

Authority Budget of: **ADOPTED COPY**

Southeast Monmouth Municipal Utilities Authority

State Filing Year **2020**

For the Period:

January 1, 2020 to December 31, 2020

www.smmua.org

Authority Web Address

ADOPTED COPY
APPROVED COPY



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2019 OCT 18 P 1:58

LOCAL GOVT SERVICES

Division of Local Government Services

RECEIVED

2019 NOV 12 P 1:24

LOCAL GOVT SERVICES

2020 (2020-2021) AUTHORITY BUDGET

Certification Section

2020 (2020-2021)

Southeast Monmouth Municipal Utilities Authority

AUTHORITY BUDGET

FISCAL YEAR: FROM January 1, 2020 TO December 31, 2020

For Division Use Only

CERTIFICATION OF APPROVED BUDGET

It is hereby certified that the approved Budget made a part hereof complies with the requirements of law and the rules and regulations of the Local Finance Board, and approval is given pursuant to N.J.S.A. 40A:5A-11.

*State of New Jersey
Department of Community Affairs
Director of the Division of Local Government Services*

By: Paul D. Cwert CPA, RMA Date: 10/24/2019

CERTIFICATION OF ADOPTED BUDGET

It is hereby certified that the adopted Budget made a part hereof has been compared with the approved Budget previously certified by the Division, and any amendments made thereto. This adopted Budget is certified with respect to such amendments and comparisons only.

*State of New Jersey
Department of Community Affairs
Director of the Division of Local Government Services*

By: Paul D. Cwert CPA, RMA Date: 11/13/2019

2020 (2020-2021) PREPARER'S CERTIFICATION

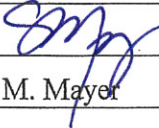
Southeast Monmouth Municipal Utilities Authority

AUTHORITY BUDGET

FISCAL YEAR: FROM: January 1, 2020 TO: December 31, 2020

It is hereby certified that the Authority Budget, including both the Annual Budget and the Capital Budget/Program annexed hereto, represents the members of the governing body's resolve with respect to statute in that: all estimates of revenue are reasonable, accurate and correctly stated; all items of appropriation are properly set forth; and in itemization, form and content, the budget will permit the exercise of the comptroller function within the Authority.

It is further certified that all proposed budgeted amounts and totals are correct. Also, I hereby provide reasonable assurance that all assertions contained herein are accurate and all required schedules are completed and attached.

Preparer's Signature:			
Name:	Stephen M. Mayer		
Title:	CFO		
Address:	601 Union Lane, Brielle NJ 08730		
Phone Number:	732-528-6600	Fax Number:	
E-mail address	smayerretired@outlook.com		

2020 (2020-2021) APPROVAL CERTIFICATION

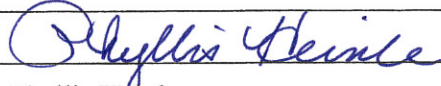
Southeast Monmouth Municipal Utilities Authority

AUTHORITY BUDGET

FISCAL YEAR: **FROM:** January 1, 2020 **TO:** December 31, 2020

It is hereby certified that the Authority Budget, including all schedules appended hereto, are a true copy of the Annual Budget and Capital Budget/Program approved by resolution by the governing body of the Southeast Monmouth Municipal Utilities Authority, at an open public meeting held pursuant to N.J.A.C. 5:31-2.3, on the 3rd day of October, 2019.

It is further certified that the recorded vote appearing in the resolution represents not less than a majority of the full membership of the governing body thereof.

Officer's Signature:			
Name:	Phyllis Heinle		
Title:	Secretary to SMMUA		
Address:	c/o Township of Wall, 2700 Allaire Road, Wall, NJ 07719		
Phone Number:	732-449-8444	Fax Number:	732-449-8992
E-mail address	Ph805@optonline.net		

INTERNET WEBSITE CERTIFICATION

Authority's Web Address:

www.smmua.org

All authorities shall maintain either an Internet website or a webpage on the municipality's or county's Internet website. The purpose of the website or webpage shall be to provide increased public access to the authority's operations and activities. N.J.S.A. 40A:5A-17.1 requires the following items to be included on the Authority's website at a minimum for public disclosure. Check the boxes below to certify the Authority's compliance with N.J.S.A. 40A:5A-17.1.

- ☒ A description of the Authority's mission and responsibilities
- ☒ Budgets for the current fiscal year and immediately preceding two prior years
- ☒ The most recent Comprehensive Annual Financial Report (Unaudited) or similar financial information (**Similar Information is such as PIE Charts, Bar Graphs etc. for such items as Revenues, Expenditures, and other information the Authority deems relevant to inform the public**)
- ☒ The complete (**All Pages**) annual audits (**Not the Audit Synopsis**) of the most recent fiscal year and immediately two prior years
- ☒ The Authority's rules, regulations and official policy statements deemed relevant by the governing body of the authority to the interests of the residents within the authority's service area or jurisdiction
- ☒ Notice posted pursuant to the "Open Public Meetings Act" for each meeting of the Authority, setting forth the time, date, location and agenda of each meeting
- ☒ The approved minutes of each meeting of the Authority including all resolutions of the board and their committees; for at least three consecutive fiscal years
- ☒ The name, mailing address, electronic mail address and phone number of every person who exercises day-to-day supervision or management over some or all of the operations of the Authority
- ☒ A list of attorneys, advisors, consultants and any other person, firm, business, partnership, corporation or other organization which received any remuneration of \$17,500 or more during the preceding fiscal year for any service whatsoever rendered to the Authority.

It is hereby certified by the below authorized representative of the Authority that the Authority's website or webpage as identified above complies with the minimum statutory requirements of N.J.S.A. 40A:5A-17.1 as listed above. A check in each of the above boxes signifies compliance.

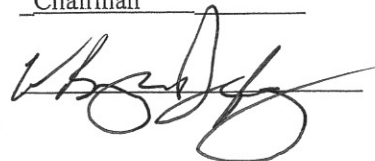
Name of Officer Certifying compliance

W. Bryan Dempsey

Title of Officer Certifying compliance

Chairman

Signature



2020 (2020-2021) AUTHORITY BUDGET RESOLUTION

Southeast Monmouth Municipal Utilities Authority

Important --The Amounts on this page need to agree with budget pages F-1 and CB-3. Fill these amounts in after you finalize the amounts on pages F-1 and CB-3. Re-check before this resolution is adopted

FISCAL YEAR: FROM: January 1, 2020 TO: December 31, 2020

WHEREAS, the Annual Budget and Capital Budget for the Southeast Monmouth Municipal Utilities Authority for the fiscal year beginning, January 1, 2020 and ending, December 31, 2020 has been presented before the governing body of the Southeast Monmouth Municipal Utilities Authority Authority at its open public meeting of October 3, 2019; and

WHEREAS, the Annual Budget as introduced reflects Total Revenues of \$4,262,540, Total Appropriations, including any Accumulated Deficit if any, of \$4,262,540 and Total Unrestricted Net Position utilized of \$0; and

WHEREAS, the Capital Budget as introduced reflects Total Capital Appropriations of \$680,500 and Total Unrestricted Net Position planned to be utilized as funding thereof, of \$0; and

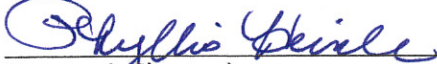
WHEREAS, the schedule of rates, fees and other charges in effect will produce sufficient revenues, together with all other anticipated revenues to satisfy all obligations to the holders of bonds of the Authority, to meet operating expenses, capital outlays, debt service requirements, and to provide for such reserves, all as may be required by law, regulation or terms of contracts and agreements; and

WHEREAS, the Capital Budget/Program, pursuant to N.J.A.C. 5:31-2, does not confer any authorization to raise or expend funds; rather it is a document to be used as part of the said Authority's planning and management objectives. Specific authorization to expend funds for the purposes described in this section of the budget, must be granted elsewhere; by bond resolution, by a project financing agreement, by resolution appropriating funds from the Renewal and Replacement Reserve or other means provided by law.

NOW, THEREFORE BE IT RESOLVED, by the governing body of the Southeast Monmouth Municipal Utilities Authority, at an open public meeting held on October 3, 2019 that the Annual Budget, including all related schedules, and the Capital Budget/Program of the Southeast Monmouth Municipal Utilities Authority for the fiscal year beginning, January 1, 2020 and ending, December 31, 2020 is hereby approved; and

BE IT FURTHER RESOLVED, that the anticipated revenues as reflected in the Annual Budget are of sufficient amount to meet all proposed expenditures/expenses and all covenants, terms and provisions as stipulated in the said Authority's outstanding debt obligations, capital lease arrangements, service contracts, and other pledged agreements; and

BE IT FURTHER RESOLVED, that the governing body of the Southeast Monmouth Municipal Utilities Authority will consider the Annual Budget and Capital Budget/Program for adoption on November 7, 2019.


(Secretary's Signature)

10/3/19
(Date)

Governing Body	Recorded Vote			
Member:	Aye	Nay	Abstain	Absent

Note Fill in the name of Each Commissioner and indicate their recorded Vote

Lorraine Carafa				X
Bryan Dempsey	X			
Robert McArthur				X
Jeffrey Bertrand	X			
Joe May	X			

2020 (2020-2021) ADOPTION CERTIFICATION

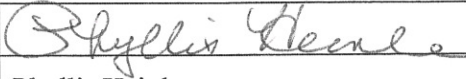
Southeast Monmouth Municipal Utilities Authority

AUTHORITY BUDGET

FISCAL YEAR: FROM: January 1, 2020 TO: December 31, 2020

Note: This is filled on for Adoption of the Budget Don't fill in for Introduction of the Budget

It is hereby certified that the Authority Budget and Capital Budget/Program annexed hereto is a true copy of the Budget adopted by the governing body of the Southeast Monmouth Municipal Utilities Authority, pursuant to N.J.A.C. 5:31-2.3, on the 7th day of, November, 2019.

Officer's Signature:			
Name:	Phyllis Heinle		
Title:	Secretary		
Address:	c/o Township of Wall, 2700 Allair Road, Wall, NJ 07719		
Phone Number:	732-449-8444	Fax Number:	732-499-8992
E-mail address	Ph805@optonline.net		

2020 (2020-2021) ADOPTED BUDGET RESOLUTION

This resolution is for Adoption of the Budget Only Don't use for introduction of the Budget

Note Fill in the name of Each Commissioner and indicate their recorded Vote

Southeast Monmouth Municipal Utilities Authority AUTHORITY

FISCAL YEAR: **FROM:** January 1, 2020 **TO:** December 31, 2020

WHEREAS, the Annual Budget and Capital Budget/Program for the Southeast Monmouth Municipal Utilities Authority for the fiscal year beginning January 1, 2020 and ending, December 31, 2020 has been presented for adoption before the governing body of the Southeast Monmouth Municipal Utilities Authority at its open public meeting of November 7, 2019; and

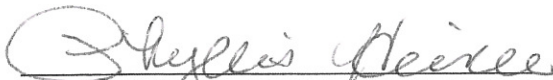
WHEREAS, the Annual Budget and Capital Budget as presented for adoption reflects each item of revenue and appropriation in the same amount and title as set forth in the introduced and approved budget, including all amendments thereto, if any, which have been approved by the Director of the Division of Local Government Services; and

WHEREAS, the Annual Budget as presented for adoption reflects Total Revenues of \$ 4,262,540, Total Appropriations, including any Accumulated Deficit, if any, of \$ 4,262,540 and Total Unrestricted Net Position utilized of \$ 0; and

WHEREAS, the Capital Budget as presented for adoption reflects Total Capital Appropriations of \$ 680,500 and Total Unrestricted Net Position planned to be utilized of \$ 0; and

NOW, THEREFORE BE IT RESOLVED, by the governing body of the Southeast Monmouth Municipal Utilities Authority, at an open public meeting held on November 7, 2019 that the Annual Budget and Capital Budget/Program of the Southeast Monmouth Municipal Utilities Authority, for the fiscal year beginning, January 1, 2020 and, ending, December 31, 2020 is hereby adopted and shall constitute appropriations for the purposes stated; and

BE IT FURTHER RESOLVED, that the Annual Budget and Capital Budget/Program as presented for adoption reflects each item of revenue and appropriation in the same amount and title as set forth in the introduced and approved budget, including all amendments thereto, if any, which have been approved by the Director of the Division of Local Government Services.


(Secretary's Signature)

11/7/19
(Date)

Governing Body
Member:

Recorded Vote

Aye

Nay

Abstain

Absent

Note Fill in the name of Each Commissioner and indicate their recorded Vote

Lorraine Carafa

Bryan Dempsey

Tom

Robert McArthur

Jeffrey Bertrand

Joe May

✓
✓
✓
✓

✓
✓

2020 (2020-2021) AUTHORITY BUDGET

Narrative and Information Section

2020 (2020-2021) AUTHORITY BUDGET MESSAGE & ANALYSIS

Southeast Monmouth Municipal Utilities Authority

AUTHORITY BUDGET

FISCAL YEAR: FROM: January 1, 2020 TO: December 31, 2020

Answer all questions below. Attach additional pages and schedules as needed.

1. Complete a brief statement on the 2020/2020-2021 proposed Annual Budget and make comparison to the 2019/2019-2020 adopted budget for each Revenues and Appropriations. Explain any variances over +/-10% (As shown on budget pages F-2 and F-4 explain the reason for changes for each revenue and appropriation changing more than 10%) for each individual revenue and appropriation line item. Explanations of variances should include a description of the reason for the increase/decrease in the budgeted line item, not just an indication of the amount and percent of the change. Attach any supporting documentation that will help to explain the reason for the increase/decrease in the budgeted line item.

The CY2020 budget of the Southeast Monmouth Municipal Utilities Authority totals \$4,262,540 and is a 2.2% decrease from the prior year's budget of \$4,359,089. The operating expenses charged by the contract operator are decreasing in 2020 by \$97,149 or 3.6%. This impact allows for a total budget decrease in CY2020.

The CY2020 total anticipated revenue of 4,262,540 is a reflective 2.2% decrease from the prior year's budget of \$4,359,089 charged to the five member municipalities of the Southeast Monmouth Municipal Utilities Authority on a percentage basis.

2. Describe the state of the local/regional economy and how it may impact the proposed Annual Budget, including the planned Capital Budget/Program. (Example Consider New Development projects such as Housing /Commercial projects impact on the Authorities expenses or revenues)

The proposed operating budget will have no impact or may result in a slight reduction to the rates charged to residents of the five member municipalities. Local and regional economic factors will not impact the ability to raise revenue for the annual budget or implement the capital budget program in CY2020.

3. Describe the reasons for utilizing Unrestricted Net Position in the proposed Annual Budget and or Capital Budget, i.e. rate stabilization, debt service reduction, to balance the budget, etc. If the Authority's budget anticipates a use of Unrestricted Net Position, this question must be answered.

Unrestricted net assets are not used as a revenue source in the CY2020 proposed budget.

4. Identify any sources of funds transferred to the County/Municipality as a budget subsidy or a shared service payments, pilot payments, or other types of contracts or agreements (Example to provide police services to the Authority etc. and explain the reason for the transfer (i.e.: to balance the County/Municipality budget, etc.).

There are none.

5. The proposed budget must not reflect an anticipated deficit from 2020/2020-2021 operations. If there exists an accumulated deficit from prior years' budgets (and funding is included in the proposed budget as a result of a prior deficit) explain the funding plan to eliminate said deficit (N.J.S.A. 40A:5A-12). If the Authority has a net deficit reported in its most recent audit, it must provide a deficit reduction plan in response to this question.

(Prepare a response to deficits in most recent audit report pertaining to Deficits to Unrestricted Net Position caused by recording Pension and Post-Employment Benefits liabilities as required by GASB 68 and GASB 75) and similar types of deficits in the audit report. How would these deficits be funded?

There is no existing or anticipated accumulated deficit to be funded in the CY2020 budget.

6. Attach a schedule of the Authority's existing rate structure (connection fees, parking fees, service charges, etc.) if it has been changed since the prior year budget submission and a schedule of the proposed rate structure for the upcoming fiscal year. Explain any proposed changes in the rate structure and attach the resolution approving the change in the rate structure, if applicable. (If no changes to fees or rates indicate (Answer as "Rates Are Staying the Same")

The SMMUA does not utilize a rate structure in allocating contract operation fees or debt service and administration costs to the five member communities, but rather a percentage of the costs are allocated to each community based on the percentage of treated water allocated to each municipality and percentage of linear feet of transmission system within each municipality as follows:

	Percentage Costs Allocated to Treatment Plant	Percentage Costs Allocated to Transmission System
Brielle	14.54%	33.00%
Sea Girt	1.29%	7.00%
Spring Lake	9.05%	22.00%
Spring Lake Heights	12.12%	20.00%
Wall Township	63.00%	18.00%
Total	100.00%	100.00%

AUTHORITY CONTACT INFORMATION 2020 (2020-2021)

Please complete the following information regarding this Authority. All information requested below must be completed.

Name of Authority:	The Southeast Monmouth Municipal Utilities Authority		
Federal ID Number:	61 159 0034		
Address:	c/o Stephen M. Mayer 601 Union Lane		
City, State, Zip:	Brielle	NJ	08730
Phone: (ext.)	732-528-6600	Fax:	

Preparer's Name:	Stephen M. Mayer		
Preparer's Address:	601 Union Lane		
City, State, Zip:	Brielle	NJ	08730
Phone: (ext.)	732-528-6600	Fax:	
E-mail:	smayerretired@outlook.com		

Chief Executive Officer:(1)	W. Bryan Dempsey, Chairman		
(1) Or person who performs these functions under another Title			
Phone: (ext.)	732-449-0800	Fax:	732-449-8992
E-mail:	bdempsey@springlakeboro.org		

Chief Financial Officer(1)	Stephen M. Mayer		
(1) Or person who performs these functions under another Title			
Phone: (ext.)	732-528-6600	Fax:	
E-mail:	smayerretired@outlook.com		

Name of Auditor:	Robert Hulsart		
Name of Firm:	Robert Hulsart & Co.		
Address:	2807 Hurley Pond Road		
City, State, Zip:	Wall	NJ	07719
Phone: (ext.)	732-681-4990	Fax:	732-280-8888
E-mail:	Hulsart@monmouth.com		

AUTHORITY INFORMATIONAL QUESTIONNAIRE

Southeast Monmouth Municipal Utilities Authority

FISCAL YEAR: FROM: January 1, 2020 TO: December 31, 2020

Answer all questions below completely and attach additional information as required.

- 1) Provide the number of individuals employed in (Use Most Recent W-3 Available 2018 or 2019) as reported on the Authority's Form W-3, Transmittal of Wage and Tax Statements: 0 – two part time officers are paid 1099
- 2) Provide the amount of total salaries and wages as reported on the Authority's Form W-3, (Use Most Recent W-3 Available 2018 or 2019) Transmittal of Wage and Tax Statements: \$0
- 3) Provide the number of regular voting members of the governing body: 5 (Even if not all commissioners have been appointed (Total Commissioners are either 5 or 7 (Regional Authorities may have more than 7 members) s per statute for your Authority)
- 4)
- 5) Provide the number of alternate voting members of the governing body: None (Maximum is 2)
- 6) Did any person listed on Page N-4 have a family or business relationship with any other person listed on Page N-4 during the current fiscal year? No If "yes," attach a description of the relationship including the names of the individuals involved and their positions at the Authority.
- 7) Did all individuals that were required to file a Financial Disclosure Statement for the current fiscal year (Most Recent Filing that March 31, 2019 or 2020 deadline has passed 2019 or 2020) because of their relationship with the Authority file the form as required? (Checked to see if individuals actually filed at <http://www.state.nj.us/dca/divisions/dlgs/resources/fds.html> before answering) Yes If "no," provide a list of those individuals who failed to file a Financial Disclosure Statement and an explanation as to the reason for their failure to file.
- 8) Does the Authority have any amounts receivable from current or former commissioners, officers, key employees or highest compensated employees? No If "yes," attach a list of those individuals, their position, the amount receivable, and a description of the amount due to the Authority.
- 9) Was the Authority a party to a business transaction with one of the following parties:
 - a. A current or former commissioner, officer, key employee, or highest compensated employee? No
 - b. A family member of a current or former commissioner, officer, key employee, or highest compensated employee? No
 - c. An entity of which a current or former commissioner, officer, key employee, or highest compensated employee (or family member thereof) was an officer or direct or indirect owner? NoIf the answer to any of the above is "yes," attach a description of the transaction including the name of the commissioner, officer, key employee, or highest compensated employee (or family member thereof) of the Authority; the name of the entity and relationship to the individual or family member; the amount paid; and whether the transaction was subject to a competitive bid process.
- 10) Did the Authority during the most recent fiscal year pay premiums, directly or indirectly, on a personal benefit contract? A personal benefit contract is generally any life insurance, annuity, or endowment contract that benefits, directly or indirectly, the transferor, a member of the transferor's family, or any other person designated by the transferor. No If "yes," attach a description of the arrangement, the premiums paid, and indicate the beneficiary of the contract.
- 11) Explain the Authority's process for determining compensation for all persons listed on Page N-4. Include whether the Authority's process includes any of the following: 1) review and approval by the commissioners or a committee thereof; 2) study or survey of compensation data for comparable positions in similarly sized entities; 3) annual or periodic performance evaluation; 4) independent compensation consultant; and/or 5) written employment contract. Attach a narrative of your Authority's procedures for all individuals listed on Page N-4 (2 of 2).

The commissioners reviewed and approved the 1099 compensation for the Board Secretary

11) *Continued from previous page:*

and Treasurer/CFO in closed session then voted on the appointments by resolution in open session. The Board Secretary is paid \$250 per meeting and is responsible for preparing meeting agendas, preparing resolutions, attending board meetings, taking roll call, keeping minutes and transcribing minutes, and advertising for the open public meetings act. The fee was based on 8 hours per month. The Treasurer/CFO is paid \$833 per month to prepare bill lists, maintain banking relationships, effect wire transfers, and generally keep the books and records of the Authority, prepare the budgets and interact with the auditor. The Board felt that \$10,000 per year was fair for these services.

- 12) Did the Authority pay for meals or catering during the current fiscal year? No If "yes," attach a detailed list of all meals and/or catering invoices for the current fiscal year and provide an explanation for each expenditure listed.
- 13) Did the Authority pay for travel expenses for any employee or individual listed on Page N-4? No If "yes," attach a detailed list of all travel expenses for the current fiscal year and provide an explanation for each expenditure listed.
- 14) Did the Authority provide any of the following to or for a person listed on Page N-4 or any other employee of the Authority?
- a. First class or charter travel No
 - b. Travel for companions No
 - c. Tax indemnification and gross-up payments No
 - d. Discretionary spending account No
 - e. Housing allowance or residence for personal use No
 - f. Payments for business use of personal residence No
 - g. Vehicle/auto allowance or vehicle for personal use No
 - h. Health or social club dues or initiation fees No
 - i. Personal services (i.e.: maid, chauffeur, chef) No
- If the answer to any of the above is "yes," attach a description of the transaction including the name and position of the individual and the amount expended.*
- 15) Did the Authority follow a written policy regarding payment or reimbursement for expenses incurred by employees and/or commissioners during the course of Authority business and does that policy require substantiation of expenses through receipts or invoices prior to reimbursement? N/A Expenses are not reimbursed. All commissioners and officers are local. If "no," attach an explanation of the Authority's process for reimbursing employees and commissioners for expenses. *(If your authority does not allow for reimbursements indicate that in answer)*
- 16) Did the Authority make any payments to current or former commissioners or employees for severance or termination? No If "yes," attach explanation including amount paid.
- 17) Did the Authority make any payments to current or former commissioners or employees that were contingent upon the performance of the Authority or that were considered discretionary bonuses? No If "yes," attach explanation including amount paid.
- 18) Did the Authority comply with its Continuing Disclosure Agreements for all debt issuances outstanding by submitting its audited annual financial statements, annual operating data, and notice of material events to the Municipal Securities Rulemaking Board's Electronic Municipal Marketplace Access (EMMA) as required? The SMMUA has no continuing disclosure requirements because all of its outstanding debt is issued through the New Jersey Environmental Infrastructure Financing Program If "no," attach a description of the Authority's plan to ensure compliance with its Continuing Disclosure Agreements in the future. *(If no bonded Debt answer is Not Applicable). (New Jersey Infrastructure Trust Loans are not bonded debt of an Authority)*

- 19) Did the Authority receive any notices from the Department of Environmental Protection or any other entity regarding maintenance or repairs required to the Authority's systems to bring them into compliance with current regulations and standards that it has not yet taken action to remediate? No If "yes," attach explanation as to why the Authority has not yet undertaken the required maintenance or repairs and describe the Authority's plan to address the conditions identified.
- 20) Did the Authority receive any notices of fines or assessments from the Department of Environmental Protection or any other entity due to noncompliance with current regulations (i.e.: sewer overflow, etc.)? No If "yes," attach a description of the event or condition that resulted in the fine or assessment and indicate the amount of the fine or assessment.

**AUTHORITY SCHEDULE OF COMMISSIONERS, OFFICERS, KEY EMPLOYEES,
HIGHEST COMPENSATED EMPLOYEES AND INDEPENDENT CONTRACTORS
Southeast Monmouth Municipal Utilities Authority**

FISCAL YEAR: FROM: January 1, 2020 TO: December 31, 2020

Complete the attached table for all persons required to be listed per #1-4 below.

- 1) List all of the Authority's current commissioners and officers and amount of compensation from the Authority and any other public entities as defined below. Enter zero if no compensation was paid.
- 2) List all of the Authority's key employees and highest compensated employees other than a commissioner or officer as defined below and amount of compensation from the Authority and any other public entities.
- 3) List all of the Authority's former officers, key employees and highest compensated employees who received more than \$100,000 in reportable compensation from the Authority and any other public entities during the most recent fiscal year completed.
- 4) List all of the Authority's former commissioners who received more than \$10,000 in reportable compensation from the Authority and any other public entities during the most recent fiscal year completed.

Commissioner: A member of the governing body of the authority with voting rights. Include alternates for purposes of this schedule.

Officer: A person elected or appointed to manage the authority's daily operations at any time during the year, such as the chairperson, vice-chairperson, secretary, or treasurer. For the purposes of this schedule, treat the authority's top management official and top financial official as officers. A member of the governing body may be both a commissioner and an officer for the purposes of this schedule.

Key employee: An employee or independent contractor of the authority (other than a commissioner or officer) who meets both of the following criteria:

- a) The individual received reportable compensation from the authority and other public entities in excess of \$150,000 for the most recent fiscal year completed; and
- b) The individual has responsibilities or influence over the authority as a whole or has power to control or determine 10% or more of the authority's capital expenditures or operating budget.

Highest compensated employee: One of the five highest compensated employees or independent contractors of the authority other than current commissioners, officers, or key employees whose aggregate reportable compensation from the authority and other public entities is greater than \$100,000 for the most recent fiscal year completed.

Compensation: All forms of cash and non-cash payments or benefits provided in exchange for services, including salaries and wages, bonuses, severance payments, deferred payments, retirement benefits, fringe benefits, and other financial arrangements or transactions such as personal vehicles, meals, housing, personal and family education benefits, below-market loans, payment of personal or family travel, entertainment, and personal use of the Authority's property. Compensation includes payments and other benefits provided to both employees and independent contractors in exchange for services.

Reportable compensation: (Use the Most Recent W-2 available 2018 or 2019. The aggregate compensation that is reported (or is required to be reported) on Form W-2, box 1 or 5, whichever amount is greater, and/or Form 1099-MISC, box 7, for the most recent calendar year ended 60 days before the start of the proposed budget year. For example, for fiscal years ending December 31, 2020, the most recent W-2 and 1099 should be used 2019 or 2018 (60 days prior to start of budget year is November 1, 2019, with 2018 being the most recent calendar year ended), and for fiscal years ending June 30, 2020, the calendar year 2019 W-2 and 1099 should be used (60 days prior to start of budget year is May 1, 2019, with 2019 being the most recent calendar year ended).

Other Public Entity: Any municipality, county, local authority, fire district, or other government unit, regardless of whether it is related in any way to the Authority either by function or by physical location.

Authority Schedule of Commissioners, Officers, Key Employees, Highest Compensated Employees and Independent Contractors (Continued)

Southeast Monmouth Municipal Utilities Authority
to December 31, 2020

For the Period January 1, 2020

Position (Can Check more than 1 Column for each person)

Reportable Compensation from Authority (W-2/ 1099)

Name	Title	Average Hours per Week Dedicated to Position	Commissioner Officer Key Employee Highest Compensated Employee Former	Base Salary/ Stipend	Bonus	Other (auto allowance, expense account, payment in lieu of health benefits, etc.)	Estimated amount of other compensation from the Authority (health benefits, pension, etc.)	Total Compensation from Authority	Names of Other Public Entities where Individual is an Employee or Member of the Governing Body (1) See note below	Positions held at Other Public Entities Listed in Column O	Average Hours per Week Dedicated to Positions at Other Public Entities Listed in Column O	Estimated amount of other compensation from			Total Compensated All Public Entities
												Reportable Compensation from Other Public Entities (W-2/ 1099)	Reportable Compensation from Other Public Entities (health benefits, pension, payment in lieu of health benefits, etc.)	Reportable Compensation from Other Public Entities (W-2/ 1099)	
1 W. Bryan Dempsey	Chairman	5 X							- Spring Lake	Administrator	40	\$ 164,190	\$ 73,886	\$ 238,076	238,076
2 Jeffrey Bertrand	Administrative Direc	5 X							0 Wall Twp.	Administrator	40	\$ 191,191	\$ 86,036	\$ 277,227	277,227
3 Lorraine Carafa	Commissioner	5 X							0 Sea Girt/ Atlantic High	Administrator	42	\$ 163,669	\$ 73,651	\$ 237,320	237,320
4 Robert McArthur	Commissioner	5 X							0 Brielle	Superintendent	40	\$ 118,885	\$ 53,498	\$ 172,383	172,383
5 Joe May	Commissioner	5 X							0 Spring Lake Heights	Zoning Officer	40	\$ 98,227	\$ 44,202	\$ 142,429	142,429
6 Steve Mayer	CFO/Treasurer	10	X	10,000				10,000	None	N/A	0				10,000
7 Phyllis Heinle	Secretary	2	X	3,000				3,000	None	N/A	0				3,000
8									0		0				0
9									0		0				0
10									0		0				0
11									0		0				0
12									0		0				0
13									0		0				0
14									0		0				0
15									0		0				0
Total:				\$ 13,000	\$ -	\$ -	\$ -	\$ 13,000				\$ 736,162	\$ 331,273	\$ 1,080,435	1,080,435

(1) Insert "None" in this column for each individual that does not hold a position with another Public Entity

Schedule of Health Benefits - Detailed Cost Analysis

Southeast Monmouth Municipal Utilities Authority
For the Period January 1, 2020 to December 31, 2020

If Not Applicable X this box Below

X

	Annual Cost		Total Cost		# of Covered Members		Annual Cost		# Increase (Decrease)	
	# of Covered Members	Estimate per Employee	Proposed Budget	Estimate Proposed Budget	(Medical & Rx)	Current Year	per Employee	Current Year	Total Prior year	% Increase (Decrease)
Active Employees - Health Benefits - Annual Cost										
Single Coverage				\$	-				\$	#DIV/0!
Parent & Child					-					#DIV/0!
Employee & Spouse (or Partner)					-					#DIV/0!
Family					-					#DIV/0!
Employee Cost Sharing Contribution (enter as negative -)										#DIV/0!
Subtotal	0					0				#DIV/0!
Commissioners - Health Benefits - Annual Cost										
Single Coverage					-					#DIV/0!
Parent & Child					-					#DIV/0!
Employee & Spouse (or Partner)					-					#DIV/0!
Family					-					#DIV/0!
Employee Cost Sharing Contribution (enter as negative -)										#DIV/0!
Subtotal	0					0				#DIV/0!
Retirees - Health Benefits - Annual Cost										
Single Coverage					-					#DIV/0!
Parent & Child					-					#DIV/0!
Employee & Spouse (or Partner)					-					#DIV/0!
Family					-					#DIV/0!
Employee Cost Sharing Contribution (enter as negative -)										#DIV/0!
Subtotal	0					0				#DIV/0!
GRAND TOTAL				\$	-				\$	#DIV/0!

Is medical coverage provided by the SHBP (Yes or No)? (Place Answer in Box)
Is prescription drug coverage provided by the SHBP (Yes or No)? (Place Answer in Box)

Note: Remember to Enter an amount in rows for Employee Cost Sharing

Southeast Monmouth Municipal Utilities Authority

December 31, 2020

January 1, 2020

For the Period

If No Shared Services X this Box

Enter the shared service agreements that the Authority currently engages in and identify the amount that is received/paid for those services.

[illegible]

2020 (2020-2021) AUTHORITY BUDGET

Financial Schedules Section

For the Period	January 1, 2020	to	December 31, 2020
Southeast Monmouth Municipal Utilities Authority			

	<i>FY 2020 Proposed Budget</i>						<i>FY 2019 Adopted Budget</i>		<i>\$ Increase (Decrease) Proposed vs. Adopted</i>	<i>% Increase (Decrease) Proposed vs. Adopted</i>
	Treated water	N/A	N/A	N/A	N/A	N/A	Total All Operations		All Operations	All Operations
REVENUES										
Total Operating Revenues	\$ 4,262,540	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,359,089	\$	(96,549)	-2.2%
Total Non-Operating Revenues	-	-	-	-	-	-	-	-	-	#DIV/0!
Total Anticipated Revenues	4,262,540	-	-	-	-	-	4,359,089		(96,549)	-2.2%
APPROPRIATIONS										
Total Administration	65,000	-	-	-	-	-	65,000	-	-	0.0%
Total Cost of Providing Services	2,638,221	-	-	-	-	-	2,735,370	(97,149)		-3.6%
Total Principal Payments on Debt Service In Lieu of Depreciation	722,889	-	-	-	-	-	712,889	10,000		1.4%
Total Operating Appropriations	3,426,110	-	-	-	-	-	3,513,259	(87,149)		-2.5%
Total Interest Payments on Debt	126,430	-	-	-	-	-	135,830	(9,400)		-6.9%
Total Other Non-Operating Appropriations	710,000	-	-	-	-	-	710,000	-		0.0%
Total Non-Operating Appropriations	836,430	-	-	-	-	-	845,830	(9,400)		-1.1%
Accumulated Deficit	-	-	-	-	-	-	-	-		#DIV/0!
Total Appropriations and Accumulated Deficit	4,262,540	-	-	-	-	-	4,359,089	(96,549)		-2.2%
Less: Total Unrestricted Net Position Utilized	-	-	-	-	-	-	-	-		#DIV/0!
Net Total Appropriations	4,262,540	-	-	-	-	-	4,359,089	(96,549)		-2.2%
ANTICIPATED SURPLUS (DEFICIT)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$		#DIV/0!

Revenue Schedule

For the Period Southeast Monmouth Municipal Utilities Authority
January 1, 2020 to December 31, 2020

	FY 2020 Proposed Budget						FY 2019 Adopted Budget	\$ Increase (Decrease) Proposed vs. Adopted	% Increase (Decrease) Proposed vs. Adopted
	Treated water	N/A	N/A	N/A	N/A	N/A	Total All Operations	Total All Operations	Total All Operations
OPERATING REVENUES									
<i>Service Charges</i>									
Residential							\$ -	\$ -	#DIV/0!
Business/Commercial							-	-	#DIV/0!
Industrial							-	-	#DIV/0!
Intergovernmental	4,262,540						4,262,540	4,359,089	(96,549) -2.2%
Other							-	-	#DIV/0!
Total Service Charges	4,262,540	-	-	-	-	-	4,262,540	4,359,089	(96,549) -2.2%
<i>Connection Fees</i>									
Residential							-	-	#DIV/0!
Business/Commercial							-	-	#DIV/0!
Industrial							-	-	#DIV/0!
Intergovernmental							-	-	#DIV/0!
Other							-	-	#DIV/0!
Total Connection Fees	-	-	-	-	-	-	-	-	#DIV/0!
<i>Parking Fees</i>									
Meters							-	-	#DIV/0!
Permits							-	-	#DIV/0!
Fines/Penalties							-	-	#DIV/0!
Other							-	-	#DIV/0!
Total Parking Fees	-	-	-	-	-	-	-	-	#DIV/0!
<i>Other Operating Revenues (List)</i>									
Type In (Grant, Other Rev)							-	-	#DIV/0!
Type In (Grant, Other Rev)							-	-	#DIV/0!
Type In (Grant, Other Rev)							-	-	#DIV/0!
Type In (Grant, Other Rev)							-	-	#DIV/0!
Type In (Grant, Other Rev)							-	-	#DIV/0!
Type In (Grant, Other Rev)							-	-	#DIV/0!
Type In (Grant, Other Rev)							-	-	#DIV/0!
Type In (Grant, Other Rev)							-	-	#DIV/0!
Type In (Grant, Other Rev)							-	-	#DIV/0!
Type In (Grant, Other Rev)							-	-	#DIV/0!
Type In (Grant, Other Rev)							-	-	#DIV/0!
Total Other Revenue	-	-	-	-	-	-	-	-	#DIV/0!
Total Operating Revenues	4,262,540	-	-	-	-	-	4,262,540	4,359,089	(96,549) -2.2%
NON-OPERATING REVENUES									
<i>Other Non-Operating Revenues (List)</i>									
Type In							-	-	#DIV/0!
Type In							-	-	#DIV/0!
Type In							-	-	#DIV/0!
Type In							-	-	#DIV/0!
Type In							-	-	#DIV/0!
Type In							-	-	#DIV/0!
Total Other Non-Operating Revenue	-	-	-	-	-	-	-	-	#DIV/0!
<i>Interest on Investments & Deposits (List)</i>									
Interest Earned							-	-	#DIV/0!
Penalties							-	-	#DIV/0!
Other							-	-	#DIV/0!
Total Interest	-	-	-	-	-	-	-	-	#DIV/0!
Total Non-Operating Revenues	-	-	-	-	-	-	-	-	#DIV/0!
TOTAL ANTICIPATED REVENUES	\$ 4,262,540	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,262,540	\$ 4,359,089	\$ (96,549) -2.2%

Prior Year Adopted Revenue Schedule

Southeast Monmouth Municipal Utilities Authority

FY 2019 Adopted Budget							
	Treated water	N/A	N/A	N/A	N/A	N/A	Total All Operations
OPERATING REVENUES							
<i>Service Charges</i>							
Residential							\$ -
Business/Commercial							-
Industrial							-
Intergovernmental	4,359,089						4,359,089
Other							-
Total Service Charges	4,359,089	-	-	-	-	-	4,359,089
<i>Connection Fees</i>							
Residential							-
Business/Commercial							-
Industrial							-
Intergovernmental							-
Other							-
Total Connection Fees	-	-	-	-	-	-	-
<i>Parking Fees</i>							
Meters							-
Permits							-
Fines/Penalties							-
Other							-
Total Parking Fees	-	-	-	-	-	-	-
<i>Other Operating Revenues (List)</i>							
Type in (Grant, Other Rev)							-
Type in (Grant, Other Rev)							-
Type in (Grant, Other Rev)							-
Type in (Grant, Other Rev)							-
Type in (Grant, Other Rev)							-
Type in (Grant, Other Rev)							-
Type in (Grant, Other Rev)							-
Type in (Grant, Other Rev)							-
Type in (Grant, Other Rev)							-
Type in (Grant, Other Rev)							-
Type in (Grant, Other Rev)							-
Total Other Revenue	-	-	-	-	-	-	-
Total Operating Revenues	4,359,089	-	-	-	-	-	4,359,089
NON-OPERATING REVENUES							
<i>Other Non-Operating Revenues (List)</i>							
Type in							-
Type in							-
Type in							-
Type in							-
Type in							-
Type in							-
Other Non-Operating Revenues	-	-	-	-	-	-	-
<i>Interest on Investments & Deposits</i>							
Interest Earned							-
Penalties							-
Other							-
Total Interest	-	-	-	-	-	-	-
Total Non-Operating Revenues	-	-	-	-	-	-	-
TOTAL ANTICIPATED REVENUES	\$ 4,359,089	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,359,089

Appropriations Schedule

Southeast Monmouth Municipal Utilities Authority

For the Period January 1, 2020 to December 31, 2020

	FY 2020 Proposed Budget						FY 2019 Adopted Budget	\$ Increase (Decrease) Proposed vs. Adopted	% Increase (Decrease) Proposed vs. Adopted	
	Treated water	N/A	N/A	N/A	N/A	N/A	Total All Operations	Total All Operations	All Operations	All Operations
OPERATING APPROPRIATIONS										
Administration - Personnel										
Salary & Wages							\$ -	\$ -	\$ -	#DIV/0!
Fringe Benefits							-	-	-	#DIV/0!
Total Administration - Personnel	-	-	-	-	-	-	-	-	-	#DIV/0!
Administration - Other (List)										
Contracted Services - Professional Svc.	65,000						65,000	65,000	-	0.
Type in Description							-	-	-	#DIV/0!
Type in Description							-	-	-	#DIV/0!
Type in Description							-	-	-	#DIV/0!
Miscellaneous Administration*							-	-	-	#DIV/0!
Total Administration - Other	65,000	-	-	-	-	-	65,000	65,000	-	0
Total Administration	65,000	-	-	-	-	-	65,000	65,000	-	0
Cost of Providing Services - Personnel										
Salary & Wages							-	-	-	#DIV/0!
Fringe Benefits							-	-	-	#DIV/0!
Total COPS - Personnel	-	-	-	-	-	-	-	-	-	#DIV/0!
Cost of Providing Services - Other (List)										
Contracted Services - NJ Water Supply Authority	2,638,221						2,638,221	2,735,370	(97,149)	-3
Type in Description							-	-	-	#DIV/0!
Type in Description							-	-	-	#DIV/0!
Type in Description							-	-	-	#DIV/0!
Miscellaneous COPS*							-	-	-	#DIV/0!
Total COPS - Other	2,638,221	-	-	-	-	-	2,638,221	2,735,370	(97,149)	-3
Total Cost of Providing Services	2,638,221	-	-	-	-	-	2,638,221	2,735,370	(97,149)	-3
Total Principal Payments on Debt Service in Lieu of Depreciation	722,889	-	-	-	-	-	722,889	712,889	10,000	1
Total Operating Appropriations	3,426,110	-	-	-	-	-	3,426,110	3,513,259	(87,149)	-2
NON-OPERATING APPROPRIATIONS										
Total Interest Payments on Debt	126,430	-	-	-	-	-	126,430	135,830	(9,400)	-7
Operations & Maintenance Reserve							-	-	-	#DIV/0!
Renewal & Replacement Reserve	60,000						60,000	60,000	-	0
Municipality/County Appropriation							-	-	-	#DIV/0!
Other Reserves	650,000						650,000	650,000	-	0
Total Non-Operating Appropriations	836,430	-	-	-	-	-	836,430	845,830	(9,400)	-1
TOTAL APPROPRIATIONS	4,262,540	-	-	-	-	-	4,262,540	4,359,089	(96,549)	-2
ACCUMULATED DEFICIT										
TOTAL APPROPRIATIONS & ACCUMULATED DEFICIT	4,262,540	-	-	-	-	-	4,262,540	4,359,089	(96,549)	-2
UNRESTRICTED NET POSITION UTILIZED										
Municipality/County Appropriation	-	-	-	-	-	-	-	-	-	#DIV/0!
Other							-	-	-	#DIV/0!
Total Unrestricted Net Position Utilized	-	-	-	-	-	-	-	-	-	#DIV/0!
TOTAL NET APPROPRIATIONS	\$ 4,262,540	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,262,540	\$ 4,359,089	\$ (96,549)	-2

* Miscellaneous line items may not exceed 5% of total operating appropriations shown below. If amount in miscellaneous is greater than the amount shown below, then the line item must be itemized above.

5% of Total Operating Appropriations	\$ 171,305.50	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 171,305.50
--------------------------------------	---------------	------	------	------	------	------	---------------

Prior Year Adopted Appropriations Schedule

Southeast Monmouth Municipal Utilities Authority

FY 2019 Adopted Budget

	Treated water	N/A	N/A	N/A	N/A	N/A	Total All Operations
OPERATING APPROPRIATIONS							
<i>Administration - Personnel</i>							
Salary & Wages							\$ -
Fringe Benefits							-
Total Administration - Personnel	-	-	-	-	-	-	-
<i>Administration - Other (List)</i>							
Contracted Services - Professional Services	65,000						65,000
Type In Description							-
Type In Description							-
Type In Description							-
Miscellaneous Administration*							-
Total Administration - Other	65,000	-	-	-	-	-	65,000
Total Administration	65,000	-	-	-	-	-	65,000
<i>Cost of Providing Services - Personnel</i>							
Salary & Wages							-
Fringe Benefits							-
Total COPS - Personnel	-	-	-	-	-	-	-
<i>Cost of Providing Services - Other (List)</i>							
Contracted Services - NJ Water Supply Autho	2,735,370						2,735,370
Type In Description							-
Type In Description							-
Type In Description							-
Miscellaneous COPS*							-
Total COPS - Other	2,735,370	-	-	-	-	-	2,735,370
Total Cost of Providing Services	2,735,370	-	-	-	-	-	2,735,370
Total Principal Payments on Debt Service in Lieu of Depreciation	712,889	-	-	-	-	-	712,889
Total Operating Appropriations	3,513,259	-	-	-	-	-	3,513,259
NON-OPERATING APPROPRIATIONS							
Total Interest Payments on Debt	135,830	-	-	-	-	-	135,830
Operations & Maintenance Reserve							
Renewal & Replacement Reserve	60,000						60,000
Municipality/County Appropriation							
Other Reserves	650,000						650,000
Total Non-Operating Appropriations	845,830	-	-	-	-	-	845,830
TOTAL APPROPRIATIONS	4,359,089	-	-	-	-	-	4,359,089
ACCUMULATED DEFICIT							
TOTAL APPROPRIATIONS & ACCUMULATED DEFICIT	4,359,089	-	-	-	-	-	4,359,089
UNRESTRICTED NET POSITION UTILIZED							
Municipality/County Appropriation	-	-	-	-	-	-	-
Other							
Total Unrestricted Net Position Utilized	-	-	-	-	-	-	-
TOTAL NET APPROPRIATIONS	\$ 4,359,089	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,359,089

* Miscellaneous line items may not exceed 5% of total operating appropriations shown below. If amount in miscellaneous is greater than the amount shown below, then the line item must be itemized above.

5% of Total Operating Appropriations \$ 175,662.95 \$ - \$ - \$ - \$ - \$ - \$ - \$ 175,662.95

Debt Service Schedule - Interest

Southeast Monmouth Municipal Utilities Authority

If Authority has no debt X this box

☐

	Adopted Budget Year 2019	Proposed Budget Year 2020	Fiscal Year Ending in					Thereafter	Total Interest Payments Outstanding
			2021	2022	2023	2024	2025		
<i>Treated water</i>									
2010 NJEIT Bonds	\$ 37,650	\$ 33,850	\$ 28,850	\$ 25,700	\$ 21,300	\$ 16,700	\$ 11,900	\$ 6,900	\$ 145,200
2013 NJEIT Bonds	98,180	92,580	86,780	80,780	74,380	66,130	57,630	242,310	700,590
Type in Issue Name									
Type in Issue Name									
Total Interest Payments	135,830	126,430	115,630	106,480	95,680	82,830	69,530	249,210	845,790
N/A									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Total Interest Payments	-	-	-	-	-	-	-	-	-
N/A									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Total Interest Payments	-	-	-	-	-	-	-	-	-
N/A									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Total Interest Payments	-	-	-	-	-	-	-	-	-
N/A									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Total Interest Payments	-	-	-	-	-	-	-	-	-
N/A									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Total Interest Payments	-	-	-	-	-	-	-	-	-
N/A									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Type in Issue Name									
Total Interest Payments	-	-	-	-	-	-	-	-	-
TOTAL INTEREST ALL OPERATIONS	\$ 135,830	\$ 126,430	\$ 115,630	\$ 106,480	\$ 95,680	\$ 82,830	\$ 69,530	\$ 249,210	\$ 845,790

Net Position Reconciliation

Southeast Monmouth Municipal Utilities Authority

For the Period January 1, 2020 to December 31, 2020

FY 2020 Proposed Budget

	Treated water	N/A	N/A	N/A	N/A	N/A	N/A	Total All Operations
TOTAL NET POSITION BEGINNING OF LATEST AUDIT REPORT YEAR(1)	\$ 15,704,171							\$ 15,704,171
Less: Invested in Capital Assets, Net of Related Debt (1)	10,898,985							10,898,985
Less: Restricted for Debt Service Reserve (1)								
Less: Other Restricted Net Position (1)								
Total Unrestricted Net Position (1)	4,805,186	-	-	-	-	-	-	4,805,186
Less: Designated for Non-Operating Improvements & Repairs								
Less: Designated for Rate Stabilization								
Less: Other Designated by Resolution								
Plus: Accrued Unfunded Pension Liability (1)								
Plus: Accrued Unfunded Other Post-Employment Benefit Liability (1)								
Plus: Estimated Income (Loss) on Current Year Operations (2)								
Plus: Other Adjustments (attach schedule)								
UNRESTRICTED NET POSITION AVAILABLE FOR USE IN PROPOSED BUDGET	4,805,186	-	-	-	-	-	-	4,805,186
Unrestricted Net Position Utilized to Balance Proposed Budget	-	-	-	-	-	-	-	-
Unrestricted Net Position Utilized in Proposed Capital Budget	-	-	-	-	-	-	-	-
Appropriation to Municipality/County (3)	-	-	-	-	-	-	-	-
Total Unrestricted Net Position Utilized in Proposed Budget	-	-	-	-	-	-	-	-
PROJECTED UNRESTRICTED UNDESIGNATED NET POSITION AT END OF YEAR	\$ 4,805,186	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,805,186
Last issued Audit Report (4)								

(1) Total of all operations for this line item must agree to audited financial statements.

(2) Include budgeted and unbudgeted use of unrestricted net position in the current year's operations.

(3) Amount may not exceed 5% of total operating appropriations. See calculation below.

Maximum Allowable Appropriation to Municipality/County \$ 171,306 \$ - \$ - \$ - \$ - \$ - \$ - \$ 171,306

(4) If Authority is projecting a deficit for any operation at the end of the budget period, the Authority must attach a statement explaining its plan to reduce the deficit, including the timeline for elimination of the deficit, if not already detailed in the budget narrative section.

2020 (2020-2021)

**Southeast Monmouth Municipal
Utilities Authority**

**AUTHORITY
CAPITAL
BUDGET/
PROGRAM**

2019 CERTIFICATION OF AUTHORITY CAPITAL BUDGET/PROGRAM

Southeast Monmouth Municipal Utilities Authority

FISCAL YEAR: FROM: January 1, 2020 TO: December 31, 2020

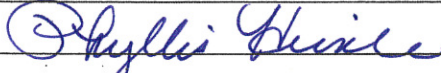
☒ enter X to the left if this paragraph is applicable

It is hereby certified that the Authority Capital Budget/Program annexed hereto is a true copy of the Capital Budget/Program approved, pursuant to N.J.A.C. 5:31-2.2, along with the Annual Budget, by the governing body of the Southeast Monmouth Municipal Utilities Authority, on the 3rd day of October, 2019.

OR

☐ enter X to the left if this paragraph is applicable

It is hereby certified that the governing body of the _____ Authority have elected **NOT** to adopt a Capital Budget /Program for the aforesaid fiscal year, pursuant to N.J.A.C. 5:31-2.2 for the following reason(s):

Officer's Signature:			
Name:	Phyllis Heinle		
Title:	Secretary to SMMUA		
Address:	c/o Township of Wall 2700 Allaire Road, Wall, NJ 07719		
Phone Number:	732-449-8444	Fax Number:	732-449-8992
E-mail address	Ph805@optonline.net		

2020 (2020-2021) CAPITAL BUDGET/PROGRAM MESSAGE

Southeast Monmouth Municipal Utilities Authority

FISCAL YEAR: FROM: January 1, 2020 TO: December 31, 2020

1. Has each municipality or county affected by the actions of the authority participated in the development of the capital plan and reviewed or approved the plans or projects included within the Capital Budget/Program (This may include the governing body or certain officials such as planning boards, Construction Code Officials) as to these Projects?

The member communities of the Southeast Monmouth Municipal Utilities Authority participated in the development of the capital plan and approved a 20-year asset management plan in July 2008 which includes all projects identified within the CY2020 Capital Budget/Program. The SMMUA, whose board is made up of a representative of each municipality reaffirmed approval of the capital program at an open public meeting of the board on September 9, 2010. Additions are made to the plan annually and the Board approves these changes as part of the annual adoption of the Authority's budget and Capital Program.

2. Has each capital project/project financing been developed from a specific capital improvement plan or report; does it include full lifecycle costs; and is it consistent with appropriate elements of Master Plans or other plans in the jurisdiction(s) served by the authority?

Each capital project and subsequent project financing has been developed from a specific engineering study which considers full lifecycle costs, and is consistent with appropriate elements of Master Plans and/or other plans in the jurisdictions served by the authority.

3. Has a long-term (5 years or more) infrastructure needs and other capital items (Vehicles, Equipment) needs assessment been prepared?

Each capital project was identified in an asset management plan contracted by the Authority's water treatment plant operator and performed in 2008. The asset management plan reviewed every asset of the treatment plant and identified improvement or replacement needs over a 20-year cycle through the year 2027. The asset replacement or improvement schedule was determined by way of a priority system measuring parameters which included how close the asset was to the end of its useful life, how crucial the asset was in maintaining water quality standards, how much was currently being expended to repair specific assets is contained within a capital project report, etc. Each asset was identified as a renewal/rehabilitation, an enhancement or a replacement. The projected costs included engineering and considered inflation.

4. If amounts are on Page CB-3 in the column Debt Authorizations. Indicate the primary source of funding the debt service for the Debt Authorizations (Example Rate Increases Funding or Other sources)

N/A

5. Please indicate which capital projects/project financings are being undertaken in the Metropolitan or Suburban Planning Areas as defined in the State Development and Redevelopment Plan.

The Treatment Plant is located within the Suburban Planning Areas as defined in the State Development and Redevelopment Plan but just bordering on Park Areas as the Treatment Plant property abuts Allaire State Park.

6. Please indicate which capital projects/project financings are being undertaken within the boundary of a State Planning Commission-designated Center and/or Endorsed Plan and if the project was included in the Plan Implementation Agenda for that Center/Endorsed Plan.

No projects are being undertaken within the boundary of a State Planning Commission-designated Center and/or Endorsed Plan and no projects were included in the Plan Implementation Agenda for that Center/Endorsed Plan.

Add additional sheets if necessary.

Proposed Capital Budget

Southeast Monmouth Municipal Utilities Authority

For the Period January 1, 2020

to

December 31, 2020

		Funding Sources				
	Estimated Total Cost	Unrestricted Net Position Utilized	Renewal & Replacement Reserve	Debt Authorization	Capital Grants	Other Sources
reated water						
See attached schedule	\$ 680,500					\$ 680,500
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	680,500	-	-	-	-	680,500
/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
TOTAL PROPOSED CAPITAL BUDGET						
	\$ 680,500	\$ -	\$ -	\$ -	\$ -	\$ 680,500

Enter brief description of up to four projects for each operation above. For operations with more than four budgeted projects, please attach additional schedules. Input total amount of all projects for the operation on single line and enter "See Attached Schedule" instead of project description.

5 Year Capital Improvement Plan

Southeast Monmouth Municipal Utilities Authority

For the Period January 1, 2020 to December 31, 2020

Fiscal Year Beginning in

	Estimated Total Cost	Current Budget Year 2020	2021	2022	2023	2024	2025
<i>reated water</i>							
See attached schedule	\$ 3,732,500	\$ 680,500	\$ 153,000	\$ 803,000	\$ 600,500	\$ 895,500	\$ 600,000
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Total	3,732,500	680,500	153,000	803,000	600,500	895,500	600,000
I/A							
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Total	-	-	-	-	-	-	-
I/A							
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Total	-	-	-	-	-	-	-
I/A							
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Total	-	-	-	-	-	-	-
V/A							
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Total	-	-	-	-	-	-	-
V/A							
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Type in Description	-	-					
Total	-	-	-	-	-	-	-
TOTAL	\$ 3,732,500	\$ 680,500	\$ 153,000	\$ 803,000	\$ 600,500	\$ 895,500	\$ 600,000

Project descriptions entered on Page CB-3 will carry forward to Pages CB-4 and CB-5. No need to re-enter project descriptions above.

5 Year Capital Improvement Plan Funding Sources

Southeast Monmouth Municipal Utilities Authority

For the Period January 1, 2020 to December 31, 2020

	Estimated Total Cost	Funding Sources				
		Unrestricted Net Position Utilized	Renewal & Replacement Reserve	Debt Authorization	Capital Grants	Other Sources
<i>reated water</i>						
See attached schedule	\$ 3,732,500					\$ 3,732,500
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	3,732,500	-	-	-	-	3,732,500
I/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
I/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
I/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
I/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
I/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
I/A						
Type in Description	-					
Type in Description	-					
Type in Description	-					
Type in Description	-					
Total	-	-	-	-	-	-
TOTAL	\$ 3,732,500	\$ -	\$ -	\$ -	\$ -	\$ 3,732,500
Total 5 Year Plan per CB-4	\$ 3,732,500					
Balance check		- If amount is other than zero, verify that projects listed above match projects listed on CB-4.				

Project descriptions entered on Page CB-3 will carry forward to Pages CB-4 and CB-5. No need to re-enter project descriptions above.

Capital Budget Attachment
Southeast Monmouth Municipal Utilities Authority
January 1, 2020 through December 31, 2020

	2020	2021	2022	2023	2024	2025 Total
Mechanical Improvements Pumps and Valves	\$154,500					\$154,500
Conversion to Natural Gas	\$500,000					\$500,000
Replacement Static Mixer	\$15,000					\$15,000
Filtered Water Turbidimeter	\$11,000					\$11,000
Total CY2020	\$680,500					
Mechanical Improvements		\$53,000				\$100,000
Ongoing Rehabilitation and Renewal		\$100,000			\$600,000	\$700,000
Total CY2021		\$153,000				
I&C System Design & Central Controls			\$75,000			\$75,000
HVAC			\$70,000			\$70,000
Clarifier Improvements			\$300,000			\$300,000
Ozone Equipment			\$100,000			\$100,000
GAC Contactors			\$258,000	\$258,000		\$774,000
Total CY2022			\$803,000			
Chemical Systems				\$250,000		\$250,000
Facility Improvements				\$92,500	\$92,500	\$185,000
Total CY2023				\$600,500		
Raw Water Pump Station					\$545,000	\$545,000
Total CY2024					\$895,500	\$895,500
Total CY2025						\$600,000