

CITY OF SANTA FE AUDIT COMMITTEE MEETING CONVENTION CENTER ADMINISTRATIVE CONFERENCE ROOM Wednesday, September 10, 2014 - 2:00 P.M.

- 1. CALL TO ORDER
- 2. ROLL CALL
- APPROVAL OF AGENDA
- 4. APPROVAL OF MINUTES:
 - August 13, 2014
- 5. CAFR UPDATE:
 - Report form External Auditors Update on Timeline and Benchmarks
 - Report from Finance Update on Timeline and Benchmarks
- 6. STATUS REPORT FROM CITY OF SANTA FE, AUDIT & FINANCE DEPARTMENTS:
 - Status of Audits (Internal Audit);
- 7. SUB-COMMITTEE REPORTS:
 - External Audit Subcommittee,
 - o Status of Review of City's Financial Reports
 - Internal Audit Subcommittee
- 8. UNFINISHED BUSINESS
 - Park Bond Audit
 - Updated status Proposals Received
 - Fraud and Abuse Hotline Update
 - Review and Discussion of Ordinance Duties (No. 2013-35)
 - Review and Discussion of 'Rules and Procedures for City Committees
- 9. NEW BUSINESS
 - Update on tracking of audit findings
 - o (11) AAA Findings Cleared
 - (4) FMO Transit Findings Cleared Pending i.e. management has sent everything in to clear the findings, this has been acknowledged by Grantor, but not officially cleared.
 - New Format for Agenda
 - o Financial Reports
- 10. OTHER MATTERS FROM THE COMMITTEE
- 11. ITEMS TO REPORT TO THE CITY MANAGER
- 12. NEXT MEETING DATE:
 - Next meeting scheduled October 8, 2014
- 13. ADJOURNMENT

Persons with disabilities in need of accommodations, contact the City Clerk's office at 955-6520 five (5) working days prior to the meeting date.

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MINUTES OF THE

CITY OF SANTA FÉ

AUDIT COMMITTEE

September 10, 2014 2:00 p.m. – 4:00 p.m.

1. CALL TO ORDER

A regular meeting of the City of Santa Fé Audit Committee was called to order by Ms. Hazeldine Romero, Vice-Chair on this date at approximately 2:00 p.m. in the Convention Center Board Room, Santa Fé, New Mexico.

2. ROLL CALL

Roll call indicated the presence of a quorum as follows:

Members Present:

Hazeldine Romero, Vice Chair Cheryl Pick-Sommer Marc A. Tupler Loretta Valencia

Others Attending:

Liza Kerr, Internal Auditor Erica Martínez, Finance Department Carl Boaz, Stenographer Morgan Browning, Auditor

Members Absent:

Clark de Schweinitz, Chair

NOTE: All items in the Committee packet for all agenda items are incorporated herewith to these minutes by reference. The original Audit Committee packet is on file in the Finance Department.

3. APPROVAL OF AGENDA

Mr. Tupler moved to approve the agenda as presented. Ms. Pick-Sommer seconded the motion and it passed by unanimous voice vote.

4. APPROVAL OF MINUTES

August 13, 2014

Ms. Pick-Sommer requested the following changes to the minutes:

On line 177, "unless" should be "if."

On lines 214-216 references are to the ordinance 2013-35 (the Audit Committee Ordinance) under Section K.

Ms. Valencia said it should say in "Ordinance 2013-35 - a responsibility of the Audit Committee" because the Committee will also be working with the Internal Audit Ordinance.

Ms. Kerr said members needed to be careful to say that when speaking in order for the minutes to reflect that. If the stenographer needs to include something in the minutes, a member needs to state that.

Ms. Pick-Sommer went to Line 226 is an incomplete sentence and should be deleted.

Lines 228-229 didn't make sense and thought it should be deleted. Ms. Kerr agreed.

On line 236, Ray and Bobby are Ray Roberts and Bobby Cordova [auditor's staff members].

Ms. Pick-Sommer didn't understand line 240 about part of SWMA being done "here."

Mr. Browning explained that the City is the fiscal agent for SWMA so a lot of their transactions are recorded here at City Hall so the auditors do some of the work at the City.

Ms. Kerr said it should say, "A small part of the SWMA audit was done on site at SWMA but most was done at City Hall."

Ms. Pick-Sommer said on lines 252-253 it should say, "Mr. Browning talked about 140 findings."

On line 262 it said, "Ms. Kerr noted that grantor had findings year after year" and didn't understand what that meant.

Ms. Kerr explained that "grantor" was somebody who had received a grant. She further explained that some grantors had repeated findings year after year so that sentence was okay.

Ms. Pick-Sommer suggested to clarify it to say, "several grantors have findings year after year."

She went to lines 213 and 214 where 300 referred to a list in the landscape oriented exhibit. She asked if they became exhibits to the minutes or if the Committee should give the document a title.

Ms. Kerr thought it was a physical exhibit and should probably have a number. It is a findings summary that may have been projected on the screen but probably was an attachment.

Ms. Pick-Sommer said lines 302 - 306 were confusing. The Committee had a long discussion on different types of external audits. It said "All financial audits were external and she did the performance audit." She, referring to Ms. Kerr. Perhaps it should say, "The Committee engaged in a discussion of the different kinds of audits."

Then in lines 331-332, she was having a hard time understanding the purpose of having a presentation of the GRT report at every meeting served as part of the responsibilities of the Audit Committee. Then Vice Chair Romero had said she thought it satisfied the need for a financial report.

Vice Chair Romero said in line 335, the Committee had been asking for the cash report.

Ms. Pick-Sommer said line 334 it should say, "audit committee" not "audit."

Vice Chair Romero said line 351 and 352 was not something she said and it should be stricken.

Ms. Kerr said line 354 should say, "get the G/L module."

Ms. Kerr said in line 383, she said she would talk with Ms. Martinez to see what module Finance was getting. The Committee was discussing getting that G/L module for the Insight reports. Without it, she didn't have what she needed to do her job. She did the training but didn't have the tool to run the report.

Ms. Valencia observed that the Audit Committee needed to find out what reports Finance Committee is getting.

Vice Chair Romero said she didn't say what was on lines 377 and 378 about financial statements. It should say, "Ms. Romero asked how much detail the Audit Committee needed for financial statements."

Line 383 needed the last name for Erica - Ms. Martínez.

Ms. Valencia asked for a change on line 161 to insert "the" after "spent."

On line164, on internal control documentation, should say "Hopefully they would have internal controls documentation in place. Ms. Valencia believed that was what Mr. Browning meant.

Mr. Browning said it was either that or his understanding of internal controls.

Ms. Valencia said on line 271, she was "explaining that if an auditor thought the internal controls were very strong, that they would select a smaller sample."

Ms. Kerr explained that the stenographer could not look at the line she was referring to so if she wanted a word inserted or a word deleted, she needed to state that.

Ms. Valencia requested him to delete "mention" and insert "select" there; delete "examples" and insert "a smaller sample."

- Ms. Valencia said on line 316 it should say AICPA, not AICP.
- Ms. Kerr asked to add "standards" to the end of the sentence.

On line 372, Ms. Valencia should say, "If a committee wanted to see an income statement and not provided, it would be a red flag or if we need to see a trial balance."

Ms. Pick-Sommer asked in line 477 to change "had" to "have."

On lines 530 and 531 Ms. Pick-Sommer was concerned because it has a quote by Teresita Garcia.

Vice Chair Romero asked to delete it.

Ms. Kerr said line 536 should say at the end of the sentence "to address the lodger's tax audit."

Ms. Pick-Sommer said on 623 that she didn't think Mr. Tupler sat on that committee. She thought it was Clark de Schweinitz. Mr. Tupler agreed. Strike Mr. Tupler and insert Mr. de Schweinitz.

On line 647-648 in the last line, Ms. Pick-Sommer said it should say, "She wrote down seven responsibilities of the Committee from the ordinance." And then strike the rest.

Ms. Pick-Sommer moved to approve the minutes of August 13, 2014 as amended. Mr. Tupler seconded the motion and it passed by unanimous voice vote.

The Committee discussed getting the minutes ahead of time.

Ms. Valencia said it was a good tool for preparing the agenda.

Mr. Boaz agreed to let Ms. Kerr know when minutes are turned in.

5. CAFR UPDATE

a. Report from External Auditors – Update on Timeline and Benchmarks

Mr. Browning said this week he was scheduled to work on SWMA and he finished it ahead of time. He reviewed the task list and deadlines. He was impressed with investments and cash accounting that seemed to be completed so they were on track now.

Ms. Kerr asked if there was anything they were behind on or not getting from the City. She noted that Ms. Garcia had surgery on Thursday and expected to be released today and will be working at home as long as necessary.

Mr. Browning said they were on track so he didn't foresee a problem.

Ms. Valencia asked who prepared the audit time line.

- Ms. Martinez said Ms. Garcia did it but she corrected the footer which should be 6/30/14. She explained this was just for internal purposes and was not distributed to department heads.
- Ms. Valencia asked if other departments, especially those with contracts, had contract reports submitted on time and whether they were aware of the deadlines.
- Ms. Martínez said everyone is aware of their deadlines. There are other departments that also do reconciliations for A/R's (accounts receivable). Ms. Martinez said the Finance Department communicates with other City Departments through email.
- Ms. Valencia asked about the column "completed city" how the Committee would know if it was completed or not because there are past dates and future dates in it.
- Ms. Martínez said past dates are completed dates and future dates are the date we anticipate giving it to the auditors. These dates might need to be adjusted but right now this is how we see it.
- Ms. Valencia observed on the document, Trial Balance by Fund/Account under B and asked if the 9/9 means it has been completed. Ms. Martínez agreed.
 - Ms. Valencia asked why some items did not have dates.
- Ms. Martinez clarified that every year, the auditor asks for different things, like copies of specific accounting policies and procedures (on the first page). We would need to meet with Mr. Browning to get that date from him. There might be others. The rest seemed to be upon request of the auditor. On things like accounting procedures, they usually waited until they got instructions from the auditor.
- Ms. Valencia said it was to protect liability. She asked if the timeline was developed under Atkinson & Co.
 - Ms. Martinez agreed.
- Ms. Valencia asked if Finance ever sorted this report by "Responsible Person" to know if that person was doing everything they needed to do.
 - Ms. Martínez said she had not sorted anything herself.

Vice Chair Romero asked Mr. Browning if he was satisfied with the dates on this document. Mr. Browning agreed.

Ms. Valencia recalled after Mr. Browning left the meeting last time the Committee was concerned about being notified if anything happened in the interim between meeting dates. She sent him an email but didn't know if he received it in which she asked if he could give an update mostly if anything seemed to not meet the deadline.

- Mr. Browning said okay.
- Ms. Valencia asked if the Committee still wanted feedback in the interim from the External Auditor or the Finance Department to see if how the audit was progressing and if the timeline items were on target.
- Vice Chair Romero said it was just to not wait until the next meeting to find out something was already a month behind.
- Ms. Kerr had a concern that those notifications would put an extra burden on the auditors and clarified that it should only be done if the task missed its deadline due to a crash or something similar or appears to miss it. But it should not be another weekly report to generate busy work.
 - Mr. Browning thought it was a good idea.
 - Ms. Kerr asked him to send it to her and she would communicate that with the Committee members.
- Ms. Valencia thought it should also go to someone on the External Subcommittee. Also the Committee needs to provide some recommendations on how the whole external audit process is going.
- Ms. Kerr asked Ms. Martínez if she was feeling pressures because Ms. Garcia and Finance Director were not available that she could use the Audit Committee as a resource to help get her some help.
- Ms. Martínez thought they were doing okay so far. She had been in her position for a while that thought everything would be okay.
 - Mr. Browning said Ms. Garcia could usually answer the needed questions.
- Ms. Martínez said that last year, the City Manager met with Finance Staff biweekly and this year hasn't met with them since the entrance conference.
 - Ms. Kerr agreed to mention that to the City Manager during her meeting with him.
- Ms. Valencia said she had Mr. Browning's email address and would send Mr. Tupler's, Chair de Schweinitz' email addresses to Mr. Browning.
- Mr. Tupler thought it should go to Ms. Kerr with a copy to both Chair de Schweinitz and him. That would be most proper.
 - Ms. Valencia agreed.

b. Report from Finance – Update on Timeline and Benchmarks

This item was already covered earlier in the meeting.

Mr. Browning and Ms. Martinez excused themselves from the meeting.

6. STATUS REPORT FROM CITY OF SANTA FE AUDIT & FINANCE DEPARTMENTS

a. Status of Audits (Internal Audits)

- Ms. Kerr asked if the Committee needed the "issued audits" report every month.
- Ms. Kerr agreed to change the title to "Completed Audits" but not the field name.
- Vice Chair Romero suggested a two year limit for the history of those completed.
- Mr. Tupler felt that as long as an audit was on one of the reports, the Committee would be satisfied.
- Vice Chair Romero noted that some of them were taking forever to get issued.
- Ms. Valencia asked about the format of the report and why they weren't kept in Excel.
- Ms. Kerr explained this is a PDF report but she could export it to Excel. However, the PDF is clean and margins are good and Excel was not as easy to show as a regular 8.5 x11 report.
 - Mr. Tupler asked Ms. Kerr if she was comfortable with the fields included.
- Ms. Kerr said she was because it captured what she wanted but there were many other fields that could be included.
- Mr. Tupler agreed this was so much cleaner than it was and it has to be easier and there is a paper trail as well.
 - Vice Chair Romero asked if there were any changes from last time.
 - Ms. Kerr said the Parks Bond can be updated to say the vendor has been selected
- Mr. Tupler asked Ms. Kerr to check on the question marks that show up. Ms. Kerr agreed to find out what causes that to happen.
 - Ms. Valencia asked about the status of the Public Utilities audit.
- Ms. Kerr said it is still in the planning phase because we are in process of interviewing staff to determine the scope and working with IT to review the data tables behind the scenes for the public utilities software to find anomalies in the data tables to determine if there is an issue needing further exploration.
- Ms. Kerr mentioned that the person helping her has certification in forensics and Ms. Kerr had the needed experience. Ms. Kerr might come back with a recommendation to contract with a person.

- Ms. Valencia asked if she would meet the target date.
- Ms. Kerr said there was no target date as it was part of her ongoing responsibilities.
- Ms. Pick-Sommer asked if the scope of the audit was known when they put Public Utilities on the plan. They were auditing cash handling of various departments so Ms. Kerr was really already doing it.
- Ms. Kerr said she had never audited public utilities before so she was gathering as much information as she could, like procedures and processes. They are implementing a new system right now without any IT or audit person on the committee. That is an opportunity for failure so we have talked with them and put Ms. Fiorina on the team. It is still in the planning phase. Once she gets in there she will know what to look at.
- Vice Chair Romero observed that often you go half way into it in order to determine modification to scope that are needed.
- Ms. Kerr said she was a Certified Information Systems Auditor also. She was pulling the entire data file and looking at every transaction (literally thousands) to find any patterns.
 - Ms. Valencia asked if any of this had been reported to the State Auditor.
- Ms. Kerr said she had not yet reported it but as soon as she knew the details, it would be reported. She was not yet prepared to talk with them. She clarified it was in the planning phase and not an investigation. She would be meeting with the City Manager tomorrow to talk with him about it.
- Ms. Pick-Sommer summarized that Ms. Kerr didn't yet know the scope of the audit but knew what she was planning to audit and needed to understand how they operated before she could audit it.
- Ms. Kerr agreed. She pointed out that there is a new director. She says it has been challenging finding written policies but they do have some. Ms. Kerr was looking specifically for written policies regarding deposits.
 - Ms. Pick-Sommer asked if she could test what the common practice is for internal control.
 - Ms. Kerr thought so. She said it is complicated by having a new person there.
- Ms. Valencia asked where, in the Internal Audit plan, did Ms. Kerr's assistance with implementing the new system fall.
 - Vice Chair Romero said it was under Administration.
 - Ms. Valencia asked Ms. Kerr if she shared any of her IT audit work papers with the external auditors.
 - Ms. Kerr said she didn't share the work papers but spent a day with IT management and the external

auditors going over things that needed to be done. It helped move the external audit along because the external auditors will be able to rely on her work.

7. SUB-COMMITTEE REPORTS

a. External Audit Subcommittee

Status of Review of City's Financial Reports

Vice Chair Romero reported that she and Ms. Valencia met and came up with a financial statement format they thought would be appropriate for the Committee review and look at it month to month at the beginning to get an idea on the financial information and then compare it month to month. They came up with specific reports from the financial audit and when she met with Ms. Garcia she said they couldn't prepare that. They do have a reporting module and they are just now getting used to it but it was brand new to them. She could pull out queries for the Committee. She can give a trial balance but she won't be able to roll it up at this point unless she gets the reporting module working properly. The trial balance will be several pages long rather than the huge stack they were getting in the past.

Mr. Tupler asked what reports from the CAFR Vice Chair Romero and Ms. Valencia were looking for.

Vice Chair Romero said it was the balance sheet and income statement. They only do cash accounting until the very end of the year when they make all the accruals. So most of it wouldn't change until she makes all of those adjustments at the very end.

- Ms. Valencia thought it would still work to begin to decipher the information.
- Ms. Kerr had no idea that was what they were doing.

Vice Chair Romero said Ms. Garcia could provide a budget to actual report and a lot of other reports and, once the Committee saw what they could get from the system, the Committee could decide how to design the report.

- Mr. Tupler asked about the reporting module.
- Ms. Kerr thought they had owned that module for a long time but had not used it.

Vice Chair Romero was amazed with that procedure.

Mr. Tupler asked if there was a budget to actual variance analysis.

Vice Chair Romero said no but she thought she could get it for the Committee.

Ms. Kerr said once she got the G/L (general ledger) module, she could run the reports. But if they don't book the accruals, it makes it hard.

Ms. Valencia said "the balance sheet should stay the same." It will change with cash postings and that's okay.

Vice Chair Romero said Ms. Garcia was going to get a draft for her to review and then she and Ms. Valencia would tweak it and bring it here. Ms. Garcia will be providing July to August for the October meeting. Vice Chair Romero suggested, "Let's see what we can get."

Ms. Valencia asked if there were policies and procedures for Finance.

Ms. Kerr recalled that Marcos Tapia said the policies and procedures were outdated and he was working on updating them but it did not happen. She added that the Department heads need guidance on how to write policies and procedures. To her, this is one of the biggest issues of the City.

During the planning phase, she found that the City owns software called Policy Pro and is a slick way of housing all of the policies for the City and the approval process. She was told, but has not verified that the resistance to using Policy Pro was from the City Clerk wanting an original signature and that brought the project to a dead stop two years ago. This would be a good project for the Audit Committee and might need the Committee's help if that resistance is encountered again.

Ms. Kerr said it seems that a digital signature should be okay for them.

Ms. Valencia observed issues in the Finance Department which included having no Director, being short staffed and too much work being laid upon Ms. Garcia. Ms. Garcia is in "knee deep" with the external audit. So the Department gets inundated and get behind with what should be current.

Ms. Valencia said the main goal is to get the audit out by December 1. So maybe the Committee should make short-term recommendations to get over the hump. Right now the Finance Department could be behind already.

Ms. Kerr hoped the new Finance Director would have a good background in accounting.

b. Internal Audit Subcommittee

The Internal Audit subcommittee has not met.

8. UNFINISHED BUSINESS

a. Park Bond Audit - Updated Status - Proposals Received

Ms. Martinez reported on the Park Bond Audit prior to excusing herself from the meeting. She had not heard from Ms. Garcia on the status but knew some things had been done.

Ms. Kerr said the evaluation team selected an auditor and they were in negotiation. There was no approved contract yet. There were a couple of sticking points like GRT included or not. They backed up on that. She would talk with the City Manager about the start date - either October 15 or November 1.

Vice Chair Romero thought they could start with documentation.

Ms. Kerr agreed and if they can do it, they can finish by 12/31. It is coming together.

b. Fraud and Abuse Hotline - Update

They also selected a vendor for this project and are in the process of writing the contract. They were still negotiating it with a recommended vendor.

Ms. Valencia asked what department the Fraud and Abuse Hotline will be under.

Ms. Kerr said it was under Internal Auditor.

At 3:40 an emergency alarm in the building forced a speedy adjournment of the meeting.

c. Review and Discussion of Ordinance Duties (No. 2013-35)

This matter was not considered due to evacuation of the building.

d. Review and Discussion of 'Rules and Procedures for City Committees

This matter was not considered due to evacuation of the building.

9. NEW BUSINESS

a. Update on tracking of audit findings

- (11) AAA Findings Cleared
- (4) FMO Transit Findings Cleared Pending i.e. management has sent everything in to clear the findings, this has been acknowledged by Grantor, but not officially cleared.
- New Format for Agenda
- Financial Reports

These matters were not considered due to evacuation of the building.

10. OTHER MATTERS FROM THE COMMITTEE

There were no other matters from the Committee.

11. ITEMS TO REPORT TO THE CITY MANAGER

There were no items to report to the City Manager.

12. NEXT MEETING DATE: October 8, 2014

13. ADJOURNMENT

Upon motion and second, the Audit Committee meeting was quickly adjourned at 3:42 p.m. due to a building emergency alert.

Approved/by:

Clark de Schweinitz, Chaiï

Submitted by:

Carl Boaz for Carl G. Boaz, A

Status of Audits "Issued Audits"

Entity Audited	Audit	Year of Audit	Status	Issued by Due Date	
City of Santa Fe			Julia	issued by Due Date	Date Issued
	Airport	2013	Issued	N/A	05/05/004
	Area Agency Aging	2013	Issued	N/A	06/06/2014
The state of the s	Area Agency Aging	2014	Issued	N/A	04/11/2013
	CAFR	2011	Issued	No No	06/09/2014
the state of the s	CAFR	2012	Issued	No	02/21/2012
	CAFR	2013	Issued	Yes	03/05/2013
	Cash - Transit	2014	Issued	(ICS	12/02/2013
	Data Center Audit	2013	Issued		07/03/2014
ene ja e jira kuta kee galaalada qektifadi.	False Alarms	2014	Issued	N/A	08/15/2013
	FMÖ FÜ	2013	Issued	N/A	03/17/2014
	FMO FU	2014	Issued	N/A	07/20/2013
	Forensic Audit Parking	2013	Issued	N/A	07/22/2013
2444、1960.00000000000000000000000000000000000	Hitachi SAN System	2013		Yes	04/20/2013
	ITT Security	2014	Issued	N/A	07/01/2013
·罗斯特的《表示》等的由于通過的數學的	Lodger's Tax	2011	Issued	N/A	08/21/2013
	Lodger's Tax	2011	Issued	N/A	06/30/2014
	Lodger's Tax	2013	Issued .	N/A	06/30/2014
	Shelter Plus	2013	Issued	N/A	06/30/2014
Santa Fe Buckma	n Diversion Project	2013	Issued	N/A	09/03/2013
	BDD - Construction®	2010			
	BDD - Construction	2010	Issued	No	09/30/2013
	BDD - Operations 🛭		1	No	09/30/2013
Santa Fe Civic Ho		2011	Issued	No	11/09/2012
	Civic Housing Authority	2011	1.	A control of the cont	
- 14 a 2 3 3 4 4 5 4 5 4 5 4 5 4 5 5 6 5 6 5 6 5 6 5	Civic Housing Authority	2011	Issued	Yes	11/18/2011
	Civic Housing Authority	2012	Issued	No	11/19/2011
Santa Fe Solid Wa	iste Management Agency	2013	Issued	Yes	11/27/2011
	SWMA	2011			
	SWMA	2011 <i>See 19</i> 22 20 20 20 20 20 20 20 20 20 20 20 20 20	Issued	Yes	11/22/2011
	SWMA	2012	Issued	No	12/03/2012
The Santa Fe Rail	yard Community Corporation	2013	Issued	Yes	12/02/2014
· ····································	Santa Fe Railyard		i.		
	Junta re nanyara	2011	Issued	Yes	

Entity Audited	Audit	Year of Audit	Status	Januard I. D	
HAME IT GREEKER	Nama ang mangalang dalah	Contracted to the contract of	Status	Issued by Due Date	Date Issued
	Santa Fe Railyard	2012	Issued	Yes	
	Santa Fe Railyard	2013	Issued	Yes	

Status of Audits - Audits In Process

Account Due 12/0 Date Field Work Started 08/11/2014	2014 Financial	Date Field Work Started			City of Santa Fe 2014 Contractor	Type of Audit
Accounting and Consulting Group Due Date of Audit 12/01/2014 ed [08/11/2014]	CAFR Auditor	12/31/2014 ed	Not selected at this time Due Date of Audit	Auditor	2008 Park Bond Audit	Audit
Group	Not issued				Not Issued	Status of Audit Repo
	Comments Entrance Conference held July 21, 2014.			RFP is posted, bids due by August 22, 2014	Comments	t Report

Type of Audit 2014 Grantor	Audit Lodger's Tax Auditor Barraclough & Associates, P.C. Due Date of Audit Non specified in ordinance 18.11	Status of Audit Rep Not Issued P C. P 18.11	Comments PSA in process of gathering official signatures.
Date Field Work Started		, , , , , , , , , , , , , , , , , , ,	
2015 Internal	Elevate Media	Not Issued	Comments
	Auditor		
	Internal Audit		
	Due Date of Audit		
Date Field Work Started	0		
Santa Fe Buckman Diversion Project	sion Project		
	Auditor	Not Issued	Comments This was never started by Atkinson, Accounting Group will be
	Accounting and Consulting Group	d p	
	Due Date of Audit		
	09/30/2014		
Date Field Work Started	08/11/2014		

Santa Fe Buckman Diversion Project (BDD)

Type of Audit	Audit	Status of Audit Repo	Report
2012 Financial	BDD - Operations 🛽	Not Issued	Comments
	Auditor		This was never started by Atkinson, Accounting Group will be starting with the 2012, and do all three years.
	Accounting and Consulting Group		
	Due Date of Audit		
	09/30/2012		
Date Field Work Started	ed 08/11/2014		
2012 Financial	BDD - Construction	Just Received	Comments
	Auditor		Final Audit Dapital Improvement Project - part of Capital Projects Fund
	Atkinson and Company		
	Due Date of Audit		
	09/30/2012		
Date Field Work Started	ä		
2013 Financial	BDD - Operations®	Not Issued	Comments
	Auditor	٠	This was never started by Atkinson, Accounting Group will be starting with the 2012, and do all three years.
	Accounting and Consulting Group	J	
	Due Date of Audit		
	09/30/2013		
Date Field Work Started	d 08/11/2014		

Santa Fe Civic Housing Authority

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CITY OI	City of Santa Fe					\exists
Augit Pie	Audit Plan for Fiscal Year Enging 06-30-2014					,
		Estimated				•
		Completion	Responsible	Responsible	Completed	Completed
		Date	Department	Person	City	SWAMA
Contracts Prosposal o	Prosposal of Audit Services		Finance	Teresita Garcia	05/15/2014	05/15/2014
	Recommendation of Audit Service To Committee			Teresita Garcia	04/15/2014	N/A
Recommen	Recommendation of Audit Service To Finance Committee			Teresita Garcia	04/15/2014	N.
Recommen	Recommendation of Audit Service To Council			Teresita Garcia	04/15/2014	N.
Submit cont	Submit contract to State Auditor			Teresita Garcia	05/01/2014	05/01/213
Signed Con	Signed Contracts From State Auditors			Teresita Garcia	06/17/2014	
FISCAL YEAR DEADLINES:	9:					
requisitions		06/14/2014	Purchasing		06/28/2014	06/28/2014
requisitions		06/26/2014	Purchasing		06/28/2014	06/28/2014
purchase requisitions	quisitions	06/26/2014	Purchasing		06/28/2014	06/28/2014
adjustments		06/07/2014	Budgets			
Last Day ac	Last Day accepted Capital outlay	06/01/2014	Purchasing		06/28/2014	06/28/2014
Last Day Co	Last Day Cash Deposit	06/30/2014	Cashiers		06/28/2014	06/28/2014
Last Day su	Last Day submit invoice to Accounts Payable	06/21/2014	Accounts Payable		06/25/2014	06/25/2014
Last Day for	Last Day for Accounts Payable Issue Checks	06/27/2014	Accounts Payable		06/28/2014	06/28/2014
Last Day Information	nation		. 23.00		00.00.00	000000
General						
An approved	An approved organizational chart for the fiscal year.	06/30/2014	Budget	Andy Hopkins	05/24/2014	
The current comments.	The current status of all prior year management letter comments.	06/30/2014	Departments		08/31/2014	
A listing of JI 06-30- 2014	A listing of JPA agreements which were active during FYE 06-30- 2014	07/15/2014	City Clerks	Yolanda Vigil	07/15/2014	
The current :	The current status of all current fraud investigations.	07/15/2014	City Attorneys	Kelly Brennan		
Copies of all and policies.	Copies of all Departments specific accounting procedures and policies.	08/31/2014	Finance			
В.						
Trial Balance by Fund/Account.	by Fund/Account	09/01/2014	Accounting	Erica Martinez	09/09/2014	08/27/2014
Adjusted trial balance		09/23/2014	Accounting	Erica Martinez	10/25/2014	08/27/2014
O fin I suffice a Para sufficient Asial Fallance	I balance.		·			00/07/004

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Responsible			ta Garcia	rinance	4102/16/00	Telephone Owards
Oempletion (ac bank statements) for all cash accounts. Intelligence (ac bank statements) for all cash accounts. See provide tas with a listing of current authorized of all bank accounts. Care intelligence (account). Department (account). Departme					71/24/2014	Capic 101 00110
Completed Comp			-	Finance	08/31/2014	Cable for line
Completion Responsible Completion Responsible Completed				Finance	08/31/2014	Gas for line
the cash reconciliations and supporting correct authorized signers for each account. Current authorized signers for each account. Cash Investment. Helene Hausman 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/10/2014 09/			1	Finance	08/31/2014	Flectric (prenaid & Estimated & Martha)
the cash reconciliations and supporting of Larent authorized signers for each account. Carpeted account. Carpeted completed completed passe provide us with a listing of current authorized signers for each account. Carpet account. Carpet provide us with a listing of current authorized control authorized signers for each account. Carpet provide us with a listing of current authorized signers for each account. Carpet provide us with a listing of current authorized signers for each account. Carpet provide us with a listing of current authorized signers for each account. Carpet provide us with a listing of current authorized signers for each account. Carpet provide us with a listing of current authorized signers for each account. Carpet provide us with a listing of current authorized signers for each account. Cash investment Helene Hausman 05/10/2014 06/15/2014				Finance	08/31/2014	Franchise Fees
Completion Responsible Responsible Completed				Finance	00/31/2014	Property Taxes for June
The cash reconciliations and supporting Date Department Person City SWAMA Middle Responsible Completed Completed Completed See provide us with a listing of current authorized signers for each account. Calment authorized signers for each account. Calment authorized signers for each account. Cash investment including any opened or lossed during the fiscal public information to support the schedule of cash investment. Cash investment Helene Hausman 09/10/2014 07/51/2014 09/15/2014 09/15/2014 Cash investment Helene Hausman 09/10/2014 07/51/2014 09/15/2014			_	rinance	1001011000	Santa Fe County
the cash reconciliations and supporting Date Person Responsible Person City SWAMA Date (Le bank statements) for all cash accounts are provide us with a listing of current authorized correct account. OB15/2014 Cash investment (including any opened or closed during the fiscal or the information to support the schedule of cash of the cash recopilistions and supporting and supporting the cash counts and investment. OB15/2014 Cash investment Helene Hausman OB10/2014 OB10/2014 OB15/2014 OB15/2014 Cash investment Helene Hausman OB10/2014 OB10/2014			L	Finance	08/31/2014	Gasoline for June
The cash reconciliations and supporting niation (i.e. bank statements) for all cash accounts are provide us with a listing of current authorized of all bank accounts. Current authorized signers for each account. Cash investment (including any opened or closed during the fiscal interior				rillarice	08/31/2014	MVD for June
Completion Responsible Responsible Completed Completed Completed Person City SWAMA Nation (i.e. bank statements) for all cash accounts. Internation (i.e. bank statements) for all cash accounts and investment internation (i.e. bank statements) for all cash accounts and investment internations. (New Accounts only) Internation (i.e. bank accounts and investment internations) Internation (i.e. bank accounts and investment internations) Internation (i.e. bank accounts and investment internations) Internation (i.e. bank accounts and supporting any opened or cosed during the fiscal internation (i.e. bank accounts and investment internations) Internations (i.e. bank accounts only) Internations (i.e. bank accounts only) Internations (i.e. bank accounts and supporting internation (i.e. bank accounts as of July 31, Upon request Internations) Internations (i.e. bank accounts as of July 31, Upon request Internations) Internations (i.e. bank accounts as of July 31, Upon request Internations) International Int				rillance	08/31/2014	GRT Report for May and June
Completion Responsible Responsible Completed Completed Date Date Department Person City SWAMA Nutlon (i.e. bank statements) for all cash accounts. The cash reconciliations and supporting are provide us with a listing of current authorized or each account. D8/15/2014 Cash Investment Peabody 08/31/2014 08/31/2014 Cash Investment Helene Hausman 08/10/2014 08/31/20			_	Tin alloca	08/31/2014	State of New Mexico
The cash reconciliations and supporting Date Date Responsible Responsible Completed Completed Structured (as provide us with a listing of current authorized count. OB15/2014 Accounting Peason Department Person City SWAMA Michelle Montoyal-Jennifer Peabody Peason Department Peason Device Structured Signers for each account. OB15/2014 Cash Investment Peason De/10/2014 De/15/2014 De/1			<u> </u>	Finance	08/31/2014	- Taxes & Franchise Fees
Completion Responsible Completed Completed Ration (a. E. Erica Martinez Cash reconciliations and supporting nation (a. E. Erica Martinez Cash reconciliations and supporting nation (by SWAMA) Person City SWAMA Michelle Montoyal-Jennifer Person City SWAMA Michelle Montoyal-Jennifer Peabody O8/15/2014 Cash Investment Helene Hausman 08/15/2014 08/15/						oute that margest Distribution
Ompletion Responsible Completed Comp	1		-			line Final Interest Distribution
The cash reconciliations and supporting mass provide us with a listing of current authorized counts. Current authorized signers for each account. Ob/15/2014 Department Person City SWAMA Michelle Montoyal-benifer Accounting Montoyal-benifer Ob/15/2014 Cash Investment Helene Hausman Ob/15/2014 Ob/15/2014 Ob/15/2014 Department Michelle Montoyal-benifer Montoyal-benifer Accounting Montoyal-benifer Ob/15/2014 Cash Investment Helene Hausman Ob/15/2014 Ob/15/2014 Ob/15/2014 Cash Investment Helene Hausman Ob/15/2014 Ob/15/2014 Cash Investment Helene Hausman Ob/15/2014 Ob/15/2014 Ob/15/2014 Cash Investment Helene Hausman Ob/10/2014 Ob/15/2014 Ob/15/	1	ı	+	Accounts Rec.	07/31/2014	- Interest
Occupietion Responsible Responsible Completed Date Department Person City SWAMA The cash reconciliations and supporting tase provide us with a listing of current authorized or each account. Current authorized signers for each account. Occupied authorized or cash account. Occupied us with a listing of current authorized or cash account. Occupied us with a listing of current authorized or cash account. Occupied us with a listing of current authorized or cash account. Occupied us with a listing of current authorized signers for each account. Occupied us with a listing of current authorized signers for each account. Occupied us with a listing of current authorized signers for each account. Occupied us with a listing of current authorized with a listing of current authorized signers for each account. Occupied us with a listing of current authorized with a listing of current authorized or closed during the fiscal or all funds and investment in the information to support the schedule of cash occupied using the fiscal or the information to support the schedule of cash occupied using the fiscal occupied using the fiscal occupied or closed during the fiscal occupied using the fiscal occupied occupied or closed during the fiscal occupied using the fiscal occupied using the fiscal occupied occupie	N/A N/A		Erica Martinez	Accounts Rec.	0//31/2014	
The cash reconciliations and supporting nation (e. bank statements) for all cash accounts. Interest of each account. In the information to support the cash reconciliations and supporting of current authorized of all cash accounts. In the information to all funds and cash accounts and supporting title cash reconciliations and supporting of current authorized of closed during the fiscal of the cash reconciliations and supporting attended to a count of all funds and cash accounts as of July 31, August 31, 2014. Upon request cash records for FYE6-30-2014. Upon request cash records to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only) of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of advances to service providers (aged if accounts only of accounts on a count on account						- Federal
Completion Responsible Responsible Completed Completed SWAMA						available):
Completion Responsible Responsible Completed Completed Date Department Person City SWAMA Accounts.						Detail listing of advances to consider
Completion Responsible Department Responsible Person Completed Completed SWAMA Completed SWAMA Date Department Person City SWAMA Michelle Montoyal/Jennifer 07/31/2014 Accounting Peabody 08/31/2014 08/31/2014 06/15/2014 06/15/2014 Cash Investment Peabody Helene Hausman 09/10/2014 07/10/2014 07/10/2014 07/15/2014 06/15/2014 Cash Investment Peabody Helene Hausman 09/10/2014 07/12/0213 07/15/2014 07/12/0213 06/15/2014 Cash Investment Peabody 09/09/2014 07/12/0213 07/12/0213	30/2014 06/30/2014	} !	Clarence Romer	Cashiers offices	Upon request	Access to cash receipts records for FYE6-30-2014.
Completion Responsible Date Responsible Department Responsible Person Completed SWAMA ash accounts. ash accounts. t authorized 07/31/2014 Accounting Michelle Montoya/Jennifer Peabody 08/31/2014	/30/213	i	Michelle Montoya/Jennifer Peabody	Accounting	Upon request	Access to the cash reconciliations and supporting documentation for all funds and cash accounts as of July 31, 2014 and August 31, 2014.
Completion Responsible Date Responsible Department Responsible Person Completed SWAMA ash accounts. ash accounts. 07/31/2014 Michelle Montoya/Jennifer Peabody 08/31/2014 0	12/0213 N/A	i	Clarence Romero	Cashiers	07/15/2014	custodians.
Completion Responsible Responsible Completed SWAMA ts. Department Person City SWAMA ts. Michelle Michelle Montoya/Jennifer 08/31/2014 08/31/2014 08/31/2014 06/15/2014 Cash Investment Helene Hausman 06/15/2014 06/15/2014 06/15/2014 06/15/2014 06/15/2014 Cash Investment Helene Hausman 09/10/2014 07/01/2014 0	/15/2014 06/15/2014		Helene Hausman	casn investment	00/10/2014	list of all noths cash funds and their cash dis-
Completion Responsible Responsible Completed SWAMA ts. Department Person City SWAMA ts. Michelle Montoya/Jennifer 08/31/2014 08/31/2014 08/31/2014 06/15/2014 Cash Investment Helene Hausman 06/15/2014 08/15/2014 08/15/2014 06/15/2014 Cash Investment Helene Hausman 09/10/2014 07/01/2014 07/01/2014			:		06/15/2014	The deposit account authorizations, (New Accounts only)
Completion Responsible Responsible Completed Completed Completed Completed Completed Completed Completed SWAMA orting cash accounts. Michelle of authorized Michelle of authorized Montoya/Jennifer of accounting Montoya/Jennifer of accounting 08/31/2014 of account	/01/2014 007/01/2014		Helene Hausman	Cash Investment	06/15/2014	Accounts (including any opened or closed during the fiscal year) with the information to support the schedule of cash accounts.
Completion Responsible Responsible Completed SWAMA Ciliations and supporting Statements) for all cash accounts. with a listing of current authorized of 2/31/2014 Accounting Peabody O8/31/2014 O8/31/2014 O8/15/2014 O8/15	1	1			_	A listing of all hank accounts and invoctment
Completion Responsible Responsible Completed Completed SWAMA Ciliations and supporting Date Department Person City SWAMA Statements) for all cash accounts. With a listing of current authorized 07/31/2014 Accounting Peabody 08/31/2014 08/31/2014	ı	ı	Helene Hausman	Cash Investment	06/15/2014	listing of current authorized signers for each account.
Completion Responsible Responsible Completed Completed Date Department Person City SWAMA			Michelle Montoya/Jennifer Peabody	Accounting	07/31/2014	Also, please provide us with a listing of current authorized signers for each account.
Responsible Responsible Completed Completed	Ι.		rerson	popal unent		Copies of the cash reconciliations and supporting
Responsible	ı	-	vesponsible	Denartment	Date	
	,	١.	Dosposcible	Responsible	Completion	

FYE 06/30/213

Audit Plan 6-30-2014(7-21-14)

_	_							
	╁╁		Estimated					
			Date	Department	Person	City	SWAMA	BDD
	+						,	
		A copy of the calculation of estimated reserve for uncollectible accounts.	07/31/2014	Accounts Rec.	Various	09/01/2014	07/31/2014	N/A
		A copy of the reconciliation of adjusted trial balance to subsidiary system.	07/31/2014	Accounts Rec.	Various	07/19/2014	07/19/2014	N/A
		A copy of subsidiary system accounts receivable reports	07/31/2014	A counts Doc	Various	07/19/2014	07/10/2017	
		A computation of accrued interest receivable b at June 30, 2014 and copies of reports.	07/31/2014	Accounts Rec.	Halene Hausman	08/30/2014	08/30/2014	08/30/203
in							1 1	
	+	Operation (Change)	4102-02-1110	Gricorio	Nobel Nobel	07/31/2014	NA	NA
	, -	Central yvarenouse (Closed)	N/A		Robert Rodate	0//31/2014	N/A	N/A
		Chilly evaluationse	4102-02-110	Purchasing	Nobell Nobele	07/31/2014	NA	NA
	ω -	Auto parts	02/12/10	String in	Robert Rodate	07/31/2014	NA S	N/A
	4	Transit Auto Parts.					N/A	N/A
	+						ı	
		A copy of the year-end inventory count and pricing sheets at lune 30, 2014 for all locations with inventories which will be						
		recorded in the general ledger at the end of the year.	07/15/2014	Purchasing	Robert Rodarte	07/31/2014	N/A	N/A
		Independent Auditor observation actual count .	6/17-26-2014					
F.								
		An auction report for deletions, <u>if any</u> .	06/30/2014	Purchasing	Robert Rodarte	07/31/2014	N/A	N/A
		Inventory of Capital Assets						
		Copies of the fixed asset certifications.	07/31/2014	Accounting	Available in File	08/31/82014 06/30/2014	06/30/2014	
		Fixed asset detail reports.	08/15/2014	Accounting	Available upon Request	08/31/82014	N/A	
		Fixed asset totals by type. This listing should take the following format:					N/A	
		- Additions					N/A	
		- Additions			-	ı	N/A	
		- Disposals (listing threshold change disposals separately)					NA	
			07/31/213	A	John Tennyson & Halona			
		Fund 5100 Convention Center	07/31/2014	Accounting	John Tennyson	09/16/2014	N/A	
	-	1 and Olive Contention Content	01/01/10/17	Stratagood	Contracting Contracting	70710710	5	

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09/09/2014

FYE 06/30/213

Completion	Docanneiklo	3		,
Date	Denartment	Kesponsible	Completed	Completed
07/31/2014	Cash/Investment	Iohn Tennuson	CITY	SWAMA
07/31/2014	Accounting	Halona Crows	09/16/2014	N/A
07/31/2014	Accounting	Halona Crowe	07/25/2014	N N
07/31/2014	Accounting	Halona Crowe	07/25/2017	NA
07/31/2014	Accounting	Haina Oroma	4107/07/10	N/A
	Accounting	John Tennyson	07/25/2014	N/A
07/31/2014	Accounting	Halona Crows	03/25/2014	N/A
07/31/2014	Accounting	Inhn Tennyson	0//25/2014	N/A
	Accounting	oom tomjoon	00/16/2014	
07/31/2014	Accounting	John Tennyson	09/10/2014	N/A
07/31/2014	Accounting	John Tennyeon		N/A
07/31/2014	Accounting	.lohn Tennyson	00/46/2014	N/A
07/31/2014	Accounting	John Tennyson	09/16/2014	N/A
07/31/2014	Accounting	John Tennyson	09/16/2014	08/31/2014
08/15/2014	Accounting	w/Trial Balance	10/31/2014	08/31/2014
08/15/2014	Accounting	Available upon Request	09/30/2014	08/31/2014
COMEDON	À			
08/15/2014	Accounting			
07/31/2014	Accounting	John Tennyson	09/16/2014	
07/31/2014	Cash/Investment	John Tennyson	09/16/2014	
07/31/2014	Accounting	Halona Crowe	07/25/2014	
07/31/2014	Accounting	Halona Crowe	07/25/2014	
07/31/2014	Accounting	Halona Crowe	07/25/2014	
07/31/2014	Accounting	Halona Crowe	07/25/2014	
		John Tennyson	09/16/2014	
07/31/2014	Accounting	Halona Crowe	07/25/2014	
07/31/2014	Accounting	John Tennyson	09/16/2014	
		John Tennyson	09/16/2014	
07/31/2014	Accounting	John Tennyson	09/16/2014	
07/31/2014	Accounting	John Tennyson	09/16/2014	
07/31/2014	Accounting		09/16/2014	
07/31/2014	Accounting		10/04/2014	
07/31/2014	Accounting	John Tennyson		08/31/2014
	Completion Date 07/31/2014 07/31/2014 07/31/2014 07/31/2014 07/31/2014 07/31/2014 07/31/2014 07/31/2014 07/31/2014 07/31/2014 08/15/2014 08/15/2014 08/15/2014 07/31/2014	100 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	tion Responsible Department J14 Cash/Investment J14 Accounting H Accounting H Accounting H Accounting J Accounting Accoun	tion Responsible Completed Department Person City 714 Cash/investment John Tennyson 09/16/2014 714 Accounting Halona Crowe 07/25/2014 714 Accounting Halona Crowe 07/25/2014 714 Accounting Halona Crowe 07/25/2014 714 Accounting John Tennyson 09/16/2014 714 Accounting John Tennyson 09/16/2014 714 Accounting John Tennyson 09/16/2014 715 Accounting John Tennyson 09/16/2014 715 Accounting John Tennyson 09/16/2014 716 Accounting John Tennyson 09/16/2014 717 Accounting John Tennyson 09/16/2014 718 Accounting W/Trial Balance 10/31/2014 719 Accounting Available upon Request 09/16/2014 719 Accounting John Tennyson 09/16/2014 719 Accounting

Reclass Unamortized Premium/Discount to	- Cita book Citain	Find 5500 SWMA	Fund 5040 College of Santa Es	Fund 5850 Kallyard	Fund 5600 MRC	Fund 5391 Water	Fund 5450 Waste Water Services	Fund 5358 Water	Fund 5300 Water	Fund 5250 Environmental Services (SW)	Fund 5100 Convention Center	Reclass Long-term to Current Payable	Fund 5500 SWMA	Fund 5912 College of Santa Fe	Fund 5856 Market Station	Fund 5850 Railyard	Fund 5600 MRC	Fund 5450 Waste Water Services	Fund 5358 Water	Fund 5391 Water	Fund 5300 Water	Fund 5100 Convention Center	Reclass Principal Payment Against Current Payable	Fund 5500 SWMA	Fund 5912 College of Santa Fe	Fund 5856 Market Station	Fund 5850 Railyard	Fund 5600 MRC	Fund 5450 Waste Water Services	Fund 5391 Water	Fund 5300 Water	Find 5250 Environmental Services (SW)	Record Accrued Interest Payable for Debt FYE 06/30/2014	Reverse Prior Year Interest Payable		
nt to																					14)		Payable										YE 06/30/2014			
	170711	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014		07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014		07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014		07/31/2014	Date	00
	Casililivesulicik	Cash/investment	Cash/investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment		Cash/investment	Cash/Investment	Cash/Investment	Cash/investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/investment	Cash/Investment		Cash/Investment	Cash/Investment	Cash/Investment	Cash/investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cashinvestricit		Cash/investment	Department	1,0000101010
	i seele i lausillali	Helene Hausman	Herene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman		Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman		Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Delene Flausillan		Helene Hausman	Person	i de la constante
	#102/c2/10 #102/c2/10		07/26/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014	07/26/2014	07/25/2014	07/25/2014		07/25/2014 07/25/2014	07/25/2014	07/26/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014		07/25/2014 07/25/2014	07/25/2014	07/26/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014	07/26/2014	07/25/2014		07/25/2014		Completed Completed
																																				Completed

		<u>.</u>					ဂ																							T						Γ			
	A listing of interagency accounts receivables and payables, with supporting documentation. Please include the information to support the footnote.		Alliquit to be riovided	Capital Leases	Government Debt (Bonds/ Loans)	Compensated Balance		Fund 5450 Waste Water Services	Deferred Charges	- und cook mixe	Tind 5000 Market Otation	Fund 5856 Market Station	Fund Ford Praise Water Services	Fund 6450 Waster Water Sanda	Fund 5300 Water	Fund 5250 Environmental Services (SW)	Fund 5100 Convention Center	Amortized Cost of Issuance	I MIN COOK MAKE	Find A200 Water	Fund 5391 Water	Find Agan Market Otation	Fund 5600 MRC	Find 5850 Railyard	Fund 5450 Waste Water Services (GVV)	Find 5250 Environmental Services (SW)	to Current	Reclass Unamortized Premium/Discount From LT	rund 5300 water	Fund 5391 Water	Fund 5856 Market Station	Fund 5600 MRC	Fund 5850 Railyard	Fund 5450 Waste Water Services	Fund 5250 Environmental Services (SW)	Fund 5100 Convention Center			
	09/23/2014		08/31/2014	08/31/2014	08/31/2014	07/31/2014		07/31/2014		07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014		0//31/2014	0//31/2014	07/31/2014	0//3//2014	0//31/2014	07/31/2014	07/31/2014	07/31/2014			07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	07/31/2014	Date	Completion	Totimata.
	Accounting		Cash/Investment	Cash/Investment	Cash/Investment	Finance		Cash/Investment		Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment		Cash/Investment	Cash/investment	Cash/Investment	Casn/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment			Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/Investment	Cash/investment	Cash/Investment	Department	Responsible	
	Erica Martinez		Helene Hausman	Helene Hausman	Helene Hausman	Teresita Garcia		Helene Hausman		Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman		Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman			Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Helene Hausman	Person	Responsible	
J		1	١. ا		- 1	,		07/25/2014		07/25/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014	07/26/2014	07/25/2014	07/25/2014		07/26/2014	07/25/2014	07/26/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014			07/26/2014	07/25/2014	07/26/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014	07/25/2014	City	Completed	
		i I				1																															- 1		
		ayables, 09/23/2014 Accounting Erica Martinez 10/01/2014	A listing of interagency accounts receivables and payables, with supporting documentation. Please include the information to support the footnote. 09/23/2014 Accounting Erica Martinez 10/01/2014	A listing of interagency accounts receivables and payables, with supporting documentation. Please include the information to support the footnote. O8/31/2014 Cash/Investment Helene Hausman 08/31/2014 Cash/Investment Helene Hausman 08/31/2014 Accounting Erica Martinez 10/01/2014	Capital Leases O8/31/2014 Amount to Be Provided O8/31/2014 O8/31/2014 Cash/Investment Helene Hausman O8/31/2014 O8/31/2014 Cash/Investment Helene Hausman O8/31/2014 O8/31/2014 O8/31/2014 O8/31/2014 A listing of interagency accounts receivables and payables, with supporting documentation. Please include the information to support the footnote. 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Audit Plan 6-30-2014(7-21-14)

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A listing of any encumbrances carried forward to next fiscal year.	Sample for and Bigs/KFF	Sample for Travel /Per Diem	List of any sole source or emergency procurements.	Listing of payments by check number, vendor amount, fund charged, general ledger account number and if charged to a federal program.	Reclass Accounts Payable 8-1-014	Reclass Accounts Payable 7-25-2014	Reclass Accounts Payable 7-18-2014	Reclass Accounts Payable 7-11-2014	Reclass Accounts Payable 7-5-2014	Access to payment vouchers issued from July 1, 2014 through the end of fieldwork.		Access to the JEs & operating transfers showing the transfers to and from Funds .	A copy of the listing of transfers to/from for FY 2014.	A reconciliation of revenue per the trial balance.	A schedule of leases in effect in FY 2014.	A schedule of operating lease payments for financial statement disclosure. The schedule should show the amount to be paid out for the next five years and thereafter.		Posting accounts payable listing which should include the following information: vendor name, invoice #, PO #, invoice amount, encumbrance #, fund # and account #.		
Upon request	09/09/2014	09/09/2014	09/09/2014	08/12/2014						Upon request		Upon request	08/01/2014	08/01/2014	07/15/2014	07/15/2014		07/31/2014	Date	Completion
Budget	Purchasing	Payables	Purchasing	Available upon request	Payables	Payables	Payables	Payables	Payables	Payables	!	Accounting	Accounting	Accounting	Accounting	Accounting		Accts. Payable	Department	Responsible
Cal Probasco	Robert Rodarte	Amy Martinez-Duran	Robert Rodarte	Amy Martinez-Duran	Amy Martinez-Duran	Amy Martinez-Duran	Amy Martinez-Duran	Amy Martinez-Duran	Amy Martinez-Duran	Amy Martinez-Duran		Erica	Егіса	Erica		Edward Vigil		Amy Martinez-Duran	Person	Responsible
08/31/2014	06/14/2014	06/14/2014	08/15/2014	08/31/2014	08/02/2014	07/26/2014	07/19/2014	07/12/2014	07/05/2014			10/06/2014	10/06/2014	10/06/2014	09/30/2014	09/30/2014		08/31/2014	City	Completed
08/31/2014	06/14/2014	06/14/2014	08/15/2014	08/31/2014	08/02/2014	07/26/2014	07/19/2014	07/12/2014	07/05/2014		•	N/A	N/A	09/15/2014	N/A	08/31/2014	1 1	08/31/2014	SWAMA	Completed
08/31/2014	06/14/2014	06/14/2014	08/15/2014	08/31/2014	08/02/2014	07/26/2014	07/19/2014	07/12/2014	07/05/2014									08/31/2014	1 .	Completed

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		Estimated					
		Completion	Responsible	Responsible	Completed	Completed	Completed
		Date	Cebainnein	Person	City	- 1	BDD
	Access to payroll and leave registers for the year.	Upon request	Payroll	Margaret Griego	07/12/2014	07/12/2014	07/12/2014
	Access to personnel and benefits files for employees.	Upon request	HR	Vicki Gane	07/12/2014	. 1	07/10/04
					0.1	1 1	0//12/2014
	Access to the Leave Liability Report for the last navroll						
	period of FY 2014 showing annual, compensatory, and sick leave balances for all employees.	07/31/2014	Finance	Teresita Garcia	08/31/2014	08/31/2014 08/31/2014	08/31/2014
	Access to the payroll register and payroll split report showing cutoff for the payroll liabilities (payroll and benefits) at June						
	30, 2014.	Upon request	Payroll	Teresita Garcia	07/26/2014	07/26/2014	07/26/2014
N .	A listing of new employees hired and terminated during FY 2014	27117	,			1	
	Vision of ELOA account and the second and the secon			Meliss Citiz	09/30/2014	07/30/2014	
	paid for compensatory time.	07/15/2014	퓼		09/30/2014	ı	
<i>a</i> →	The hourly wage and compensatory time balances for the above employees at June 30, 2014.	07/15/2014	Finance	Teresita Garcia	07/03/2014	07/02/2017	200000
<u> </u>	Worker Comp Sample To Auditors					ı I	
<u></u>	Final Budget Adjustments for 6-30-2014 To DFA	07/15/2014	Budget office	Cal Probasco	07/31/2014	07/13/2014 0	07/31/2014
Þ	A copy of the BAR log.	07/15/2014	Budget office	Cal Probasco	07/24/2014		07/24/2014
20	chedille showing the original budget budget adjustment					- 1	1107/17/1
ह व	to the final adjusted budget .	07/15/2014	Budget office	Cal Probasco	09/30/2014		
A	Access to BARs,	07/15/2014	Budget Office	Cal Probasco	07/24/2014	07/24/2014 07	07/24/2014
) A	A reconciliation by fund and category of final GAAP basis						
ā	ievenues and experionales to lina budget basis.	10/07/2014			11/04/2014		
ම ග	explanations for any expenditure budget overages at the appropriation unit level	09/02/2014			11/05/2014		

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L		1.	Costs	12.	1 = 1	9	ĺω	7.	.0	5.	4.	μ	N	is		Sin	\dashv	_
	The FY 2014 "Chart of Accounts".	The cost allocation and random moment sample plan & any amendments or updates for FY 2014.	Costs Allocation	A reconciliation of federal revenues posted to the trial balance to the schedule of expenditures of federal awards.	for FY 2014.	and adjusting entries to be booked.	federal programs (total and federal share). Identify amounts of unbilled receivables for grants, contracts	federal receivables A summary & detail (by youcher) of accounts payable for	Aged accounts receivable for all federal receivables by fund and program.	A final schedule of expenditures of federal awards.	A schedule of deterred revenues for monies received in advance as of June 30, 2014.	Copies of all grant award letters Available for FY 2014.	A preliminary schedule of grant receipts, disbursements, and grants receivable for federal funds.	A preliminary schedule of grant receipts, disbursements, and grants receivable for federal funds.	A preliminary listing of federal grants with estimated expenditures greater than \$300,000.	Single Audit		
	06/30/2014	06/30/2014		08/15/2014	07/15/2014	07/31/82014	07/31/2014	07/31/2014	07/31/2014	08/06/2014	07/31/2014	07/31/2014	06/13/2014	06/13/2014	08/06/2014		Date	Completion
	Vince Montoya	None		Accounting	Accounting	Accounting	Accounting	Accounting	Accounting	Accounting	Accounting	Accounting	Accounting	Accounting	Accounting		Department	Doenoneikla
		None		Erica Martinez	Erica Martinez	Erica Martinez	Erica Martinez	Erica Martinez	Erica Martinez	Erica Martinez	Erica Martinez	Erica Martinez	Erica Martinez	Erica Martinez	Erica Martinez		Person	02222217
1	07/31/2014			08/15/2014	upon request	08/15/2014	upon request	upon request	08/15/2014	08/15/2014	08/15/2014	upon request	08/09/2014	06/13/2014	08/06/2014		City	>
ı	07/31/2014 0	I		NIA	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	06/13/2014	N/A	N/A	1	Completed SWAMA	
	07/31/2014			N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	06/13/2014	N/A	N/A		Completed BDD	

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Please update internal control questionnaires.	Internal Controls	Notes to Financials Statements	MIDOA.	Ciair of the infaridar statements	Than of the francis late		Communication of audits from federal agencies including ongoing reviews.	The status and contact for any ongoing investigations.	The current 'Audit Report Review and Fiscal Site Review Procedures'.	Copies of any audit reports, management reviews, etc. submitted by federal or state agencies from July 1, 2014 through the end of fieldwork.	Copies of any internal audit reports submitted by the Internal Auditor from July 1, 2014 through the end of fieldwork.		VVOIK	Please provide the typed confirmations. (Last Day of Field	Confirmations 1 Please provide the typed confirmations	irairainig nigauori).	The status of any pending legal cases (please list who is	A listing of irregularities, illegal acts, and fraud which have been identified or suspected involving the personnel or property.	Contingencies	Detail of any fund balance activity during the FY 2014.	Reconciliation of prior year audited fund balance to beginning balance in the current year financial statements.		
09/02/2014		11/04/2014	11/04/2014	11/04/2014			08/19/2014	08/19/2014	08/19/2014	08/19/2014	08/19/2014		10/31/2014	07/31/2014		09/16/2014		09/16/2014		09/16/2014	09/16/2014	Date	Completion
																						Department	Responsible
																						Person	Responsible
		11/08/2014	11/06/2014	11/04/2014		10/2/12/14	10/31/2017							10/31/2014		10/31/2014		10/31/2014		10/31/2014	10/31/2014		Completed
				}	1																	SWAMA	Completed
																						BDD	Completed

N/VEX GLOBAL**

The Ethics and Compliance Experts

FRAUD, WASTE, AND ABUSE HOTLINE PROPOSAL FOR City of Santa Fe PRICING VALID UNTIL SEPTEMBER 26, 2014

Presented By:

Clay Osborne

cosborne@navexglobal.com

August 28, 2014

Liza Kerr 200 Lincoln Ave Santa Fe NM 87501-1904

Dear Liza,

Thank you for the opportunity to provide City of Santa Fe with a proposal to address your fraud, waste, and abuse hotline program requirements.

NAVEX Global helps protect your people, reputation and bottom line through a comprehensive suite of ethics and compliance software, content and services. The trusted global expert for more than 8,000 clients, our solutions are informed by the largest ethics and compliance community in the world. Based upon best practices developed after launching similar programs for other organizations, we bring together:

- Superior Software: our industry-leading solutions standalone to meet your immediate ethics and compliance needs, but also integrate to ensure that critical components of your ethics and compliance program management are connected, allowing you to see your risks and address them.
- Engaging Content: we provide modern approaches to communicating with today's workers through training content that's engaging and relevant. Our courses are vetted by the world's largest employment law firm, Littler, and exclusively endorsed by the world's largest HR membership organization, SHRM.
- Best-in-class Services: our Advisory Services team is the industry's foremost group of compliance experts—
 most of whom are former in-house ethics and compliance officers and/or legal counsel—who advise global
 organizations of all sizes as well as help to shape our own solutions through their unique knowledge. Also,
 our seasoned Professional Services team guides clients through proven methodologies, business process
 analyses and demonstrated change management principles to ensure successful technology
 implementations based on each clients' unique needs.

As the largest technology and services organization in the ethics and compliance space, we are confident that we can work with you to meet your unique internal program needs. We currently work with more than 70 percent of the Fortune 100 and more than half of the Global 500 to do just that. Our client retention rate of more than 96 percent is a testament to the trust those organizations place in us, and we'd be happy to put you in touch with a number of clients who can share their perspectives and experiences.

Please note that we consider the information contained in this document as proprietary and/or confidential, and as such, we respectfully request that the contents be held in the strictest of confidence by your organization.

On behalf of NAVEX Global, we thank you for your interest and we look forward to partnering with you to achieve your ethics and compliance goals.

Sincerely,

Clay Osborne Senior Account Executive NAVEX Global

Pricing Summary

Product	Quantity	Months	elnitial/Fee	Annual
Fielephony			A Maria Communication of the C	
Standard Global Telephony (US Contact Center) Subscription	1	12	-	\$0.00
Standard Global Telephony (US Contact Center) Set-up	1	N/A	\$ 1,500.00 \$750.00	-
	PRODUCT SU	JB-TOTALS:	\$ 750.00	\$ 0.00

Hotlina				
US Hotline - Subscription	1600	12	-	\$3,750.00
Hotline - Web Intake Site Setup	1	N/A	\$ 1,000.00 \$500.00	-
	PRODUCT SU	JB-TOTALS:	\$ 500.00	\$3,750.00

Awareness		T.		
(Optional and not included in pricing below) Awareness Standard Plus	1	N/A	\$3,155.00	-
	PRODUCT SU	JB-TOTALS:	\$3.155.00	\$ 0.00

EP/Gase(Managemens				
EP Case Management - Foundation - Subscription Includes 3 concurrent and 2 dedicated seats	1	12	-	\$0.00
EP Case Management - Foundation Setup	1	N/A	\$0.00	CONTROL MAN control of the control o
Advanced Analytics Subscription - Foundation	1	12	-	\$750.00 \$675.00
Advanced Analytics Setup - Foundation	1	N/A	\$0.00	-
Location Database Module Setup	1	N/A	\$ 550.00 \$275.00	Marie Marie (Marie Marie
	PRODUCT S	SUB-TOTALS:	\$ 275.00	\$ 675.00

NAVEX (eligibatication and the second				
Gateway - Subscription	1	12	-	\$0.00
Gateway - Setup	1	N/A	\$0.00	_
The state of the s	PRODUCT SU	IB-TOTALS:	\$ 0.00	\$ 0.00

Description of Products

Telephony

Standard Global Telephony (US Contact Center) Subscription

Total Employees: 1600

Telephony by Country:

UNITED STATES (1600 employees)

Call Plan: US Dialing Plan. Greetings: 1. English, 2. Spanish (Latin American)

Standard Global Telephony (US Contact Center) Set-up

NAVEX Global's pre-configured telephony solution which includes:

- Our standard telephony setup with our generic greetings, menus and prompts
- Non-branded greeting and notice of consent statement with a pre-configured menu of hot line services
- Available in 200 plus countries worldwide
- Supports over 70 of the most widely used languages
- Pre-configured for our fastest implementation timeframe
- Standard language bundles for each country with pre-set language defaults
- Does not support client custom configurations, greetings or prompts

Global Telephony Solutions

Navex has established strong relationships with telephony carriers to ensure we can offer global solutions for connecting the employees of your organization with our telephony network and contact centers. Our global telephony specialists can guide our clients through the best option suited for servicing their hotline calls based on your geographical footprint and your business needs. Key components of each method for routing and connecting calls to one of our Navex Global Contact Centers include the following:

International Toll Free Service (ITFS)

Employers using D-ITFS make it possible for their employees to dial a country specific toll free number to reach one of our Contact Centers. There is no special dialing, access codes, or operator assistance required. This service is available in over 70 countries and allows for custom automated call treatment.

Direct Access (DA)

Direct Access implementations provide a more widely available international toll free option for access to one of our Contact Centers. To use this service, employees first dial their country-specific access number to connect with our telephony service partner, followed by dialing the client specific ITFS number to connect to one of our Contact Centers. This service is available in 140 countries. It allows for custom automated call treatment and can improve access by mobile phones.

WWC - (Worldwide Connect)

WWC is a product based on the AT&T Direct Access platform that allows for calls to be identified and treated with custom language options based on country of origin. Calls are made using a two-step dialing process where the caller must first dial the AT&T Direct Access code specific to the country where the call is originating followed by the proprietary toll-free number for routing to NAVEX Global. By having multiple countries routed to a single DA line, telephony line subscription costs are significantly reduced.

Global Inbound Service (GIS)

GIS is an additional toll-free option that provides one or two step dialing to one of our Contact Centers. GIS can have fewer restrictions for mobile phone access. This service is available in over 130 countries.

Collect Calling

Stop-gap for most countries where international toll free service and other formats are not available.

Hotline

US Hotline - Subscription

NAVEX Global's Hotline (Hotline) has been designed to enable your employees and other stakeholders to easily and confidentially report any issue or instance of misconduct. The Contact Center is globally accessible 24/7/365 with system availability ensured by end-to-end network redundancy, scalability, and reliability. Live telephone interpretation support is available in 200+ languages at no additional cost. All calls are serviced within the United States. Translation of web reports will incur additional fees which will be invoiced monthly in arrears at \$.0.35/word with a minimum of \$120 per report (fees for translation of Web Intake Pages and Report Forms are priced separately).

The annual subscription supports unlimited reports via web, telephone, or internal to the case management software.

Hotline - Web Intake Site Setup

Design and development services to support the creation of a custom Web Intake Site includes:

- A single English Web Intake Site (translated pages are priced separately)
- Assignment to an industry-specific issue package with the option to modify issue titles and descriptions
- Web Intake Site and system configuration in response to Client instructions in the Web Intake Site workbook
- One round of edits to Web Intake Site text and layout, issue type names and descriptions, and attachments
- QA and configuration of the Hotline and Web Intake Site to make live for reporting
 The following features are available with Web intake Site Custom Setup:
 - Creation of custom graphics
 - FAQ HTML page
 - Custom Issue Type selection page
 - Up to 10 intake question customizations (must be the same across all Issue Types)
 - Custom Location selection page (if Location Database is also purchased)
 - Custom dialing instructions

Awareness Standard Plus

Awareness program will include awareness materials to be used to communicate hotline services, benefits and contact points. The materials are full color print options. The Awareness Standard Plus offering is template-based services (semi-custom) selected from the pre-configured options with the ability to provide limited customizations:

- Hotline telephone number
- Web intake URL
- Client-provided image changes
- Multiple company logos
- Client-provided text changes

Any other requested changes are considered out of scope and may incur additional charges. Out-of-scope customizations will be reviewed and any additional fees communicated to the client prior to the commencement of work.

Translations, when applicable, are included in the fees. Pricing includes one (1) cycle of revisions. If translations are included in the scope, an additional one (1) cycle of revisions is permitted after translations are complete. Revisions do not include NAVEX's correction of NAVEX defects in the Deliverables. Additional fees shall be due for Client revisions in excess of those stipulated above. NAVEX will notify Client of the fees before performing the additional revisions.

POSTER SPECIFICATIONS Size Finished: 11x17

Paper: 80# Gloss Text

Color: 4/0 Bleed: Full

Finishing: Trim to size

Template: 000 Template to be determined, Country: United States, Language: English, Digital: No, Print

BROCHURE (2 PANEL) SPECIFICATIONS

Size Flat: 8x9 Size Finished: 4x9 Paper: 80# Gloss Text

Color: 4/4 Bleed: Full

Finishing: Trim to size & fold

Template: 000 Template to be determined, Country: United States, Language: English, Digital: No, Print

WALLET CARD SPECIFICATIONS Size Finished: 2.125 x 3.375

Paper: 100# Gloss Cover - Laminated

Color: 4/4 Bleed: Full

Finishing: Trim to size, Rounded Corners

Template: 000 Template to be determined, Country: United States, Language: English, Digital: No, Print

Quantity: 2000

Upon approval of proofs, materials will be produced per the versions and quantities specified. Pricing assumes distribution to one (1) central location. Distribution of materials to multiple locations is available for an additional fee. Shipping and handling fees are included in the project price.

Project completion time frame is eight (8) weeks depending upon the scope of project and level of engagement by the client. If scope includes translations in more than 10 languages time frame may extend an additional two (2) weeks.

EP Case Management

EP Case Management - Foundation - Subscription

Includes 3 concurrent and 2 dedicated seats

Delivered as a base-line single configuration management system including foundational case component functionality. Built in management tools include baseline reporting and standard analytics. System level administration for user management. Comprised of (2) Dedicated Seat Licenses and (3) Concurrent Seat Licenses. Up to (1) gb storage included.

EP Case Management - Foundation Setup

EthicsPoint Case Management Foundation setup includes:

- Initial timeline providing an overview of expectations, documentation, and client responsibilities for a successful implementation
- Kick-off call to establish key stakeholders, implementation goals, and timelines
- Customized issue types
- Mapping of the Hotline and Web Intake Site intake methods to the EthicsPoint Case Management Foundation system
- System structure configuration to support key business and reporting needs
- NAVEX Global Administrator / User training available via the web, through regularly scheduled webinars
- Six (6) week implementation timeline starting at the kick-off call to complete configuration items included above. Additional changes or requests made after this period will be scoped and priced separately. If purchased in conjunction with a Professional Services engagement, the Professional Services timeline will supersede this one.

Advanced Analytics Subscription - Foundation

Advanced Analytics is a web-based query and analysis tool within the EthicsPoint case management system.

Advanced Analytics Setup - Foundation

Setup for Advanced Analytics with EthicsPoint Case Management - Foundation.

Location Database Module Setup

NAVEX Global's Location Database service makes available a method for storing client defined location information within NAVEX Global Issue & Event Manager. This enables users and reporters to select an appropriate case specific location during intake based on client provided data. This consistent collection of location information allows for better use of NAVEX Global analytics tools to spot trends and patterns based on location.

NAVEX Global Gateway

Gateway - Subscription

Includes access to the NAVEX Global Gateway, which provides seamless access to the client's supported NAVEX Global solutions.

Gateway - Setup

Implementation of a new client on the Gateway solution. Includes setup of Client's Gateway Administrators.

City of Santa Fe, New Mexico

memo

DATE:

August 12, 2014

TO:

Finance Committee

FROM:

Teresita Garcia

Assistant Finance Director

SUBJECT:

Gross Receipts Report and Lodgers' Tax Report

BACKGROUND AND SUMMARY:

Update of Gross Receipts Tax Report received in August 2014 (for June 2014 activity) and Lodgers' Tax Report received in August 2014 (for July 2014 activity).

ACTION:

For your information.

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-6.29% (961,908.42) -4.21% (630,644.21) -8.17% (1,275,029.28)	-6.29% -4.21% -8.17% (Budget vs Actual year-to-date comparison Current Actual year-to-date vs. prior year-to-date: Current Actual year-to-date vs. FY 07-08 year-to-date:	get vs Actual year-to-date comparison rent Actual year-to-date vs. prior year- rent Actual year-to-date vs. FY 07-08 y	ual year-to l year-to-da l year-to-da	Budget vs Actual year-to-date comparison Current Actual year-to-date vs. prior year-to-date: Current Actual year-to-date vs. FY 07-08 year-to-d					XCEL.	den in E)	FY 2008-2009 and FY 2009-10 have been hidden in EXCEL. They can be opened for viewing.	and FY 2009 ened for vie	⊷ FY 2008-2009 and FY 2009-10 h They can be opened for viewing.	•
(961,908)	-6.29%	15,300,355	(630,644)	4.21%	14,338,447	572,119	3.97%	14,969,091	-0.84%	14,396,972	4.11%	14,519,604	5.42%	Prior Years' Comparison: July-Aug 15,613,476	Prior Years July-Aug
-6.29% \$ (961,908)	-6.29%	\$15,300,355	(630,644)	4.21%	14,338,447	\$ 3,767,550		0.64% \$88,029,352	0.64%	\$ 84,261,803	4.06%	\$ 83,723,413	2.07%	\$88,547,033	TOTALS
(469,953) (491,955)	4.88%	7,268,925 8,031,430 7,706,029 8,014,647 7,489,270 7,560,955 7,091,297 8,217,099 7,150,403 6,194,641 7,827,138 6,997,244	-531,406 -99,238	-7.25% -1.30%	6,798,972 7,539,475	490,633 81,486 452,621 976,328 488,920 423,971 (151,544) 298,981 (561,226) 967,231 (95,739) 395,888	7.17% 1.08% 6.24% 12.95% 6.94% 5.96% -2.27% 3.87% -8.34% -1.30% 6.01%	7,330,377 7,638,713 7,703,661 8,517,763 7,535,998 7,535,998 7,538,502 6,521,060 8,030,915 8,166,993 6,786,120 7,269,258 6,979,991	-0.41% -1.23% 1.24% 1.14% 1.118% -1.71% 6.18% 6.18% -5.18% -7.77% 5.35%	6,839,744 7,557,228 7,251,040 7,541,435 7,047,078 7,114,531 6,672,694 7,731,934 6,728,219 5,828,888 7,364,997 6,584,103	9.82% -0.54% 4.31% 2.13% 5.61% 5.89% 5.84% 9.42% 9.41% 4.57%	6,868,168 7,651,436 7,162,003 7,456,520 7,169,747 6,576,396 6,653,844 8,240,913 6,242,865 6,318,974 7,132,860 6,249,687	15.39% -2.16% 9.30% 4.44% 2.05% -2.52% 4.68% -4.15% -4.68% -34.00%	7,375,729 8,237,747 7,534,469 7,792,052 7,767,989 7,385,740 6,986,767 8,725,121 6,680,180 5,957,049 6,903,178 7,201,012	JUL AUG SEPT OCT NOV DEC DEC MAR APR APR MAY
Over/Under Budget	% Actual to Budget	FY Budget 2014-15	\$ Diff to PY	% Inc/Dec	FY Actual 2014/15	\$ Diff to PY	% Inc/Dec	FY Actual 2013/14	% Inc/Dec	FY Actual 2012/13	% inc/Dec	FY Actual 2011/12	% Inc/Dec	FY Actual % 2007/08 Inc/Dec	MONTH

; ; ∃¬	Prior Years' Comparison: July-Aug 1,348,556	TOTALS	JUL AUG OCT OCT DEC DEC JAN FEB MARR APRR APRR APRR	MONTH 2007/08 Inc/Dec
Y 2008-2009 ₁ey can be o	comparison 1,348,556	\$8,097,459	633,957 714,599 653,432 676,530 679,250 647,257 612,303 765,568 585,468 546,057 951,790	FY Actual 2007/08
FY 2008-2009 and FY 2009-10 h They can be opened for viewing.	: 5.70%	8.74%	14.35% -95.00% 9.04% 3.87% 4.49% 2.30% 2.59% 9.23% 9.23% 4.90% 4.90% 4.36%	% Inc/Dec
** FY 2008-2009 and FY 2009-10 have been hidden in EXCEL. They can be opened for viewing.	1,266,283	7,302,510	598,654 667,629 625,006 648,133 625,532 573,490 580,657 722,984 543,902 551,043 622,468 543,012	FISCAL YR 2011/12
den in EX	3.98%	3.55%	9.65% -0.62% 4.54% 1.79% 5.86% 1.16% 5.75% 6.27% 8.83% 4.69%	% inc/Dec
CEL	1,259,326	3.55% \$ 7,370,419	600,324 659,002 634,132 659,894 616,187 622,564 583,650 676,802 589,701 509,652 643,878 574,631	FISCAL YR 2012/13
	-0.55%	0.55%	0.28% -1.29% -1.46% 1.81% -1.49% 6.1.49% 8.6.39% 8.42% -7.51% 3.44%	% Inc/Dec
	1,311,091	0.55% \$ 7,696,496	642,087 669,004 674,853 742,357 659,904 660,591 569,974 538,357 593,300 634,999 609,274	FISCAL YR 2013/14
	4.11%		6.96% 1.52% 6.42% 12.50% 7.10% 6.11% 6.13% 3.69% -8.71% 16.41% 6.03%	% Inc/Dec
	326,077.49	\$ 326,077	41,763 10,002 40,722 82,463 43,717 38,027 (13,674) 24,992 (51,345) 83,647 (8,880) 34,643	\$ Diff to PY
Budget vs Actual year-to-date comparison Current year-to-date vs. prior year-to-date: Current year-to-date vs. FY 07-08 year-to-d	1,251,304	1,251,304	592,741 658,563	FISCAL YR 2014/15
tual year-t to-date vs. to-date vs.	4.56%	4.56%	-7.69% -1.56%	% Inc/Dec
Budget vs Actual year-to-date comparison Current year-to-date vs. prior year-to-date: Current year-to-date vs. FY 07-08 year-to-date:	-59,787.43	(59,787)	-7.69% (49,346.02) -1.56% (10,441.41)	% Inc/Dec \$ Diff to PY
rison date: -to-date:	1,314,786	\$1,314,786	626,762 688,024 662,058 688,954 643,323 649,981 609,353 706,606 615,671 672,233 599,938	FY Budget 2014-15
4.83% -4.56% -7.21%	-4.83%	-4 .83% \$	-5.43% -4.28%	% Actual to Budget
(3,694.59) (59,787.43) (97,252.13)	(3,695)	\$ (3,695)	15,325 (19,020)	% Actual Over/Under to Budget Budget

Monthly 1735	Title Titl	
Trace Vest Fiscal Year	Total Test	\$ 820,655
December Fiscal Year Fi	Direct Feed Year Feed Ye	
Tex	Tax	2012-2013
Tex	Fiscal Year Fiscal Year Fiscal Year Finding June 2015	\$ 351,709
Tax	Tick	\$ 3,546,015
Fiscal Year	Tax Fiscal Year Fiscal Year Monthly Fiscal Yea	6
Tax Fiscal Year Fiscal Year Fiscal Year Fiscal Year Fiscal Year Fiscal Year Fiscal Year Fiscal Year Fiscal Year Fiscal Year Fiscal Year Fiscal Year Fiscal Year Fiscal Year Monthly Fiscal Year Mon	Tax Fiscal Year Monthly Fiscal Year Fiscal Year Monthly Fiscal Year Mo	A 60
Tax Fiscal Year Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Fiscal Year Monthly Fiscal Year Monthly 2010-2011 % Gain/Loss 2011-2012 % Gain/Loss 2012-2013 % Gain/Loss 5 465.394 -12.595 5.457.960 58% 5.36.930 5 246.592 -12.595 5.457.745 196.5 461.151 5 246.592 -12.595 5.457.745 196.5 461.151 5 246.592 -12.595 5.457.745 196.5 461.151 5 246.592 -12.595 5.457.745 598.8 58% 3.35.975 5 286.120 -15.5976 5.167.748 39% 5.26.393 5 286.120 -15.5976 5.167.748 39% 5.26.393 5 286.120 -10.44% 5.26.3949 96% 5.26.3949 5 286.120 -14.5976 5.46.3949 96% 5.26.3949 5 346.394 -12.5976 5.43.9176 389% 5.42.9950 5 346.394 -12.5976 5.43.9176 389% 5.43.935 5 346.394 -12.5976 5.43.9176 389% 5.43.935 5 346.394 -12.5976 5.43.9176 3.43.9176 3.43.9176 5 346.394 -12.5976 5.43.9373 3.47.15 5 346.394 -12.5976 5.43.935 3.47.15 5 346.394 -12.5976 5.43.935 3.47.15 5 346.394 -12.5976 5.43.935 3.47.15 5 346.394 -12.5976 5.43.935 3.47.15 5 346.394 -12.5976 5.43.935 3.47.15 5 346.394 -12.5976 5.47.295 3.47.15 5 346.394 -12.5976 5.47.295 3.47.15 5 346.394 -12.5976 5.47.295 3.47.15 5 346.394 -12.5976 5.47.295 3.47.15 5 346.394 -12.5976 3.47.15 3.47.15 5 346.394 -12.5976 3.47.15 3.47.15 5 346.395 -1.25976 3.47.15 3.47.15 5 346.395 -1.25976 3.47.15 3.47.15 5 346.395 -1.25976 3.47.15 3.47.15 5 346.395 -1.25976 3.47.15 3.47.15 5 346.395 -1.25976 3.47.15 3.47.15 5 346.395 -1.25976 3.47.15 3.47.15 5 346.395 -1.25976 3.47.15 3.47.15 5 346.395 -1.25976 3.47.15 3.47.15 5 346.395 -1.25976 3.47.15 5 346.395 -1.25976 3.47.15 5 346.395 -1.25976 3.47.15 5 346.395 -1.25976 3.47.15 5	Tax	60
Tax Fiscal Year Monthly 2010-2011 % Gain/Loss 2011-2012 % Gain/Loss 2012-2013	Tax	61.3 299,790 61.3 148.646
Tax Fiscal Year Fiscal Year Finding June 2015 Fiscal Year Finding June 2015 Monthly Annual Fiscal Year Finding June 2015 Monthly Annual Fiscal Year Finding June 2015 Monthly Fiscal Year Fiscal Fiscal Year Fiscal	Tax Fiscal Year Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Finding June 2015 Fiscal Year Monthly Fiscal Year Fiscal Year Fiscal Year Monthly Fiscal	4
Tax Fiscal Year Monthly Fiscal Year Monthly Monthly Fiscal Year Monthly Fiscal Year <t< td=""><td>Tax Fiscal Year Fiscal Year Ending June 2015 Tax Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Monthly Fiscal Year Monthly Fiscal Year Monthly Fiscal Year Annual Year Ending June 2015 S 621,818 3.16% \$ 429,850 4207.20% \$ 536,103 S 621,818 3.16% \$ 547,748 10% \$ 536,103 S 7,7294 5.23,558 59,73 3 461,357 S 24,89309 34,20% \$ 447,667 S 24,89309 34,20% \$ 447,667 S 24,89309 34,20% \$ 447,667 S 24,89309 34,20% \$ 127,498 S 24,305 S 28,407 S 22,1349 39,75 3 32,309 S 28,407 S 441,407 S 441</td><td>. 4</td></t<>	Tax Fiscal Year Fiscal Year Ending June 2015 Tax Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Monthly Fiscal Year Monthly Fiscal Year Monthly Fiscal Year Annual Year Ending June 2015 S 621,818 3.16% \$ 429,850 4207.20% \$ 536,103 S 621,818 3.16% \$ 547,748 10% \$ 536,103 S 7,7294 5.23,558 59,73 3 461,357 S 24,89309 34,20% \$ 447,667 S 24,89309 34,20% \$ 447,667 S 24,89309 34,20% \$ 447,667 S 24,89309 34,20% \$ 127,498 S 24,305 S 28,407 S 22,1349 39,75 3 32,309 S 28,407 S 441,407 S 441	. 4
Tax Fiscal Year Fiscal Year Fiscal Year Ending June 2015	Tax Fiscal Year Fiscal Year Monthly Fiscal Year Ending June 2015 Fiscal Year Fiscal Year Monthly Fiscal Year Ending June 2015 Fiscal Year Monthly Fiscal Year Monthl	4
Tax Fiscal Year Fiscal Year Fiscal Year Monthly Fiscal Year Monthly 5 4665.349 -2% 3.18% 564.497 -8% 536.103 -866.84 5 569.878 -3.18% 564.497 -4% 536.103 -866.86 5 5621.518 -5.07% 567.746 10% 569.861 6 417.264 -12.58% 547.746 10% 569.881 7 560.667 -12.58% 547.667 -9% 569.881 5 249.309 -47.67% 547.667 -9% 569.891 5 27.3852 -37.23% 527.578 345.955 5 285.400 -9.70% 544.248 -9% 545.939 5 285.120 -15.91% 517.442 -16.86 271.939 5 285.120 -10.44% 526.948 38% 271.939 5 285.120 -10.44% 528.948 38% 277.966 5 <td< td=""><td>Tax Fiscal Year Fiscal Year Monthly Fiscal Yea</td><td>386,040</td></td<>	Tax Fiscal Year Fiscal Year Monthly Fiscal Yea	386,040
Tax Fiscal Year Fiscal Year Monthly Fiscal Year	Tax Fiscal Year Monthly Fiscal Year M	2013-2014 %
Tax Fiscal Year Fiscal Year Monthly Fiscal Yea	City of Santa Fe	Fiscal Year Monthly
Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Fiscal Year Monthly Fiscal Yea	Fiscal Year Fiscal Year Monthly Fiscal Year Monthly Fiscal Year Monthly Fiscal Year Monthly Fiscal Year Fiscal Year Monthly Fiscal Year Fiscal Year Monthly Fiscal Year Fiscal Year Fiscal Year Monthly Fiscal Year Fisc	
Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Monthly Fisc	Fiscal Year Fiscal Year Monthly Fiscal Year	
Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Monthly Fisc	Fiscal Year Monthly Fiscal Year Fiscal Y	
Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Monthly Fiscal Year Month \$ 2010-2011 % Gain/Loss 2011-2012 % Gain/Loss 2012-2013	Fiscal Year Fiscal Year Monthly Fiscal Year	8%; \$ 468,946
Fiscal Year Fiscal Year Action Fiscal Year Ending June 2015 Fiscal Year 2010-2011 % Gain/Loss 72011-2012 % Gain/Loss 72011-2013 % Gain/Loss	Fiscal Year Monthly Fiscal Year Monthly Fiscal Year Monthly S 466,349 -2% \$ 429,650 S 621,618 -2% \$ 584,497 S 608,861 S 621,618 -5.07% \$ 584,497 S 461,725 S 493,309 3 427,667 S 224,852 -37,29% \$ 457,746 S 224,852 -37,29% \$ 275,308 S 201,287 S 188,305 -15,47% \$ 184,248 S 285,120 -10,44% \$ 265,948 S 349,553 -11,59% \$ 481,800 S 4,349,832 S 4,349,832 S 4,349,832 S 4,381,463 C 172% \$ 4,563,304	
Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Ending June 2015 Fiscal Year Monthly Fiscal Year Monthly 2010-2011 % Gain/Loss 2011-2012 % Gain/Loss 2012-2013 % Gain/Loss 559,878 3.169 3.16% \$ 5417:25 4617:25 5621818 -3.16% \$ 587,900 56% \$ 5417:25 5621818 -3.16% \$ 457,746 10% \$ 4617:45 4618:35 5621818 -3.12.56% \$ 457,746 10% \$ 4617:53 4618:30 5621818 -3.12.56% \$ 457,746 567 477.256 \$ 57	Fiscal Year Fiscal Year Monthly Fiscal Year Fiscal	% \$ 4,728, 017
Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Ending June 2015 Fiscal Year Ending June 2015 Fiscal Year Monthly Fiscal Year Monthly 2010-2011 % Gain/Loss 2011-2012 % Gain/Loss 2012-2013 % Gain/Loss 559,878 -3.18% \$ 584.497 -34% \$ 536,103 % Gain/Loss 5621,818 -3.18% \$ 587,900 -3.26% \$ 608,861	Fiscal Year Fiscal Year Ending Tax Report Fiscal Year Ending June 2015	%)\$ 478,706
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Fiscal Year Fiscal Year Ending June 2015	Fiscal Year Monthly	Ø,
Fiscal Year Fiscal Year Ending June 2015	City of Santa Fe Lodging Tax Rep	M
Fiscal Year Fiscal Year Ending June 2015	City of Santa Fe Lodging Tax Reps	
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Fiscal Year Fiscal Year Ending June 2015 Fiscal Year Monthly Fiscal Year Monthly 2010-2011 Monthly 2010-2013 Monthly 20	City of Santa Fe Lodging Tax Rep Fiscal Year Fiscal Year Monthly 2010-2011 % Gain/Loss 2011-2012 % Gain/Loss 2011-2013 429,650 \$ 466,349 -2% \$ 429,650 -396,1 \$ 564,497 -396,1 \$ 561,497 -396,1 \$ 567,960 -396,1	
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Fiscal Year Fiscal Year Monthly Fiscal Year Fiscal Year Monthly 2010-2011 % Gain/Loss 2011-2012 % Gain/Loss	City of Santa Fe Lodging Tax Rep Fiscal Year Ending Ju Fiscal Year Monthly Fiscal Year Solid-2011-2012 % Gain/Loss 2010-2011 % Gain/Loss 2011-2012 % Gain/Loss	26% \$ 468,946 -8% \$ 517,387
Fiscal Year Fiscal Year Monthly Fiscal Year Fiscal Year Monthly	City of Santa Fe Lociding Tax Repx Fiscal Year Ending Ju Fiscal Year Monthly Fiscal Year Monthly	2013
		Fiscal Year
Fiscal Year Ending une 2015	Gity of Santa Fe. Lodding Tax Report Fiscal Year Ending June 2015	
	City of Santa Fee	

City of Santa Fe Gross Receipts by Category Fiscal Years 2014-15 vs. 2013-14

August (June Activity)

	-1.32%	7,06.60	2002		31.59%	0.00%	-1.41%	7.00%	3	19.00%	13.43%	-19.01%	34.60%	11.44%		-0.17%	-27.27%	25.39%	2	7,8	3.4	-7.6	21.09%	7 4	A	-0.	ည်	. 0		,		Difference	Percent
	8	18		ĕ ;	<u>×</u>	<u>%</u>	8	8	ě :	8	3%	1%	- 0%	4%	1	7%	7%	%8%		7 89%	3.43%	-7.65%	%BC		4 370/	-0.90%	-5.66%	0.00%	00.8076	3		Č.	#
	Total Distribution	Muni. Equivalent Distribution	State reimb-tood/med tax	Citationica	Unclareified	Public Administration	Other Services	Accommodation & Food	A STATE OF THE PARTY OF THE PAR	Arts Entertainment & Door	Health care and social assist	Educational Services	Admin & Support, Waste Mgt	Management of companies	Cicesional, Scientific, Fech	Professional Colonies Today	Real estate, rental & leasing	Finance & Insurance	Indust	Information and of the state of	Transportation & warehousing	Retail	Wholesale	wianuractuning	Manage Control	Construction	Utilities	Mining	Agriculture, forestry, hunting, fishing			Category	,
	15.589.751	63,479	1,639,120	134,542	•	,,,,,,	1 665 778	1.968.555	99,599	606,710	947,000	43 500	146 766	27 804	1,417,775	860,012	775 200	179 636	607.590	28,520	4,001,704	100,100	287 206	257,179	1,448,094	919,800	200	750	28 928		6102-4107	JulAug.	
10,400, 100	16 300 403	38.528	1.713.150	96,434	0	1,/49,489	4 740 400	1 00/ /05	91.293	707,062	57,466	57,595	100,002	30,000	1.475.055	432,040	104,/94	104,704	588 600	29,915	4,491,453	//0,0//	240,000	239 856	1,619,180	355,208	/8/	201,44	AA 205		2013-2014	JulAug.	
(090,432)	24,951	(74,039)	(74,000	38 109	0	(83,721)	(25,940)	9 0	200	110,907	(13,876)	23,373	(3,178)	(07,200)	(57 290)	(156,642)	(5,158)	10,888	(1,000)	(1 395)	(429,689)	70,619	17,020	47 300	(171 086)	34,411	(47)	(15,367)			Difference	Dollar	
4.24%	64.76%	4.32%	32.52%	2000	0 00%	4.79%	-1.30%	9.10%	0.00	15 69%	-24.15%	18.94%	-10.26%	-3.88%	3 20 2	-36 26%	-2.79%	3.23%	4.00%	1 660	-9.57%	32.599	7.22%	-10.0/7	10 5 6	9.699	0.00%	-34.699	•		Difference	Percent	

Management of companies
Admin & Support, Waste Mgt
Educational Services
Health Care & Social Assist

Prof, Scientific, Technical Real estate, rental & leasing

784,486

191,869 785,848 10,808 65,223

9,572 87,787

19,470

24,041 367,184 58,678

(4,571) 49,318

110,835 139,542

88,395

(174,241) 503 22,955 22,440 (52,327) (1,362) (1,236) 22,564

Transportation & warehousing Information & Cultural Indust. inance & insurance

Construction Manufacturing

Mining Utilities

Agriculture, forestry, hunting

Wholesale

166,572 2,104,627

194,026 760,357 126,996

205,669 767,269

(11,643) (6,912) 5,195 56,689

(16,380) (797)

121,801

15,185 313,769

109,883 2,278,868 14,682 290,814

Category

August 2014-2015

August 2013-2014

Difference

Dollar

Arts, Entertainment & Recr

Accomodation & Food

69,826 998,413 891,909 416,502

978,266 963,929

State reimb-food/med tax Muni. Equivalent Distribution

Total Distribution

856,993 33,414 ,198,038

95,718

72,738 872,875

11,148 20,147 (72,020) 0 0 22,980 (15,882) 13,754 (109,678)

Jnclassified Public Administration Other Services

City of Santa Fe GRT Analysis By Category Fiscal Years 2014-15 vs. 2013-14

Cumulative YTD (May - June Activity)

GRT 14-15 August 2014 08/18/2014 hrh

City of Santa Fe GRT Analysis By Category Fiscal Years 2013-14 vs. 2012-2013 and 2007-2008

Cumulative YTD (May Activity)

-8 A 30/	(754 309)	-1.32%	(109,678)	8,952,347	8,307,716	8,198,038	ו כומו בוצנו ומנוטוו
0.00%	33,414	69.96%	13,754	0	19,660	33,414	Warn. Equivalent Distribution
19.66%	140,816	-1.82%	(15,882)	/16,1//	0/2,0/5	000,880	Mini manivalent Distribution
-51.01%	(99,666)	31.59%	22,980	140,384	070 075	o E 6 00 0	State reimh-food/med tov**
0.00%	(68)	0.00%)		73 730	05 718	Unclassified
0.70%	(460)	7,77	(010)	88	, ວ	0	Public Administration
0.100	(804)	-7 47%	(72 020)	892.803	963,929	891,909	Other Services
15 19%	131 686	2.06%	20,147	866,727	978,266	998,413	Accommodation & Food
69.01%	28,510	19.00%	11,148	41,316	58,678	69,826	
28.27%	91,799	13.43%	49,318	324,703	367,184	416,502	Arts Entotoinmost & Boor
0.11%	21	-19.01%	(4,571)	19,449	24,041	19,4/0	Light care and applied
68.08%	35,559	34.60%	22,564	52,228	65,223	87,787	Carrier & Support, vvaste lvigt
-72.45%	(25,170)	-11.44%	(1,236)	34,742	10,808	9,5/2	Admin & Summer What Mark
14.42%	98,874	-0.17%	(1,362)	685,612	785,848	/84,486 2.73	Management of appropriate
-25.59%	(47,977)	-27.27%	(52,327)	187,519	191,869	739,542	Professional Scientific Tech
36.01%	29,347	25.39%	22,440	81,488	88,395	110,000	
151.83%	189,172	7.89%	22,955	124,597	290,814	110 825	Finance & Insurance
-72.03%	(39,115)	3.43%	503	24,300	14,002	343 760	Information and Cultural Indust
-20.30%	(536,223)	-/.65%	(1/4,241)	2,040,000	14.000	17, 101, 127, 127, 127, 127, 127, 127, 127, 12	Transportation & warehousing
-8.9/%	(16,423)	205%	(474,044)	2 840 850	2 278 868	2 104 627	Retail
0, 77.70	(46,402)	71 700V	56 680	182 995	109.883	166,572	Wholesale
-34 27%	(66,202)	4.27%	5,195	193,198	121,801	126,996	Manufacturing
-47.92%	(699,657)	-0.90%	(6,912)	1,460,014	767,269	/60,35/	Collegiacion
37.17%	52,574	-5.66%	(11,643)	141,452	205,669	194,026	Construction
0.00%	(60)	0.00%	(797)	60	797		
-96.40%	(54,626)	-88.93%	(16,380)	56,665	18,419	2,039	Agriculture, forestry, hunting, fishing
FY 07-08	FY 07-08	FY 13-14	FY 13-14				
FY 14-15 VS	FY 14-15 VS	TT 14-15 VS	2 14-10 VS	2007-2000	10.0		•
Percent Dif	Dollar Dif	Percent Dif	Dollar Dit	3005-2006 1Snfny	2013-2014	2014-2015	Category
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