------------------|
| <b>Contract Type</b>                     | Professional Services             | <b>Award Based On</b>        | Qualified List        |
| <b>Commodity</b>                         | Public Works Construction         | <b>Name &amp; FEMA PW</b>    | WLRP & Donors & 21031 |
| <b>Contractor Market</b>                 | Public RFQ with DBE participation |                              |                       |
| <b>Compliance with Procurement Laws?</b> | Yes    X                      No  | <b>CMRC Date (if nec.) :</b> | 12/17/2020            |

|                           |
|---------------------------|
| <b>BUDGET INFORMATION</b> |
|---------------------------|

|                   |                       |                         |                       |
|-------------------|-----------------------|-------------------------|-----------------------|
| <b>Funding</b>    | CP 175-13 & CP 317-06 | <b>Department</b>       | JIRR                  |
| <b>System</b>     | Water & Sewer         | <b>Project Manager</b>  | PM Chantrell Carriere |
| <b>Job Number</b> | A1348FEM & C1399XXX   | <b>Purchase Order #</b> | PG20206000054         |

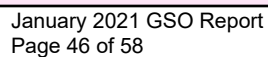
|                              |
|------------------------------|
| <b>ESTIMATED FUND SOURCE</b> |
|------------------------------|

| User            | Share% | Dollar Amount | Reimbursible?              |
|-----------------|--------|---------------|----------------------------|
| Sewer System    | 13%    | \$45,000.00   | WIFIA - 100%<br>FEMA -100% |
| Water System    | 87%    | \$309,000.00  |                            |
| Drainage System |        |               |                            |
| <b>TOTAL</b>    |        | \$ 354,000.00 |                            |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

\_\_\_\_\_  
 Mark D. Van Hala, P.E.  
 Program Administrator  
 Joint Infrastructure Recovery Request







**AUTHORIZATION OF AMENDMENT NO. 7 TO THE AGREEMENT BETWEEN THE SEWERAGE AND WATER BOARD OF NEW ORLEANS AND RAHMAN AND ASSOCIATES, INC. FOR ENGINEERING AND DESIGN SERVICES FOR THE WATERLINE REPLACEMENT PROGRAM**

**WHEREAS**, the **SEWERAGE AND WATER BOARD OF NEW ORLEANS** (“Board”) and **RAHMAN AND ASSOCIATES, INC.** (Consultant) are parties to an original agreement dated March 13, 2012, authorized by Resolution R-020-2012 approved February 15, 2012, for Consultant to provide engineering and design services for the Water Line Replacement Program (WLRP) for the Lakeshore-Lake Vista, Lake Terrace & Oaks, and Filmore neighborhoods(Original Agreement); and

**WHEREAS**, the fee under the original agreement was not to exceed 18% of the cost of construction with duration until construction of the project was complete; and

**WHEREAS**, the Board by Resolution R-146-2012 approved on August 15, 2012 authorizing Amendment 1 to the Original Agreement to provide for compensation for surveying services at a rate not to exceed \$7 per linear foot in 2012; and,

**WHEREAS**, pursuant to Resolution R-146-2012, the Board and Consultant executed Amendment No. 1 dated October 1, 2012; and,

**WHEREAS**, by Resolution R-166-2014 approved on August 14, 2014, the Board authorized Amendment 2 the Agreement to include program/project management services, design and inspection services of repair or replacement of drain lines damaged by Katrina as approved and funded by FEMA PWs for the City Department of Public Works, and payment of fees therefor; and,

**WHEREAS**, pursuant to Resolution R-166-2014 the Board and Consultant executed Amendment 2, dated September 17, 2014;; and,

**WHEREAS**, by Resolution R-086-2019 approved on August 21, 2019, the Board authorized Amendment 3 the Agreement to include engineering services fees for RR037, RR072, RR073, to provide for fixed compensation rather than based on percentage of construction costs, to remove project/program management work from its scope and reduce the costs accordingly, and to established a contract expiration date of November 30, 2021; and

**WHEREAS**, pursuant to Resolution R-086-2019 the Board and Consultant executed Amendment 3 on April 1, 2020; and



**WHEREAS**, by Resolution R-063-2020 approved on May 20, 2020, authorized Amendment 4 to the Agreement to include engineering service fees for RR037 Filmore North Group A, RR038 Filmore North Group B, RR042 Filmore South Group A, RR043 Filmore South Group B, RR069 Lake Terrace & Oaks Group A, RR072 Lake Terrace & Oaks Group D, RR073 Lake Vista Group A, and DPW582 Oak Park Drainage in a not to exceed amount of \$390,265.69 and extend the contract end date to June 30, 2023; and the Board and Consultant executed Amendment 4 on July 28,2020; and

**WHEREAS**, the Board by Resolution R-093-2020 approved on August 19, 2020, authorized Amendment 5 to establish engineering services fees for RR077 Lake Vista Group E and RR074 Lake Vista Group B in a not to exceed amount of \$222,153.18; and the Board and Consultant executed Amendment 5 on October 12,2020; and

**WHEREAS**, the Board by Resolution R-126-2020 approved on November 18, 2020, the Board authorized Amendment 6 to establish engineering services fees for RR075 Lake Vista Group C in a not to exceed amount of \$59,121.96; and

**WHEREAS**, the Board is in need of engineering construction services for the RR070 Lake Terrace & Oaks Group B, RR071 Lake Terrace & Oaks Group C, RR080 Lakeshore Group C, RR081 Lakeshore Group D, and RR082 Lakeshore Group E projects; and

**WHEREAS**, the Consultant is willing to perform same for \$681,326.25, and a total fee not to exceed \$3,003,134.70.

**NOW, THEREFORE BE IT RESOLVED**, that the President or the President Pro Tem be and is hereby authorized to execute on behalf of the Sewerage and Water Board of New Orleans Contract Amendment No. 7 to the existing agreement with Rahman & Associates for engineering services for RR070 Lake Terrace & Oaks Group B, RR071 Lake Terrace & Oaks Group C, RR080 Lakeshore Group C, RR081 Lakeshore Group D, and RR082 Lakeshore Group E projects at a fee not to exceed \$681,326.25, and a total fee not to exceed \$3,003,134.70.

---

I, Ghassan Korban, Executive Director,  
Sewerage and Water Board of New Orleans,  
do hereby certify that the above and foregoing  
is a true and correct copy of a resolution adopted  
at the Regular Meeting of said Board,  
duly called and held, according to law, on  
January 20, 2021.

---

**Ghassan Korban,**  
EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW ORLEANS



**Sewerage and Water Board of New Orleans**  
**BOARD OF DIRECTORS PROFESSIONAL SERVICES FACT SHEET**



**ACTION REQUESTED**

**Amendment to Professional Engineering Services Agreement**  
**Rahman and Associates, Inc. WLRP Agreement**

Request authorization to process WLRP Agreement Amendment No. 7 for RR070 Lake Terrace & Oaks Group B, RR071 Lake Terrace & Oaks Group C, RR080 Lakeshore Group C, RR081 Lakeshore Group D, RR082 Lakeshore Group E in the not to exceed amount of \$681,326.25

**CONTRACTOR/SUB/VENDOR INFORMATION**

|                                    |                                  | DBE PARTICIPATION |        |
|------------------------------------|----------------------------------|-------------------|--------|
| PRIME                              | SUBS                             | TARGET            | ACTUAL |
| <i>Rahman and Associates, Inc.</i> | <i>C&amp;S Consultants, Inc.</i> | 40.00%            | 42.28% |
| Total                              |                                  | 40.00%            | 42.28% |

**DESCRIPTION AND PURPOSE**

|  |                       |
|--|-----------------------|
| Original Contract - Not to Exceed 18% Cost of Construction |                       |
| Amendments 1-6   | \$2,321,808.45        |
| Value of Requested Amendment                               | \$681,326.25          |
| <i>Has a NTP been Issued</i>                               | <i>No</i>             |
| <b>Total Revised Contract Value</b>                        | <b>\$3,003,134.70</b> |
| Original Contract Completion Date                          | 12/30/2022            |
| Previously Approved Extensions (Days)                      | 182                   |
| Time Extension Requested (Days)                            | 0                     |
| <b>Proposed Contract Completion Date</b>                   | <b>6/30/2023</b>      |

**Purpose and Scope of the Contract:**

*This agreement provides engineering services for the Joint Infrastructure Recovery Request (JIRR) program for Lakeshore-Lake Vista, Lake Terrace & Oaks, and Filmore neighborhoods. This WLRP Agreement is FEMA reimbursible. Construction will be reimbursed through the FEMA Project Worksheet (PW) 21031 The Settlement. Design is being reimbursed through PW 20282 Lakeshore-Lake Vista, and PW 20646 Lake Terrace-LakeOaks*

**Reason for Change:**

|                    |                          |                        |
|--------------------|--------------------------|------------------------|
| Negotiate Fees - X | Differing Site Condition | Regulatory Requirement |
| Design Change      | Other _____              |                        |

*Amendment No. 7 proposes engineering construction services for projects RR070 Lake Terrace & Oaks Group B not to exceed (NTE) \$192,662.19 RR071 Lake Terrace & Oaks Group C NTE \$193,349.34,, RR080 Lakeshore Group C NTE \$111,230.30, RR081 Lakeshore Group D NTE \$122,575.34, and RR082 Lakeshore Group E NTE \$61,509.08 and in the total not to exceed the amount of \$681326.25*

Future Amendment will be needed for RR079.

**Spending to Date:**

|   |                |
|---|----------------|
| Cumulative Contract Amount (as of 12/17/2020) | \$2,321,808.45 |
|---|----------------|



Cumulative Contract Spending (as of 12/10/2020)

\$1,067,839.25

**Contractor's Past Performance:**

*The designer's timeliness of deliverables, conformance to SWBNO policies, procedures, and quality meet expectations. To date the consultant has achieved a DBE participation rate of 35%.*

**PROCUREMENT INFORMATION**

|  |                                   |                              |                |
|--|-----------------------------------|------------------------------|----------------|
| <b>Contract Type</b>                     | Professional Services             | <b>Award Based On</b>        | Qualified List |
| <b>Commodity</b>                         | Public Works Construction         | <b>Name &amp; FEMA PW</b>    | WLRP & 21031   |
| <b>Contractor Market</b>                 | Public RFQ with DBE participation |                              |                |
| <b>Compliance with Procurement Laws?</b> | Yes    X    No                    | <b>CMRC Date (if nec.) :</b> | 12/17/2020     |

**BUDGET INFORMATION**

|                   |                       |                         |                       |
|-------------------|-----------------------|-------------------------|-----------------------|
| <b>Funding</b>    | CP 175-13 & CP 317-06 | <b>Department</b>       | JIRR                  |
| <b>System</b>     | Water & Sewer         | <b>Project Manager</b>  | PM Chantrell Carriere |
| <b>Job Number</b> | A1348FEM & C1399XXX   | <b>Purchase Order #</b> | PG20196000182         |

**ESTIMATED FUND SOURCE**

| User            | Share% | Dollar Amount | Reimbursible?     |
|-----------------|--------|---------------|-------------------|
| Sewer System    | 44%    | \$ 381,543.25 | WIFIA Loan - 100% |
| Water System    | 56%    | \$ 299,783.00 | FEMA - 100%       |
| Drainage System |        |               |                   |
| <b>TOTAL</b>    |        | \$ 681,326.25 |                   |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

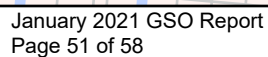
\_\_\_\_\_  
Mark D. Van Hala, P.E.

Program Administrator

Joint Infrastructure Recovery Request



N





**CONTRACT AMENDMENT NO. 2 TO THE AGREEMENT BETWEEN THE SEWERAGE AND WATER BOARD OF NEW ORLEANS AND VOLKERT, INC FOR DESIGN AND ENGINEERING SERVICES FOR THE DEMOLITION OF THE TWO ABANDONED CARROLLTON WATER PLANT CLARIFIERS**

**WHEREAS**, by action of the Sewerage and Water Board of New Orleans (Board), through the adoption of Resolution R-056-2016, Volkert, Inc. (“Volkert”) was awarded the agreement for design and engineering services to provide conceptual design and project scoping, design and construction administration services for \$84,966.00, and the original agreement between Volkert and Board was entered into September 20, 2016; and

**WHEREAS**, pursuant to Resolution R-056-2016, the Board and Consultant entered into a Professional Services Agreement for the Demolition of the Two Abandoned Carrollton Water Plant Clarifiers, dated September 20, 2016 (“Original Agreement” and as subsequently amended, the “Agreement”), in the amount of \$84,966.00, with a stated DBE goal of 35%; and

**WHEREAS**, pursuant to Resolution R-044-2017, the Board and Consultant executed Amendment No. 1 dated June 22, 2017 , for additional design services and increased the cost of the Original Agreement by \$1,105,611.76 for a total contract amount of \$1,190,607.76; and

**WHEREAS**, from inception of the Original Agreement the Consultant has consistently and continually performed its obligations to and provided services for the Board, which has facilitated and will further facilitate the continuity of services through April 29, 2022, under Amendment No. 2 authorized by Resolution R-118-2020 approved on October 21, 2020; and

**WHEREAS**, such Resolution R-118-2020 recognized and authorized inclusion of payment to Consultant of increased costs of \$102,391.02 and recognized a reduction in overhead rate that resulted in a compensation decrease of \$1,474.93, but erroneously stated the updated contract value by adding that fee calculation to the increase authorized by Amendment No. 1 (\$1,105,611.76), yielding the erroneous total of \$1,206,527.85, rather than adding that increase to the total contract amount of Amendment No. 1; and

**WHEREAS**, the correct cumulative total contract amount for Amendment No. 2 consists of the original contract amount of \$84,966.00, plus Amendment 1 of \$1,105,611.76, plus increased costs of \$102,391.02 minus the compensation decrease of \$1,474.93 (per Resolution R-118-2020), for a total contract amount of \$1,291,493.85; and

**WHEREAS**, exercise of all remaining extension periods under the Original Agreement, through and including September 19, 2022, would facilitate continuity of services pending completion of the project anticipated for April 29, 2022, and any subsequent services necessary and appropriate following such completion;



**NOW THEREFORE, BE IT RESOLVED**, that the President and/or President Pro Tem shall be authorized to execute the second amendment to this agreement with Volkert, Inc. for the Demolition of the Two Abandoned Carrollton Water Plant Clarifiers Project extending the contract length through September 19, 2022 and increasing the fee authorized to be paid to Volkert, Inc. to a total fee of \$1,291,493.85.

---

I, Ghassan Korban, Executive Director,  
Sewerage and Water Board of New Orleans, do hereby  
certify that the above and foregoing is a true  
and correct copy of a Resolution adopted at the Regular  
Monthly Meeting of said Board, duly called and held,  
according to law, on January 20, 2021.

---

GHASSAN KORBAN, EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW ORLEANS



# **GENERAL SUPERINTENDENT'S RECOMMENDATIONS**

## **FINAL ACCEPTANCES**



**RATIFICATION OF CHANGE ORDER NO. 1 AND FINAL ACCEPTANCE FOR  
CONTRACT 5243 – DPS #4 ANTI-SIPHON PROJECT**

**WHEREAS**, on May 13, 2020 the Sewerage and Water Board (S&WB) entered into Contract 5243 with Industrial & Mechanical, Inc. in the amount of \$561,580.00 to install valves and actuators and a new vacuum header at DPS#4; and,

**WHEREAS**, this Change Order addresses the extra cost associated with the additional work to fabricate and install supports for the elevated walkway at DPS #4 and a time extension because of COVID-19 delays, and

**WHEREAS**, this Change Order, in the amount of \$32,854.48, brings the accumulated Contract change order total to \$594,434.48, or 5.8% of the original Contract value, and

**WHEREAS**, Contract 5243 is ready for Final Acceptance by the Sewerage and Water Board of New Orleans; and,

**NOW THEREFORE BE IT RESOLVED**, that the Sewerage and Water Board of New Orleans hereby ratifies Change Order No. 1 for Contract 5243 and approves the Final Acceptance of Contract 5243.

---

---

I, Ghassan Korban, Executive Director,  
Sewerage and Water Board of New Orleans,  
do hereby certify that the above and foregoing  
is a true and correct copy of a resolution adopted  
at the Regular Meeting of said Board,  
duly called and held, according to law, on  
January 20, 2021

---

**Ghassan Korban**  
EXECUTIVE DIRECTOR  
SEWERAGE AND WATER BOARD OF NEW ORLEANS



**Sewerage and Water Board of New Orleans  
BOARD OF DIRECTORS CONTRACTOR FACT SHEET**



**ACTION REQUESTED**

**CONTRACT CHANGE ORDER**

**Contract 5243 DPS #4 Anti-Siphon Project**

Approval to modify contract 5243, between the Sewerage and Water Board and Industrial & Mechanical Contractors, Inc. in the amount of \$32,854.48

**CONTRACTOR/SUB/VENDOR INFORMATION**

|  |   | DBE PARTICIPATION |                 |
|--|---|-------------------|-----------------|
| PRIME  | SUBS  | TARGET            | ACTUAL          |
| <i>Industrial &amp; Mechanical Contractors, Inc.</i> | <i>Kevin Clark Electrical Services, LLC</i><br><i>JL Construction Group</i> | 0.00%<br>20.00%   | 0.00%<br>19.40% |
| Total  |   | 20.0%             | 19.4%           |

**DESCRIPTION AND PURPOSE**

|  |                     |
|--|---------------------|
| Original Contract Value                  | \$561,580.00        |
| Previous Change Orders                   | \$0.00              |
| % Change of Contract To Date             | 0.0%                |
| Value of Requested Change                | \$32,854.48         |
| % For This Change Order                  | 5.9%                |
| <i>Has a NTP been Issued</i>             | <i>Yes</i>          |
| <b>Total Revised Contract Value</b>      | <b>\$594,434.48</b> |
| % Total Change of Contract               | 5.9%                |
| Original Contract Completion Date        | 5/13/2020           |
| Previously Approved Extensions (Days)    | 0                   |
| Time Extension Requested (Days)          | 121                 |
| <b>Proposed Contract Completion Date</b> | <b>9/11/2020</b>    |

**Purpose and Scope of the Contract:**

*The scope of this contract is to provide new anti-siphon equipment at DPS #4. This equipment includes piping, valves, actuators, an air compressor, and controls.*

**Reason for Change:**

|  |   |   |
|--|---|---|
| Error/Omission <input checked="" type="checkbox"/> | Differing Site Condition <input type="checkbox"/> | Regulatory Requirement <input type="checkbox"/> |
| Design Change <input type="checkbox"/>             | Other <input checked="" type="checkbox"/>         |   |

*This change order includes a 121-day contract extension because of significant COVID-19 and weather delays. COVID-19 caused major production, supply, and shipping issues for the DeZurik valves and actuators. IMC also had multiple employees working on this project contract COVID-19. These employees quarantined for multiple weeks. There were also significant delays from Hurricane Laura and Marco. This change order also includes a elevated walkway supports, which costs \$32,854.48. After the bid was accepted, the contractor noticed that the elevated walkway was supported by the existing vacuum header to be removed. S&WB Engineering decided that the walkway could not be supported by the new header. The \$32,854.48 includes the time and material to fabricate, paint, and install 17 steel columns and the cost of a stamped engineering drawing from Cali & Laplace Engineers.*



**Spending to Date:**

|   |              |
|---|--------------|
| Cumulative Contract Amount (as of 1/4/2021)   | \$594,434.48 |
| Cumulative Contract Spending (as of 1/4/2021) | \$564,704.12 |

**Contractor's Past Performance:**

*Contractor has performed well on this project. They complete the work according to the contract specifications.*

**PROCUREMENT INFORMATION**

|                                   |   |                      |                        |
|-----------------------------------|---|----------------------|------------------------|
| Contract Type                     | Base Bid  | Award Based On       | Lowest Competitive Bid |
| Commodity                         | Construction  | Contract Number      | 5243                   |
| Contractor Market                 | Public Bid with DBE participation                                   |                      |                        |
| Compliance with Procurement Laws? | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | CMRC Date (if nec.): | 1/16/20 and 12/17/20   |

**BUDGET INFORMATION**

|            |          |                  |                        |
|------------|----------|------------------|------------------------|
| Funding    | CAP      | Department       | Mechanical Engineering |
| System     | Drainage | Project Manager  | Matthew Movahed        |
| Job Number | 5243     | Purchase Order # | PG2019 6000304         |

**ESTIMATED FUND SOURCE**

| User            | Share% | Dollar Amount | Reimbursible? |
|-----------------|--------|---------------|---------------|
| Sewer System    | 100%   | \$ 32,854.48  | No            |
| Water System    |        |               |               |
| Drainage System |        |               |               |
| <b>TOTAL</b>    |        | \$ 32,854.48  |               |

I certify that this contract action complies with all Sewerage and Water Board procurement policies and guidance, ethics rules and meets necessary regulatory requirements, including compliance with financing sources.

\_\_\_\_\_  
*Matthew Movahed*  
*Senior Engineer*  
*Networks Engineering*



# SEWERAGE & WATER BOARD OF NEW ORLEANS

## - FINAL ACCEPTANCE STATEMENT -

**DATE:** 4-Jan-21

**FROM:** Matthew Movahed, Project Manager

**TO:** Robert Turner, General Superintendent

**RE:** **Contract No.:** 5243

**CC:** Hadi Amini, Ron Spooner

**TITLE:** **DPS #4 Anti-Siphon Project**

This is to advise that all work on the above-captioned Contract is now completed and acceptance of the Contract is recommended.

|   |   |
|---|---|
| CONTRACTOR:   | Industrial & Mechanical Contractors, Inc. |
| ORIGINAL CONTRACT SUM:  | \$561,580.00                              |
| LUMP SUM BID:   | \$0.00                                    |
| UNIT PRICE BID:   | \$0.00                                    |
| TOTAL CONTRACT BID:   | \$561,580.00                              |
| UNIT PRICE EXTENSIONS TO CONTRACT:                              | \$0.00                                    |
| NO. CHANGE ORDERS:  | 1   |
| TOTAL CHANGE ORDER AMOUNT:                                      | \$32,854.48                               |
| (Do not include unit price work in Change Orders)               |   |
| TOTAL CONTRACT EXPENDITURE:                                     | \$594,434.48                              |
| CHANGE ORDERS AS PER CENT OF LUMP SUM AND UNIT PRICE BID TOTAL: | 5.85%                                     |
| DATE WORK ORDER ISSUED:   | 13-May-20                                 |
| DATE WORK ACCEPTED:   | 11-Sep-20                                 |
| RETAINAGE INCLUDING FINAL CHANGE ORDER DUE TO CONTRACTOR:       | \$29,721.72                               |
| CONTRACT DBE Participation goal:                                | 20.0%                                     |
| CONTRACT DBE Participation achieved:                            | 19.4%                                     |

SOURCE OF FUNDS:

☒ CAPITAL

*Matthew Movahed*

2021.01.04 11:44:18  
-06'00'

**Matthew Movahed, P.E.**  
**Program Supervisor**

*Melvin R. Spooner*

**M. Ron Spooner, P. E.,**  
**Chief of Engineering**



## EXECUTIVE SUMMARY

### November 2020

A summary analysis of the financial results and other performance goals is attached for your further review.

| (in millions)          | <u>Actual</u> | <u>YTD Budget*</u> | <u>Annual Budget</u> | <u>Variance to Ann Budget</u> | <u>Actual/Ann Budget (%)</u> |
|------------------------|---------------|--------------------|----------------------|-------------------------------|------------------------------|
| Operating Revenues     | \$239.8       | \$ 246.6           | \$ 269.1             | \$29.3                        | 89%                          |
| Ad Valorem/Other Rev** | 74.4          | n/a                | 73.5                 | 0.95                          | 101%                         |
| Operating Expenditures | 262.1         | 296.1              | 323.0                | 60.9                          | 81%                          |

YTD = Year to Date (through November)

\* YTD Budget assumes revenues and expenditures are collected and spent evenly throughout the year. Ad Valorem taxes are generally collected in the first quarter of each year.

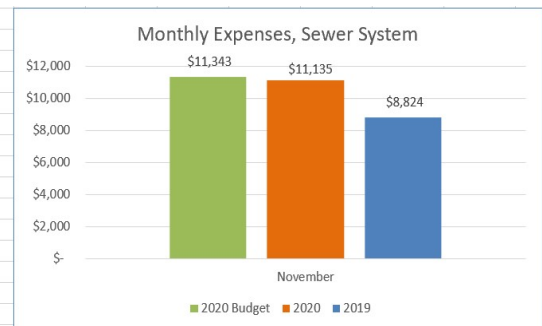
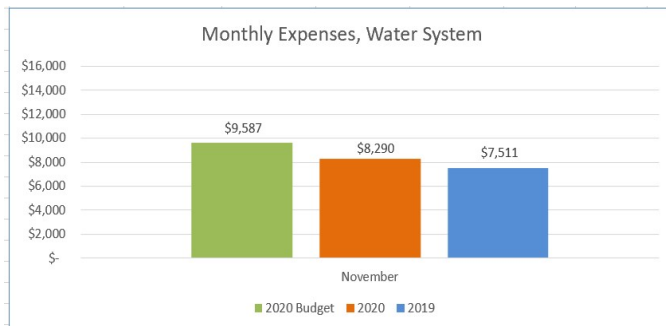
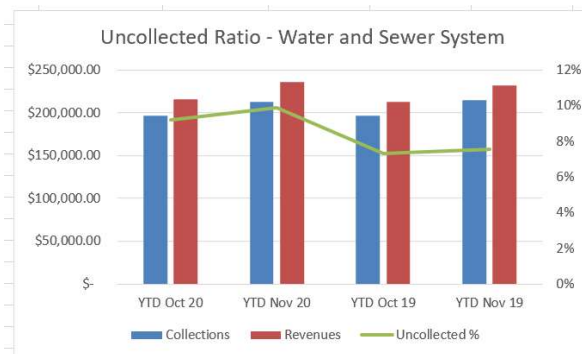
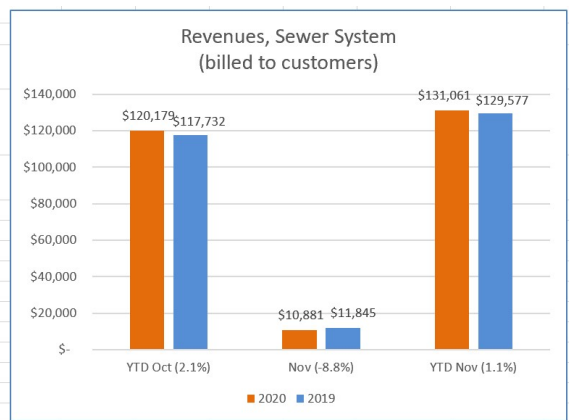
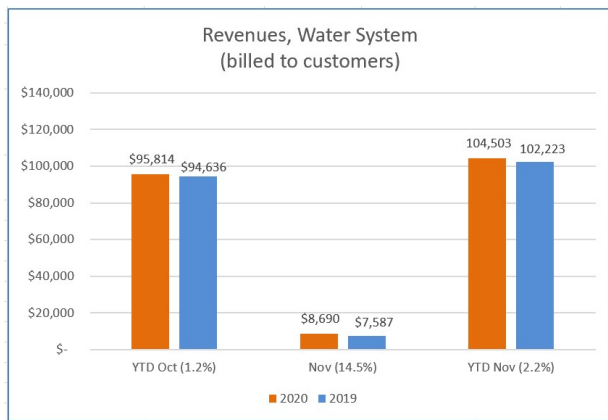
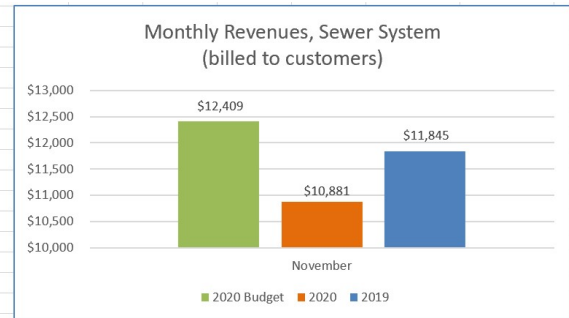
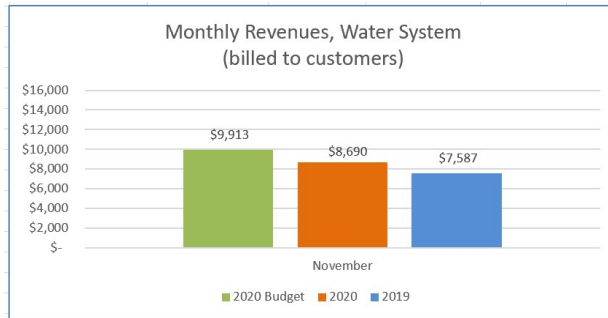
\*\* Ad Valorem and Other Revenue before deduction of interest expense.

### Cash Basis Operating Results (thru November 2020)

| Operating Revenues                  | Budget (MTD) | Actual (MTD) | Budget (YTD) | Actual (YTD) | 2019 Actual (YTD) | Actuals as % of YTD Budget |
|-------------------------------------|--------------|--------------|--------------|--------------|-------------------|----------------------------|
| Water Service                       | 9,912,699    | 8,689,688    | 109,039,686  | 104,503,430  | 102,222,795       | 96%                        |
| Sewer Service                       | 12,409,210   | 10,881,407   | 136,501,307  | 131,060,579  | 129,576,697       | 96%                        |
| Non Operating Rev (Drainage)        | 5,589,266    | 516,401      | 61,481,928   | 66,428,394   | 67,514,929        |                            |
| Misc Revenues                       | 632,795      | 583,428      | 6,960,747    | 12,173,897   | 22,425,190        |                            |
| Total Revenues                      | 28,543,970   | 20,670,924   | 313,983,669  | 314,166,299  | 321,739,611       | 100%                       |
| <b>Operating Expenses</b>           |              |              |              |              |                   |                            |
| Water Service                       | 9,587,310    | 8,290,381    | 105,460,415  | 92,371,795   | 85,400,778        | 88%                        |
| Sewer Service                       | 11,343,257   | 11,135,080   | 124,775,824  | 107,721,164  | 95,096,697        | 86%                        |
| Drainage Service                    | 5,983,982    | 6,183,914    | 65,823,797   | 61,962,739   | 59,601,672        | 94%                        |
| Total Expenses                      | 26,914,549   | 25,609,375   | 296,060,035  | 262,055,698  | 240,099,147       | 89%                        |
| Interest Expense                    | -            | 1,666,596    | -            | 18,599,553   | 18,827,555        |                            |
| Revenues less Expenses and Interest | 1,629,421    | (6,605,047)  | 17,923,634   | 33,511,049   | 62,812,909        |                            |
| Adjustment for Non-Cash Expenses    | 6,121,125    | 7,226,033    | 67,332,375   | 89,494,372   | 62,023,823        |                            |
| Revenues less Adjusted Expenses     | 7,750,546    | 620,986      | 85,256,009   | 123,005,421  | 124,836,733       |                            |



# Revenue and Expense Charts (November 2020)





## Debt Obligations

| Debt Information - As of November 30, 2020                         |                   |             |             |           |             |
|--|-------------------|-------------|-------------|-----------|-------------|
|  |                   | Water       | Sewer       | Drainage  | Total       |
| Debt Outstanding:  |                   |             |             |           |             |
|  | Revenue Bonds*    | 193,725,000 | 197,955,000 |           | 391,680,000 |
|  | Limited Tax Bonds |             |             | 5,850,000 | 5,850,000   |
|  | DEQ SRF Loans*    |             | 5,728,550   |           | 5,728,550   |
|  | GoZone Loan       |             | 40,044,839  |           | 40,044,839  |
| Total Debt Outstanding   |                   | 193,725,000 | 243,728,389 | 5,850,000 | 443,303,389 |
| Unspent Bond Proceeds <sup>(1)</sup>                               |                   | 223,133     | 6,306,708   |           | 6,529,841   |
| Available Undrawn DEQ Loan Proceeds<br>(South Shore Basin Project) |                   |             | 9,872,450   |           | 9,872,450   |
| Available Borrowed Funds   |                   | 223,133     | 16,179,158  | -         | 16,402,291  |
| (1) As reported by BLCD.   |                   |             |             |           |             |
| * Included in Debt Service Coverage Tests                          |                   |             |             |           |             |

## Capital

| 2020 CAPITAL DISBURSEMENTS (As of 11/30/20) |                      |                      |                       |  |
|---|----------------------|----------------------|-----------------------|--|
|   | Budgeted             | Actual Expenditures  |                       |  |
|   |                      | YTD                  | Remaining             |  |
| Grant Funded Projects (FEMA/HMGP)           | \$ 209,466,231       | \$ 19,836,245        | \$ 189,629,986        |  |
| Fair Share Projects                         | \$ 20,500,000        | \$ 1,030,625         | \$ 19,469,375         |  |
| Targeted Funded Projects                    | \$ 95,428,650        | \$ 34,063,755        | \$ 61,364,895         |  |
| <b>Total</b>                                | <b>\$325,394,881</b> | <b>\$ 54,930,625</b> | <b>\$ 270,464,256</b> |  |

## Federal Grant/Funding Status

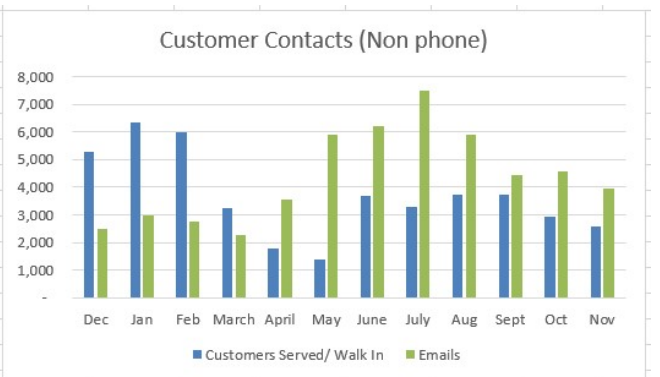
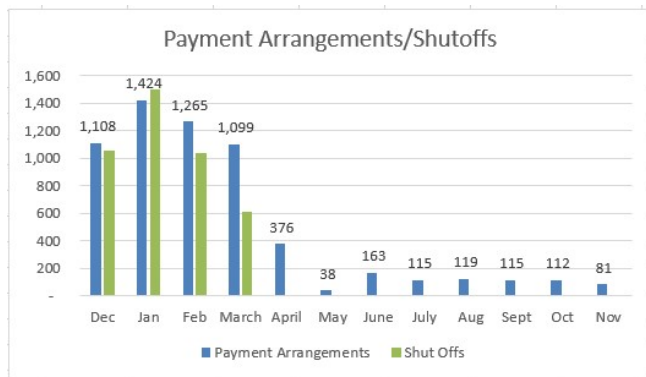
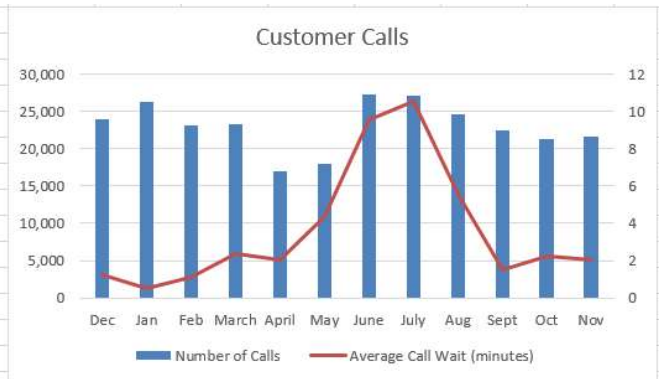
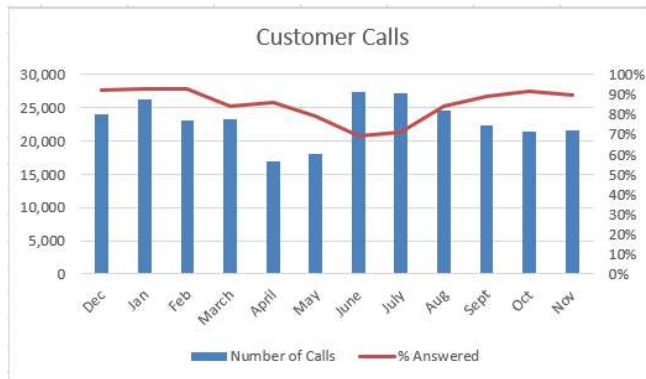
| FEDERAL GRANT/FUNDING STATUS (As of 11/30/2020) |                         |                       |                       |  |
|---|-------------------------|-----------------------|-----------------------|--|
|   | Obligated               | Expended              | Reimbursed            |  |
| Hurricane PA Projects                           | \$ 546,777,823          | \$ 509,440,056        | \$ 475,408,671        |  |
| HMGP Projects                                   | \$ 188,871,018          | \$ 179,946,049        | \$ 133,515,955        |  |
| JIRR Projects                                   | \$ 268,448,968          | \$ 9,201,026          | \$ 8,402,987          |  |
| <b>Totals</b>                                   | <b>\$ 1,004,097,809</b> | <b>\$ 698,587,131</b> | <b>\$ 617,327,613</b> |  |



## Customer Experience (November 2020):

In November 2020, a total of 36,023 customers were served via the call center, IVR or emails. Call center staff have been redirected to support virtual response activities. These reports do not include actions and responses related to investigations.

|          | Total # Calls | Total calls Answered | Total Dropped Calls | Average Call Wait | % Calls Answered |
|----------|---------------|----------------------|---------------------|-------------------|------------------|
| November | 21,628        | 19,403               | 2,225               | 2:07 min          | 90%              |



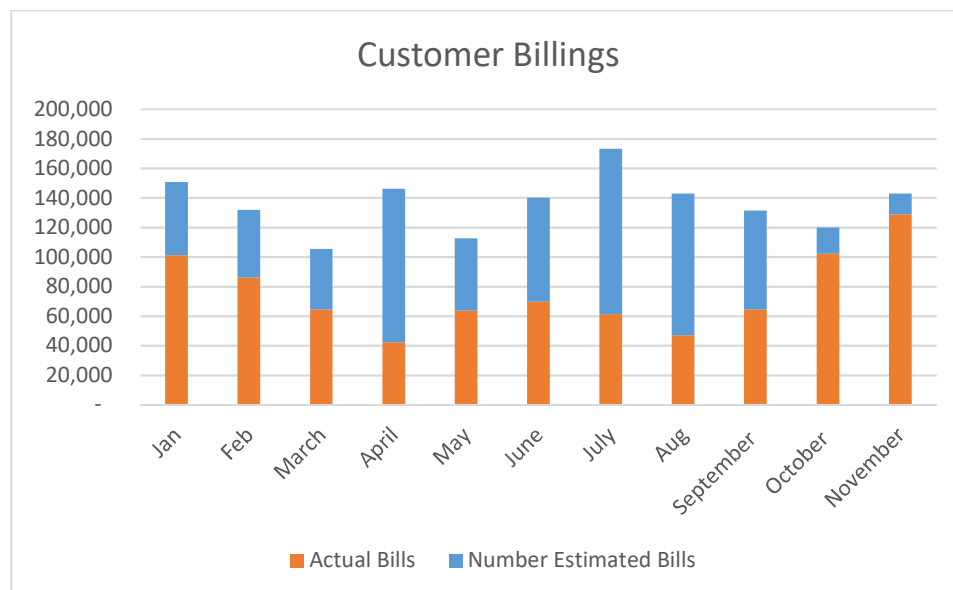


## Billing Accuracy (November 2020)

The billing and collections division is responsible for the creation and distribution of accurate customer bills, resolving all billing complaints, interfacing with large non-residential customers and ensuring successful collections efforts to ensure the financial solvency of SWBNO. Accuracy of customer bills depends on measuring and reporting the actual water use of each customer. In addition, the integrity of the system relies on account investigations, as necessary, from either customer inquiries or from staff-initiated queries. The following metrics are monitored to help management measure and improve the bill accuracy, improve the customer response time and implement best practice collection activity.

**The Sewerage and Water Board (SWBNO) suspended water service shut-offs Thursday, March 12, and will adhere to this policy change for the duration of the Mayor's Declared Emergency proclamation in response to the COVID-19 pandemic.**

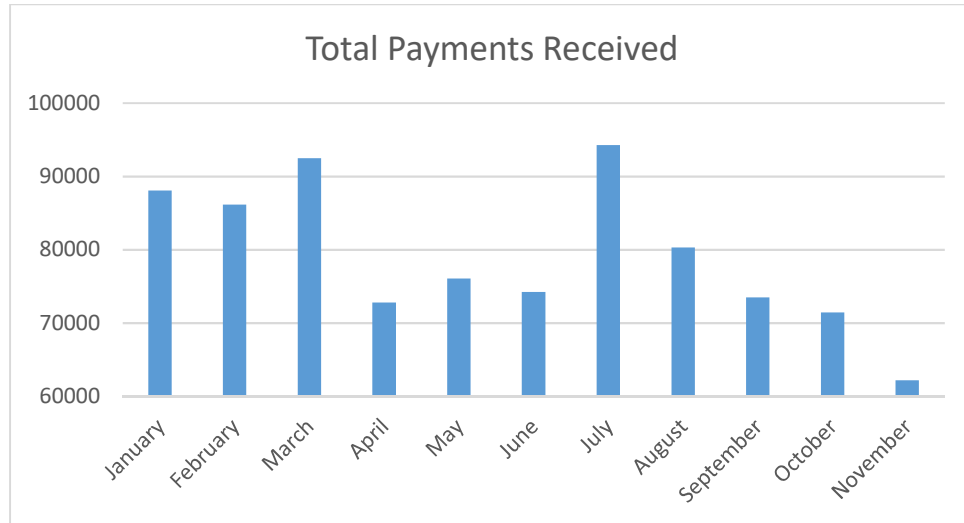
**The high number of estimated reads, caused by COVID-19 related staffing shortages and seasonal turnover, drive billing complaints and inaccuracies. To address this challenge, SWBNO has augmented its meter reading staff with 20 temporary employees to help our internal team provide actual reads.**





## Collections (November 2020)

A total of 62,166 payments were received in November. These payments are received via mail, walk-ins, online payments, and IVR.

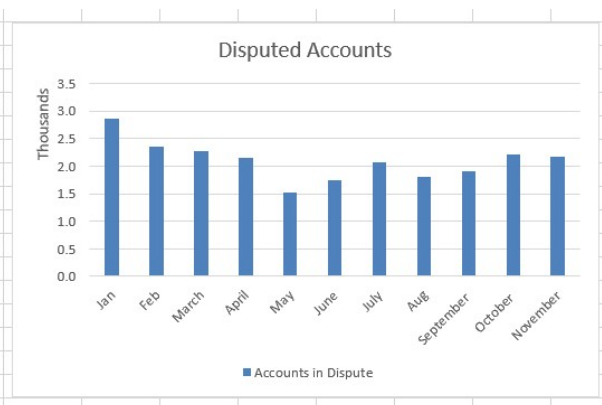
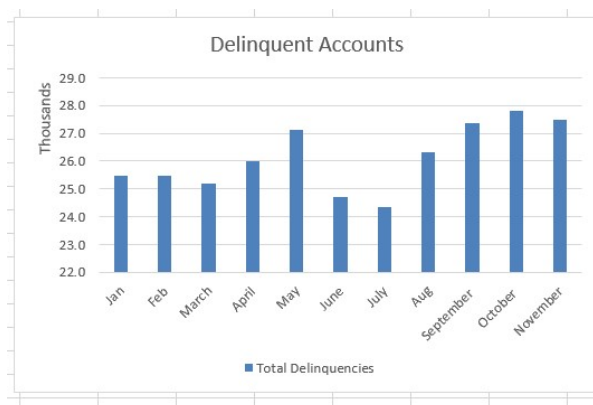


## Active Accounts (November 2020)

### CUSTOMER ACCOUNT AGING REPORT

[As of November 30, 2020]

| TOTAL NUMBER OF ACCOUNTS | TOTAL NUMBER OF DELINQUENCIES | 60+ DAYS PAST DUE | TOTAL NUMBER OF ACCOUNTS IN DISPUTE |
|--------------------------|-------------------------------|-------------------|-------------------------------------|
| 120,681                  | 25,335                        | \$ 35,821,346     | 1,861                               |
| 4,582                    | 682                           | \$ 2,557,720      | 78                                  |
| 12,855                   | 1,460                         | \$ 8,659,356      | 223                                 |
| 31                       | 2                             | \$ 476            | 0                                   |
| 138,149                  | 27,479                        | \$ 47,038,898     | 2,162                               |





## Inactive Accounts (November 2020)

| November 2020      |               |               |                   |                   |                          |          |         |          |
|--------------------|---------------|---------------|-------------------|-------------------|--------------------------|----------|---------|----------|
| Row Labels         | Class Count   |               | Sum of Balance    |                   | Average Per Unit Balance |          |         |          |
|                    | October       | November      | October           | November          | October                  | November | October | November |
| COMMERCIAL         | 14            | 14            | 15,128            | 15,128            | 1,081                    | 1,081    |         |          |
| HYDRANT            | 18            | 19            | 79,203            | 82,060            | 4,400                    | 4,319    |         |          |
| INDUSTRIAL         | 1             | 1             | 32,642            | 32,642            | 32,642                   | 32,642   |         |          |
| LG COMMERCIAL      | 80            | 82            | 1,057,851         | 1,057,964         | 13,223                   | 12,902   |         |          |
| MULTI FAMILY       | 723           | 736           | 844,798           | 835,384           | 1,168                    | 1,135    |         |          |
| RESIDENTIAL        | 31,181        | 31,581        | 28,650,021        | 29,236,935        | 919                      | 926      |         |          |
| SM COMMERCIAL      | 1,154         | 1,165         | 2,085,693         | 2,126,012         | 1,807                    | 1,825    |         |          |
| <b>Grand Total</b> | <b>33,171</b> | <b>33,598</b> | <b>32,765,336</b> | <b>33,386,125</b> |                          |          |         |          |

The SWBNO accounting policy requires that inactive accounts are written off at the end of three years. At the end of April 2020, the SWBNO wrote-off 8259 accounts inactive since 2016, for fiscal 2019, reflecting \$3.4M of accounts receivables to bad debt. SWBNO will be updating the estimate for bad debts in December and has included a provisional estimate to date.



# MONTHLY FINANCIAL REPORT

| 2019 vs. 2020 Water and Sewerage System Cash Collections |                              |                     |                      |                        |                              |                     |                      |                           |                    |
|--|------------------------------|---------------------|----------------------|------------------------|------------------------------|---------------------|----------------------|---------------------------|--------------------|
| 2019 Water Collections                                   |                              |                     |                      | 2020 Water Collections |                              |                     |                      | 2020 vs. 2019 Collections |                    |
| Months   | Water Service Charges & Fees | Delinquent Fees     | Total                | Months                 | Water Service Charges & Fees | Delinquent Fees     | Total                |                           |                    |
| January  | \$ 7,269,033                 | \$ 145,536          | \$ 7,414,569         | January                | \$ 9,370,008                 | \$ 193,867          | \$ 9,563,875         | \$                        | 2,149,306          |
| February   | \$ 6,261,340                 | \$ 136,461          | \$ 6,397,801         | February               | \$ 8,510,690                 | \$ 162,949          | \$ 8,673,639         | \$                        | 2,275,839          |
| March  | \$ 6,835,909                 | \$ 98,609           | \$ 6,934,519         | March                  | \$ 8,510,036                 | \$ 162,272          | \$ 8,672,308         | \$                        | 1,737,790          |
| April  | \$ 8,024,726                 | \$ 182,469          | \$ 8,207,195         | April                  | \$ 6,519,253                 | \$ 279,649          | \$ 6,798,902         | \$                        | (1,408,293)        |
| May  | \$ 8,128,278                 | \$ 148,478          | \$ 8,276,756         | May                    | \$ 7,900,869                 | \$ 105,513          | \$ 8,006,382         | \$                        | (270,374)          |
| June   | \$ 7,547,372                 | \$ 150,562          | \$ 7,697,934         | June                   | \$ 7,267,122                 | \$ 82,830           | \$ 7,349,952         | \$                        | (347,982)          |
| July   | \$ 9,662,101                 | \$ 194,163          | \$ 9,856,264         | July                   | \$ 8,048,453                 | \$ 43,613           | \$ 8,092,066         | \$                        | (1,764,198)        |
| August   | \$ 8,483,471                 | \$ 190,224          | \$ 8,673,696         | August                 | \$ 8,528,091                 | \$ 39,029           | \$ 8,567,120         | \$                        | (106,576)          |
| September  | \$ 8,246,459                 | \$ 171,490          | \$ 8,417,949         | September              | \$ 8,829,034                 | \$ 28,497           | \$ 8,857,531         | \$                        | 439,582            |
| October  | \$ 10,133,620                | \$ 192,930          | \$ 10,326,549        | October                | \$ 7,613,451                 | \$ 24,426           | \$ 7,637,877         | \$                        | (2,688,672)        |
| November   | \$ 9,064,555                 | \$ 213,662          | \$ 9,278,216         | November               | \$ 7,190,806                 | \$ 24,456           | \$ 7,215,262         | \$                        | (2,062,954)        |
| December   | \$ 8,126,348                 | \$ 141,736          | \$ 8,268,084         | December               | \$ 9,225,677                 | \$ 46,307           | \$ 9,271,984         | \$                        | 1,003,900          |
| <b>TOTAL</b>   | <b>\$ 97,783,213</b>         | <b>\$ 1,966,318</b> | <b>\$ 99,749,531</b> | <b>TOTAL</b>           | <b>\$ 97,513,490</b>         | <b>\$ 1,193,408</b> | <b>\$ 98,706,898</b> | <b>\$</b>                 | <b>(1,042,633)</b> |

| 2019 Sewerage Collections |                                 |                     |                      | 2020 Sewerage Collections |                                 |                     |                      | 2020 vs. 2019 Collections |                |
|---------------------------|---------------------------------|---------------------|----------------------|---------------------------|---------------------------------|---------------------|----------------------|---------------------------|----------------|
| Months                    | Sewerage Service Charges & Fees | Delinquent Fees     | Total                | Months                    | Sewerage Service Charges & Fees | Delinquent Fees     | Total                |                           |                |
| January                   | \$ 10,283,064                   | \$ 183,074          | \$ 10,466,138        | January                   | \$ 12,683,216                   | \$ 247,883          | \$ 12,931,099        | \$                        | 2,464,962      |
| February                  | \$ 8,856,052                    | \$ 174,247          | \$ 9,030,299         | February                  | \$ 11,510,258                   | \$ 213,939          | \$ 11,724,198        | \$                        | 2,693,898      |
| March                     | \$ 10,920,960                   | \$ 123,706          | \$ 11,044,666        | March                     | \$ 12,337,081                   | \$ 207,785          | \$ 12,544,866        | \$                        | 1,500,200      |
| April                     | \$ 11,750,766                   | \$ 171,101          | \$ 11,921,867        | April                     | \$ 9,460,656                    | \$ 149,191          | \$ 9,609,847         | \$                        | (2,312,020)    |
| May                       | \$ 11,709,701                   | \$ 184,362          | \$ 11,894,064        | May                       | \$ 10,703,694                   | \$ 136,628          | \$ 10,840,322        | \$                        | (1,053,742)    |
| June                      | \$ 10,666,270                   | \$ 193,564          | \$ 10,859,833        | June                      | \$ 10,485,228                   | \$ 105,070          | \$ 10,590,298        | \$                        | (269,535)      |
| July                      | \$ 12,418,687                   | \$ 240,120          | \$ 12,658,808        | July                      | \$ 11,609,615                   | \$ 54,036           | \$ 11,663,651        | \$                        | (995,157)      |
| August                    | \$ 11,484,227                   | \$ 244,491          | \$ 11,728,718        | August                    | \$ 11,850,512                   | \$ 47,804           | \$ 11,898,316        | \$                        | 169,599        |
| September                 | \$ 11,249,671                   | \$ 225,192          | \$ 11,474,863        | September                 | \$ 11,927,583                   | \$ 35,569           | \$ 11,963,153        | \$                        | 488,290        |
| October                   | \$ 13,327,187                   | \$ 246,420          | \$ 13,573,607        | October                   | \$ 10,112,092                   | \$ 29,194           | \$ 10,141,285        | \$                        | (3,432,322)    |
| November                  | \$ 7,943,403                    | \$ 256,514          | \$ 8,199,917         | November                  | \$ 8,981,302                    | \$ 29,429           | \$ 9,010,731         | \$                        | 810,814        |
| December                  | \$ 11,698,150                   | \$ 180,495          | \$ 11,878,645        | December                  | \$ 12,159,920                   | \$ 58,229           | \$ 12,218,149        | \$                        | 339,504        |
| <b>TOTAL</b>              | <b>\$ 132,308,137</b>           | <b>\$ 1,966,318</b> | <b>\$134,731,424</b> | <b>TOTAL</b>              | <b>\$ 133,821,157</b>           | <b>\$ 1,314,758</b> | <b>\$135,135,915</b> | <b>\$</b>                 | <b>404,491</b> |

## Sewerage and Water Board of New Orleans Projection of Year End Days Cash Calculation

|   | Water       | Sewer       |
|---|-------------|-------------|
| As of November 30, 2020                                 |             |             |
| Unrestricted and undesignated Cash and cash equivalents | 16,861,918  | 43,166,514  |
| Funds from/for customer deposits                        | 13,209,051  | -           |
| Deposits  | 22,950      | 17,965      |
| Total Unrestricted Cash Balance                         | 30,093,919  | 43,184,479  |
| Projected December Net Change to Cash                   | (3,173,918) | (2,119,589) |
| Interfund Transfer                                      | 5,000,000   | (5,000,000) |
| (A) Expected Unrestricted Cash Balance 12/31/2020       | 31,920,002  | 36,064,890  |
| Estimated 2020 Net Expenditures                         | 85,323,495  | 78,073,865  |
| (B) Estimated 2020 Net Expenditures per day (/365)      | 223,724     | 231,310     |
| Total Unrestricted Cash Balances /                      |             |             |
| (A) / (B) Expenditures per Day                          | 143         | 156         |
|   | >90         | >90         |



## November Financial Statements (unaudited)

### Pages 10-25 as follows:

10. All P&L with Prior year (PY)

11. All P&L with Budget

12 – 13. All Balance Sheet

14. Water P&L with PY

15. Water P&L with Budget

16 – 17. Water Balance Sheet

18. Sewer P&L with PY

19. Sewer P&L with Budget

20 – 21. Sewer Balance Sheet

22. Drainage P&L with PY

23. Drainage P&L with Budget

24 – 25. Drainage Balance Sheet



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**ALL SYSTEM FUNDS**  
**STATEMENT OF REVENUES AND EXPENSES AND CHANGES IN NET POSITION**  
**WITH PRIOR YEAR COMPARISONS**  
**November 2020 Closed Financials**

|  | A           | B           | C           | D        | E             | F             | G            | H         |    |
|--|-------------|-------------|-------------|----------|---------------|---------------|--------------|-----------|----|
|  | MTD         | MTD         | MTD         |          | YTD           | YTD           | YTD          |           |    |
|  | Actual      | Prior Year  | Variance    | %        | Actual        | Prior Year    | Variance     | %         |    |
| <b>Operating revenues:</b>               |             |             |             |          |               |               |              |           |    |
| 1 Sales of water and delinquent fees     | 8,689,688   | 7,587,159   | 1,102,529   | 14.5%    | 104,503,430   | 102,222,795   | 2,280,635    | 2.2%      | 1  |
| 2 Sewerage service charges and del fees  | 10,881,407  | 11,844,606  | (963,199)   | -8.1%    | 131,060,579   | 129,576,697   | 1,483,882    | 1.1%      | 2  |
| 3 Plumbing inspection and license fees   | 23,680      | 52,000      | (28,320)    | -54.5%   | 395,027       | 530,306       | (135,279)    | -25.5%    | 3  |
| 4 Other revenues                         | 442,440     | 279,427     | 163,013     | 58.3%    | 3,793,727     | 4,399,254     | (605,526)    | -13.8%    | 4  |
| 5 Total operating revenues               | 20,037,216  | 19,763,192  | 274,024     | 1.4%     | 239,752,763   | 236,729,052   | 3,023,711    | 1.3%      | 5  |
| <b>Operating Expenses:</b>               |             |             |             |          |               |               |              |           |    |
| 6 Power and pumping                      | 2,020,479   | 2,053,495   | (33,015)    | -1.6%    | 16,830,290    | 15,377,418    | 1,452,872    | 9.4%      | 6  |
| 7 Treatment                              | 3,076,280   | 1,842,541   | 1,233,739   | 67.0%    | 20,260,036    | 15,958,518    | 4,301,518    | 27.0%     | 7  |
| 8 Transmission and distribution          | 2,858,882   | 2,764,424   | 94,457      | 3.4%     | 27,945,554    | 33,130,083    | (5,184,529)  | -15.6%    | 8  |
| 9 Customer accounts                      | 477,698     | 582,029     | (104,331)   | -17.9%   | 4,257,788     | 4,839,665     | (581,877)    | -12.0%    | 9  |
| 10 Customer service                      | 572,872     | 691,833     | (118,961)   | -17.2%   | 6,682,740     | 4,512,186     | 2,170,554    | 48.1%     | 10 |
| 11 Administration and general            | 2,621,202   | 3,404,016   | (782,815)   | -23.0%   | 24,104,864    | 38,101,147    | (13,996,283) | -36.7%    | 11 |
| 12 Payroll related                       | 3,970,425   | 3,851,936   | 118,489     | 3.1%     | 50,048,314    | 45,120,925    | 4,927,390    | 10.9%     | 12 |
| 13 Maintenance of general plant          | 2,785,505   | 1,342,801   | 1,442,704   | 107.4%   | 22,431,739    | 21,035,381    | 1,396,358    | 6.6%      | 13 |
| 14 Depreciation                          | 5,829,069   | 4,954,114   | 874,955     | 17.7%    | 64,119,761    | 55,374,958    | 8,744,803    | 15.8%     | 14 |
| 15 Amortization                          | -           | -           | -           | 0.0%     | -             | -             | -            | 0.0%      | 15 |
| 16 Provision for doubtful accounts       | 1,191,480   | 361,124     | 830,355     | 229.9%   | 23,881,922    | 3,972,367     | 19,909,555   | 501.2%    | 16 |
| 17 Provision for claims                  | 205,484     | 244,373     | (38,890)    | -15.9%   | 1,492,690     | 2,676,498     | (1,183,809)  | -44.2%    | 17 |
| 18 Total operating expenses              | 25,609,375  | 22,092,686  | 3,516,689   | 15.9%    | 262,055,698   | 240,099,147   | 21,956,551   | 9.1%      | 18 |
| 19 Operating income (loss)               | (5,572,159) | (2,329,494) | (3,242,665) | 139.2%   | (22,302,935)  | (3,370,095)   | (18,932,840) | 561.8%    | 19 |
| <b>Non-operating revenues (expense):</b> |             |             |             |          |               |               |              |           |    |
| 20 Two-mill tax                          | 14          | -           | 14          | 0.0%     | 701           | 35            | 666          | 1918.0%   | 20 |
| 21 Three-mill tax                        | 140,363     | -           | 140,363     | 0.0%     | 17,949,853    | 15,180,014    | 2,769,839    | 18.2%     | 21 |
| 22 Six-mill tax                          | 148,302     | -           | 148,302     | 0.0%     | 18,918,268    | 16,006,243    | 2,912,025    | 18.2%     | 22 |
| 23 Nine-mill tax                         | 222,743     | -           | 222,743     | 0.0%     | 28,357,077    | 23,992,705    | 4,364,373    | 18.2%     | 23 |
| 24 Interest income                       | 8,719       | 50,848      | (42,129)    | -82.9%   | 2,350,354     | 1,801,892     | 548,462      | 30.4%     | 24 |
| 25 Other Taxes                           | -           | -           | -           | 0.0%     | 297,713       | 297,272       | 441          | 0.1%      | 25 |
| 26 Other Income                          | 113,567     | 162         | 113,406     | 70155.0% | 6,463,745     | 27,839,139    | (21,375,394) | -76.8%    | 26 |
| 27 Interest expense                      | (1,666,596) | (1,808,664) | 142,069     | -7.9%    | (18,599,553)  | (18,827,555)  | 228,002      | -1.2%     | 27 |
| 28 Operating and maintenance grants      | -           | (100)       | 100         | -100.0%  | 75,826        | 35            | 75,791       | 215499.4% | 28 |
| 29 Provision for grants                  | -           | -           | -           | 0.0%     | -             | -             | -            | 0.0%      | 29 |
| 30 Total non-operating revenues          | (1,032,887) | (1,757,755) | 724,867     | -41.2%   | 55,813,984    | 66,289,780    | (10,475,796) | -15.8%    | 30 |
| 31 Income before capital contributions   | (6,605,047) | (4,087,249) | (2,517,798) | 61.6%    | 33,511,049    | 62,919,684    | (29,408,636) | -46.7%    | 31 |
| 32 Capital contributions                 | 5,400,184   | 3,013,271   | 2,386,913   | 79.2%    | 21,140,666    | 22,335,393    | (1,194,727)  | -5.3%     | 32 |
| 33 Change in net position                | (1,204,862) | (1,073,978) | (130,884)   | 12.2%    | 54,651,714    | 85,255,077    | (30,603,363) | -35.9%    | 33 |
| 34 Audit Adjustment                      |             |             |             |          | 2,543,545     |               |              |           | 34 |
| 35 Net position, beginning of year       |             |             |             |          | 2,356,268,052 | 2,244,801,991 | 111,466,061  | 5.0%      | 35 |
| 36 Net position, end of year             |             |             |             |          | 2,410,919,766 | 2,332,600,613 | 78,319,153   | 3.4%      | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**ALL SYSTEM FUNDS**  
**STATEMENT OF REVENUES AND EXPENSES AND CHANGES IN NET POSITION**  
**WITH BUDGET COMPARISONS**  
**November 2020 Closed Financials**

|  | A           | B           | C           | D       | E             | F             | G            | H      |    |
|--|-------------|-------------|-------------|---------|---------------|---------------|--------------|--------|----|
|  | MTD         | MTD         | MTD         |         | YTD           | YTD           | YTD          |        |    |
|  | Actual      | Budget      | Variance    | %       | Actual        | Budget        | Variance     | %      |    |
| <b>Operating revenues:</b>               |             |             |             |         |               |               |              |        |    |
| 1 Sales of water and delinquent fees     | 8,689,688   | 9,912,699   | (1,223,010) | -12.3%  | 104,503,430   | 109,039,686   | (4,536,256)  | -4.2%  | 1  |
| 2 Sewerage service charges and del fees  | 10,881,407  | 12,409,210  | (1,527,803) | -12.3%  | 131,060,579   | 136,501,307   | (5,440,729)  | -4.0%  | 2  |
| 3 Plumbing inspection and license fees   | 23,680      | 51,790      | (28,110)    | -54.3%  | 395,027       | 569,692       | (174,665)    | -30.7% | 3  |
| 4 Other revenues                         | 442,440     | 48,613      | 393,828     | 810.1%  | 3,793,727     | 534,738       | 3,258,990    | 609.5% | 4  |
| 5 Total operating revenues               | 20,037,216  | 22,422,311  | (2,385,095) | -10.6%  | 239,752,763   | 246,645,423   | (6,892,660)  | -2.8%  | 5  |
| <b>Operating Expenses:</b>               |             |             |             |         |               |               |              |        |    |
| 6 Power and pumping                      | 2,020,479   | 1,910,649   | 109,830     | 5.7%    | 16,830,290    | 21,017,144    | (4,186,854)  | -19.9% | 6  |
| 7 Treatment                              | 3,076,280   | 2,194,205   | 882,075     | 40.2%   | 20,260,036    | 24,136,250    | (3,876,214)  | -16.1% | 7  |
| 8 Transmission and distribution          | 2,858,882   | 3,863,218   | (1,004,336) | -26.0%  | 27,945,554    | 42,495,397    | (14,549,843) | -34.2% | 8  |
| 9 Customer accounts                      | 477,698     | 531,758     | (54,060)    | -10.2%  | 4,257,788     | 5,849,335     | (1,591,547)  | -27.2% | 9  |
| 10 Customer service                      | 572,872     | 788,843     | (215,970)   | -27.4%  | 6,682,740     | 8,677,270     | (1,994,530)  | -23.0% | 10 |
| 11 Administration and general            | 2,621,202   | 5,232,279   | (2,611,078) | -49.9%  | 24,104,864    | 57,555,074    | (33,450,210) | -58.1% | 11 |
| 12 Payroll related                       | 3,970,425   | 3,515,789   | 454,636     | 12.9%   | 50,048,314    | 38,673,677    | 11,374,637   | 29.4%  | 12 |
| 13 Maintenance of general plant          | 2,785,505   | 2,756,683   | 28,822      | 1.0%    | 22,431,739    | 30,323,513    | (7,891,774)  | -26.0% | 13 |
| 14 Depreciation                          | 5,829,069   | 5,750,583   | 78,486      | 1.4%    | 64,119,761    | 63,256,417    | 863,344      | 1.4%   | 14 |
| 15 Amortization                          | -           | -           | -           | 0.0%    | -             | -             | -            | 0.0%   | 15 |
| 16 Provision for doubtful accounts       | 1,191,480   | -           | 1,191,480   | 0.0%    | 23,881,922    | -             | 23,881,922   | 0.0%   | 16 |
| 17 Provision for claims                  | 205,484     | 370,542     | (165,058)   | -44.5%  | 1,492,690     | 4,075,958     | (2,583,269)  | -63.4% | 17 |
| 18 Total operating expenses              | 25,609,375  | 26,914,549  | (1,305,173) | -4.8%   | 262,055,698   | 296,060,035   | (34,004,337) | -11.5% | 18 |
| 19 Operating income (loss)               | (5,572,159) | (4,492,238) | (1,079,922) | 24.0%   | (22,302,935)  | (49,414,613)  | 27,111,677   | -54.9% | 19 |
| <b>Non-operating revenues (expense):</b> |             |             |             |         |               |               |              |        |    |
| 20 Two-mill tax                          | 14          | -           | 14          | 0.0%    | 701           | -             | 701          | 0.0%   | 20 |
| 21 Three-mill tax                        | 140,363     | 1,501,084   | (1,360,721) | -90.6%  | 17,949,853    | 16,511,927    | 1,437,926    | 8.7%   | 21 |
| 22 Six-mill tax                          | 148,302     | 1,585,226   | (1,436,923) | -90.6%  | 18,918,268    | 17,437,482    | 1,480,785    | 8.5%   | 22 |
| 23 Nine-mill tax                         | 222,743     | 2,376,156   | (2,153,413) | -90.6%  | 28,357,077    | 26,137,713    | 2,219,364    | 8.5%   | 23 |
| 24 Interest income                       | 8,719       | 124,965     | (116,245)   | -93.0%  | 2,350,354     | 1,374,610     | 975,744      | 71.0%  | 24 |
| 25 Other Taxes                           | -           | 323,967     | (323,967)   | -100.0% | 297,713       | 3,563,634     | (3,265,921)  | -91.6% | 25 |
| 26 Other Income                          | 113,567     | -           | 113,567     | 0.0%    | 6,463,745     | -             | 6,463,745    | 0.0%   | 26 |
| 27 Interest expense                      | (1,666,596) | -           | (1,666,596) | 0.0%    | (18,599,553)  | -             | (18,599,553) | 0.0%   | 27 |
| 28 Operating and maintenance grants      | -           | 210,262     | (210,262)   | -100.0% | 75,826        | 2,312,880     | (2,237,054)  | -96.7% | 28 |
| 29 Provision for grants                  | -           | -           | -           | 0.0%    | -             | -             | -            | 0.0%   | 29 |
| 30 Total non-operating revenues          | (1,032,887) | 6,121,659   | (7,154,546) | -116.9% | 55,813,984    | 67,338,247    | (11,524,263) | -17.1% | 30 |
| 31 Income before capital contributions   | (6,605,047) | 1,629,421   | (8,234,468) | -505.4% | 33,511,049    | 17,923,634    | 15,587,415   | 87.0%  | 31 |
| 32 Capital contributions                 | 5,400,184   | -           | 5,400,184   | 0.0%    | 21,140,666    | -             | 21,140,666   | 0.0%   | 32 |
| 33 Change in net position                | (1,204,862) | 1,629,421   | (2,834,284) | -173.9% | 54,651,714    | 17,923,634    | 36,728,080   | 204.9% | 33 |
| 34 Audit Adjustment                      |             |             |             |         |               |               |              |        | 34 |
| 35 Net position, beginning of year       |             |             |             |         | 2,356,268,052 | 2,244,801,991 | 111,466,061  | 5.0%   | 35 |
| 36 Net position, end of year             |             |             |             |         | 2,413,463,311 | 2,262,725,625 | 150,737,686  | 6.7%   | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**ALL SYSTEM FUNDS**  
**STATEMENTS OF NET POSITION**  
**WITH PRIOR YEAR AND BEGINNING OF YEAR COMPARISONS**  
**November 2020 Closed Financials**

| Assets  |   | A                    | B                  | C             | D                    | E                  | F             | G                    |           |
|---|---|----------------------|--------------------|---------------|----------------------|--------------------|---------------|----------------------|-----------|
|   |   | Prior<br>Year        | Variance           | %             | Current<br>Year      | Variance           | %             | Beginning of<br>Year |           |
| <b>Noncurrent assets:</b>                                 |   |                      |                    |               |                      |                    |               |                      |           |
| 1   | Property, plant and equipment                             | 4,301,662,692        | 162,333,717        | 3.8%          | 4,463,996,409        | 220,947,144        | 5.2%          | 4,243,049,265        | 1         |
| 2   | Less: accumulated depreciation                            | 1,087,018,391        | 74,050,111         | 6.8%          | 1,161,068,502        | 126,881,314        | 12.3%         | 1,034,187,188        | 2         |
| 3   | Property, plant, and equipment, net                       | 3,214,644,301        | 88,283,606         | 2.7%          | 3,302,927,907        | 94,065,830         | 2.9%          | 3,208,862,077        | 3         |
| <b>Restricted cash, cash equivalents, and investments</b> |   |                      |                    |               |                      |                    |               |                      |           |
| 4   | Cash and cash equivalents restricted for capital projects | 13,444,103           | (309,904)          | -2.3%         | 13,134,200           | (8,111,367)        | -38.2%        | 21,245,567           | 4         |
| 5   | Debt service  | 34,328,670           | (3,453,572)        | -10.1%        | 30,875,098           | 16,921,705         | 121.3%        | 13,953,393           | 5         |
| 6   | Debt service reserve                                      | 32,089,192           | (11,660,000)       | -36.3%        | 20,429,192           | (11,660,000)       | -36.3%        | 32,089,192           | 6         |
| 7   | Health insurance reserve                                  | 2,225,002            | (338,002)          | -15.2%        | 1,887,000            | (309,634)          | -14.1%        | 2,196,634            | 7         |
| 8   | Total restricted cash, cash equivalents, and investments  | 82,086,967           | (15,761,477)       | -19.2%        | 66,325,490           | (3,159,296)        | -4.5%         | 69,484,786           | 8         |
| <b>Current assets:</b>                                    |   |                      |                    |               |                      |                    |               |                      |           |
| <b>Unrestricted and undesignated</b>                      |   |                      |                    |               |                      |                    |               |                      |           |
| 9   | Cash and cash equivalents                                 | 50,506,130           | 44,795,486         | 88.7%         | 95,301,616           | 31,662,270         | 49.8%         | 63,639,346           | 9         |
| <b>Accounts receivable:</b>                               |   |                      |                    |               |                      |                    |               |                      |           |
| 10  | Customers (net of allowance for doubtful accounts)        | 52,169,461           | (13,992,571)       | -26.8%        | 38,176,891           | (2,206,771)        | -5.5%         | 40,383,662           | 10        |
| 11  | Taxes   | 5,039,252            | (916,129)          | -18.2%        | 4,123,123            | (2,369,985)        | -36.5%        | 6,493,108            | 11        |
| 12  | Interest  | 774                  | 1,373              | 177.3%        | 2,147                | 2,147              | 0.0%          | 0                    | 12        |
| 13  | Grants  | 28,976,726           | (6,594,383)        | -22.8%        | 22,382,343           | (4,428,003)        | -16.5%        | 26,810,346           | 13        |
| 14  | Miscellaneous   | 5,816,637            | (2,873,782)        | -49.4%        | 2,942,855            | (2,788,588)        | -48.7%        | 5,731,443            | 14        |
| 15  | Due from (to) other internal departments                  | 201,700              | 135,028            | 66.9%         | 336,728              | (1,658,272)        | -83.1%        | 1,995,000            | 15        |
| 16  | Inventory of supplies                                     | 4,888,703            | 248,297            | 5.1%          | 5,137,000            | 248,298            | 5.1%          | 4,888,702            | 16        |
| 17  | Prepaid expenses  | 537,184              | 33,413             | 6.2%          | 570,597              | 33,418             | 6.2%          | 537,179              | 17        |
| 18  | Total unrestricted current assets                         | 148,136,567          | 20,836,731         | 14.1%         | 168,973,298          | 18,494,512         | 12.3%         | 150,478,786          | 18        |
| <b>Other assets:</b>                                      |   |                      |                    |               |                      |                    |               |                      |           |
| 19  | Funds from/for customer deposits                          | 12,767,146           | 441,905            | 3.5%          | 13,209,051           | 5,781,627          | 77.8%         | 7,427,424            | 19        |
| 20  | Deposits  | 51,315               | -                  | 0.0%          | 51,315               | -                  | 0.0%          | 51,315               | 20        |
| 21  | Total other assets  | 12,818,461           | 441,905            | 3.4%          | 13,260,366           | 5,781,627          | 77.3%         | 7,478,739            | 21        |
| 22  | <b>TOTAL ASSETS</b>                                       | <b>3,457,686,297</b> | <b>93,800,764</b>  | <b>1.1%</b>   | <b>3,551,487,061</b> | <b>115,182,673</b> | <b>88.0%</b>  | <b>3,436,304,388</b> | <b>22</b> |
| <b>Deferred outflows or resources:</b>                    |   |                      |                    |               |                      |                    |               |                      |           |
| 23  | Deferred amounts related to net pension liability         | 45,197,190           | (55,632,925)       | -123.1%       | (10,435,735)         | (55,632,925)       | 533.1%        | 45,197,190           | 23        |
| 24  | Deferred amounts related to OPEB                          | 0                    | 49,838,866         | 0.0%          | 49,838,866           | 49,838,866         | 0.0%          | 0                    | 24        |
| 25  | Deferred loss on bond refunding                           | 2,895,993            | (296,250)          | -10.2%        | 2,599,743            | (326,152)          | -11.1%        | 2,925,895            | 25        |
| 26  | <b>TOTAL DEFERRED OUTFLOWS OF RESOURCES</b>               | <b>48,093,183</b>    | <b>(6,090,309)</b> | <b>-12.7%</b> | <b>42,002,874</b>    | <b>(6,120,211)</b> | <b>-12.7%</b> | <b>48,123,085</b>    | <b>26</b> |
| 27  | <b>TOTAL ASSETS AND TOTAL DEFERRED OUTFLOWS</b>           | <b>3,505,779,480</b> | <b>87,710,455</b>  | <b>-11.6%</b> | <b>3,593,489,935</b> | <b>109,062,462</b> | <b>75.3%</b>  | <b>3,484,427,473</b> | <b>27</b> |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**ALL SYSTEM FUNDS**  
**STATEMENTS OF NET POSITION**  
**WITH PRIOR YEAR COMPARISONS**  
**November 2020 Closed Financials**

|  | A             | B             | C       | D               | E            | F       | G                    |    |
|--|---------------|---------------|---------|-----------------|--------------|---------|----------------------|----|
|  | Prior<br>Year | Variance      | %       | Current<br>Year | Variance     | %       | Beginning of<br>Year |    |
| <b>NET ASSETS AND LIABILITIES</b>                                    |               |               |         |                 |              |         |                      |    |
| <b>Net position</b>  |               |               |         |                 |              |         |                      |    |
| 1 Net investments in capital assets                                  | 2,755,790,787 | (127,269,894) | -4.6%   | 2,628,520,893   | 85,149,844   | 3.3%    | 2,543,371,049        | 1  |
| 2 Restricted for Debt Service  | 63,692,626    | (12,388,336)  | -19.5%  | 51,304,290      | 5,261,705    | 11.4%   | 46,042,585           | 2  |
| 3 Unrestricted   | (486,882,800) | 217,977,384   | -44.8%  | (268,905,416)   | 75,706,227   | -22.0%  | (344,611,643)        | 3  |
| 4 Total net position   | 2,332,600,613 | 78,319,154    | 3.4%    | 2,410,919,767   | 166,117,776  | 7.4%    | 2,244,801,991        | 4  |
| <b>Long-term liabilities</b>   |               |               |         |                 |              |         |                      |    |
| 5 Claims payable   | 47,665,305    | (4,456,142)   | -9.3%   | 43,209,163      | (858,868)    | -1.9%   | 44,068,031           | 5  |
| 6 Accrued vacation and sick pay                                      | 9,713,536     | (509,205)     | -5.2%   | 9,204,331       | (489,459)    | -5.0%   | 9,693,790            | 6  |
| 7 Net pension obligation   | 129,869,283   | (45,543,117)  | -35.1%  | 84,326,166      | (39,547,299) | -31.9%  | 123,873,465          | 7  |
| 8 Other postretirement benefits liability                            | 160,700,922   | 63,455,697    | 39.5%   | 224,156,619     | 72,587,475   | 47.9%   | 151,569,144          | 8  |
| 9 Bonds payable (net of current maturities)                          | 442,697,050   | (20,708,706)  | -4.7%   | 421,988,344     | (20,708,706) | -4.7%   | 442,697,050          | 9  |
| 10 Special Community Disaster Loan Payable                           | -             | -             | 0.0%    | -               | -            | 0.0%    | -                    | 10 |
| 11 Southeast Louisiana Project liability                             | 227,139,545   | 23,204,325    | 10.2%   | 250,343,870     | 23,204,325   | 10.2%   | 227,139,545          | 11 |
| 12 Debt Service Assistance Fund Loan payable                         | 42,689,887    | (2,650,800)   | -6.2%   | 40,039,087      | (2,650,800)  | -6.2%   | 42,689,887           | 12 |
| 13 Customer deposits   | 12,767,146    | 441,905       | 3.5%    | 13,209,051      | 631,411      | 5.0%    | 12,577,640           | 13 |
| 14 Total long-term liabilities                                       | 1,073,242,674 | 12,792,052    | 1.2%    | 1,086,476,631   | 32,168,079   | 3.1%    | 1,054,308,552        | 14 |
| <b>Current liabilities (payable from current assets)</b>             |               |               |         |                 |              |         |                      |    |
| 15 Accounts payable and other liabilities                            | 17,524,589    | 21,643,949    | 123.5%  | 39,168,538      | (61,593,263) | -61.1%  | 100,761,801          | 15 |
| 16 Due to City of New Orleans  | 592,926       | 1,644,244     | 277.3%  | 2,237,170       | 1,394,506    | 165.5%  | 842,664              | 16 |
| 17 Disaster Reimbursement Revolving Loan                             | 11,205,992    | (11,205,992)  | -100.0% | -               | (11,221,710) | -100.0% | 11,221,710           | 17 |
| 18 Retainers and estimates payable                                   | 9,877,920     | (5,300,481)   | -53.7%  | 4,577,439       | (5,768,284)  | -55.8%  | 10,345,723           | 18 |
| 19 Due to other fund   | 113,978       | 122,305       | 107.3%  | 236,283         | 119,907      | 103.0%  | 116,376              | 19 |
| 20 Accrued salaries  | 4,042,064     | (4,343,262)   | -107.5% | (301,198)       | (1,294,221)  | -130.3% | 993,023              | 20 |
| 21 Claims payable  | 757,437       | 2,125,238     | 280.6%  | 2,882,675       | (1,472,036)  | -33.8%  | 4,354,711            | 21 |
| 22 Total OPEB liability, due within one year                         | 7,043,121     | 949,335       | 13.5%   | 7,992,456       | 949,335      | 13.5%   | 7,043,121            | 22 |
| 23 Debt Service Assistance Fund Loan payable                         | 5,067,022     | (2,416,222)   | -47.7%  | 2,650,800       | (2,416,222)  | -47.7%  | 5,067,022            | 23 |
| 24 Advances from federal government                                  | 4,762,303     | (23,803)      | -0.5%   | 4,738,500       | (13,368)     | -0.3%   | 4,751,868            | 24 |
| 25 Other Liabilities   | 898,507       | 360,328       | 40.1%   | 1,258,835       | 791,376      | 169.3%  | 467,459              | 25 |
| 26 Total current liabilities (payable from current assets)           | 61,885,859    | 3,555,638     | 5.7%    | 65,441,497      | (80,523,981) | -22.3%  | 145,965,478          | 26 |
| <b>Current liabilities (payable from restricted assets)</b>          |               |               |         |                 |              |         |                      |    |
| 27 Accrued interest  | 2,725,236     | (174,537)     | -6.4%   | 2,550,699       | (174,537)    | -6.4%   | 2,725,236            | 27 |
| 28 Bonds payable   | 16,900,000    | (1,691,000)   | -10.0%  | 15,209,000      | (1,691,000)  | -10.0%  | 16,900,000           | 28 |
| 29 Retainers and estimates payable                                   | 771,149       | (684,708)     | -88.8%  | 86,441          | (1,985,825)  | -95.8%  | 2,072,266            | 29 |
| 30 Total current liabilities (payable from restricted assets)        | 20,396,385    | (2,550,245)   | -12.5%  | 17,846,140      | (3,851,362)  | -17.8%  | 21,697,502           | 30 |
| 31 Total current liabilities   | 82,282,244    | 1,005,393     | 1.2%    | 83,287,637      | (84,375,343) | -50.3%  | 167,662,980          | 31 |
| 32 Total liabilities   | 1,155,524,917 | (1,645,407)   | -0.1%   | 1,169,764,268   | (52,207,264) | -4.3%   | 1,221,971,532        | 32 |
| <b>Deferred inflows or resources:</b>                                |               |               |         |                 |              |         |                      |    |
| 33 Amounts related to net pension liability                          | 5,606,319     | 3,217,177     | 57.4%   | 8,823,496       | 3,217,177    | 57.4%   | 5,606,319            | 33 |
| 34 Amounts related to total OPEB liability                           | 12,047,631    | (8,065,226)   | -66.9%  | 3,982,405       | (8,065,226)  | -66.9%  | 12,047,631           | 34 |
| 35 TOTAL DEFERRED INFLOWS OF RESOURCES                               | 17,653,950    | 3,217,177     | 18.2%   | 12,805,901      | (4,848,049)  | -27.5%  | 17,653,950           | 35 |
| 36 Total Net Position, Liabilities and Deferred Inflows of Resources | 3,505,779,480 | 76,673,747    | 2.2%    | 3,593,489,935   | 109,062,462  | 3.1%    | 3,484,427,473        | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**WATER SYSTEM FUND**  
**STATEMENT OF REVENUES AND EXPENSES AND CHANGES IN NET POSITION**  
**WITH PRIOR YEAR COMPARISONS**  
**November 2020 Closed Financials**

|  | A         | B          | C         | D       | E           | F           | G           | H        |    |
|--|-----------|------------|-----------|---------|-------------|-------------|-------------|----------|----|
|  | MTD       | MTD        | MTD       |         | YTD         | YTD         | YTD         |          |    |
|  | Actual    | Prior Year | Variance  | %       | Actual      | Prior Year  | Variance    | %        |    |
| <b>Operating revenues:</b>               |           |            |           |         |             |             |             |          |    |
| 1 Sales of water and delinquent fees     | 8,689,688 | 7,587,159  | 1,102,529 | 14.5%   | 104,503,430 | 102,222,795 | 2,280,635   | 2.2%     | 1  |
| 2 Sewerage service charges and del fees  | -         | -          | -         | 0.0%    | -           | -           | -           | 0.0%     | 2  |
| 3 Plumbing inspection and license fees   | 11,785    | 26,415     | (14,630)  | -55.4%  | 198,868     | 274,028     | (75,160)    | -27.4%   | 3  |
| 4 Other revenues <sup>1</sup>            | 111,999   | 229,265    | (117,266) | -51.1%  | 3,899,750   | 2,745,372   | 1,154,378   | 42.0%    | 4  |
| 5 Total operating revenues               | 8,813,472 | 7,842,839  | 970,633   | 12.4%   | 108,602,048 | 105,242,195 | 3,359,853   | 3.2%     | 5  |
| <b>Operating Expenses:</b>               |           |            |           |         |             |             |             |          |    |
| 6 Power and pumping                      | 212,683   | 202,493    | 10,190    | 5.0%    | 2,171,772   | 2,021,498   | 150,273     | 7.4%     | 6  |
| 7 Treatment                              | 908,318   | 882,654    | 25,664    | 2.9%    | 8,501,347   | 8,622,587   | (121,240)   | -1.4%    | 7  |
| 8 Transmission and distribution          | 1,023,153 | 1,367,635  | (344,483) | -25.2%  | 13,351,320  | 16,585,584  | (3,234,264) | -19.5%   | 8  |
| 9 Customer accounts                      | 238,364   | 290,267    | (51,903)  | -17.9%  | 2,120,061   | 2,408,284   | (288,222)   | -12.0%   | 9  |
| 10 Customer service                      | 283,764   | 341,056    | (57,292)  | -16.8%  | 3,304,850   | 2,221,378   | 1,083,471   | 48.8%    | 10 |
| 11 Administration and general            | 997,974   | 1,160,457  | (162,483) | -14.0%  | 8,409,093   | 12,772,014  | (4,362,921) | -34.2%   | 11 |
| 12 Payroll related                       | 1,459,168 | 1,419,792  | 39,376    | 2.8%    | 18,552,314  | 16,836,438  | 1,715,876   | 10.2%    | 12 |
| 13 Maintenance of general plant          | 1,481,074 | 563,581    | 917,494   | 162.8%  | 12,793,835  | 10,026,695  | 2,767,140   | 27.6%    | 13 |
| 14 Depreciation                          | 1,063,838 | 1,018,044  | 45,795    | 4.5%    | 11,702,222  | 10,996,616  | 705,606     | 6.4%     | 14 |
| 15 Amortization                          | -         | -          | -         | 0.0%    | -           | -           | -           | 0.0%     | 15 |
| 16 Provision for doubtful accounts       | 539,851   | 167,262    | 372,589   | 222.8%  | 10,699,771  | 1,839,887   | 8,859,884   | 481.5%   | 16 |
| 17 Provision for claims                  | 82,193    | 97,683     | (15,489)  | -15.9%  | 765,211     | 1,069,796   | (304,586)   | -28.5%   | 17 |
| 18 Total operating expenses              | 8,290,381 | 7,510,924  | 779,457   | 10.4%   | 92,371,795  | 85,400,778  | 6,971,018   | 8.2%     | 18 |
| 19 Operating income (loss)               | 523,091   | 331,915    | 191,176   | 57.6%   | 16,230,253  | 19,841,417  | (3,611,165) | -18.2%   | 19 |
| <b>Non-operating revenues (expense):</b> |           |            |           |         |             |             |             |          |    |
| 20 Two-mill tax                          | -         | -          | -         | 0.0%    | -           | -           | -           | 0.0%     | 20 |
| 21 Three-mill tax                        | -         | -          | -         | 0.0%    | -           | -           | -           | 0.0%     | 21 |
| 22 Six-mill tax                          | -         | -          | -         | 0.0%    | -           | -           | -           | 0.0%     | 22 |
| 23 Nine-mill tax                         | -         | -          | -         | 0.0%    | -           | -           | -           | 0.0%     | 23 |
| 24 Interest income                       | 2,166     | 19,225     | (17,059)  | -88.7%  | 973,585     | 665,961     | 307,624     | 46.2%    | 24 |
| 25 Other Taxes                           | -         | -          | -         | 0.0%    | 132,482     | 132,286     | 196         | 0.1%     | 25 |
| 26 Other Income                          | 113,567   | -          | 113,567   | 0.0%    | 5,433,120   | 6,868,807   | (1,435,687) | -20.9%   | 26 |
| 27 Interest expense                      | (804,046) | (835,919)  | 31,874    | -3.8%   | (8,844,504) | (9,195,113) | 350,609     | -3.8%    | 27 |
| 28 Operating and maintenance grants      | -         | (100)      | 100       | -100.0% | 30,212      | (452)       | 30,664      | -6788.1% | 28 |
| 29 Provision for grants                  | -         | -          | -         | 0.0%    | -           | -           | -           | 0.0%     | 29 |
| 30 Total non-operating revenues          | (688,313) | (816,795)  | 128,482   | -15.7%  | (2,275,105) | (1,528,510) | (746,595)   | 48.8%    | 30 |
| 31 Income before capital contributions   | (165,222) | (484,879)  | 319,657   | -65.9%  | 13,955,148  | 18,312,907  | (4,357,760) | -23.8%   | 31 |
| 32 Capital contributions                 | 3,056,279 | 927,210    | 2,129,069 | 229.6%  | 13,601,264  | 7,750,505   | 5,850,760   | 75.5%    | 32 |
| 33 Change in net position                | 2,891,057 | 442,330    | 2,448,726 | 553.6%  | 27,556,412  | 26,063,412  | 1,493,000   | 5.7%     | 33 |
| 34 Audit Adjustment                      |           |            |           |         |             | 478,632     |             |          | 34 |
| 35 Net position, beginning of year       |           |            |           |         | 371,193,548 | 337,709,558 | 33,483,990  | 9.9%     | 35 |
| 36 Net position, end of year             |           |            |           |         | 398,749,960 | 364,251,602 | 34,498,358  | 9.5%     | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**WATER SYSTEM FUND**  
**STATEMENT OF REVENUES AND EXPENSES AND CHANGES IN NET POSITION**  
**WITH BUDGET COMPARISONS**  
**November 2020 Closed Financials**

|  | A           | B           | C           | D       | E           | F           | G            | H       |    |
|--|-------------|-------------|-------------|---------|-------------|-------------|--------------|---------|----|
|  | MTD         | MTD         | MTD         |         | YTD         | YTD         | YTD          |         |    |
|  | Actual      | Budget      | Variance    | %       | Actual      | Budget      | Variance     | %       |    |
| <b>Operating revenues:</b>               |             |             |             |         |             |             |              |         |    |
| 1 Sales of water and delinquent fees     | 8,689,688   | 9,912,699   | (1,223,010) | -12.3%  | 104,503,430 | 109,039,686 | (4,536,256)  | -4.2%   | 1  |
| 2 Sewerage service charges and del fees  | -           | -           | -           | 0.0%    | -           | -           | -            | 0.0%    | 2  |
| 3 Plumbing inspection and license fees   | 11,785      | 25,867      | (14,082)    | -54.4%  | 198,868     | 284,537     | (85,669)     | -30.1%  | 3  |
| 4 Other revenues <sup>1</sup>            | 111,999     | 21,633      | 90,366      | 417.7%  | 3,899,750   | 237,958     | 3,661,791    | 1538.8% | 4  |
| 5 Total operating revenues               | 8,813,472   | 9,960,198   | (1,146,726) | -11.5%  | 108,602,048 | 109,562,182 | (960,134)    | -0.9%   | 5  |
| <b>Operating Expenses:</b>               |             |             |             |         |             |             |              |         |    |
| 6 Power and pumping                      | 212,683     | 248,272     | (35,588)    | -14.3%  | 2,171,772   | 2,730,989   | (559,217)    | -20.5%  | 6  |
| 7 Treatment                              | 908,318     | 928,097     | (19,779)    | -2.1%   | 8,501,347   | 10,209,066  | (1,707,719)  | -16.7%  | 7  |
| 8 Transmission and distribution          | 1,023,153   | 1,696,474   | (673,321)   | -39.7%  | 13,351,320  | 18,661,211  | (5,309,892)  | -28.5%  | 8  |
| 9 Customer accounts                      | 238,364     | 265,334     | (26,970)    | -10.2%  | 2,120,061   | 2,918,671   | (798,610)    | -27.4%  | 9  |
| 10 Customer service                      | 283,764     | 390,983     | (107,220)   | -27.4%  | 3,304,850   | 4,300,816   | (995,966)    | -23.2%  | 10 |
| 11 Administration and general            | 997,974     | 1,736,424   | (738,450)   | -42.5%  | 8,409,093   | 19,100,669  | (10,691,576) | -56.0%  | 11 |
| 12 Payroll related                       | 1,459,168   | 1,363,048   | 96,120      | 7.1%    | 18,552,314  | 14,993,524  | 3,558,790    | 23.7%   | 12 |
| 13 Maintenance of general plant          | 1,481,074   | 1,245,296   | 235,779     | 18.9%   | 12,793,835  | 13,698,252  | (904,417)    | -6.6%   | 13 |
| 14 Depreciation                          | 1,063,838   | 1,577,667   | (513,828)   | -32.6%  | 11,702,222  | 17,354,333  | (5,652,111)  | -32.6%  | 14 |
| 15 Amortization                          | -           | -           | -           | 0.0%    | -           | -           | -            | 0.0%    | 15 |
| 16 Provision for doubtful accounts       | 539,851     | -           | 539,851     | 0.0%    | 10,699,771  | -           | 10,699,771   | 0.0%    | 16 |
| 17 Provision for claims                  | 82,193      | 135,717     | (53,523)    | -39.4%  | 765,211     | 1,492,883   | (727,672)    | -48.7%  | 17 |
| 18 Total operating expenses              | 8,290,381   | 9,587,310   | (1,296,930) | -13.5%  | 92,371,795  | 105,460,415 | (13,088,619) | -12.4%  | 18 |
| 19 Operating income (loss)               | 523,091     | 372,888     | 150,203     | 40.3%   | 16,230,253  | 4,101,767   | 12,128,486   | 295.7%  | 19 |
| <b>Non-operating revenues (expense):</b> |             |             |             |         |             |             |              |         |    |
| 20 Two-mill tax                          | -           | -           | -           | 0.0%    | -           | -           | -            | 0.0%    | 20 |
| 21 Three-mill tax                        | -           | -           | -           | 0.0%    | -           | -           | -            | 0.0%    | 21 |
| 22 Six-mill tax                          | -           | -           | -           | 0.0%    | -           | -           | -            | 0.0%    | 22 |
| 23 Nine-mill tax                         | -           | -           | -           | 0.0%    | -           | -           | -            | 0.0%    | 23 |
| 24 Interest income                       | 2,166       | 43,905      | (41,740)    | -95.1%  | 973,585     | 482,956     | 490,629      | 101.6%  | 24 |
| 25 Other Taxes                           | -           | 208,415     | (208,415)   | -100.0% | 132,482     | 2,292,568   | (2,160,086)  | -94.2%  | 25 |
| 26 Other Income                          | 113,567     | -           | 113,567     | 0.0%    | 5,433,120   | -           | 5,433,120    | 0.0%    | 26 |
| 27 Interest expense                      | (804,046)   | -           | (804,046)   | 0.0%    | (8,844,504) | -           | (8,844,504)  | 0.0%    | 27 |
| 28 Operating and maintenance grants      | -           | 63,079      | (63,079)    | -100.0% | 30,212      | 693,864     | (663,652)    | -95.6%  | 28 |
| 29 Provision for grants                  | -           | -           | -           | 0.0%    | -           | -           | -            | 0.0%    | 29 |
| 30 Total non-operating revenues          | (688,313)   | 315,399     | (1,003,712) | -318.2% | (2,275,105) | 3,469,389   | (5,744,494)  | -165.6% | 30 |
| 31 Income before capital contributions   | (165,222)   | 688,287     | (853,509)   | -124.0% | 13,955,148  | 7,571,156   | 6,383,992    | 84.3%   | 31 |
| 32 Capital contributions                 | 3,056,279   | -           | 3,056,279   | 0.0%    | 13,601,264  | -           | 13,601,264   | 0.0%    | 32 |
| 33 Change in net position                | 2,891,057   | 688,287     | 2,202,770   | 320.0%  | 27,556,412  | 7,571,156   | 19,985,256   | 264.0%  | 33 |
| 34 Audit Adjustment                      | -           | -           | -           | -       | -           | -           | -            | -       | 34 |
| 35 Net position, beginning of year       | 371,193,548 | 337,709,558 | 33,483,990  | 9.9%    | 399,228,592 | 345,280,714 | 53,947,878   | 15.6%   | 35 |
| 36 Net position, end of year             | -           | -           | -           | -       | -           | -           | -            | -       | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**WATER SYSTEM FUND**  
**STATEMENTS OF NET POSITION**  
**WITH PRIOR YEAR AND BEGINNING OF YEAR COMPARISONS**  
**November 2020 Closed Financials**

| Assets  |   | A                  | B                  | C             | D                  | E                  | F             | G                    |           |
|---|---|--------------------|--------------------|---------------|--------------------|--------------------|---------------|----------------------|-----------|
|   |   | Prior<br>Year      | Variance           | %             | Current<br>Year    | Variance           | %             | Beginning of<br>Year |           |
| <b>Noncurrent assets:</b>                                 |   |                    |                    |               |                    |                    |               |                      |           |
| 1   | Property, plant and equipment                             | 994,407,086        | 46,304,903         | 4.7%          | 1,040,711,989      | 70,036,028         | 7.2%          | 970,675,961          | 1         |
| 2   | Less: accumulated depreciation                            | 366,171,190        | 12,767,204         | 3.5%          | 378,938,394        | 23,284,895         | 6.5%          | 355,653,499          | 2         |
| 3   | Property, plant, and equipment, net                       | 628,235,896        | 33,537,699         | 5.3%          | 661,773,595        | 46,751,133         | 7.6%          | 615,022,462          | 3         |
| <b>Restricted cash, cash equivalents, and investments</b> |   |                    |                    |               |                    |                    |               |                      |           |
| 4   | Cash and cash equivalents restricted for capital projects | 3,146,809          | 1,482,237          | 47.1%         | 4,629,046          | (6,019,833)        | -56.5%        | 10,648,879           | 4         |
| 5   | Debt service  | 6,817,054          | (203,427)          | -3.0%         | 6,613,627          | (3,282,010)        | -49.6%        | 3,331,617            | 5         |
| 6   | Debt service reserve                                      | 13,473,550         | -                  | 0.0%          | 13,473,550         | -                  | 0.0%          | 13,473,550           | 6         |
| 7   | Health insurance reserve                                  | 772,097            | (133,984)          | -17.4%        | 638,113            | (142,120)          | -18.2%        | 780,233              | 7         |
| 8   | Total restricted cash, cash equivalents, and investments  | 24,209,510         | 1,144,826          | 4.7%          | 25,354,336         | (2,879,943)        | -10.2%        | 28,234,279           | 8         |
| <b>Current assets:</b>                                    |   |                    |                    |               |                    |                    |               |                      |           |
| <b>Unrestricted and undesignated</b>                      |   |                    |                    |               |                    |                    |               |                      |           |
| 9   | Cash and cash equivalents                                 | 9,673,508          | 7,188,616          | 74.3%         | 16,862,124         | (14,458,898)       | -85.7%        | 31,321,022           | 9         |
| <b>Accounts receivable:</b>                               |   |                    |                    |               |                    |                    |               |                      |           |
| 10  | Customers (net of allowance for doubtful accounts)        | 24,966,415         | (6,612,035)        | -26.5%        | 18,354,380         | (1,565,561)        | -8.5%         | 19,919,941           | 10        |
| 11  | Taxes   | -                  | -                  | 0.0%          | -                  | -                  | 0.0%          | -                    | 11        |
| 12  | Interest  | -                  | -                  | 0.0%          | -                  | -                  | 0.0%          | -                    | 12        |
| 13  | Grants  | 17,158,132         | (1,229,486)        | -7.2%         | 15,928,646         | 1,179,481          | 8.0%          | 14,749,165           | 13        |
| 14  | Miscellaneous   | 1,563,994          | (784,497)          | -50.2%        | 779,497            | 521,072            | 201.6%        | 258,425              | 14        |
| 15  | Due from (to) other internal departments                  | 3,868,644          | (5,085,654)        | -131.5%       | (1,217,010)        | 2,655,858          | -68.6%        | (3,872,868)          | 15        |
| 16  | Inventory of supplies                                     | 2,390,128          | (9,144)            | -0.4%         | 2,380,984          | (9,143)            | -0.4%         | 2,390,127            | 16        |
| 17  | Prepaid expenses  | 271,464            | 13,365             | 4.9%          | 284,829            | 13,374             | 4.9%          | 271,455              | 17        |
| 18  | Total unrestricted current assets                         | 59,892,285         | (6,518,835)        | -10.9%        | 53,373,450         | (11,663,817)       | -17.9%        | 65,037,267           | 18        |
| <b>Other assets:</b>                                      |   |                    |                    |               |                    |                    |               |                      |           |
| 19  | Funds from/for customer deposits                          | 12,767,146         | 441,905            | 3.5%          | 13,209,051         | 5,781,627          | 77.8%         | 7,427,424            | 19        |
| 20  | Deposits  | 22,950             | -                  | 0.0%          | 22,950             | -                  | 0.0%          | 22,950               | 20        |
| 21  | Total other assets  | 12,790,096         | 441,905            | 3.5%          | 13,232,001         | 5,781,627          | 77.6%         | 7,450,374            | 21        |
| 22  | <b>TOTAL ASSETS</b>                                       | <b>725,127,788</b> | <b>28,605,595</b>  | <b>2.6%</b>   | <b>753,733,382</b> | <b>37,989,000</b>  | <b>57.1%</b>  | <b>715,744,382</b>   | <b>22</b> |
| <b>Deferred outflows or resources:</b>                    |   |                    |                    |               |                    |                    |               |                      |           |
| 23  | Deferred amounts related to net pension liability         | 15,065,730         | (18,544,308)       | -123.1%       | (3,478,578)        | (18,544,308)       | -123.1%       | 15,065,730           | 23        |
| 24  | Deferred amounts related to OPEB                          | -                  | 16,612,955         | 0.0%          | 16,612,955         | 16,612,955         | 0.0%          | -                    | 24        |
| 25  | Deferred loss on bond refunding                           | 15,248             | (4,362)            | -28.6%        | 10,886             | (4,362)            | -28.6%        | 15,248               | 25        |
| 26  | <b>TOTAL DEFERRED OUTFLOWS OF RESOURCES</b>               | <b>15,080,978</b>  | <b>(1,935,715)</b> | <b>-12.8%</b> | <b>13,145,263</b>  | <b>(1,935,715)</b> | <b>-12.8%</b> | <b>15,080,978</b>    | <b>26</b> |
| 27  | <b>TOTAL ASSETS AND TOTAL DEFERRED OUTFLOWS</b>           | <b>740,208,766</b> | <b>26,669,879</b>  | <b>-10.2%</b> | <b>766,878,645</b> | <b>36,053,285</b>  | <b>44.2%</b>  | <b>730,825,360</b>   | <b>27</b> |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**WATER SYSTEM FUND**  
**STATEMENTS OF NET POSITION**  
**WITH PRIOR YEAR COMPARISONS**  
**November 2020 Closed Financials**

|  | A             | B            | C       | D               | E            | F       | G                    |    |
|--|---------------|--------------|---------|-----------------|--------------|---------|----------------------|----|
|  | Prior<br>Year | Variance     | %       | Current<br>Year | Variance     | %       | Beginning of<br>Year |    |
| <b>NET ASSETS AND LIABILITIES</b>                                    |               |              |         |                 |              |         |                      |    |
| <b>Net position</b>  |               |              |         |                 |              |         |                      |    |
| 1 Net investments in capital assets                                  | 414,337,651   | 43,330,952   | 10.5%   | 457,668,603     | 46,084,814   | 11.2%   | 411,583,789          | 1  |
| 2 Restricted for Debt Service  | 19,383,033    | 704,144      | 3.6%    | 20,087,177      | 3,282,010    | 19.5%   | 16,805,167           | 2  |
| 3 Unrestricted   | (69,469,082)  | (9,536,738)  | 13.7%   | (79,005,820)    | 11,673,578   | -12.9%  | (90,679,398)         | 3  |
| 4 Total net position   | 364,251,602   | 34,498,358   | 9.5%    | 398,749,960     | 61,040,402   | 18.1%   | 337,709,558          | 4  |
| <b>Long-term liabilities</b>   |               |              |         |                 |              |         |                      |    |
| 5 Claims payable   | 5,581,055     | (1,701,477)  | -30.5%  | 3,879,578       | (471,956)    | -10.8%  | 4,351,534            | 5  |
| 6 Accrued vacation and sick pay                                      | 3,892,124     | (164,106)    | -4.2%   | 3,728,018       | (156,819)    | -4.0%   | 3,884,837            | 6  |
| 7 Net pension obligation   | 43,289,761    | (15,181,039) | -35.1%  | 28,108,722      | (13,182,433) | -31.9%  | 41,291,155           | 7  |
| 8 Other postretirement benefits liability                            | 53,566,974    | 21,151,899   | 39.5%   | 74,718,873      | 24,195,825   | 47.9%   | 50,523,048           | 8  |
| 9 Bonds payable (net of current maturities)                          | 210,512,552   | (5,603,514)  | -2.7%   | 204,909,038     | (5,603,514)  | -2.7%   | 210,512,552          | 9  |
| 10 Special Community Disaster Loan Payable                           | -             | -            | 0.0%    | -               | -            | 0.0%    | -                    | 10 |
| 11 Southeast Louisiana Project liability                             | -             | -            | 0.0%    | -               | -            | 0.0%    | -                    | 11 |
| 12 Debt Service Assistance Fund Loan payable                         | 3,749,704     | (3,749,704)  | -100.0% | -               | (3,749,704)  | -100.0% | 3,749,704            | 12 |
| 13 Customer deposits   | 12,767,146    | 441,905      | 3.5%    | 13,209,051      | 631,411      | 5.0%    | 12,577,640           | 13 |
| 14 Total long-term liabilities                                       | 333,359,316   | (5,247,941)  | -1.6%   | 328,553,280     | 1,662,810    | 0.5%    | 326,890,470          | 14 |
| <b>Current liabilities (payable from current assets)</b>             |               |              |         |                 |              |         |                      |    |
| 15 Accounts payable and other liabilities                            | 8,944,762     | 10,973,761   | 122.7%  | 19,918,523      | (12,587,439) | -38.7%  | 32,505,962           | 15 |
| 16 Due to City of New Orleans  | 592,926       | 1,644,244    | 277.3%  | 2,237,170       | 1,394,506    | 165.5%  | 842,664              | 16 |
| 17 Disaster Reimbursement Revolving Loan                             | 9,410,341     | (9,410,341)  | -100.0% | -               | (9,116,772)  | -100.0% | 9,116,772            | 17 |
| 18 Retainers and estimates payable                                   | 4,737,478     | (3,683,367)  | -77.7%  | 1,054,111       | (3,689,044)  | -77.8%  | 4,743,155            | 18 |
| 19 Due to other fund   | 55,849        | 58,873       | 105.4%  | 114,722         | 58,058       | 102.5%  | 56,664               | 19 |
| 20 Accrued salaries  | 1,463,443     | (1,724,874)  | -117.9% | (261,431)       | (732,993)    | -155.4% | 471,562              | 20 |
| 21 Claims payable  | 252,479       | 836,692      | 331.4%  | 1,089,171       | (392,829)    | -26.5%  | 1,482,000            | 21 |
| 22 Other postretirement benefits liability                           | 2,347,707     | 316,445      | 13.5%   | 2,664,152       | 316,445      | 13.5%   | 2,347,707            | 22 |
| 23 Debt Service Assistance Fund Loan payable                         | 445,347       | (445,347)    | -100.0% | -               | (445,347)    | -100.0% | 445,347              | 23 |
| 24 Advances from federal government                                  | 2,785,997     | (23,803)     | -0.9%   | 2,762,195       | (13,368)     | -0.5%   | 2,775,563            | 24 |
| 25 Other Liabilities   | 714,308       | 225,727      | 31.6%   | 940,035         | 569,945      | 154.0%  | 370,090              | 25 |
| 26 Total current liabilities (payable from current assets)           | 31,750,637    | (1,231,989)  | -3.9%   | 30,518,648      | (24,638,838) | -44.7%  | 55,157,486           | 26 |
| <b>Current liabilities (payable from restricted assets)</b>          |               |              |         |                 |              |         |                      |    |
| 27 Accrued interest  | 907,571       | (23,720)     | -2.6%   | 883,851         | (23,720)     | -2.6%   | 907,571              | 27 |
| 28 Bonds payable   | 3,575,000     | 250,000      | 7.0%    | 3,825,000       | 250,000      | 7.0%    | 3,575,000            | 28 |
| 29 Retainers and estimates payable                                   | 479,990       | (400,717)    | -83.5%  | 79,273          | (621,352)    | -88.7%  | 700,625              | 29 |
| 30 Total current liabilities (payable from restricted assets)        | 4,962,561     | (174,437)    | -3.5%   | 4,788,124       | (395,072)    | -7.6%   | 5,183,196            | 30 |
| 31 TOTAL CURRENT LIABILITIES   | 36,713,198    | (1,406,426)  | -3.8%   | 35,306,772      | (25,033,910) | -41.5%  | 60,340,682           | 31 |
| 32 TOTAL LIABILITIES   | 370,072,514   | (6,654,366)  | -1.8%   | 363,860,053     | (23,371,099) | -6.0%   | 387,231,152          | 32 |
| <b>Deferred inflows or resources:</b>                                |               |              |         |                 |              |         |                      |    |
| 33 Amounts related to net pension liability                          | 1,868,773     | 1,072,392    | 57.4%   | 2,941,165       | 1,868,773    | 100.0%  | 1,868,773            | 33 |
| 34 Amounts related to total OPEB liability                           | 4,015,877     | (2,688,409)  | -66.9%  | 1,327,468       | 4,015,877    | 100.0%  | 4,015,877            | 34 |
| 35 TOTAL DEFERRED INFLOWS OF RESOURCES                               | 5,884,650     | (1,616,017)  | -27.5%  | 4,268,633       | 5,884,650    | 100.0%  | 5,884,650            | 35 |
| 36 Total Net Position, Liabilities and Deferred Inflows of Resources | 740,208,766   | 27,843,992   | 3.8%    | 766,878,646     | 36,053,286   | 4.9%    | 730,825,360          | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**SEWER SYSTEM FUND**  
**STATEMENT OF REVENUES AND EXPENSES AND CHANGES IN NET POSITION**  
**WITH PRIOR YEAR COMPARISONS**  
**November 2020 Closed Financials**

|  | A          | B          | C           | D       | E           | F           | G            | H        |    |
|--|------------|------------|-------------|---------|-------------|-------------|--------------|----------|----|
|  | MTD        | MTD        | MTD         |         | YTD         | YTD         | YTD          |          |    |
|  | Actual     | Prior Year | Variance    | %       | Actual      | Prior Year  | Variance     | %        |    |
| <b>Operating revenues:</b>               |            |            |             |         |             |             |              |          |    |
| 1 Sales of water and delinquent fees     | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%     | 1  |
| 2 Sewerage service charges and del fees  | 10,881,407 | 11,844,606 | (963,199)   | -8.1%   | 131,060,579 | 129,576,697 | 1,483,882    | 1.1%     | 2  |
| 3 Plumbing inspection and license fees   | 11,895     | 25,585     | (13,690)    | -53.5%  | 196,159     | 256,278     | (60,119)     | -23.5%   | 3  |
| 4 Other revenues                         | 122,691    | 43,145     | 79,546      | 184.4%  | 860,377     | 920,285     | (59,908)     | -6.5%    | 4  |
| 5 Total operating revenues               | 11,015,993 | 11,913,336 | (897,343)   | -7.5%   | 132,117,115 | 130,753,260 | 1,363,855    | 1.0%     | 5  |
| <b>Operating Expenses:</b>               |            |            |             |         |             |             |              |          |    |
| 6 Power and pumping                      | 450,108    | 504,122    | (54,014)    | -10.7%  | 4,886,863   | 3,899,626   | 987,237      | 25.3%    | 6  |
| 7 Treatment                              | 2,167,962  | 959,887    | 1,208,075   | 125.9%  | 11,758,689  | 7,335,931   | 4,422,757    | 60.3%    | 7  |
| 8 Transmission and distribution          | 1,511,642  | 1,012,848  | 498,794     | 49.2%   | 10,819,655  | 12,721,127  | (1,901,472)  | -14.9%   | 8  |
| 9 Customer accounts                      | 238,364    | 290,267    | (51,903)    | -17.9%  | 2,120,059   | 2,408,280   | (288,221)    | -12.0%   | 9  |
| 10 Customer service                      | 283,763    | 341,055    | (57,292)    | -16.8%  | 3,304,847   | 2,221,375   | 1,083,472    | 48.8%    | 10 |
| 11 Administration and general            | 1,106,794  | 1,520,975  | (414,181)   | -27.2%  | 10,615,302  | 17,122,214  | (6,506,912)  | -38.0%   | 11 |
| 12 Payroll related                       | 1,473,880  | 1,419,932  | 53,949      | 3.8%    | 18,711,381  | 16,791,885  | 1,919,496    | 11.4%    | 12 |
| 13 Maintenance of general plant          | 823,635    | 515,739    | 307,896     | 59.7%   | 5,757,390   | 7,017,094   | (1,259,704)  | -18.0%   | 13 |
| 14 Depreciation                          | 2,348,820  | 1,968,320  | 380,500     | 19.3%   | 25,837,020  | 22,387,599  | 3,449,420    | 15.4%    | 14 |
| 15 Amortization                          | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%     | 15 |
| 16 Provision for doubtful accounts       | 647,919    | 192,888    | 455,031     | 235.9%  | 13,141,348  | 2,121,770   | 11,019,578   | 519.4%   | 16 |
| 17 Provision for claims                  | 82,193     | 97,683     | (15,489)    | -15.9%  | 768,611     | 1,069,797   | (301,186)    | -28.2%   | 17 |
| 18 Total operating expenses              | 11,135,080 | 8,823,716  | 2,311,364   | 26.2%   | 107,721,164 | 95,096,697  | 12,624,467   | 13.3%    | 18 |
| 19 Operating income (loss)               | (119,087)  | 3,089,620  | (3,208,707) | -103.9% | 24,395,951  | 35,656,563  | (11,260,612) | -31.6%   | 19 |
| <b>Non-operating revenues (expense):</b> |            |            |             |         |             |             |              |          |    |
| 20 Two-mill tax                          | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%     | 20 |
| 21 Three-mill tax                        | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%     | 21 |
| 22 Six-mill tax                          | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%     | 22 |
| 23 Nine-mill tax                         | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%     | 23 |
| 24 Interest income                       | 1,575      | 3,742      | (2,167)     | -57.9%  | 1,222,369   | 581,885     | 640,484      | 110.1%   | 24 |
| 25 Other Taxes                           | -          | -          | -           | 0.0%    | 165,231     | 164,986     | 245          | 0.1%     | 25 |
| 26 Other Income                          | -          | -          | -           | 0.0%    | -           | 9,081,669   | (9,081,669)  | -100.0%  | 26 |
| 27 Interest expense                      | (862,550)  | (865,970)  | 3,420       | -0.4%   | (9,755,048) | (9,525,667) | (229,382)    | 2.4%     | 27 |
| 28 Operating and maintenance grants      | -          | -          | -           | 0.0%    | 28,143      | 487         | 27,656       | 5680.1%  | 28 |
| 29 Provision for grants                  | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%     | 29 |
| 30 Total non-operating revenues          | (860,975)  | (862,228)  | 1,253       | -0.1%   | (8,339,305) | 303,361     | (8,642,666)  | -2849.0% | 30 |
| 31 Income before capital contributions   | (980,061)  | 2,227,393  | (3,207,454) | -144.0% | 16,056,646  | 35,959,923  | (19,903,278) | -55.3%   | 31 |
| 32 Capital contributions                 | 461,678    | 753,840    | (292,161)   | -38.8%  | 3,317,079   | 6,617,720   | (3,300,641)  | -49.9%   | 32 |
| 33 Change in net position                | (518,383)  | 2,981,233  | (3,499,616) | -117.4% | 19,373,725  | 42,577,643  | (23,203,919) | -54.5%   | 33 |
| 34 Audit Adjustment                      |            |            |             |         |             | 1,862,475   |              |          | 34 |
| 35 Net position, beginning of year       |            |            |             |         | 812,112,814 | 784,959,695 | 27,153,119   | 3.5%     | 35 |
| 36 Net position, end of year             |            |            |             |         | 831,486,539 | 829,399,813 | 2,086,725    | 0.3%     | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**SEWER SYSTEM FUND**  
**STATEMENT OF REVENUES AND EXPENSES AND CHANGES IN NET POSITION**  
**WITH BUDGET COMPARISONS**  
**November 2020 Closed Financials**

|  | A          | B          | C           | D       | E           | F           | G            | H       |    |
|--|------------|------------|-------------|---------|-------------|-------------|--------------|---------|----|
|  | MTD        | MTD        | MTD         |         | YTD         | YTD         | YTD          |         |    |
|  | Actual     | Budget     | Variance    | %       | Actual      | Budget      | Variance     | %       |    |
| <b>Operating revenues:</b>               |            |            |             |         |             |             |              |         |    |
| 1 Sales of water and delinquent fees     | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%    | 1  |
| 2 Sewerage service charges and del fees  | 10,881,407 | 12,409,210 | (1,527,803) | -12.3%  | 131,060,579 | 136,501,307 | (5,440,729)  | -4.0%   | 2  |
| 3 Plumbing inspection and license fees   | 11,895     | 25,923     | (14,028)    | -54.1%  | 196,159     | 285,155     | (88,996)     | -31.2%  | 3  |
| 4 Other revenues                         | 122,691    | 26,980     | 95,711      | 354.8%  | 860,377     | 296,779     | 563,598      | 189.9%  | 4  |
| 5 Total operating revenues               | 11,015,993 | 12,462,113 | (1,446,120) | -11.6%  | 132,117,115 | 137,083,241 | (4,966,127)  | -3.6%   | 5  |
| <b>Operating Expenses:</b>               |            |            |             |         |             |             |              |         |    |
| 6 Power and pumping                      | 450,108    | 481,322    | (31,214)    | -6.5%   | 4,886,863   | 5,294,539   | (407,676)    | -7.7%   | 6  |
| 7 Treatment                              | 2,167,962  | 1,266,108  | 901,855     | 71.2%   | 11,758,689  | 13,927,184  | (2,168,496)  | -15.6%  | 7  |
| 8 Transmission and distribution          | 1,511,642  | 1,746,474  | (234,832)   | -13.4%  | 10,819,655  | 19,211,211  | (8,391,556)  | -43.7%  | 8  |
| 9 Customer accounts                      | 238,364    | 265,334    | (26,970)    | -10.2%  | 2,120,059   | 2,918,671   | (798,613)    | -27.4%  | 9  |
| 10 Customer service                      | 283,763    | 390,983    | (107,220)   | -27.4%  | 3,304,847   | 4,300,816   | (995,969)    | -23.2%  | 10 |
| 11 Administration and general            | 1,106,794  | 2,361,196  | (1,254,403) | -53.1%  | 10,615,302  | 25,973,159  | (15,357,857) | -59.1%  | 11 |
| 12 Payroll related                       | 1,473,880  | 1,435,948  | 37,932      | 2.6%    | 18,711,381  | 15,795,432  | 2,915,949    | 18.5%   | 12 |
| 13 Maintenance of general plant          | 823,635    | 999,759    | (176,124)   | -17.6%  | 5,757,390   | 10,997,345  | (5,239,955)  | -47.6%  | 13 |
| 14 Depreciation                          | 2,348,820  | 2,260,417  | 88,403      | 3.9%    | 25,837,020  | 24,864,583  | 972,436      | 3.9%    | 14 |
| 15 Amortization                          | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%    | 15 |
| 16 Provision for doubtful accounts       | 647,919    | -          | 647,919     | 0.0%    | 13,141,348  | -           | 13,141,348   | 0.0%    | 16 |
| 17 Provision for claims                  | 82,193     | 135,717    | (53,523)    | -39.4%  | 768,611     | 1,492,883   | (724,273)    | -48.5%  | 17 |
| 18 Total operating expenses              | 11,135,080 | 11,343,257 | (208,177)   | -1.8%   | 107,721,164 | 124,775,824 | (17,054,660) | -13.7%  | 18 |
| 19 Operating income (loss)               | (119,087)  | 1,118,856  | (1,237,943) | -110.6% | 24,395,951  | 12,307,418  | 12,088,533   | 98.2%   | 19 |
| <b>Non-operating revenues (expense):</b> |            |            |             |         |             |             |              |         |    |
| 20 Two-mill tax                          | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%    | 20 |
| 21 Three-mill tax                        | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%    | 21 |
| 22 Six-mill tax                          | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%    | 22 |
| 23 Nine-mill tax                         | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%    | 23 |
| 24 Interest income                       | 1,575      | 39,057     | (37,482)    | -96.0%  | 1,222,369   | 429,626     | 792,744      | 184.5%  | 24 |
| 25 Other Taxes                           | -          | 72,806     | (72,806)    | -100.0% | 165,231     | 800,863     | (635,632)    | -79.4%  | 25 |
| 26 Other Income                          | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%    | 26 |
| 27 Interest expense                      | (862,550)  | -          | (862,550)   | 0.0%    | (9,755,048) | -           | (9,755,048)  | 0.0%    | 27 |
| 28 Operating and maintenance grants      | -          | 105,131    | (105,131)   | -100.0% | 28,143      | 1,156,440   | (1,128,297)  | -97.6%  | 28 |
| 29 Provision for grants                  | -          | -          | -           | 0.0%    | -           | -           | -            | 0.0%    | 29 |
| 30 Total non-operating revenues          | (860,975)  | 216,994    | (1,077,968) | -496.8% | (8,339,305) | 2,386,929   | (10,726,234) | -449.4% | 30 |
| 31 Income before capital contributions   | (980,061)  | 1,335,850  | (2,315,911) | -173.4% | 16,056,646  | 14,694,347  | 1,362,299    | 9.3%    | 31 |
| 32 Capital contributions                 | 461,678    | -          | 461,678     | 0.0%    | 3,317,079   | -           | 3,317,079    | 0.0%    | 32 |
| 33 Change in net position                | (518,383)  | 1,335,850  | (1,854,233) | -138.8% | 19,373,725  | 14,694,347  | 4,679,378    | 31.8%   | 33 |
| 34 Audit Adjustment                      | -          | -          | -           | -       | -           | -           | -            | -       | 34 |
| 35 Net position, beginning of year       | -          | -          | -           | -       | 812,112,814 | 784,959,695 | 27,153,119   | 3.5%    | 35 |
| 36 Net position, end of year             | -          | -          | -           | -       | 833,349,014 | 799,654,042 | 33,694,972   | 4.2%    | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**SEWER SYSTEM FUND**  
**STATEMENTS OF NET POSITION**  
**WITH PRIOR YEAR AND BEGINNING OF YEAR COMPARISONS**  
**November 2020 Closed Financials**

| Assets  |   | A             | B            | C       | D               | E            | F      | G                    |    |
|---|---|---------------|--------------|---------|-----------------|--------------|--------|----------------------|----|
|   |   | Prior<br>Year | Variance     | %       | Current<br>Year | Variance     | %      | Beginning of<br>Year |    |
| <b>Noncurrent assets:</b>                                 |   |               |              |         |                 |              |        |                      |    |
| 1   | Property, plant and equipment                             | 1,408,217,575 | 40,816,371   | 2.9%    | 1,449,033,946   | 52,540,190   | 3.8%   | 1,396,493,756        | 1  |
| 2   | Less: accumulated depreciation                            | 328,882,832   | 31,517,172   | 9.6%    | 360,400,004     | 52,042,372   | 16.9%  | 308,357,632          | 2  |
| 3   | Property, plant, and equipment, net                       | 1,079,334,743 | 9,299,199    | 0.9%    | 1,088,633,942   | 497,818      | 0.0%   | 1,088,136,124        | 3  |
| <b>Restricted cash, cash equivalents, and investments</b> |   |               |              |         |                 |              |        |                      |    |
| 4   | Cash and cash equivalents restricted for capital projects | 11,814,301    | (4,615,896)  | -39.1%  | 7,198,405       | (3,380,886)  | -32.0% | 10,579,291           | 4  |
| 5   | Debt service  | 25,126,856    | (2,956,767)  | -11.8%  | 22,170,089      | 11,610,323   | 109.9% | 10,559,766           | 5  |
| 6   | Debt service reserve                                      | 18,615,642    | (11,660,000) | -62.6%  | 6,955,642       | (11,660,000) | -62.6% | 18,615,642           | 6  |
| 7   | Health insurance reserve                                  | 736,487       | (132,632)    | -18.0%  | 603,855         | (112,948)    | -15.8% | 716,803              | 7  |
| 8   | Total restricted cash, cash equivalents, and investments  | 56,293,286    | (19,365,295) | -34.4%  | 36,927,991      | (3,543,511)  | -8.8%  | 40,471,502           | 8  |
| <b>Current assets:</b>                                    |   |               |              |         |                 |              |        |                      |    |
| <b>Unrestricted and undesignated</b>                      |   |               |              |         |                 |              |        |                      |    |
| 9   | Cash and cash equivalents                                 | 25,420,322    | 17,746,201   | 69.8%   | 43,166,523      | 12,230,551   | 39.5%  | 30,935,972           | 9  |
| <b>Accounts receivable:</b>                               |   |               |              |         |                 |              |        |                      |    |
| 10  | Customers (net of allowance for doubtful accounts)        | 27,203,046    | (7,339,733)  | -27.0%  | 19,863,313      | (600,408)    | -2.9%  | 20,463,721           | 10 |
| 11  | Taxes   | -             | -            | 0.0%    | -               | -            | 0.0%   | -                    | 11 |
| 12  | Interest  | 774           | 1,373        | 177.3%  | 2,147           | 2,147        | 0.0%   | -                    | 12 |
| 13  | Grants  | 6,554,029     | (4,773,926)  | -72.8%  | 1,780,103       | (4,272,002)  | -70.6% | 6,052,105            | 13 |
| 14  | Miscellaneous   | 806,732       | 208,864      | 25.9%   | 1,015,596       | (507,545)    | -33.3% | 1,523,141            | 14 |
| 15  | Due from (to) other internal departments                  | 20,550,707    | 1,384,316    | 6.7%    | 21,935,023      | 5,434,268    | 32.9%  | 16,500,755           | 15 |
| 16  | Inventory of supplies                                     | 1,464,005     | 171,627      | 11.7%   | 1,635,632       | 171,626      | 11.7%  | 1,464,006            | 16 |
| 17  | Prepaid expenses  | 116,883       | 13,365       | 11.4%   | 130,248         | 13,356       | 11.4%  | 116,892              | 17 |
| 18  | Total unrestricted current assets                         | 82,116,498    | 7,412,086    | 9.0%    | 89,528,584      | 12,471,992   | 16.2%  | 77,056,592           | 18 |
| <b>Other assets:</b>                                      |   |               |              |         |                 |              |        |                      |    |
| 19  | Funds from/for customer deposits                          | -             | -            | 0.0%    | -               | -            | 0.0%   | -                    | 19 |
| 20  | Deposits  | 17,965        | -            | 0.0%    | 17,965          | -            | 0.0%   | 17,965               | 20 |
| 21  | Total other assets  | 17,965        | -            | 0.0%    | 17,965          | -            | 0.0%   | 17,965               | 21 |
| 22  | <b>TOTAL ASSETS</b>                                       | 1,217,762,492 | (2,654,009)  | -24.5%  | 1,215,108,483   | 9,426,300    | 7.5%   | 1,205,682,183        | 22 |
| <b>Deferred outflows or resources:</b>                    |   |               |              |         |                 |              |        |                      |    |
| 23  | Deferred amounts related to net pension liability         | 15,065,730    | (18,544,308) | -123.1% | (3,478,578)     | (18,544,308) | 533.1% | 15,065,730           | 23 |
| 24  | Deferred amounts related to OPEB                          | -             | 16,612,953   | 0.0%    | 16,612,953      | 16,612,953   | 0.0%   | -                    | 24 |
| 25  | Deferred loss on bond refunding                           | 2,751,760     | (238,365)    | -8.7%   | 2,513,395       | (268,267)    | -9.6%  | 2,781,662            | 25 |
| 26  | <b>TOTAL DEFERRED OUTFLOWS OF RESOURCES</b>               | 17,817,490    | (2,169,720)  | -12.2%  | 15,647,770      | (2,199,622)  | -12.3% | 17,847,392           | 26 |
| 27  | <b>TOTAL ASSETS AND TOTAL DEFERRED OUTFLOWS</b>           | 1,235,579,982 | (4,823,729)  | -36.7%  | 1,230,756,253   | 7,226,678    | -4.8%  | 1,223,529,575        | 27 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**SEWER SYSTEM FUND**  
**STATEMENTS OF NET POSITION**  
**WITH PRIOR YEAR COMPARISONS**  
**November 2020 Closed Financials**

|  | A             | B            | C       | D               | E            | F       | G                    |    |
|--|---------------|--------------|---------|-----------------|--------------|---------|----------------------|----|
|  | Prior<br>Year | Variance     | %       | Current<br>Year | Variance     | %       | Beginning of<br>Year |    |
| <b>NET ASSETS AND LIABILITIES</b>                                    |               |              |         |                 |              |         |                      |    |
| <b>Net position</b>  |               |              |         |                 |              |         |                      |    |
| 1 Net investments in capital assets                                  | 842,136,073   | 31,106,710   | 3.7%    | 873,242,783     | 12,262,817   | 1.4%    | 860,979,966          | 1  |
| 2 Restricted for Debt Service  | 41,999,504    | (12,873,773) | -30.7%  | 29,125,731      | (49,677)     | -0.2%   | 29,175,408           | 2  |
| 3 Unrestricted   | (54,735,764)  | (16,146,211) | 29.5%   | (70,881,975)    | 34,313,704   | -32.6%  | (105,195,679)        | 3  |
| 4 Total net position   | 829,399,813   | 2,086,725    | 0.3%    | 831,486,539     | 46,526,844   | 5.9%    | 784,959,695          | 4  |
| <b>Long-term liabilities</b>   |               |              |         |                 |              |         |                      |    |
| 5 Claims payable   | 5,865,966     | (928,867)    | -15.8%  | 4,937,099       | 265,044      | 5.7%    | 4,672,055            | 5  |
| 6 Accrued vacation and sick pay                                      | 3,710,536     | (192,012)    | -5.2%   | 3,518,524       | (183,651)    | -5.0%   | 3,702,175            | 6  |
| 7 Net pension obligation   | 43,289,761    | (15,181,039) | -35.1%  | 28,108,722      | (13,182,433) | -31.9%  | 41,291,155           | 7  |
| 8 Other postretirement benefits liability                            | 53,566,974    | 21,151,897   | 39.5%   | 74,718,871      | 24,195,823   | 47.9%   | 50,523,048           | 8  |
| 9 Bonds payable (net of current maturities)                          | 226,225,449   | (13,124,885) | -5.8%   | 213,100,564     | (13,124,885) | -5.8%   | 226,225,449          | 9  |
| 10 Special Community Disaster Loan Payable                           | -             | -            | 0.0%    | -               | -            | 0.0%    | -                    | 10 |
| 11 Southeast Louisiana Project liability                             | -             | -            | 0.0%    | -               | -            | 0.0%    | -                    | 11 |
| 12 Debt Service Assistance Fund Loan payable                         | 36,552,926    | 3,486,161    | 9.5%    | 40,039,087      | 3,486,161    | 9.5%    | 36,552,926           | 12 |
| 13 Customer deposits   | -             | -            | 0.0%    | -               | -            | 0.0%    | -                    | 13 |
| 14 Total long-term liabilities                                       | 369,211,612   | (4,788,745)  | -1.3%   | 364,422,867     | 1,456,059    | 0.4%    | 362,966,808          | 14 |
| <b>Current liabilities (payable from current assets)</b>             |               |              |         |                 |              |         |                      |    |
| 15 Accounts payable and other liabilities                            | 3,479,153     | 5,948,269    | 171.0%  | 9,427,422       | (30,386,898) | -76.3%  | 39,814,320           | 15 |
| 16 Due to City of New Orleans  | -             | -            | 0.0%    | -               | -            | 0.0%    | -                    | 16 |
| 17 Disaster Reimbursement Revolving Loan                             | 1,492,473     | (1,492,473)  | -100.0% | -               | (1,687,174)  | -100.0% | 1,687,174            | 17 |
| 18 Retainers and estimates payable                                   | 2,021,502     | (578,646)    | -28.6%  | 1,442,856       | (1,638,625)  | -53.2%  | 3,081,481            | 18 |
| 19 Due to other fund   | 26,215        | 29,207       | 111.4%  | 55,422          | 28,895       | 108.9%  | 26,527               | 19 |
| 20 Accrued salaries  | 1,435,461     | (1,534,830)  | -106.9% | (99,369)        | (384,227)    | -134.9% | 284,858              | 20 |
| 21 Claims payable  | 252,479       | 804,934      | 318.8%  | 1,057,413       | (388,977)    | -26.9%  | 1,446,390            | 21 |
| 22 Other postretirement benefits liability                           | 2,347,707     | 316,445      | 13.5%   | 2,664,152       | 316,445      | 13.5%   | 2,347,707            | 22 |
| 23 Debt Service Assistance Fund Loan payable                         | 4,337,950     | (1,687,150)  | -38.9%  | 2,650,800       | (1,687,150)  | -38.9%  | 4,337,950            | 23 |
| 24 Advances from federal government                                  | 1,976,305     | -            | 0.0%    | 1,976,305       | 0            | 0.0%    | 1,976,305            | 24 |
| 25 Other Liabilities   | 170,509       | 132,275      | 77.6%   | 302,784         | 211,709      | 232.5%  | 91,075               | 25 |
| 26 Total current liabilities (payable from current assets)           | 17,539,754    | 1,938,031    | 11.0%   | 19,477,785      | (35,616,002) | -64.6%  | 55,093,787           | 26 |
| <b>Current liabilities (payable from restricted assets)</b>          |               |              |         |                 |              |         |                      |    |
| 27 Accrued interest  | 1,742,994     | (138,734)    | -8.0%   | 1,604,260       | (138,734)    | -8.0%   | 1,742,994            | 27 |
| 28 Bonds payable   | 11,510,000    | (2,021,000)  | -17.6%  | 9,489,000       | 2,021,000    | 17.6%   | 11,510,000           | 28 |
| 29 Retainers and estimates payable                                   | 291,159       | (283,991)    | -97.5%  | 7,168           | 1,364,473    | 99.5%   | 1,371,641            | 29 |
| 30 Total current liabilities (payable from restricted assets)        | 13,544,153    | (2,443,725)  | -18.0%  | 11,100,428      | (3,524,207)  | -24.1%  | 14,624,635           | 30 |
| 31 TOTAL CURRENT LIABILITIES   | 31,083,907    | (505,694)    | -1.6%   | 30,578,213      | (39,140,209) | -56.1%  | 69,718,422           | 31 |
| 32 TOTAL LIABILITIES   | 400,295,519   | (5,294,438)  | -1.3%   | 395,001,081     | (37,684,149) | -8.7%   | 432,685,230          | 32 |
| <b>Deferred inflows or resources:</b>                                |               |              |         |                 |              |         |                      |    |
| 33 Amounts related to net pension liability                          | 1,868,773     | 1,072,392    | 57.4%   | 2,941,165       | 1,072,392    | 57.4%   | 1,868,773            | 33 |
| 34 Amounts related to total OPEB liability                           | 4,015,877     | (2,688,409)  | -66.9%  | 1,327,468       | (2,688,409)  | -66.9%  | 4,015,877            | 34 |
| 35 TOTAL DEFERRED INFLOWS OF RESOURCES                               | 5,884,650     | (1,616,017)  | -27.5%  | 4,268,633       | (1,616,017)  | -27.5%  | 5,884,650            | 35 |
| 36 Total Net Position, Liabilities and Deferred Inflows of Resources | 1,235,579,982 | (3,207,713)  | -0.3%   | 1,230,756,252   | 7,226,677    | 0.6%    | 1,223,529,575        | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**DRAINAGE SYSTEM FUND**  
**STATEMENT OF REVENUES AND EXPENSES AND CHANGES IN NET POSITION**  
**WITH PRIOR YEAR COMPARISONS**  
**November 2020 Closed Financials**

|  | A           | B           | C         | D       | E             | F             | G            | H       |    |
|--|-------------|-------------|-----------|---------|---------------|---------------|--------------|---------|----|
|  | MTD         | MTD         | MTD       |         | YTD           | YTD           | YTD          |         |    |
|  | Actual      | Prior Year  | Variance  | %       | Actual        | Prior Year    | Variance     | %       |    |
| <b>Operating revenues:</b>               |             |             |           |         |               |               |              |         |    |
| 1 Sales of water and delinquent fees     | -           | -           | -         | 0.0%    | -             | -             | -            | 0.0%    | 1  |
| 2 Sewerage service charges and del fees  | -           | -           | -         | 0.0%    | -             | -             | -            | 0.0%    | 2  |
| 3 Plumbing inspection and license fees   | -           | -           | -         | 0.0%    | -             | -             | -            | 0.0%    | 3  |
| 4 Other revenues                         | 207,751     | 7,017       | 200,733   | 2860.6% | (966,400)     | 733,596       | (1,699,996)  | -231.7% | 4  |
| 5 Total operating revenues               | 207,751     | 7,017       | 200,733   | 2860.6% | (966,400)     | 733,596       | (1,699,996)  | -231.7% | 5  |
| <b>Operating Expenses:</b>               |             |             |           |         |               |               |              |         |    |
| 6 Power and pumping                      | 1,357,689   | 1,346,880   | 10,808    | 0.8%    | 9,771,656     | 9,456,294     | 315,362      | 3.3%    | 6  |
| 7 Treatment                              | -           | -           | -         | 0.0%    | -             | -             | -            | 0.0%    | 7  |
| 8 Transmission and distribution          | 324,087     | 383,941     | (59,854)  | -15.6%  | 3,774,580     | 3,823,372     | (48,792)     | -1.3%   | 8  |
| 9 Customer accounts                      | 970         | 1,495       | (525)     | -35.1%  | 17,669        | 23,102        | (5,433)      | -23.5%  | 9  |
| 10 Customer service                      | 5,345       | 9,722       | (4,377)   | -45.0%  | 73,043        | 69,433        | 3,610        | 5.2%    | 10 |
| 11 Administration and general            | 516,434     | 722,584     | (206,150) | -28.5%  | 5,080,469     | 8,206,919     | (3,126,450)  | -38.1%  | 11 |
| 12 Payroll related                       | 1,037,377   | 1,012,213   | 25,164    | 2.5%    | 12,784,619    | 11,492,601    | 1,292,018    | 11.2%   | 12 |
| 13 Maintenance of general plant          | 480,796     | 263,481     | 217,315   | 82.5%   | 3,880,514     | 3,991,592     | (111,078)    | -2.8%   | 13 |
| 14 Depreciation                          | 2,416,411   | 1,967,750   | 448,661   | 22.8%   | 26,580,518    | 21,990,742    | 4,589,776    | 20.9%   | 14 |
| 15 Amortization                          | -           | -           | -         | 0.0%    | -             | -             | -            | 0.0%    | 15 |
| 16 Provision for doubtful accounts       | 3,709       | 974         | 2,736     | 281.0%  | 40,803        | 10,711        | 30,092       | 281.0%  | 16 |
| 17 Provision for claims                  | 41,097      | 49,008      | (7,911)   | -16.1%  | (41,132)      | 536,905       | (578,038)    | -107.7% | 17 |
| 18 Total operating expenses              | 6,183,914   | 5,758,047   | 425,867   | 7.4%    | 61,962,739    | 59,601,672    | 2,361,067    | 4.0%    | 18 |
| 19 Operating income (loss)               | (5,976,164) | (5,751,030) | (225,134) | 3.9%    | (62,929,138)  | (58,868,076)  | (4,061,063)  | 6.9%    | 19 |
| <b>Non-operating revenues (expense):</b> |             |             |           |         |               |               |              |         |    |
| 20 Two-mill tax                          | 14          | -           | 14        | 0.0%    | 701           | 35            | 666          | 1918.0% | 20 |
| 21 Three-mill tax                        | 140,363     | -           | 140,363   | 0.0%    | 17,949,853    | 15,180,014    | 2,769,839    | 18.2%   | 21 |
| 22 Six-mill tax                          | 148,302     | -           | 148,302   | 0.0%    | 18,918,268    | 16,006,243    | 2,912,025    | 18.2%   | 22 |
| 23 Nine-mill tax                         | 222,743     | -           | 222,743   | 0.0%    | 28,357,077    | 23,992,705    | 4,364,373    | 18.2%   | 23 |
| 24 Interest income                       | 4,979       | 27,881      | (22,903)  | -82.1%  | 154,399       | 554,046       | (399,646)    | -72.1%  | 24 |
| 25 Other Taxes                           | -           | -           | -         | 0.0%    | -             | -             | -            | 0.0%    | 25 |
| 26 Other Income                          | -           | 162         | (162)     | -100.0% | 1,030,625     | 11,888,663    | (10,858,038) | -91.3%  | 26 |
| 27 Interest expense                      | -           | (106,775)   | 106,775   | -100.0% | -             | (106,775)     | 106,775      | -100.0% | 27 |
| 28 Operating and maintenance grants      | -           | -           | -         | 0.0%    | 17,471        | -             | 17,471       | 0.0%    | 28 |
| 29 Provision for claims                  | -           | -           | -         | 0.0%    | -             | -             | -            | 0.0%    | 29 |
| 30 Total non-operating revenues          | 516,401     | (78,732)    | 595,133   | -755.9% | 66,428,394    | 67,514,929    | (1,086,535)  | -1.6%   | 30 |
| 31 Income before capital contributions   | (5,459,763) | (5,829,762) | 369,999   | -6.3%   | 3,499,255     | 8,646,854     | (5,147,598)  | -59.5%  | 31 |
| 32 Capital contributions                 | 1,882,227   | 1,332,221   | 550,006   | 41.3%   | 4,222,323     | 7,967,168     | (3,744,845)  | -47.0%  | 32 |
| 33 Change in net position                | (3,577,536) | (4,497,541) | 920,005   | -20.5%  | 7,721,578     | 16,614,022    | (8,892,444)  | -53.5%  | 33 |
| 34 Audit Adjustment                      |             |             |           |         |               | 202,438       |              |         | 34 |
| 35 Net position, beginning of year       |             |             |           |         | 1,172,961,690 | 1,122,132,738 | 50,828,952   | 4.5%    | 35 |
| 36 Net position, end of year             |             |             |           |         | 1,180,683,268 | 1,138,949,198 | 41,734,070   | 3.7%    | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**DRAINAGE SYSTEM FUND**  
**STATEMENT OF REVENUES AND EXPENSES AND CHANGES IN NET POSITION**  
**WITH BUDGET COMPARISONS**  
**November 2020 Closed Financials**

|  | A           | B           | C           | D       | E             | F             | G           | H       |    |
|--|-------------|-------------|-------------|---------|---------------|---------------|-------------|---------|----|
|  | MTD         | MTD         | MTD         |         | YTD           | YTD           | YTD         |         |    |
|  | Actual      | Budget      | Variance    | %       | Actual        | Budget        | Variance    | %       |    |
| <b>Operating revenues:</b>               |             |             |             |         |               |               |             |         |    |
| 1 Sales of water and delinquent fees     | -           | -           | -           | 0.0%    | -             | -             | -           | 0.0%    | 1  |
| 2 Sewerage service charges and del fees  | -           | -           | -           | 0.0%    | -             | -             | -           | 0.0%    | 2  |
| 3 Plumbing inspection and license fees   | -           | -           | -           | 0.0%    | -             | -             | -           | 0.0%    | 3  |
| 4 Other revenues                         | 207,751     | -           | 207,751     | 100.0%  | (966,400)     | -             | (966,400)   | 100.0%  | 4  |
| 5 Total operating revenues               | 207,751     | -           | 207,751     | 100.0%  | (966,400)     | -             | (966,400)   | 100.0%  | 5  |
| <b>Operating Expenses:</b>               |             |             |             |         |               |               |             |         |    |
| 6 Power and pumping                      | 1,357,689   | 1,181,056   | 176,632     | 15.0%   | 9,771,656     | 12,991,616    | (3,219,961) | -24.8%  | 6  |
| 7 Treatment                              | -           | -           | -           | 0.0%    | -             | -             | -           | 0.0%    | 7  |
| 8 Transmission and distribution          | 324,087     | 420,270     | (96,183)    | -22.9%  | 3,774,580     | 4,622,974     | (848,394)   | -18.4%  | 8  |
| 9 Customer accounts                      | 970         | 1,090       | (120)       | -11.0%  | 17,669        | 11,992        | 5,676       | 47.3%   | 9  |
| 10 Customer service                      | 5,345       | 6,876       | (1,531)     | -22.3%  | 73,043        | 75,639        | (2,596)     | -3.4%   | 10 |
| 11 Administration and general            | 516,434     | 1,134,659   | (618,225)   | -54.5%  | 5,080,469     | 12,481,246    | (7,400,777) | -59.3%  | 11 |
| 12 Payroll related                       | 1,037,377   | 716,793     | 320,584     | 44.7%   | 12,784,619    | 7,884,721     | 4,899,898   | 62.1%   | 12 |
| 13 Maintenance of general plant          | 480,796     | 511,629     | (30,833)    | -6.0%   | 3,880,514     | 5,627,916     | (1,747,402) | -31.0%  | 13 |
| 14 Depreciation                          | 2,416,411   | 1,912,500   | 503,911     | 26.3%   | 26,580,518    | 21,037,500    | 5,543,018   | 26.3%   | 14 |
| 15 Amortization                          | -           | -           | -           | 0.0%    | -             | -             | -           | 0.0%    | 15 |
| 16 Provision for doubtful accounts       | 3,709       | -           | 3,709       | 0.0%    | 40,803        | -             | 40,803      | 0.0%    | 16 |
| 17 Provision for claims                  | 41,097      | 99,108      | (58,011)    | -58.5%  | (41,132)      | 1,090,192     | (1,131,324) | -103.8% | 17 |
| 18 Total operating expenses              | 6,183,914   | 5,983,982   | 199,933     | 3.3%    | 61,962,739    | 65,823,797    | (3,861,058) | -5.9%   | 18 |
| 19 Operating income (loss)               | (5,976,164) | (5,983,982) | 7,818       | -0.1%   | (62,929,138)  | (65,823,797)  | 2,894,659   | -4.4%   | 19 |
| <b>Non-operating revenues (expense):</b> |             |             |             |         |               |               |             |         |    |
| 20 Two-mill tax                          | 14          | -           | 14          | 0.0%    | 701           | -             | 701         | 0.0%    | 20 |
| 21 Three-mill tax                        | 140,363     | 1,501,084   | (1,360,721) | -90.6%  | 17,949,853    | 16,511,927    | 1,437,926   | 8.7%    | 21 |
| 22 Six-mill tax                          | 148,302     | 1,585,226   | (1,436,923) | -90.6%  | 18,918,268    | 17,437,482    | 1,480,785   | 8.5%    | 22 |
| 23 Nine-mill tax                         | 222,743     | 2,376,156   | (2,153,413) | -90.6%  | 28,357,077    | 26,137,713    | 2,219,364   | 8.5%    | 23 |
| 24 Interest income                       | 4,979       | 42,003      | (37,024)    | -88.1%  | 154,399       | 462,028       | (307,629)   | -66.6%  | 24 |
| 25 Other Taxes                           | -           | 42,746      | (42,746)    | -100.0% | -             | 470,202       | (470,202)   | -100.0% | 25 |
| 26 Other Income                          | -           | -           | -           | 0.0%    | 1,030,625     | -             | 1,030,625   | 0.0%    | 26 |
| 27 Interest expense                      | -           | -           | -           | 0.0%    | -             | -             | -           | 0.0%    | 27 |
| 28 Operating and maintenance grants      | -           | 42,052      | (42,052)    | -100.0% | 17,471        | 462,576       | (445,105)   | -96.2%  | 28 |
| 29 Provision for grants                  | -           | -           | -           | 0.0%    | -             | -             | -           | 0.0%    | 29 |
| 30 Total non-operating revenues          | 516,401     | 5,589,266   | (5,072,866) | -90.8%  | 66,428,394    | 61,481,928    | 4,946,465   | 8.0%    | 30 |
| 31 Income before capital contributions   | (5,459,763) | (394,715)   | (5,065,048) | 1283.2% | 3,499,255     | (4,341,869)   | 7,841,124   | -180.6% | 31 |
| 32 Capital contributions                 | 1,882,227   | -           | 1,882,227   | 0.0%    | 4,222,323     | -             | 4,222,323   | 0.0%    | 32 |
| 33 Change in net position                | (3,577,536) | (394,715)   | (3,182,821) | 806.4%  | 7,721,578     | (4,341,869)   | 12,063,446  | -277.8% | 33 |
| 34 Audit Adjustment                      |             |             |             |         | -             |               |             |         | 34 |
| 35 Net position, beginning of year       |             |             |             |         | 1,172,961,690 | 1,122,132,738 | 50,828,952  | 4.5%    | 35 |
| 36 Net position, end of year             |             |             |             |         | 1,180,885,706 | 1,117,790,869 | 63,094,836  | 5.6%    | 36 |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**DRAINAGE SYSTEM FUND**  
**STATEMENTS OF NET POSITION**  
**WITH PRIOR YEAR AND BEGINNING OF YEAR COMPARISONS**  
**November 2020 Closed Financials**

|   |   | A                    | B                  | C             | D                    | E                  | F             | G                    |           |
|---|---|----------------------|--------------------|---------------|----------------------|--------------------|---------------|----------------------|-----------|
| Assets  |   |                      |                    |               |                      |                    |               |                      |           |
|   |   | Prior<br>Year        | Variance           | %             | Current<br>Year      | Variance           | %             | Beginning of<br>Year |           |
| <b>Noncurrent assets:</b>                                 |   |                      |                    |               |                      |                    |               |                      |           |
| 1   | Property, plant and equipment                             | 1,899,038,031        | 75,212,443         | 4.0%          | 1,974,250,474        | 98,370,926         | 5.2%          | 1,875,879,548        | 1         |
| 2   | Less: accumulated depreciation                            | 391,964,369          | 29,765,735         | 7.6%          | 421,730,104          | 51,554,047         | 13.9%         | 370,176,057          | 2         |
| 3   | Property, plant, and equipment, net                       | 1,507,073,662        | 45,446,708         | 3.0%          | 1,552,520,370        | 46,816,879         | 3.1%          | 1,505,703,491        | 3         |
| <b>Restricted cash, cash equivalents, and investments</b> |   |                      |                    |               |                      |                    |               |                      |           |
| 4   | Cash and cash equivalents restricted for capital projects | (1,517,007)          | 2,823,755          | 0.0%          | 1,306,748            | 1,289,351          | 7411.3%       | 17,397               | 4         |
| 5   | Debt service  | 2,384,760            | (293,378)          | -12.3%        | 2,091,382            | 2,029,372          | 3272.7%       | 62,010               | 5         |
| 6   | Debt service reserve                                      | -                    | -                  | 0.0%          | -                    | -                  | 0.0%          | -                    | 6         |
| 7   | Health insurance reserve                                  | 716,418              | (71,386)           | -10.0%        | 645,032              | (54,566)           | -7.8%         | 699,598              | 7         |
| 8   | Total restricted cash, cash equivalents, and investments  | 1,584,171            | 2,458,992          | 155.2%        | 4,043,163            | 3,264,158          | 419.0%        | 779,005              | 8         |
| <b>Current assets:</b>                                    |   |                      |                    |               |                      |                    |               |                      |           |
| <b>Unrestricted and undesignated</b>                      |   |                      |                    |               |                      |                    |               |                      |           |
| 9   | Cash and cash equivalents                                 | 15,412,300           | 19,860,669         | 128.9%        | 35,272,969           | 33,890,617         | 2451.7%       | 1,382,352            | 9         |
| <b>Accounts receivable:</b>                               |   |                      |                    |               |                      |                    |               |                      |           |
| 10  | Customers (net of allowance for doubtful accounts)        | -                    | (40,803)           | 0.0%          | (40,803)             | (40,803)           | 0.0%          | -                    | 10        |
| 11  | Taxes   | 5,039,252            | (916,129)          | -18.2%        | 4,123,123            | (2,369,985)        | -36.5%        | 6,493,108            | 11        |
| 12  | Interest  | -                    | -                  | 0.0%          | -                    | -                  | 0.0%          | -                    | 12        |
| 13  | Grants  | 5,264,565            | (590,971)          | -11.2%        | 4,673,594            | (1,335,482)        | -22.2%        | 6,009,076            | 13        |
| 14  | Miscellaneous   | 3,445,911            | (2,298,149)        | -66.7%        | 1,147,762            | (2,802,115)        | -70.9%        | 3,949,877            | 14        |
| 15  | Due from (to) other internal departments                  | (24,217,651)         | 3,836,366          | -15.8%        | (20,381,285)         | (9,748,398)        | 91.7%         | (10,632,887)         | 15        |
| 16  | Inventory of supplies                                     | 1,034,570            | 85,814             | 8.3%          | 1,120,384            | 85,815             | 8.3%          | 1,034,569            | 16        |
| 17  | Prepaid expenses  | 148,837              | 6,683              | 4.5%          | 155,520              | 6,688              | 4.5%          | 148,832              | 17        |
| 18  | Total unrestricted current assets                         | 6,127,784            | 19,943,480         | 325.5%        | 26,071,264           | 17,686,337         | 210.9%        | 8,384,927            | 18        |
| <b>Other assets:</b>                                      |   |                      |                    |               |                      |                    |               |                      |           |
| 19  | Funds from/for customer deposits                          | -                    | -                  | 0.0%          | -                    | -                  | 0.0%          | -                    | 19        |
| 20  | Deposits  | 10,400               | -                  | 0.0%          | 10,400               | -                  | 0.0%          | 10,400               | 20        |
| 21  | Total other assets  | 10,400               | -                  | 0.0%          | 10,400               | -                  | 0.0%          | 10,400               | 21        |
| 22  | <b>TOTAL ASSETS</b>                                       | <u>1,514,796,017</u> | <u>67,849,179</u>  | <u>483.7%</u> | <u>1,582,645,196</u> | <u>67,767,373</u>  | <u>633.1%</u> | <u>1,514,877,823</u> | <u>22</u> |
| <b>Deferred outflows or resources:</b>                    |   |                      |                    |               |                      |                    |               |                      |           |
| 23  | Deferred amounts related to net pension liability         | 15,065,730           | (18,544,308)       | -123.1%       | (3,478,578)          | (18,544,308)       | -123.1%       | 15,065,730           | 23        |
| 24  | Deferred amounts related to OPEB                          | -                    | 16,612,957         | 0.0%          | 16,612,957           | 16,612,957         | 0.0%          | -                    | 24        |
| 25  | Deferred loss on bond refunding                           | 128,985              | (53,523)           | -41.5%        | 75,462               | (53,523)           | -41.5%        | 128,985              | 25        |
| 26  | <b>TOTAL DEFERRED OUTFLOWS OF RESOURCES</b>               | <u>15,194,715</u>    | <u>(1,984,874)</u> | <u>-13.1%</u> | <u>13,209,841</u>    | <u>(1,984,874)</u> | <u>-13.1%</u> | <u>15,194,715</u>    | <u>26</u> |
| 27  | <b>TOTAL ASSETS AND TOTAL DEFERRED OUTFLOWS</b>           | <u>1,529,990,732</u> | <u>65,864,305</u>  | <u>470.6%</u> | <u>1,595,855,037</u> | <u>65,782,499</u>  | <u>620.0%</u> | <u>1,530,072,538</u> | <u>27</u> |



**SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**DRAINAGE SYSTEM FUND**  
**STATEMENTS OF NET POSITION**  
**WITH PRIOR YEAR COMPARISONS**  
**November 2020 Closed Financials**

|  | A             | B             | C       | D               | E            | F       | G                    |    |
|--|---------------|---------------|---------|-----------------|--------------|---------|----------------------|----|
|  | Prior<br>Year | Variance      | %       | Current<br>Year | Variance     | %       | Beginning of<br>Year |    |
| <b>NET ASSETS AND LIABILITIES</b>                                    |               |               |         |                 |              |         |                      |    |
| <b>Net position</b>  |               |               |         |                 |              |         |                      |    |
| 1 Net investments in capital assets                                  | 1,499,317,063 | (201,707,556) | -13.5%  | 1,297,609,507   | 26,802,213   | 2.1%    | 1,270,807,294        | 1  |
| 2 Restricted for Debt Service  | 2,310,089     | (218,707)     | -9.5%   | 2,091,382       | 2,029,372    | 3272.7% | 62,010               | 2  |
| 3 Unrestricted   | (362,677,954) | 243,660,333   | -67.2%  | (119,017,621)   | 29,718,945   | -20.0%  | (148,736,566)        | 3  |
| 4 Total net position   | 1,138,949,198 | 41,734,070    | 3.7%    | 1,180,683,268   | 58,550,530   | 5.2%    | 1,122,132,738        | 4  |
| <b>Long-term liabilities</b>   |               |               |         |                 |              |         |                      |    |
| 5 Claims payable   | 36,218,284    | (1,825,798)   | -5.0%   | 34,392,486      | (651,956)    | -1.9%   | 35,044,442           | 5  |
| 6 Accrued vacation and sick pay                                      | 2,110,876     | (153,087)     | -7.3%   | 1,957,789       | (148,989)    | -7.1%   | 2,106,778            | 6  |
| 7 Net pension obligation   | 43,289,761    | (15,181,039)  | -35.1%  | 28,108,722      | (13,182,433) | -31.9%  | 41,291,155           | 7  |
| 8 Other postretirement benefits liability                            | 53,566,974    | 21,151,900    | 39.5%   | 74,718,874      | 24,195,826   | 47.9%   | 50,523,048           | 8  |
| 9 Bonds payable (net of current maturities)                          | 5,959,049     | (1,980,307)   | -33.2%  | 3,978,742       | (1,980,307)  | -33.2%  | 5,959,049            | 9  |
| 10 Special Community Disaster Loan Payable                           | -             | -             | 0.0%    | -               | -            | 0.0%    | -                    | 10 |
| 11 Southeast Louisiana Project liability                             | 227,139,545   | 23,204,325    | 10.2%   | 250,343,870     | 23,204,325   | 10.2%   | 227,139,545          | 11 |
| 12 Debt Service Assistance Fund Loan payable                         | 2,387,257     | (2,387,257)   | -100.0% | -               | (2,387,257)  | -100.0% | 2,387,257            | 12 |
| 13 Customer deposits   | -             | -             | 0.0%    | -               | -            | 0.0%    | -                    | 13 |
| 14 Total long-term liabilities                                       | 370,671,746   | 22,828,737    | 6.2%    | 393,500,483     | 29,049,209   | 8.0%    | 364,451,274          | 14 |
| <b>Current liabilities (payable from current assets)</b>             |               |               |         |                 |              |         |                      |    |
| 15 Accounts payable and other liabilities                            | 5,100,674     | 4,721,920     | 92.6%   | 9,822,594       | (18,618,925) | -65.5%  | 28,441,519           | 15 |
| 16 Due to City of New Orleans  | -             | -             | 0.0%    | -               | -            | 0.0%    | -                    | 16 |
| 17 Disaster Reimbursement Revolving Loan                             | 303,178       | (303,178)     | -100.0% | -               | (417,764)    | -100.0% | 417,764              | 17 |
| 18 Retainers and estimates payable                                   | 3,118,940     | (1,038,469)   | -33.3%  | 2,080,471       | (440,616)    | -17.5%  | 2,521,087            | 18 |
| 19 Due to other fund   | 31,914        | 34,225        | 107.2%  | 66,139          | 32,954       | 99.3%   | 33,185               | 19 |
| 20 Accrued salaries  | 1,143,160     | (1,083,559)   | -94.8%  | 59,601          | (177,002)    | -74.8%  | 236,603              | 20 |
| 21 Claims payable  | 252,479       | 483,611       | 191.5%  | 736,090         | (690,231)    | -48.4%  | 1,426,321            | 21 |
| 22 Total OPEB liability, due within one year                         | 2,347,707     | 316,445       | 13.5%   | 2,664,152       | 316,445      | 13.5%   | 2,347,707            | 22 |
| 23 Debt Service Assistance Fund Loan payable                         | 283,725       | (283,725)     | -100.0% | -               | (283,725)    | -100.0% | 283,725              | 23 |
| 24 Advances from federal government                                  | -             | -             | 0.0%    | -               | -            | 0.0%    | -                    | 24 |
| 25 Other Liabilities   | 13,690        | 2,325         | 17.0%   | 16,016          | 9,722        | 154.5%  | 6,294                | 25 |
| 26 Total current liabilities (payable from current assets)           | 12,595,467    | 2,849,596     | 22.6%   | 15,445,063      | (20,269,142) | -56.8%  | 35,714,205           | 26 |
| <b>Current liabilities (payable from restricted assets)</b>          |               |               |         |                 |              |         |                      |    |
| 27 Accrued interest  | 74,671        | (12,083)      | -16.2%  | 62,588          | (12,083)     | -16.2%  | 74,671               | 27 |
| 28 Bonds payable   | 1,815,000     | 80,000        | 4.4%    | 1,895,000       | (80,000)     | -4.4%   | 1,815,000            | 28 |
| 29 Retainers and estimates payable                                   | -             | -             | 0.0%    | -               | -            | 0.0%    | -                    | 29 |
| 30 Total current liabilities (payable from restricted assets)        | 1,889,671     | 67,917        | 3.6%    | 1,957,588       | 67,917       | 3.6%    | 1,889,671            | 30 |
| 31 TOTAL CURRENT LIABILITIES   | 14,485,138    | 2,917,513     | 20.1%   | 17,402,651      | (20,201,225) | -53.7%  | 37,603,876           | 31 |
| 32 TOTAL LIABILITIES   | 385,156,884   | 25,746,250    | 6.7%    | 410,903,134     | 8,847,984    | 2.2%    | 402,055,150          | 32 |
| <b>Deferred inflows or resources:</b>                                |               |               |         |                 |              |         |                      |    |
| 33 Amounts related to net pension liability                          | 1,868,773     | 1,072,392     | 57.4%   | 2,941,165       | 1,072,392    | 57.4%   | 1,868,773            | 33 |
| 34 Amounts related to total OPEB liability                           | 4,015,877     | -             | 0.0%    | 1,327,470       | -            | 0.0%    | 4,015,877            | 34 |
| 35 TOTAL DEFERRED INFLOWS OF RESOURCES                               | 5,884,650     | (1,616,015)   | -27.5%  | 4,268,635       | (1,616,015)  | -27.5%  | 5,884,650            | 35 |
| 36 Total Net Position, Liabilities and Deferred Inflows of Resources | 1,529,990,732 | 67,480,320    | 4.4%    | 1,595,855,037   | 65,782,499   | 4.3%    | 1,530,072,538        | 36 |



**OFFICE OF GENERAL SUPERINTENDENT  
SEWERAGE AND WATER BOARD OF NEW ORLEANS**

**January 20, 2021**

To the Honorable President and members of the Sewerage and Water Board of New Orleans:

The following report for the month of December presented herewith:

Contract 1368 – M.R. Pittman Group, LLC – Hazard Mitigation Grant Project. Oak Street Pumping Station. This work is approximately 99% complete. (CP Item 112).

Contract 1370A – Walter J. Barnes Electric Co., Inc. – 60Hz Transformer/Switchgear. This work is approximately 41% complete. (CP Item 676-05).

Contract 1377 – M.R. Pittman Group, LLC – Water Hammer Hazard Mitigation Program. Claiborne Avenue Pump Station & Off-Site Improvements. This work is approximately 25% complete. (CP Item 175).

Contract 170065 – Echologics, LLC. – Leak Detection Services. This work is approximately 99% complete. (CP Item 175).

Contract 180034 – Tree Remediation Services. This work is approximately 11% complete. (O & M Item).

Contract 2129 – Wallace C. Drennan, Inc. – Water Point Repair. This work is approximately 96% complete. (CP Item 214).

Contract 2130 – Wallace C. Drennan, Inc. – Water Point Repair. This work is approximately 99% complete. (CP Item 175).



Contract 3665 – TKTMJ, Inc. – Hurricane Katrina 404 Hazard Mitigation Grant Program Replacement of DOTD Sewage Lift Station. Contract is currently in litigation. This work is 100% complete. (CP Item 340).

Contract 3667 – TKTMJ, Inc. – Hurricane Katrina 404 Hazard Mitigation Grant Program Replacement of Plum Orchard Sewage Lift Station. Contract is currently in litigation. This work is 100% complete. (CP Item 340).

Contract 3799 – Industrial & Mechanical Contractors, Inc. – Installation of Sludge Dryer at the East Bank Wastewater Treatment Plant. This work is approximately 99% complete. (CP Item 348).

Contract 30102 – The McDonnell Group – DPS 17/Station D Structural Repairs. This work is 100% complete. (CP Item 511).

Contract 30109 – Cycle Construction – Sewer Pumping Station A Structural Rehabilitation. This work is approximately 60% complete. (CP Item 326).

Contract 30213 – Grady Crawford – South Shore Sewer Rehabilitation No. 1. This work is approximately 27% complete. (CP Item 317).

Contract 30214 – Grady Crawford – South Shore Sewer Rehabilitation No. 2. This work is approximately 92% complete. (CP Item 317).

Contract 30217 – CES – Cleaning & CCTV Inspection. This work is approximately 99% complete. (CP Item 375).

Contract 30218 – Wallace C. Drennan, Inc. – Sewer Point Repair. This work is approximately 47% complete. (O & M Item).



Contract 30219 – Wallace C. Drennan, Inc. – Manhole to Manhole & Sewer Point Repair. This work is approximately 45% complete. (CP Item 175).

Contract 30222 – Grady Crawford – South Shore Sewer Rehabilitation No. 3. This work is approximately 78% complete. (CP Item 317).

Contract 30223 – BLD Services – South Shore Sewer Rehabilitation No. 4. This work is approximately 61% complete. (CP Item 317).

Contract 30224 – BLD Services – South Shore Sewer Rehabilitation No. 5. This work is approximately 60% complete. (CP Item 317).

Contract 5224 – Industrial & Mechanical Contractors, Inc. – Hurricane Katrina Related Repairs to New Carrollton Hospital, Marconi, Paris & Press Drainage Underpass Stations. This work is approximately 90% complete. (CP Item 511).

Contract 5243 – Industrial & Mechanical Contractors, Inc. – Drainage Pump Station #4 Anti-Siphon Project. This work is approximately 99% complete. (CP Item 535).

Contract 8145 – Wallace C. Drennan, Inc. – Repaving Zone 4. This work is approximately 86% complete. (O & M Item).

Contract 8162 – Fleming Construction Co., Inc. – Paving Zone 3. This work is approximately 14% complete. (O & M Item).

Contract 8163 – Fleming Construction Co., Inc. – Paving Zone 4. This work is approximately 24% complete. (O & M Item).



## PLUMBING DEPARTMENT

Submitted herewith, you will find the monthly report for work performed by the Plumbing Department;

There were 279 Plumbing and 8 Backflow permits issued during the month of **December**. This department complied with 278 requests for Plumbing Inspections, which consists of inspections conducted with Licensed Plumbing Contractors, Property Owners, Tenants, Department of Health and Hospitals Sanitarians, and Environmental Inspectors.

For your information, the following numbers are of the permits issued and inspections conducted.

|                              | <u>Oct</u> | <u>Nov</u> | <u>2020<br/>Dec</u> | <u>2019<br/>Dec</u> | <u>YTD 2020</u> |
|------------------------------|------------|------------|---------------------|---------------------|-----------------|
| Plumbing Permits Issued      | 218        | 206        | 279                 | 263                 |                 |
| Backflow Permits Issued      | 003        | 017        | 008                 | 028                 |                 |
|                              | <b>221</b> | <b>223</b> | <b>287</b>          | <b>291</b>          | <b>2784</b>     |
| <b>Inspections Conducted</b> |            |            |                     |                     |                 |
| Water                        | 107        | 131        | 159                 | 319                 |                 |
| Special                      | 000        | 000        | 000                 | 031                 |                 |
| Final                        | 071        | 066        | 116                 | 106                 |                 |
| <b>Totals</b>                | <b>178</b> | <b>197</b> | <b>275</b>          | <b>456</b>          | <b>3936</b>     |

## RAINFALL REPORT FOR DECEMBER 2020

The rainfall for the month of **December** was **3.86"**, compared to the 127-year average of **4.69"** for the month of **December**. The cumulative rainfall through the Twelfth month of the year was **62.29"** compared to the 127-year average of **59.15"**.



**AVERAGE DAILY PUMPAGE FOR THE MONTH OF DECEMBER**

New Orleans Side  
Algiers Side

136.28 Million Gallons Per Day  
10.46 Million Gallons Per Day

Respectfully submitted,



**ROBERT TURNER**  
**GENERAL SUPERINTENDENT**

RT/zfg  
GENSUP%1-20-21



**SEWERAGE AND WATER BOARD OF NEW ORLEANS  
OFFICE OF SPECIAL COUNSEL**

**January 20, 2021**

**To the Honorable President and Members of the  
Sewerage and Water Board of New Orleans:**

The following represents Legal Department activities during the month of  
**December 2020.**


**CIVIL SUITS FILED AGAINST BOARD:**

**New:**

**STATE FARM MUTUAL AUTOMOBILE INSURANCE COMPANY, ET AL V. SEWERAGE AND WATER BOARD OF NEW ORLEANS, No. 20-09708, Civil District Court.** In this case plaintiff sued seeking judgment for property damages allegedly sustained when a water line/pipe of the S&WB failed, flooding the entire street, including vehicle in the 2900 block of Calhoun Street on or about December 6, 2019.

**SHARONDA BOOKMAN, ET AL V. SEWERAGE AND WATER BOARD OF NEW ORLEANS, No. 20-10569, Civil District Court.** In this case plaintiff sued seeking judgment for property damages and personal injuries allegedly sustained when Turbine 5 caused an explosion at the Carrollton Avenue location at 8614 Spruce Street on or about December 14, 2019.

**Respectfully submitted,**



**YOLANDA Y. GRINSTEAD  
SPECIAL COUNSEL**

**YYG:smh**

z:\monthly reports\2021\1.20.2021.doc



December 2020

# SWBNO SAFETY REPORT





## Executive Summary

### Personal Injuries

There have been 3 personal injuries since last month's report. Compared to last month's report of 2 personal injuries, the incidents have increased by 1.

**All Major Incidents (injury resulting in hospital admission) with appropriate Safety response are listed below.**

None.

### Non-Vehicle Accidents

There have been 28 non-vehicle accidents since last month's report. Compared to last month's report of 36 non-vehicle accidents, the incidents have decreased by 8.

**All Major Incidents (Electrical/Gas line incidents or excessive damage to property) with appropriate Safety response are listed below.**

None.

### Vehicle Accidents

There have been 3 vehicle accidents since last month's report. Compared to last month's report of 3 vehicle accidents, the incidents have neither increased nor decreased.

**All Major Incidents (Vehicle Accidents resulting in injury or excessive damage to Vehicles) with appropriate Safety response are listed below.**

None.

### Claims

There have been 0 Claims since last month's report. Compared to last month's report of 1 claim, the claims have decreased by 1.

**All Major Claims (Claims over an estimated value of 5k in damages) with Safety response are listed below.**

None.



## Safety Training

The Safety Department has conducted the following safety training since last month:

- OSHA Trainer Course for Construction
- TapRoot, Root Cause Analysis Essentials
- Slip, trips and falls on walking surfaces

## Safety Incident Investigation Report

Below is the Safety Incident Investigation tracking for incidents closed since the previous months report that required a Safety Investigation. The report outlines the type of incident, date investigation was closed, and recommended action to reduce the accident from happening again.

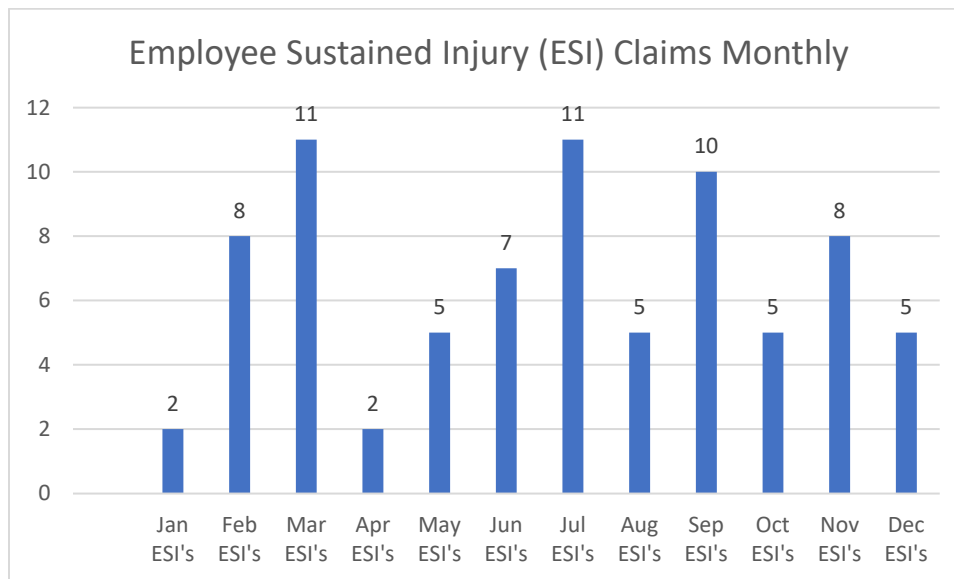
| Department           | IMS Incident# | Date of Accident | Incident Type | Description   | Recommended Action  | Closed Date |
|----------------------|---------------|------------------|---------------|---|---|-------------|
| Purchasing           | 9855          | 10/12/2020       | Injury        | Injured face, right hand, and both knees after falling on uneven concrete.          | It is recommended that the employee to exercise safe walking rules involving maintaining solid contact and firm footing while walking and ensuring the environment is safe for walking.   | 12/11/2020  |
| Electric Shop        | 9865/ 9871    | 12/10/2020       | Injury        | Injured back in car accident after company truck was rear-ended by another vehicle. | It is recommended to Incorporate more Defensive Driving training for employees. It is also recommended that Supervisors, CDL trainer and all Departments brief drivers with driving defensively as a way of better preparing employees. | 12/23/2020  |
| Networks             | 9863          | 12/8/2020        | Injury        | Injured lower back, neck, and upper back due to car accident.                       | It is recommended that employee take a refresher driving course.  | 12/23/2020  |
| Building Maintenance | 9842          | 11/20/2020       | Injury        | neck, back, and right thumb due to car accident and impact from air                 | Unable to make a recommendation due to non- fault accident.   | 12/18/2020  |
| Zone 3               | 9872          | 12/14/2020       | Injury        | Injured right hand after being hit by stump bar.                                    | Discussed with employee the importance of awareness and observation during operations.  | 12/23/2020  |





## Workers' Compensation 2020 Statistics

The charts below represent claims that were reported to Workers' Compensation where employees sustained injuries (ESI).



Total number of claims reported in December: 5

### Employee Sustained Injuries of 2020 and 2019

| Year | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sept | Oct | Nov | Dec | Total |
|------|-----|-----|-----|-----|-----|-----|-----|-----|------|-----|-----|-----|-------|
| 2020 | 2   | 8   | 11  | 2   | 5   | 7   | 11  | 5   | 10   | 5   | 8   | 5   | 79    |
| 2019 | 8   | 10  | 10  | 8   | 12  | 23  | 15  | 8   | 13   | 12  | 13  | 37  | 169   |

Comparison of 2020 & 2019 ESIs: As of December 2020, injury cases have dropped by an average of 6.6 overall. The overall percentage decline in injuries dropped by 47% or 79 injuries as of December 2020 as compared to 169 injuries as of December 2019.

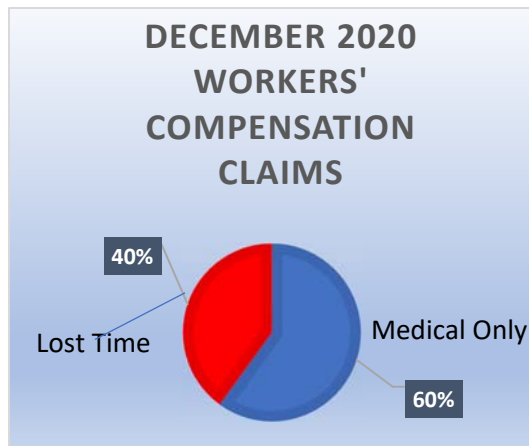
Goal: To educate and communicate with departments on data found and collaborate on a plan that reduces the amount of injuries and risk for the agency.





## Workers' Compensation 2020 Claims Statistics

| Medical Only & Lost Time Claims |          |          |          |          |          |          |          |          |           |          |          |          |       |
|---------------------------------|----------|----------|----------|----------|----------|----------|----------|----------|-----------|----------|----------|----------|-------|
| Month                           | Jan 2020 | Feb 2020 | Mar 2020 | Apr 2020 | May 2020 | Jun 2020 | Jul 2020 | Aug 2020 | Sept 2020 | Oct 2020 | Nov 2020 | Dec 2020 | Total |
| WCU Claims Reported             | 2        | 8        | 11       | 2        | 5        | 7        | 11       | 5        | 10        | 5        | 8        | 5        | 74    |
| Medical Only                    | 0        | 4        | 7        | 0        | 4        | 2        | 7        | 3        | 6         | 4        | 4        | 3        | 41    |
| Lost Time                       | 2        | 4        | 4        | 2        | 1        | 5        | 4        | 2        | 4         | 1        | 4        | 2        | 33    |



**Medical Only:** Of the 5 Claims, three (3) claims required medical treatment only and employees returned to work within a week.

**Lost Time:** Of the 5 claims, two (2) claim required medical treatment and paid wages as employees were not able to return to work within the week of the injury.

**Goal:** Safety Department will evaluate claims in a timely matter that ensures proper Personal Protective Equipment (PPE) and safety training is made available to department managers to reduce accidents. Workers' Compensation Unit will evaluate claims in a timely matter that ensures prompt medical treatment so that employees are returned

into the workforce as efficiently and medically stable as possible. This will aid in maintaining an active and healthy workforce.





## Workers' Compensation Personal Protection Equipment (PPE) 2020 Statistics

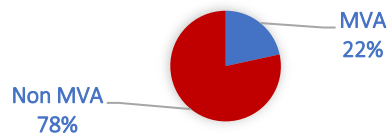
Workers' Compensation tracks the use of Personal Protection Equipment (PPE). This safety equipment should be used during work activity to protect against health risks. The information below details the use of PPE as it relates to the "body part" injured as a result of the accident.

| December 2020 Personal Protection Equipment Statistics |       |                      |                                 |                    |
|--|-------|----------------------|---------------------------------|--------------------|
| Department   | IMS # | Body Part Injured    | Accident Type                   | PPE? Yes/No or N/A |
| Purchasing   | 9855  | Face                 | Slips, Trips, & Falls           | N/A                |
| Zone 4   | 9863  | Neck, Back, Left Leg | Vehicle or Equipment Collisions | Yes                |
| Outside Systems  | 9871  | Lower Back           | Vehicle or Equipment Collisions | Yes                |
| Zone 3   | 9872  | Right Hand           | Slips, Trips, & Falls           | Yes                |
| Zone 5   | 9874  | Right Leg            | Slips, Trips, & Falls           | Yes                |





## 2020 Motor Vehicle & Non-Motor Vehicle Incidents



During 2020, there were a total of eighteen (18) Employee Sustained incidents caused by Motor Vehicle Incident. A total of sixty-one (61) were Non-Motor Vehicle Incident.

\*Incident: any occurrence of an event in which workers' compensation is notified (minor or serious consequences)

\*Motor Vehicle: Incident that involves motorized mobile machinery, (vehicle, riding lawnmower, backhoe machine, etc.)

\*Non-Motor Vehicle: Incident that does not involve motorized mobile machinery.

**Note:** As of December 2020, 24% of total incidents occurred in the Meter Reading Department.

### Departmental view of MVI and Non-MVIs reported in 2020

| Department                     | MVI       | Non-MVI   | Total     |
|--------------------------------|-----------|-----------|-----------|
| Meter Reading & Invest.        | 3         | 16        | 19        |
| Diesel/Emer Pwr Maint-Tech Svc |           | 1         | 1         |
| Zone 1                         | 1         | 3         | 4         |
| Risk Management                |           | 1         | 1         |
| Zone 4                         | 2         | 4         | 6         |
| Zone 2                         | 1         | 3         | 4         |
| Networks                       |           | 1         | 1         |
| Machine Shop                   | 1         | 1         | 2         |
| Zone 6                         | 1         | 3         | 4         |
| Zone 5                         | 1         | 3         | 4         |
| Unmanned Drainage Stations     |           | 1         | 1         |
| Accounting                     |           | 1         | 1         |
| Electric Shop                  | 2         | 2         | 4         |
| Sewer Pumping Supervisor       |           | 2         | 2         |
| Grounds Maintenance            | 4         | 2         | 6         |
| Central Yard Garage            |           | 1         | 1         |
| Field Service Center           |           | 3         | 3         |
| Garage 1                       |           | 1         | 1         |
| Algiers Drainage Operations    |           | 1         | 1         |
| Water Pumping Personnel/MTCE   |           | 1         | 1         |
| Zone 7                         | 1         | 1         | 2         |
| Outside Systems                |           | 1         | 1         |
| Zone 3                         |           | 3         | 3         |
| Safety Department              |           | 1         | 1         |
| Automatic Stations-Algiers     |           | 1         | 1         |
| Customer Service Walk-ins      |           | 1         | 1         |
| Central Control                |           | 1         | 1         |
| Building Maintenance           | 1         |           | 1         |
| Purchasing                     |           | 1         | 1         |
| <b>Total</b>                   | <b>18</b> | <b>61</b> | <b>79</b> |



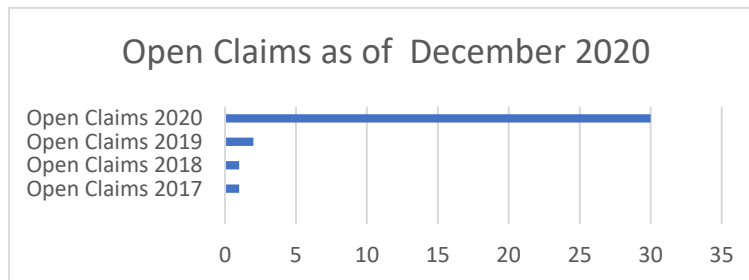


## 2020 Open and Closed Damage Claims

| Month           | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sept | Oct | Nov | Dec | Total |
|-----------------|-----|-----|-----|-----|-----|-----|-----|-----|------|-----|-----|-----|-------|
| Received Claims | 6   | 10  | 7   | 0   | 3   | 4   | 8   | 2   | 0    | 2   | 1   | 0   | 43    |
| Closed Claims   | 33  | 21  | 16  | 3   | 8   | 16  | 27  | 5   | 3    | 30  | 19  | 15  | 196   |

## 2019 Open and Closed Damage Claims

| Month           | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sept | Oct | Nov | Dec | Total |
|-----------------|-----|-----|-----|-----|-----|-----|-----|-----|------|-----|-----|-----|-------|
| Received Claims | 10  | 12  | 33  | 15  | 20  | 16  | 11  | 18  | 4    | 13  | 10  | 20  | 182   |
| Closed Claims   | 17  | 31  | 18  | 31  | 19  | 20  | 41  | 34  | 27   | 18  | 14  | 40  | 310   |



| Open Claims by Year |        |                        |
|---------------------|--------|------------------------|
| Year                | Number | Status                 |
| 2017                | 1      | In Litigation          |
| 2018                | 1      | In Review              |
| 2019                | 2      | Up for Review          |
| 2020                | 30     | Up for Review          |
| Total               | 34     | Total Number of Claims |

| Open Claims by Type |                   |
|---------------------|-------------------|
| Number of Claims    | Type of Claim     |
| 28                  | Property          |
| 3                   | Personal Injury   |
| 3                   | Auto              |
| 34                  | Total # of Claims |





## 2020 Open and Closed Force Claims Against Other Entities

The following is a summary of claims that the SWBNO is pursuing to recover costs associated with damages caused by other entities to the SWBNO.

During December 2020, we sent zero (0) entities a request for payment. We continue to investigate details for the other two (2) claims.

| Month           | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sept | Oct | Nov | Dec | Total |
|-----------------|-----|-----|-----|-----|-----|-----|-----|-----|------|-----|-----|-----|-------|
| Received Claims | 0   | 0   | 0   | 0   | 4   | 3   | 3   | 3   | 3    | 1   | 0   | 0   | 17    |
| Closed Claims   | 0   | 0   | 0   | 0   | 0   | 0   | 0   | 0   | 4    | 1   | 0   | 0   | 5     |





# SEWERAGE AND WATER BOARD

## Inter-Office Memorandum

---

**Date:** January 8, 2021

**To:** Brionne Lindsey  
SWBNO – Board Relations

**Through:** Ghassan Korban, SWBNO Executive Director

**From:** Erin Weaver  
Purchasing Department

**Re:** Executive Director's Approval of Contracts of \$1,000,000.00 or less

1. Terracon Consultant, Inc  
524 Elmwood Park Boulevard, Suite 170  
New Orleans, LA 70123
  - Contract for Construction Materials Testing and Observation Services South Shore Sewer Rehabilitation No. 2 for Contract 30214
  - Effective Date: January 6, 2021, One (1) year from effective date with two (2) one (1) year renewal periods
  - Maximum compensation: \$19,556.56
  - DBE Goal: 25%
2. Terracon Consultant, Inc  
524 Elmwood Park Boulevard, Suite 170  
New Orleans, LA 70123
  - Contract for Construction Materials Testing and Observation Services South Shore Sewer Rehabilitation No. 4 for Contract 30223
  - Effective Date: January 6, 2021, One (1) year from effective date with two (2) one (1) year renewal periods
  - Maximum Compensation: \$95,731.32
  - DBE Goal: 36%
3. Southern Earth Sciences, Inc  
P.O. Box 19172  
New Orleans, Louisiana
  - Contract for Construction Materials Testing and Observation Services South Shore Sewer Rehabilitation No. 5 for Contract 30214
  - Effective Date: January 6, 2021, One (1) year from effective date with two (2) one (1) year renewals periods
  - Maximum Compensation: \$91,546.50
  - DBE Goal: 36%



Project Delivery Unit  
December 2020 Closeout Snapshot

| FEMA Public Assistance                        | # of Project Worksheets | FEMA Obligated    | FEMA Revenue Received per LAPA | FEMA Obligation Balance | % Financially Complete | # of Projects Submitted for Closeout | OBLIGATED Value of Projects Submitted for Closeout | POTENTIAL Value of Projects Submitted to Closeout | # of Projects Officially Closed | OBLIGATED Value of Projects Officially Closed | % Submitted | % Closed | # of Projects Submitted but Not Officially Closed | OBLIGATED Value of Projects Submitted but Not Officially Closed |
|---|-------------------------|-------------------|--------------------------------|-------------------------|------------------------|--------------------------------------|--|---|---------------------------------|---|-------------|----------|---|---|
| Hurricane Katrina - St. Joseph Headquarters   | 20                      | \$ 3,337,110.14   | \$ 3,032,390.41                | \$ 304,719.73           | 91%                    | 19                                   | \$ 2,236,513.15                                    | \$ 2,236,513.15                                   | 19                              | \$ 2,236,513.15                               | 95%         | 95%      | 0   | \$ -  |
| Hurricane Katrina - Central Yard              | 42                      | \$ 27,734,255.70  | \$ 26,158,109.94               | \$ 1,576,145.76         | 94%                    | 42                                   | \$ 27,734,255.70                                   | \$ 27,427,104.70                                  | 32                              | \$ 22,025,919.44                              | 100%        | 76%      | 10  | \$ 5,708,336.26   |
| Hurricane Katrina - Wastewater Treatment Plan | 128                     | \$ 90,803,270.37  | \$ 82,873,802.34               | \$ 7,929,468.03         | 91%                    | 127                                  | \$ 83,765,860.77                                   | \$ 80,355,483.77                                  | 120                             | \$ 38,257,447.07                              | 99%         | 94%      | 7   | \$ 45,508,413.70  |
| Hurricane Katrina - Carrollton Water Plant    | 55                      | \$ 76,019,829.37  | \$ 66,324,093.04               | \$ 9,695,736.33         | 87%                    | 54                                   | \$ 64,304,777.65                                   | \$ 64,211,524.10                                  | 51                              | \$ 13,730,451.46                              | 98%         | 93%      | 3   | \$ 50,574,326.19  |
| Hurricane Katrina - Distribution Network      | 27                      | \$ 195,439,511.54 | \$ 162,723,466.54              | \$ 32,716,045.00        | 83%                    | 25                                   | \$ 114,946,997.07                                  | \$ 118,938,914.59                                 | 18                              | \$ 30,028,021.61                              | 93%         | 67%      | 7   | \$ 84,918,975.46  |
| Hurricane Katrina - Pump Stations             | 166                     | \$ 81,286,159.38  | \$ 72,165,651.77               | \$ 9,120,507.61         | 89%                    | 159                                  | \$ 78,655,405.97                                   | \$ 80,169,077.46                                  | 143                             | \$ 58,844,680.54                              | 96%         | 86%      | 16  | \$ 19,810,725.43  |
| Hurricane Gustav                              | 9                       | \$ 667,553.90     | \$ 668,689.06                  | \$ (1,135.16)           | 100%                   | 9                                    | \$ 667,553.90                                      | \$ 667,553.90                                     | 8                               | \$ 665,778.64                                 | 100%        | 89%      | 1   | \$ 1,775.26   |
| Hurricane Isaac                               | 8                       | \$ 1,554,775.01   | \$ 955,019.44                  | \$ 599,755.57           | 61%                    | 7                                    | \$ 1,554,775.01                                    | \$ 67,467.45                                      | 2                               | \$ 7,391.29                                   | 88%         | 25%      | 5   | \$ 1,547,383.72   |
| Tropical Storm Nate                           | 2                       | \$ 439,728.39     | \$ 80,519.47                   | \$ 359,208.92           | 18%                    | 2                                    | \$ 439,728.39                                      | \$ -  | 1                               | \$ 20,939.45                                  | 100%        | 50%      | 1   | \$ 418,788.94   |
| Hurricane Barry                               | 2                       | \$ 947,134.10     | \$ -                           | \$ 947,134.10           | 0%                     | 0                                    | \$ -   | \$ -  | 0                               | \$ -  | 0%          | 0%       | 0   | \$ -  |
| Total   | 459                     | \$ 478,229,327.90 | \$ 414,981,742.01              | \$ 63,247,585.89        | 87%                    | 444                                  | \$ 374,305,867.61                                  | \$ 374,073,639.12                                 | 394                             | \$ 165,817,142.65                             | 97%         | 86%      | 50  | \$ 208,488,724.96   |

| FEMA Joint Infrastructure           | # of Project Worksheets | FEMA Obligated    | FEMA Revenue Received per LAPA | FEMA Obligation Balance | % Financially Complete | # of Projects Submitted for Closeout | OBLIGATED Value of Projects Submitted for Closeout | POTENTIAL Value of Projects Submitted to Closeout | # of Projects Officially Closed | OBLIGATED Value of Projects Officially Closed | % Submitted | % Closed | # of Projects Submitted but Not Officially Closed | OBLIGATED Value of Projects Submitted but Not Officially Closed |
|-------------------------------------|-------------------------|-------------------|--------------------------------|-------------------------|------------------------|--------------------------------------|--|---|---------------------------------|---|-------------|----------|---|---|
| Hurricane Katrina - JIRR settlement | 2                       | \$ 268,448,968.15 | \$ 5,353,880.43                | \$ 263,095,087.72       | 2%                     | 0                                    | \$ -   | \$ -  | 0                               | \$ -  | 0%          | 0%       | 0   | \$ -  |
| Hurricane Katrina - JIRR Donors     | 53                      | \$ 67,466,538.09  | \$ 54,518,259.69               | \$ 12,948,278.40        | 81%                    | 39                                   | \$ 47,260,498.69                                   | \$ 50,446,803.90                                  | 5                               | \$ 240,117.50                                 | 74%         | 9%       | 34  | \$ 47,020,381.19  |
| Total                               | 55                      | \$ 335,915,506.24 | \$ 59,872,140.12               | \$ 276,043,366.12       | 18%                    | 39                                   | \$ 47,260,498.69                                   | \$ 50,446,803.90                                  | 5                               | \$ 240,117.50                                 | 71%         | 9%       | 34  | \$ 47,020,381.19  |

| FEMA Hazard Mitigation Grant Program          | # of Contracts | FEMA Obligated    | FEMA Revenue Received per LAHM | FEMA Obligation Balance | % Financially Complete | # of Contracts Completed | OBLIGATED Value of Projects Submitted for Closeout | POTENTIAL Value of Projects Submitted to Closeout | # of Projects Officially Closed | OBLIGATED Value of Projects Officially Closed | % Submitted | % Closed | # of Projects Submitted but Not Officially Closed | OBLIGATED Value of Projects Submitted but Not Officially Closed |
|---|----------------|-------------------|--------------------------------|-------------------------|------------------------|--------------------------|--|---|---------------------------------|---|-------------|----------|---|---|
| Hurricane Katrina - Retrofit of Power House   | 17             | \$ 212,649,796.00 | \$ 111,468,183.44              | \$ 101,181,612.56       | 52%                    | 5                        | \$ -   | \$ -  | 0                               | \$ -  | 0%          | 0%       | 0   | \$ -  |
| Hurricane Katrina - Flood Mitigation of 9 SPS | 9              | \$ 19,987,722.00  | \$ 19,299,825.10               | \$ 687,896.90           | 97%                    | 9                        | \$ -   | \$ -  | 0                               | \$ -  | 0%          | 0%       | 0   | \$ -  |
| Hurricane Ike - Five Underpass Generators     | 1              | \$ 988,658.00     | \$ 839,129.23                  | \$ 149,528.77           | 85%                    | 0                        | \$ -   | \$ -  | 0                               | \$ -  | 0%          | 0%       | 0   | \$ -  |
| Total   | 27             | \$ 233,626,176.00 | \$ 131,607,137.77              | \$ 102,019,038.23       | 56%                    | 14                       | \$ -   | \$ -  | 0                               | \$ -  | 52%         | 0%       | 0   | \$ -  |

TOTALS as of 1.4.21

| FEMA Obligated      | FEMA Revenue Received | FEMA Obligation Balance |
|---------------------|-----------------------|-------------------------|
| \$ 1,047,771,010.14 | \$ 606,461,019.90     | \$ 441,309,990.24       |





## SEWERAGE AND WATER BOARD

### Inter-Office Memorandum

**Date:** January 4, 2020

**To:** Ghassan Korban, Executive Director

**Thru:** Irma Plummer, EDBP Director



**From:** Lyria Hicks, EDBP Compliance Officer

**Re:** EDBP Department Summary – December 2020

#### ANALYSES CONDUCTED BY EDBP

For the month of December 2020, the EDBP Department did not receive any Goods and Services contracts to review.

For the month of December 2020, the EDBP Department received one (1) Professional Services contract to review.

#### **REQUISITION # 200035: LEAK DETECTION AND FIRE FLOW TESTING SERVICES**

On Thursday, December 17, 2020, three (3) proposals were received for subject project. The respondents are as follows:

|   |                    |
|---|--------------------|
| <b>Mueller dba Echologics LLC</b>                           | <b>488/500 pts</b> |
| <b>Pure Technologies U.S. Inc./dba Wachs Water Services</b> | <b>485/500 pts</b> |
| <b>M.E. Simpson Co., Inc.</b>                               | <b>411/500 pts</b> |

The highest evaluated score was from **Mueller dba Echologics LLC** with a total score of 488 out of 500 possible points.

Fifteen percent (15%) SLDBE participation goal was requested on subject proposal.

**Mueller dba Echologics, LLC** submitted Fulcrum Enterprises, LLC (eligible – certified SLDBE) to conduct field work for leak detection technicians. Fulcrum Enterprises, LLC provided signed correspondence on company letterhead reaffirming negotiated terms.

Total Participation: 15.00%

**Pure Technologies US Inc./dba Wachs Water Services** submitted Fulcrum Enterprises, LLC (eligible – certified SLDBE) to provide staffing to assist with leak detection. Fulcrum Enterprises, LLC provided signed correspondence on company letterhead reaffirming negotiated terms.

Total Participation: 20.00%



**M.E. Simpson Co., Inc.** submitted EHC Engineering, LLC (eligible – certified DBE) to provide field technicians for leak detection. EHC Engineering, LLC did not provide signed correspondence on company letterhead reaffirming negotiated terms.

Total Participation: 15.00%

Based on analysis of the SLDBE participation submitted, the Economically Disadvantaged Business Program recommends that the SLDBE participation submitted by Echologics, LLC and Pure Technologies US Inc. be considered responsive while the SLDBE participation submitted by M.E. Simpson Co., Inc. be considered nonresponsive to meeting EDBP proposal requirements.

For the month of December 2020, the EDBP Department did not receive any Construction contracts to review.

### **CONSTRUCTION REVIEW COMMITTEE RECOMMENDATIONS**

The Construction Review Committee convened on Thursday, December 17, 2020, and made the following recommendations:

- 1) **JIRR Water Valve Closure Project**
- |                    |  |
|--------------------|--|
| Budget Amount:     | \$7,000,000.00   |
| Renewal Option(s): | One (1) year with two (2) one (1) year renewal options |
| Recommended        | 35%  |
| Percentage Goal:   |  |
| Justification:     | N/A  |

### **STAFF CONTRACT REVIEW COMMITTEE RECOMMENDATIONS**

The Staff Contract Review Committee convened on Thursday, December 10, 2020, and made the following recommendations:

### **RENEWAL CONTRACTS**

- 1) **Request for Renewal of Sodium Hypochlorite Contracts  
AL200001 & CM200002**
- |                   |                                |
|-------------------|--------------------------------|
| Budget Amount:    | \$1,657,200.00                 |
| Amount Spent:     | \$1,340,000.00                 |
| Renewal Term(s):  | First and final renewal option |
| Renewal Cost:     | \$1,657,200.00                 |
| Recommended       | 0%                             |
| Percentage Goal:  |                                |
| Percentage Goal   | N/A                            |
| Achieved:         |                                |
| Prime Contractor: | DPC Enterprises, L.P.          |



**2) Request for Renewal of Lime Contract CM20001**

Budget Amount: \$659,645.00  
Amount Spent: \$380,000.00  
Renewal Term(s): First and final renewal option  
Renewal Cost: \$659,645.00  
Recommended: 0%  
Percentage Goal:  
Percentage Goal: N/A  
Achieved:  
Prime Contractor: Cheny, Lime & Cement Company

**3) Request for Furnishing Chemical Foliage at Specified Board Location within the City of New Orleans**

Budget Amount: \$250,000.00  
Amount Spent: \$119,398.80  
Renewal Term(s): First of two (2) one (1) year renewal options  
Renewal Cost: \$250,000.00  
Recommended: 10.00%  
Percentage Goal:  
Percentage Goal: 4.44%  
Achieved:  
Prime Contractor: DeAngelo Brothers

**4) Request for Furnishing Pest & Rodent Control Services within the Sewerage and Water Board of New Orleans**

Budget Amount: \$37,989.00  
Amount Spent: \$30,032.50  
Renewal Term(s): First of two (2) one (1) year renewal options  
Renewal Cost: \$37,989.00  
Recommended: 30.00%  
Percentage Goal:  
Percentage Goal: 30.00%  
Achieved:  
Prime Contractor: Imperial Exterminating Company

**CONSTRUCTION RENEWAL CONTRACTS with DBE PARTICIPATION**

There were no projects with a DBE Participation Goal to review for the month of December 2020.

**FINAL ACCEPTANCE CONTRACTS with DBE PARTICIPATION**

There were no final acceptance construction contracts with a DBE participation goal to review for the month of December 2020.



**SEWERAGE & WATER BOARD OF NEW ORLEANS CONTRACTS WITH DBE PARTICIPATION**

There was one (1) contract with DBE participation awarded for the month of December 2020.



**Sewerage & Water Board New Orleans Awarded Projects with SLDBE Participation January 2020 - December 2020**

| <b>Category</b>                | <b>Category Dollar Amount</b> | <b>SLDBE Dollar Value</b> |
|--------------------------------|-------------------------------|---------------------------|
| Construction Projects          | \$ 38,392,749                 | \$ 13,923,050             |
| Goods & Services Projects      | \$ 277,257                    | \$ 49,041                 |
| Professional Services Projects | \$ 3,019,825                  | \$ 19,800                 |
| <b>Grand Total</b>             | <b>\$ 41,689,831</b>          | <b>\$ 13,991,891</b>      |



**Sewerage & Water Board of New Orleans Open Market Bids with DBE Participation January 2020 - December 2020**

**Construction Projects Awarded 2020**

| Contract No./Description                            | %DBE Goal | Contract \$      | Prime  | Sub(s)                                      | % DBE Part (Prime) | \$ Sub Award           | \$ Sub Paid | % DBE Sub Paid | Award date |
|---|-----------|------------------|--|---|--------------------|------------------------|-------------|----------------|------------|
| Cont #1370A: 60Hz Transformer/Switchgear            | 20%       | \$ 11,746,364.00 | Walter J. Barnes                                     | C. Watson Group                             | 16.99%             | \$ 1,995,132.00        |             |                | 2/19/2020  |
|   |           |                  |  | Marrero, Couvillion, & Associates           | 3.29%              | \$ 387,010.00          |             |                |            |
|   |           |                  |  | Balthazar Electriks Wholesale Distributors  | 5.91%              | \$ 693,720.00          |             |                |            |
|   |           |                  |  | <b>Total</b>                                | <b>26.19%</b>      | <b>\$ 3,075,862.00</b> |             |                |            |
|   |           |                  |  |   |                    |                        |             |                |            |
| Cont #30223: Southern Basin #4-Sewer Rehabilitation | 36%       | \$ 4,786,566.00  | BLD Services, LLC                                    | Choice Supply Solutions, LLC                | 6.02%              | \$ 288,000.00          |             |                | 2/19/2020  |
|   |           |                  |  | Advantage Manhole & Concrete Services, Inc. | 2.84%              | \$ 136,000.00          |             |                |            |
|   |           |                  |  | C&M Construction Group, Inc.                | 22.48%             | \$ 1,076,000.00        |             |                |            |
|   |           |                  |  | Prince Dump Truck Service, LLC              | 4.68%              | \$ 224,000.00          |             |                |            |
|   |           |                  |  | <b>Total</b>                                | <b>36.02%</b>      | <b>\$ 1,724,000.00</b> |             |                |            |
|   |           |                  |  |   |                    |                        |             |                |            |
| Cont #30213: Southern Basin #1-Sewer Rehabilitation | 36%       | \$ 1,584,847.24  | Grady Crawford Construction Co., Inc. of Baton Rouge | V. Keeler & Associates                      | 3.37%              | \$ 53,452.19           |             |                | 4/22/2020  |
|   |           |                  |  | Commander Corporation                       | 30.42%             | \$ 482,185.18          |             |                |            |
|   |           |                  |  | Dieudonne Enterprises                       | 1.87%              | \$ 29,672.00           |             |                |            |
|   |           |                  |  | EFT Diversified                             | 3.44%              | \$ 54,466.46           |             |                |            |
|   |           |                  |  | <b>Total</b>                                | <b>39.11%</b>      | <b>\$ 619,775.83</b>   |             |                |            |



| Contract No./Description   | %DBE Goal | Contract \$     | Prime  | Sub(s)                                      | % DBE Part (Prime) | \$ Sub Award           | \$ Sub Paid | % DBE Sub Paid | Award date |
|--|-----------|-----------------|--|---|--------------------|------------------------|-------------|----------------|------------|
| Cont #30222: Southern Basin #3-Sewer Rehabilitation  | 36%       | \$ 1,977,879.20 | Grady Crawford Construction Co., Inc. of Baton Rouge | V. Keeler & Associates                      | 5.24%              | \$ 103,683.24          |             |                | 4/22/2020  |
|  |           |                 |  | Commander Corporation                       | 24.54%             | \$ 485,469.60          |             |                |            |
|  |           |                 |  | Dieudonne Enterprises                       | 1.91%              | \$ 37,832.00           |             |                |            |
|  |           |                 |  | EFT Diversified                             | 4.35%              | \$ 86,000.00           |             |                |            |
|  |           |                 |  | <b>Total</b>                                | <b>36.05%</b>      | <b>\$ 712,984.84</b>   |             |                |            |
| Cont #30224: Southern Basin #5-Sewer Rehabilitation  | 36%       | \$ 4,576,947.00 | BLD Services, LLC                                    | Choice Supply Solutions, LLC                | 5.72%              | \$ 262,000.00          |             |                | 4/22/2020  |
|  |           |                 |  | Advantage Manhole & Concrete Services, Inc. | 3.80%              | \$ 174,000.00          |             |                |            |
|  |           |                 |  | C&M Construction Group, Inc.                | 21.80%             | \$ 998,000.00          |             |                |            |
|  |           |                 |  | Prince Dump Truck Service, LLC              | 4.72%              | \$ 216,000.00          |             |                |            |
|  |           |                 |  | <b>Total</b>                                | <b>36.05%</b>      | <b>\$ 1,650,000.00</b> |             |                |            |
| Cont #8164: Skilled and Unskilled Maintenance for Labor  | 30%       | \$ 4,861,156.00 | JEI Solutions  | Clays Construction Group, LLC               | 9.12%              | \$ 443,100.00          |             |                | 4/22/2020  |
|  |           |                 |  | Jaes Plumbing & Construction LLC            | 9.04%              | \$ 439,236.00          |             |                |            |
|  |           |                 |  | Perc Enterprises, Inc.                      | 11.88%             | \$ 577,500.00          |             |                |            |
|  |           |                 |  | <b>Total</b>                                | <b>30.03%</b>      | <b>\$ 1,459,836.00</b> |             |                |            |
| Cont #2143: Water Main Line Replacements and Extensions at Scattered Locations throughout Orleans Parish | 36%       | \$ 1,621,000.00 | Infinity Construction and Trucking                   | Gentilly Debris Removal                     |                    |                        |             |                | 8/19/2020  |
|  |           |                 |  |   | <b>36.05%</b>      | <b>\$ 584,300.00</b>   |             |                |            |



| Contract No./Description   | %DBE Goal | Contract \$     | Prime                    | Sub(s)  | % DBE Part (Prime) | \$ Sub Award           | \$ Sub Paid | % DBE Sub Paid | Award date |
|--|-----------|-----------------|--------------------------|---|--------------------|------------------------|-------------|----------------|------------|
| Cont #1403: Demolition of Abandoned C-7 & C-8 Basins and Other Site Improvements at the Carrollton Water Treatment Plant                       | 36%       | \$ 7,569,394.00 | Cycle Construction Co.   | Three C's Properties, Inc.                              | 32.19%             | \$ 2,436,533.00        |             |                | 9/24/2020  |
|  |           |                 |                          | Twin Shores Landscaping and Construction Services, Inc. | 7.27%              | \$ 550,000.00          |             |                |            |
|  |           |                 |                          | <b>Total</b>  | <b>39.46%</b>      | <b>\$ 2,986,533.00</b> |             |                |            |
| Cont #8165: Repaving of Open Cuts in Driveways & Sidewalks Resulting from Repair to the Sewerage and Water Board of N.O. Underground Utilities | 36%       | \$ 1,274,000.00 | Wallace C. Drennan, Inc. | C&M Construction Group, Inc.                            |                    |                        |             |                | 12/21/2020 |
|  |           |                 |                          |   | <b>36.89%</b>      | <b>\$ 470,000.00</b>   |             |                |            |



**Sewerage & Water Board of New Orleans Open Market Bids with DBE Participation January 2020 - December 2020**

**Goods & Services Projects Awarded 2020**

| <b>Contract No./Description</b>                | <b>%DBE<br/>Goal</b> | <b>Contract \$</b>  | <b>Prime</b>                 | <b>Sub(s)</b>                  | <b>% DBE Part<br/>(Prime)</b> | <b>\$ Sub Award</b> | <b>\$ Sub Paid</b> | <b>% DBE<br/>Sub<br/>Paid</b> | <b>Award date</b> |
|--|----------------------|---------------------|------------------------------|--------------------------------|-------------------------------|---------------------|--------------------|-------------------------------|-------------------|
| YW20-0006 Furnishing<br>Safety Supplies        | 30%                  | \$140,670.00        | Southeast Safety<br>& Supply | Corporate Buisness<br>Supplies | 30%                           | <b>\$42,201.00</b>  | \$42,201.00        | 30%                           | 6/23/2020         |
| YW20-0013 Furnishing<br>Hoses and Accessories  | 5%                   | \$136,586.55        | Atlas Hose &<br>Gasket Co.   | Next Generation<br>Logistics   | 5%                            | <b>\$6,839.93</b>   | \$6,839.93         | 5%                            | 9/2/2020          |
| <b>Total Goods &amp; Services<br/>Projects</b> |                      | <b>\$277,256.55</b> |                              |                                | <b>35%</b>                    | <b>\$49,040.93</b>  | <b>\$49,040.93</b> |                               |                   |



**Sewerage & Water Board of New Orleans Open Market Bids with DBE Participation January 2020 - December 2020**

**Professional Services Projects Awarded 2020**

| <b>Contract No./Description</b>  | <b>%DBE Goal</b> | <b>Contract \$</b>  | <b>Prime</b>                   | <b>Sub(s)</b>  | <b>% DBE Part (Prime)</b> | <b>\$ Sub Award</b> | <b>\$ Sub Paid</b> | <b>% DBE Sub Paid</b> | <b>Award date</b> |
|--|------------------|---|--------------------------------|--|---------------------------|---------------------|--------------------|-----------------------|-------------------|
| Master Professional Service Agreement  | 35%              | \$197,500.00  | Lotus Insurance Solutions      | F.W. Insurance Services, LLC   | 35.00%                    |                     |                    |                       | 4/1/2020          |
| Master Professional Service Agreement  | 35%              | \$428,770.00  | Jacobs Engineering Group, Inc. | Intergrated Logistical Support, Inc. (ILSI); Infinity Engineering Consultants, LLC | 35.00%                    |                     |                    |                       | 6/2/2020          |
| Professional Services Agreement  | 36%              | \$830,000.00  | PFM Group Consulting, LLC      | Pending submission of DBE Participation Summary Sheet                              | 36%                       |                     |                    |                       | 7/30/2020         |
| Engineering Services for Power Frequency Converter at Carrollton Water Plant | 35%              | Dependent on Option:<br>1) 608,165.00<br>2)<br>\$640,122.00<br>3) | Jacobs Engineering Group, Inc. | Pending submission of DBE Participation Summary Sheet                              | 35%                       |                     |                    |                       | 9/2/2020          |
| Insurance Broker Services  |                  | \$49,500.00   | Eagan Insurance Agency, LLC    | F.W. Insurance Services, LLC   | 35%                       | \$19,800.00         |                    |                       | 9/30/2020         |
| Operation Controls System for Turbine 5 at Carrollton Water Plant            |                  | \$1,514,055.00  | Nexus Controls, LLC            |  | 10.00%                    |                     |                    |                       | 10/27/2020        |
| <b>Total Professional Services Projects</b>                                  | <b>35%</b>       | <b>\$3,019,825.00</b>   |                                |  | <b>31%</b>                | <b>\$19,800.00</b>  |                    |                       |                   |