



Agenda

SPECIAL FINANCE COMMITTEE MEETING
AND
FY 2012/2013 OPERATING BUDGET REVIEW
CITY COUNCIL CHAMBERS
APRIL 16, 2012 – 4:00 P.M.

ALL MEMBERS OF THE GOVERNING BODY ARE INVITED TO ATTEND THIS MEETING

CITY CLERK'S OFFICE

1. CALL TO ORDER

DATE 4-13-12 TIME 1:45

2. ROLL CALL

SERVED BY Yplanda Green

3. APPROVAL OF AGENDA

RECEIVED BY [Signature]

4. APPROVAL OF CONSENT AGENDA

5. APPROVAL OF MINUTES:

Regular Finance Committee Meeting – April 2, 2012

INFORMATIONAL ITEMS

6. Santa Fe Police Officers Association Presentation (Adam Gallegos, President)

7. Auditor Report on Advantage Asphalt (Marty Mathison)

CONSENT AGENDA

8. Request for Approval of Amendment No. 1 to Grant Agreement – Foster Grandparent Program for Senior Services Division; State of New Mexico Aging and Long-Term Services Department. (Melanie Montoya)

A. Request for Approval of Budget Increase – Grant Fund

9. Request for Approval of Procurement under Cooperative Price Agreement – One (1) Automated Side-Loader Collection Unit for Environmental Services Division; Bruckner's Truck Sales, Inc. (Lawrence Garcia)

10. Request for Approval of Procurement under Cooperative Price Agreement – Six Hundred Twenty-Four (624) Ninety-Six Gallon Residential Automated Refuse Carts for Environmental Services Division; Toter Incorporated. (Lawrence Garcia)

11. Request for Approval of Change Order No. 3 – Canyon Road Water Treatment Plant Residual Modifications and Improvements Project; Weaver Construction Management, Inc. (Robert Jorgensen)



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A. Request for Approval of Budget Increase – Project Fund

12. Request for Approval of First Amendment to Option and Easement Agreement – Leased Premises at Buckman Booster Station No. 4 off Camino La Tierra; Verizon Wireless, LLC. (Edward Vigil)
13. Request for Approval of Amendment No. 1 to Professional Services Agreement – Security Services for Municipal Parking Facilities, Santa Fe Community Convention Center, Municipal Libraries and Municipal Court; Chavez Security, Inc. (P.J. Griego)
14. Request for Approval of Information Technology Agreement – Web Content Management System for City of Santa Fe Website (RFP #12/02/P); Desert Elements Design. (Carla Lopez)
15. Staff Update on Findings of National League of Cities Service Line Warranty Program in Accordance with Resolution 2012-5. (Bryan Snyder)

A. Request for Approval of a Resolution Directing Staff to Explore the National League of Cities Service Line Warranty Program, Administered by Utility Service Partners, Inc., as an Option for Property Owners in the City of Santa Fe to Purchase Water and Sewer Line Protection. (Councilors Calvert and Wurzburger) (Brian Snyder)

16. Request for Approval of a Resolution Amending Resolution 2007-58 Related to Arts and Crafts Shows at Cathedral Park so that the Southwest Association of Indian Arts (“SWAIA”) is authorized to use Cathedral Park for Indian Market Activities during the Weekend in which Indian Market occurs. (Councilors Wurzburger and Rivera) (Sebastian Gurule)

Committee Review:

Public Works (approved)
City Council (scheduled)

04/09/12
04/25/12

Fiscal Impact -

17. Request for Approval of a Resolution Calling for the Establishment of a Charter Review Commission to Review Charter Amendment Questions for Submittal of such Questions to the Electorate of the City of Santa Fe at a Special Municipal Election. (Councilor Wurzburger) (Geno Zamora)



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Committee Review:

Public Works (approved)
City Council (scheduled)

04/09/12
04/25/12

Fiscal Impact – Yes

18. Request for Approval of a Resolution Directing Staff to Explore Various Options and Feasibility related to the Santa Fe Plaza and Plaza Periphery area regarding the Financing of Infrastructure and Improvements; Acquiring Security; Addressing Deceptive Marketing Practices and Business License Non-Compliance and Specifying Locations for the Placement of Newspaper boxes. (Councilors Wurzbarger and Rivera) (Robert Romero)

Committee Review:

Public Works (approved)
City Council (scheduled)

04/09/12
04/25/12

Fiscal Impact – No

END OF CONSENT AGENDA

DISCUSSION

19. Request for Acceptance of the City of Santa Fe Comprehensive Annual Financial Report for Fiscal Year Ending June 30, 2011. (Teresita Garcia, Maurice Lierz and Marty Matheson)
20. OTHER FINANCIAL INFORMATION:
- A. Update on Gross Receipts Tax Report Received in April 2012 (for February 2012 Activity) and Lodgers' Tax Report Received in April 2012 (for March 2012 Activity). (Dr. Melville Morgan)
21. MATTERS FROM THE COMMITTEE

RECESS (15 MINUTES)



Agenda

SPECIAL FINANCE COMMITTEE MEETING
AND
FY 2012/2013 OPERATING BUDGET REVIEW
CITY COUNCIL CHAMBERS
APRIL 16, 2012 – 4:00 P.M.

SPECIAL FINANCE COMMITTEE STUDY SESSION FY 2012/2013 OPERATING BUDGET REVIEW

1. CALL TO ORDER
2. ROLL CALL
3. APPROVAL OF AGENDA
4. PUBLIC COMMENTS
5. INTRODUCTION AND OVERVIEW OF FISCAL YEAR 2012/2013 OPERATING BUDGET REVIEW (ROBERT ROMERO)
 - A. Department Reviews:
 - Municipal Court
 - City Clerk
 - Human Resources
 - Land Use
 - City Attorney
 - B. Wrap-Up
6. ADJOURN

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

**SUMMARY OF ACTION
SPECIAL FINANCE COMMITTEE MEETING AND
FY 2012/2013 OPERATING BUDGET REVIEW
Monday, April 16, 2012**

<u>ITEM</u>	<u>ACTION</u>	<u>PAGE</u>
CALL TO ORDER AND ROLL CALL	Quorum	1
APPROVAL OF AGENDA	Approved	2
APPROVAL OF CONSENT AGENDA	Approved [amended]	2
CONSENT AGENDA LISTING		2-3
APPROVAL OF MINUTES: REGULAR FINANCE COMMITTEE MEETING – APRIL 2, 2012	Approved	3
<u>INFORMATIONAL ITEMS</u>		
SANTA FE POLICE OFFICERS ASSOCIATION PRESENTATION	Postponed to 04/30/12	3
AUDITOR REPORT ON ADVANTAGE ASPHALT	Information/discussion	3-9
<u>CONSENT CALENDAR DISCUSSION</u>		
REQUEST FOR APPROVAL OF AMENDMENT NO. 1 TO PROFESSIONAL SERVICES AGREEMENT – SECURITY SERVICES FOR MUNICIPAL PARKING FACILITIES, SANTA FE COMMUNITY CONVENTION CENTER, MUNICIPAL LIBRARIES AND MUNICIPAL COURT; CHAVEZ SECURITY, INC.	Approved	10-13
REQUEST FOR APPROVAL OF A RESOLUTION AMENDING RESOLUTION 2007-58, RELATED TO ARTS AND CRAFTS SHOWS AT CATHEDRAL PARK SO THAT THE SOUTHWEST ASSOCIATION OF INDIAN ARTS (“SWAIA”) IS AUTHORIZED TO USE CATHEDRAL PARK FOR INDIAN MARKET ACTIVITIES DURING THE WEEKEND IN WHICH INDIAN MARKET OCCURS	Approved	13
REQUEST FOR APPROVAL OF A RESOLUTION CALLING FOR THE ESTABLISHMENT OF A CHARTER REVIEW COMMISSION TO REVIEW CHARTER AMENDMENT QUESTIONS FOR SUBMITTAL OF SUCH QUESTIONS TO THE ELECTORATE OF THE CITY OF SANTA FE AT A SPECIAL MUNICIPAL ELECTION	Moved forward to Council	14-16

<u>ITEM</u>	<u>ACTION</u>	<u>PAGE</u>
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REQUEST FOR APPROVAL OF A RESOLUTION
DIRECTING STAFF TO EXPLORE VARIOUS
OPTIONS AND FEASIBILITY RELATED TO THE
SANTA FE PLAZA AND PLAZA PERIPHERY
AREA REGARDING THE FINANCING OF
INFRASTRUCTURE AND IMPROVEMENTS;
ACQUIRING SECURITY; ADDRESSING
DECEPTIVE MARKETING PRACTICES AND
BUSINESS LICENSE NON-COMPLIANCE AND
SPECIFYING LOCATIONS FOR THE PLACEMENT
OF NEWSPAPER BOXES

Approved

16-19

END OF CONSENT CALENDAR DISCUSSION

SPECIAL FINANCE COMMITTEE STUDY SESSION
FY 2012/2013 OPERATING BUDGET REVIEW

CALL TO ORDER	Quorum	20
APPROVAL OF AGENDA	Approved	21
PUBLIC COMMENT	None	21
REMARKS FROM THE GOVERNING BODY	Information/discussion	21-22
INTRODUCTION AND OVERVIEW OF FISCAL YEAR 2012/2013 OPERATING BUDGET REVIEW	Information/discussion	23-26
<u>DEPARTMENT REVIEWS:</u>		
MUNICIPAL COURT	Approved	26-28
CITY CLERK	Approved	28-29
HUMAN RESOURCES	Approved w/direction to staff	29-32
LAND USE	Approved	32-37
CITY ATTORNEY	Approved	37-38
WRAP-UP	Information/discussion	39

<u>ITEM</u>	<u>ACTION</u>	<u>PAGE</u>
REQUEST FOR ACCEPTANCE OF THE CITY OF SANTA FE COMPREHENSIVE ANNUAL FINANCIAL REPORT ["CAFR"] FOR FISCAL YEAR ENDING JUNE 30, 2011	Not heard	39
OTHER FINANCIAL INFORMATION: UPDATE OF GROSS RECEIPTS TAX REPORT RECEIVED IN MARCH 2012 (FOR JANUARY 2012 ACTIVITY) AND LODGERS' TAX REPORT RECEIVED IN APRIL 2012 (FOR FEBRUARY 2012 ACTIVITY) AND LODGERS' TAX REPORT RECEIVED IN APRIL 2012 (FOR MARCH 2012 ACTIVITY)	Not heard	39
MATTERS FROM THE COMMITTEE	Information/discussion	40
ADJOURN		40

**MINUTES OF THE
CITY OF SANTA FE
FINANCE COMMITTEE
Monday, April 16, 2012**

1. CALL TO ORDER

A meeting of the City of Santa Fe Finance Committee was called to order by Chair Carmichael A. Dominguez, at approximately 5:00 p.m., on Monday, April 16, 2012, in the Council Chambers, City Hall, 200 Lincoln Avenue, Santa Fe, New Mexico.

2. ROLL CALL

MEMBERS PRESENT:

Carmichael A. Dominguez, Chair
Councilor Patti J. Bushee
Councilor Bill Dimas
Councilor Peter N. Ives

MEMBERS EXCUSED:

Councilor Christopher Calvert

OTHER GOVERNING BODY MEMBERS ATTENDING:

Mayor David Coss
Councilor Christopher M. Rivera
Councilor Rebecca Wurzbarger

OTHERS ATTENDING:

Robert Romero, City Manager
Dr. Melville L. Morgan, Director, Finance Department
Yolanda Green, Finance Division
Melessia Helberg, Stenographer.

There was a quorum of the membership in attendance for the conducting of official business.

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

3. APPROVAL OF AGENDA

MOTION: Councilor Bushee moved, seconded by Councilor Dimas, to approve the agenda as published.

VOTE: The motion was approved on a voice vote, with Chair Dominguez, Councilor Dimas and Councilor Bushee voting in favor of the motion, no one voting against, and Councilor Ives absent for the vote..

4. APPROVAL OF CONSENT AGENDA

MOTION: Councilor Bushee moved, seconded by Councilor Dimas, to approve the following Consent Agenda as amended.

VOTE: The motion was approved on a voice vote, with Chair Dominguez, Councilor Dimas and Councilor Bushee voting in favor of the motion, no one voting against, and Councilor Ives absent for the vote..

CONSENT AGENDA

8. **REQUEST FOR APPROVAL OF AMENDMENT NO. 1 TO GRANT AGREEMENT – FOSTER GRANDPARENT PROGRAM FOR SENIOR SERVICES DIVISION; STATE OF NEW MEXICO AGING AND LONG-TERM SERVICES DEPARTMENT. (MELANIE MONTOYA)**
 - A. **REQUEST FOR APPROVAL OF BUDGET INCREASE – GRANT FUND.**
9. **REQUEST FOR APPROVAL OF PROCUREMENT UNDER COOPERATIVE PRICE AGREEMENT – ONE (1) AUTOMATED SIDE-LOADER COLLECTION UNIT FOR ENVIRONMENTAL SERVICES DIVISION; BRUCKNER’S TRUCK SALES, INC. (LAWRENCE GARCIA)**
10. **REQUEST FOR APPROVAL OF PROCUREMENT UNDER COOPERATIVE PRICE AGREEMENT – SIX HUNDRED TWENTY-FOUR (624) NINETY-SIX GALLON RESIDENTIAL AUTOMATED REFUSE CARTS FOR ENVIRONMENTAL SERVICES DIVISION; TOTER INCORPORATED. (LAWRENCE GARCIA)**
11. **REQUEST FOR APPROVAL OF CHANGE ORDER NO. 3 – CANYON ROAD WATER TREATMENT PLANT RESIDUAL MODIFICATIONS AND IMPROVEMENTS PROJECT; WEAVER CONSTRUCTION MANAGEMENT, INC. (ROBERT JORGENSEN)**
 - A. **REQUEST FOR APPROVAL OF BUDGET INCREASE – PROJECT FUND.**
12. **REQUEST FOR APPROVAL OF FIRST AMENDMENT TO OPTION AND EASEMENT AGREEMENT – LEASED PREMISES AT BUCKMAN BOOSTER STATION NO. 4 OFF CAMINO LA TIERRA; VERIZON WIRELESS, LLC. (EDWARD VIGIL)**
13. ***[Removed for discussion by Councilor Bushee]***

14. REQUEST FOR APPROVAL OF INFORMATION TECHNOLOGY AGREEMENT – WEB CONTENT MANAGEMENT SYSTEM FOR CITY OF SANTA FE WEBSITE (RFP #12/02/P); DESERT ELEMENTS DESIGN. (CARL LOPEZ)
15. STAFF UPDATE ON FINDINGS OF NATIONAL LEAGUE OF CITIES SERVICE LINE WARRANTY PROGRAM IN ACCORDANCE WITH RESOLUTION 2012-5. (BRIAN SNYDER)
 - A. REQUEST FOR APPROVAL OF A RESOLUTION DIRECTING STAFF TO EXPLORE THE NATIONAL LEAGUE OF CITIES SERVICE LINE WARRANTY PROGRAM, ADMINISTERED BY UTILITY SERVICE PARTNERS, INC., AS AN OPTION FOR PROPERTY OWNERS IN THE CITY OF SANTA FE TO PURCHASE WATER AND SEWER LINE PROTECTION (COUNCILORS CALVERT AND WURZBURGER). (BRIAN SNYDER)
16. *[Removed for discussion by Councilor Bushee]*
17. *[Removed for discussion by Councilor Bushee]*
18. *[Removed for discussion by Councilor Bushee]*

END OF CONSENT AGENDA

5. APPROVAL OF MINUTES: REGULAR FINANCE COMMITTEE MEETING – APRIL 2, 2012.

MOTION: Councilor Dimas moved, seconded by Councilor Dominguez, to approve the minutes of the Regular Finance Committee Meeting of April 2, 2012, as presented.

VOTE: The motion was approved on a voice vote with Councilor Dimas and Councilor Dominguez voting in favor of the motion, Councilor Bushee voting against, and Councilor Ives absent for the vote..

INFORMATIONAL ITEMS

6. SANTA FE POLICE OFFICERS ASSOCIATION PRESENTATION. (ADAM GALLEGOS, PRESIDENT)

This item is postponed to the next meeting of the Committee.

7. AUDITOR REPORT ON ADVANTAGE ASPHALT. (MARTY MATHISON, ATKINSON & CO., LTD)

A copy of the *Advantage Asphalt Procurement Memo*, to the City of Santa Fe from Atkinson & Co., dated June 30, 2010, is incorporated herewith to these minutes as Exhibit "1."

A copy of *Advantage Asphalt Cash Disbursement*, dated June 30, 2010, is incorporated herewith to these minutes as Exhibit "2."

A copy of a Memorandum dated April 16, 2012, with attachments, to Dr. Melville L. Morgan, Director Finance Department, from Robert Rodarte, Purchasing Officer, Purchasing Division, is incorporated herewith to these minutes as Exhibit "3."

A copy of a listing of all bids received from Advantage Asphalt, with bid rating sheets, from FY 01/02 the current FY 11/12, is incorporated herewith to these minutes as Exhibit "4."

Robert Romero said there are materials on the Committee members desks including a Memorandum from Marty Mathieson, Atkinson & Company [Exhibit "1"], which was provided with information obtained from Robert Rodarte and the City's external auditor.

Mr. Romero said he understands when the Atkinson did its audit of the City for 2010, the auditors looked at all open contracts with Advantage Asphalt, which are listed in the Memorandum. Mr. Romero reviewed the information in Exhibit "1."

Mr. Romero said when the issue with Advantage Asphalt arose, the City was contacted by the Sheriff's Office, and at Council direction they spoke to the State Auditor. The State Auditor said he didn't do audits, but he could give a scope of what to do and the City can then hire someone. Mr. Romero said they worked with the State Auditor but didn't receive anything. He said our external auditor was performing the City's audit at the time, so he asked him to make a special emphasis on Advantage Asphalt contracts with the City. Mr. Romero said Mr. Mathieson of Atkinson looked at every open contract with Advantage Asphalt. He said Mr. Mathieson attended a Finance Committee meeting in July or August, and presented his findings. He said Mr. Mathieson said he looked at all of the contracts, the procurement process. He said the auditor, Mr. Mathieson, has an engineering background, and met with all of the project managers, went to the field on every project to confirm the work had been done, which became a part of the external audit.

Mr. Romero said the audit was then sent to the State Auditor, and reviewed and sent back as approved. He said after the indictments, Councilor Bushee expressed concerns, and subsequently the Mayor announced that we are asking the D.A. to look at these things. He said Councilor Ives asked that our auditor come here to explain everything they did.

Marty Mathieson of Atkinson & Co., reviewed the information in Exhibit "1." Please see Exhibit "1" for specifics of this presentation. Mr. Mathieson said they found that Advantage Asphalt was the low bidder on all the work they secured and the bid files appeared to be in order in accordance with procurement standards. He said they were told after that, that there were various jobs on which Advantage Asphalt was not the low bidder, so they won some bids and lost some.

Mr. Mathieson said Atkinson concludes that the contracts with Advantage Asphalt appear to be properly obtained through competitive bid, expenditures appear properly accounted for and within contracted amounts, and services appear to be complete and materials within engineering standards.

The Committee commented and asked questions as follows:

Councilor Bushee asked a series of questions as follows:

- **Councilor Bushee asked Robert Romero what did the Sheriff ask him when he came to talk with him.** Mr. Romero said the Sheriff said there were some issues with Advantage Asphalt at the County, and he wanted to work with the City to review our files to assure that there weren't the same kinds of issues happening here.
- **Councilor Bushee asked Mr. Romero what happened from there.** Mr. Romero said the Sheriff interviewed many City staff and went through many of the files.
- **Councilor Bushee asked if they issued a report, or do the kind of stand-alone investigation that we're requesting.** Mr. Romero said, "Not that I'm aware of." He said they did ask about a couple of projects, specifically one at Pueblos del Sol where there was use of millings on a project, and they asked if the project was specified like that. He said, "In fact, that project was speced for base course. Our Streets Director mentioned to the Parks people they had millings available, so we actually did a change order reduction to use those millings on that project. That's the one I remember them asking about specifically. I'm not aware that after the interviews that they came back and reported anything to us."
- **Councilor Bushee asked, "Did we release any and all documents that were requested, or did we require that they be subpoenaed."** Mr. Romero said, "The City Attorney advised that we document and make sure that we tracked everything that was requested. We asked the Sheriff to go through the City Attorney's office to request information. It is my understanding that we released all information. There was also a question at the time about whether he needed help. Our Police Chief Aric Wheeler, at the time, offered to help. It is my understanding that the Sheriff said he didn't need help from our Police Department."
- **Councilor Bushee said then there was no request that anybody in the City Police Department join Sgt. Yeager in the County.** Mr. Romero said, "In my discussions with Chief Wheeler, he offered to help and they specifically said they didn't need any help."
- **Councilor Bushee said, "In the review that I just heard from the accountant, I presume nobody took core samples and things like that, or is there somebody in-house that does that."** Mr. Romero said, "Again as he said, we have companies who are under contract on each of our projects to test. I'm not aware if they asked for any core samples of our projects, but we do have all of the tests available, as our auditor mentioned."
- **Councilor Bushee asked, "Okay, so for any reports issued from either the County or the City, what was the upshot of all of that effort that might have taken place or didn't take place between the City and the County. I mean, what can the Council rely on. We're dealing with something from June 30, 2010 before us today. What could we look forward to**

assume that you might have, with regard to what was done, other than this... in relationship to the potential criminal activity." Mr. Romero asked if she is speaking about potential criminal activity at the City.

- **Councilor Bushee said, "No. We've asked for the stand alone investigation, and that is about to take place at the D.A.'s office, but what we've got, essentially, is a report is that the accountant came in and looked at the books and then spoke with the people that project managed these things. So if all of this had been being done, how come we don't know any of what was done as far as, you know, the collaboration or non-collaboration between the City and the County public departments, Police Departments primarily, Public Safety Departments."**
- Chair Dominguez said he is unsure if he understands Councilor Bushee's question.
- **Councilor Bushee said "The question is the Chief came in, in 2010. Mr. Romero said the Chief came in [into the City] 2011, Chief Rael."**
- **Councilor Bushee said, "Okay, Aric Wheeler was the Chief at the time. Were the requests... he made a request to the County, when the Sheriff came to you, I assume it was Sheriff Solano initially." Mr. Romero said this is correct.**
- **Councilor Bushee asked, "Was that followed up with the replacement Sheriff. Did they follow up with any kind of... so there's been no real effort..." Mr. Romero said, "Other than investigators or detectives or whatever they were, meeting with our staff and giving them the information, other than that, there's been no other contact after those meetings happened. I believe that they did ask about one of the contracts that the County used, was one of our On-Call contracts. We were asked if we approved that, and we said we have no approval authority over County contracts. Other than that, again, they asked about a few of our projects. We shared the information, and they never made, at least I'm not aware that they ever reported back anything to us."**
- **Chair Dominguez asked Mr. Romero if he has a record of any of this collaboration, or access that the Sheriff was asking for back then. Mr. Romero said, "Again, we could ask about what copies were given to them, who they met with. I think we asked that he, for that reason, that he go through the City Attorney's office. I believe there were times that they didn't. They just went directly to staff – the new Sheriff."**

Chair Dominguez said, "The Sheriff went directly to staff." Mr. Romero said, "I believe the detectives a few times just went directly to staff."
- **Chair Dominguez asked, "Did he go through your office to talk to staff." Mr. Romero said, "No, I think they just went directly to staff in some cases and staff fully cooperated, regardless of whether they went through my office of the City Attorney's Office."**

- **Councilor Bushee said, “I just want to follow through, so when one subpoenas a document, is that a public record. Is that a document that’s a public record.”** Mr. Romero said he doesn’t know, and said we could ask Geno Zamora.
- **Councilor Bushee said, “Well, what I would like, if that’s possible, to know what records were subpoenaed and what records were given over.”** Mr. Romero said, “We could, definitely, regards if there if there was a subpoena or not. I could ask staff to provide... so, there never was any subpoenas, according to Geno.”
- **Councilor Bushee said, “Then no documents were handed over, or no documents were subpoenaed.”** Geno Zamora, City Attorney said, there was a discussion whether there would be the need for subpoenaing documents. There was a discussion held with myself and Sheriff Solano, but we found a way to provide the County and County investigators with all documents without a subpoena. So, at one time, there was a discussion because we were looking for ways to ensure that there was a paper trail that demonstrated what we were providing to the County, as well as providing to counsel for any of the attorneys. That being said, the County was not comfortable with issuing a subpoena. Therefore, I worked with the County Attorney, Steve Ross, to collect and transmit all documents to Steve Ross who provided them to the investigators.”
- **Councilor Bushee asked Mr. Zamora if he has a list of all those documents.** Mr. Zamora said, “What I have is the email to Steve Ross that would contain all of those documents, but I don’t know that there was a bullet point list on top of the probably, this thick, about 5-6 inches thick worth of documents that were provided.”
- **Councilor Bushee asked if the email was transmitted as Attorney-Client Privilege.** Mr. Zamora said, “It is an email transmitted from an attorney from the City to an attorney from the County. I don’t believe that there’s... there’s certainly no Attorney-Client Privilege among the two of us. I would have to look to make sure we can disclose that because it was part of an investigation. My gut is that it’s something that we could disclose, but I would have to look at it. And I haven’t seen that in two years.”
- **Councilor Bushee asked that he follow up in this regard.** Mr. Zamora said, “Yes, I will note that.”

Chair Dominguez asked questions as follows

- **Chair Dominguez said, “So, Geno, I guess essentially, theoretically that the Sheriff wanted to find out, or if anybody wanted to find out, about any correspondence between the City and the County regarding Advantage Asphalt, they could certainly ask for a Public Records request from the County.** Mr. Zamora said, “That’s correct. We’re both governmental entities, so long as those documents are a public record, remember there are exclusions in State law for pending investigations of persons accused, but not charged. We do have indictments out recently, so that can change the status of them.”

- **Chair Dominguez said, “The reason I asked that, is because I want to make sure that it doesn’t seem as though... we’re not doing the County’s job. In other words, it’s not necessarily up to the City to decide what records it is at the County who, I guess is involved in this, and investigating along with the D.A. to do their job in getting their information for them. But the reality is that we’ve opened up our books and we’ve opened up everything we can give to the County or the D.A., or anybody else, but now the D.A., regarding Advantage Asphalt.”** Mr. Zamora said, “That’s correct, as far as what the County asked for, what it needed, what it considered, that’s up to them, and what their considerations are, as far as I’m concerned, back in 2010, all the documents that they requested, were those documents that we transmitted to them through the County Attorney’s Office.
- **Chair Dominguez said, “A couple of questions, I guess for the auditor. Just a couple of things. I guess in your analysis of the information you’ve received, does there seem to be any evidence of bid rigging.”** Mr. Mathieson said, “No.”
- **Chair Dominguez asked, “And how is it that you can clarify or validate that.”** Mr. Mathieson said, “Well, what I do, is I can objectively look at the documents that I saw, and I draw my conclusions from that. The bid files, the work papers, appeared to be in order with the proper approvals, and Advantage asphalt was the low bidder in those cases. We did not notice anything that might be judged to be bid rigging. So, I’m just answering your question, based on what we did, we did not notice anything.”
- **Chair Dominguez said, “I just read through some of your stuff real quickly, but essentially what you’re saying is there is an indication that things were done right. In your professional opinion, does there seem to be anything that was done wrong.”** Mr. Mathieson said, “No. We didn’t notice anything, and what we focus on is your policies, procedures and your systems for doing these things. The City of Santa Fe is a large entity. It depends on its system of policies and procedures. We had no exceptions to the tests that we did. No reservations.”
- **Chair Dominguez said, “So I guess, just so we can kind of get a little clearer understanding about your process, you looked at everything that was open in 2010. It wasn’t just a sample of 2010, it was everything that was open in 2010.”** Mr. Mathieson said, “Open contracts, FY10, as obtained from the City Clerk’s Office.”
- **Chair Dominguez said, “And this was across the organization, so you didn’t look at just one department, you looked at several departments.”** Mr. Mathieson said, “The entryway into our test work is the contract itself. How is it procured, then what, like, payments were made on a cash disbursement. We did also check that it was coded to the correct project. In our opinion, that was all done correctly, so yes.”

- **Chair Dominguez said, “One other question, and this is my final question I guess. Can you give me an example of something that would have been a red flag, for lack of a better term, or something that would say, ‘Hey, we need to look at this even closer, or there’s something wrong here and it becomes a finding.’ I don’t know if that’s possible for you to provide an example like that.”** Mr. Mathieson said, “If Advantage Asphalt had won every contract they bid on, that would have been a pattern that certainly would have warranted additional test work. Because it is a competitive environment. Four or five firms bid on every one, for the ones we looked at in our work papers, but that wasn’t the case. If you had lack of approvals, lack of invoices, different amounts than what were on the contracts and the invoices, different payments, coding to the wrong accounts, something looks funny at the job site. Now we observe for reasonableness and didn’t see anything unreasonable. Everything looked in order, and once again, relying on your system and your policies and procedures to ensure quality. Those job sites were inspected for the proper quality and compliance for the contract by the outside vendor. I’ve got the documents the vendor used, but I don’t have the name right now in my mind. The other time periods than FY10 would be maybe something that certainly, we didn’t look at that coming forward from FY10. As the Advantage Asphalt situation grew there were no further transactions with them.”
 - **The Chair recognized Mr. Romero.** Mr. Romero said, “I wanted to just state that this was brought to my attention that there may be some type of bid rigging, or that Advantage Asphalt got every contract they’ve ever bid on at the City, so in your packet, I asked Robert Rodarte to put information together that shows every contract that Advantage Asphalt bid on and whether they were the low bidder, so that’s in there and Robert’s here.”
- Councilor Bushee said there is nothing in her packet.** Mr. Romero said he would apologize, it is stuff that was handed out today. He said, “Robert Rodarte is here and can explain that.”
- **Councilor Bushee said to Mr. Romero, “In the future when you have an agenda item, could we have the stuff in the packet, or postpone the agenda item until the stuff is able to be read. Because I might have further questions, but I haven’t had time to read any of it.”** Mr. Romero said it can come back to the Committee if she would like.

Councilor Bushee said, “I was going to ask that you go back to the beginning of Advantage Asphalt that you could find.”

Chair Dominguez asked, “Is this information available to the D.A., or the investigator.”

Mr. Romero said yes.

Chair Dominguez said then they’ll be able to take a pretty close look at all this information.

CONSENT CALENDAR DISCUSSION

13. REQUEST FOR APPROVAL OF AMENDMENT NO. 1 TO PROFESSIONAL SERVICES AGREEMENT – SECURITY SERVICES FOR MUNICIPAL PARKING FACILITIES, SANTA FE COMMUNITY CONVENTION CENTER, MUNICIPAL LIBRARIES AND MUNICIPAL COURT; CHAVEZ SECURITY, INC. (P.J. GRIEGO)

Councilor Bushee said she pulled this in the past, commenting she is not in favor of multi-year large contracts. She said Mr. Gurule says in his Memo that he thinks it provides a level of continuity. She said, "The concern I had is that ultimately I thought we might have been sued for the former bid process when we had a contractor ranked very closely to this same contractor, and would have exacted a cost savings to the City over the three years of close to three-quarters of a million dollars, so I had my concerns then. But I actually had my concerns raised initially on this contractor, when I was reading in my packet, when it said it was out of the contractor's goodness of their heart that they were giving us a 5% discount, and I thought, well it should be our procurement process that exacts those kinds of savings. And so I see again, that we're amending this contract to again not put it out to bid. Is the expectation that you'll do that for this year and the coming year and that'll be 3 years and then it'll have to out to RFP."

Mr. Gurule said this is correct.

Councilor Bushee said, "In the meantime I read... So, I'm opposed to that process for large multiple year large contracts. And so I have my choice to vote how I vote. But in here you say, somehow in the level of service, you've exacted some kind of savings. So last year's contract amount was total, the same amount as this one."

Mr. Griego said, "That amount is going to be the same for the next two years."

Councilor Bushee asked, "So where is this savings of 23% from FY 2010/11, in the service amount of \$776,577.41. It says there is a 23% savings on the service amount. You've gone to stationary guard service to roving patrol service and there's some savings. So if the contracts are the same amount, where is the savings reflected."

Mr. Griego said that should be referring to the previous year to this last [current] FY11/12.

Councilor Bushee said then there are no new savings, and Mr. Griego said this is correct.

Councilor Bushee asked the contract amount for the year before.

Mr. Griego said it was approximately \$750,000.

Councilor Bushee said, "No. I mean the whole total... you're showing me some savings, but I have no way to detect when those savings took place."

Mr. Griego said he can get the exact number. He said, "In order to reduce the contract any more, the security service wouldn't be enough to provide what we need for the amount of lots, and the library and the Municipal Court."

Councilor Bushee said, "And you're telling me it was just last year that the savings was. Correct."

Mr. Griego said, "That's my understanding yes."

Councilor Bushee said, "And you told me that last year's contract, Sev, was the same amount as this year's contract. The overall \$1 million and change. Is that correct?"

Mr. Gurule said, "This is the first year of the first contract of this RFP process, the savings of which P.J. is referring to, was for the previous contract term. What we have here presented was the savings that was realized in negotiations through and with the contractor for the first year of this first contract with Chavez Security."

[Councilor Bushee's question here is inaudible because she had her microphone turned off.]

Councilor Bushee said, "So what I'm asking.... so I'm trying to see where that 23% savings is reflected in the total amount. So if last year's, 2010/2011 fiscal year's contract amount was the same as this year's, where am I seeing... I would presume that this would be 23% more this year."

Mr. Gurule said staff can provide additional information on the previous contract so she can see clearly where the savings were.

Councilor Bushee said she is going to vote against approval, because she thinks this should be put out to bid every year.

Chair Dominguez said, "You negotiated this new price on the existing contract, and we're in the first year of that existing contract."

Mr. Gurule said this is correct.

Chair Dominguez said, "So, basically, the contract was awarded to the contractor and then you were able to talk to him and say, hey can we renegotiate some of that to help bring the price down."

Mr. Gurule said, "If I may just go back a little further. Prior to this current contract, the contract was awarded for a total of four years consecutively, with the understanding that it is in the City's best interest to be able to have an agreement that allows for renewal upon completion of satisfactory performance, is how we renegotiated and bid this RFP. Now, prior to this current contract, and realizing the economic downturn, Chavez Security was also asked to see if they can reduce the contract and reduce expenses."

Chair Dominguez said, then that was the mandate by the Governing Body.

Mr. Gurule said, "This is correct, and upon that, we further threw in with the final negotiations, working through Chavez Security, and saying how else can we continue to realize additional savings and how we can continue to have the same level of service. This is how Peso Chavez was able to provide some additional savings for us."

Chair Dominguez said, "So, outside of the fiscal stuff, you also look at quality of service."

Mr. Gurule said they "look at quality of service as well as the continuity of service."

Chair Dominguez said then you want to make sure that they don't have to retrain and other things, reteach the nooks and crannies that might exist that a new company might not know about.

Mr. Gurule said that is correct.

Chair Dominguez asked Robert Romero if all of the procurement procedures were followed with this contract.

Mr. Romero said he hasn't look at this specific project or contract, but he would assume if it is before this Committee, that all of the policies and procedures were followed, and the Chair can ask Robert Rodarte to verify that.

Chair Dominguez asked, "Do you feel comfortable that the policies and procedures, and all of the procurement process has been followed."

Mr. Gurule said, "Yes, and we've been working very closely with Robert Rodarte and making sure of that, at the beginning of the RFP, going through the awarding process and finalizing the contract, working with the Legal Department, to make sure that all policies and procedures, all the t's and i's were crossed and dotted. I feel very strongly confident that we have."

Councilor Ives arrived at the meeting

Chair Dominguez said, "We have other contracts that are multi-year, and this isn't something that's necessarily unheard of or uncommon."

Mr. Romero said, "We have many multi-year contracts, for several reasons – continuity issues. A lot of time if a contractor knows they're going to have this type of work for 4 years, I think we get a better rate. Also, the time it takes to put out a contract to bid and the RFP process, and if we had to do every single contract we do every year, that would take a lot of time. So there are lots of reasons why we do multi-year contracts."

Chair Dominguez said this is good educational experience for him, and he appreciates this information.

Councilor Dimas asked in past years, if this contract was for only one year.

Mr. Gurule said the previous contract was awarded for four consecutive years, with no renewal option.

Councilor Dimas asked if the contract was fulfilled successfully without problems with the contractor.

Mr. Gurule said this is correct, and said "They did an exceptional job."

Councilor Ives noted the committee asked questions which were well addressed by staff, and he is comfortable with the agreement.

MOTION: Councilor Dimas moved, seconded by Councilor Ives, to approve this request as submitted.

DISCUSSION: Councilor Bushee said she will be voting against this contract, reiterating that if the other company which ranked very closely with this one had been approved, it would have saved the City \$750,000 over the term of the contract. She thinks throwing this into the competitive market place is the best place to try to exact a cost savings, rather than trying to negotiate and bargain with somebody who already "got ahold of the contract for multiple years, so I will be voting against it."

VOTE: The motion was approved on a voice vote, with Councilors Dimas and Ives voting in favor of the motion and Councilor Bushee voting against.

16. REQUEST FOR APPROVAL OF A RESOLUTION AMENDING RESOLUTION 2007-58, RELATED TO ARTS AND CRAFTS SHOWS AT CATHEDRAL PARK SO THAT THE SOUTHWEST ASSOCIATION OF INDIAN ARTS ("SWAIA") IS AUTHORIZED TO USE CATHEDRAL PARK FOR INDIAN MARKET ACTIVITIES DURING THE WEEKEND IN WHICH INDIAN MARKET OCCURS (COUNCILORS WURZBURGER AND RIVERA). (SEVASTIAN GURULE). Committee Review: Public Works (approved) 04/09/12; and City Council (scheduled) 04/25/12. Fiscal Impact – ??

Councilor Bushee said, "I just brought this off to make sure that the folks that kind of... I know it's a City park, but we have a subgroup of I think the Fiesta Council, Alfred and those guys that take a look at this and see what the comings and goings of Cathedral Park, and I wanted to make sure in some way they know of this. Albert, I mean. I think it's the Quatrocentenario more than the Fiesta Council."

Mr. Romero said, "What this is about is something that has been happening for many years, that was never codified, and we're bringing it forward now, so SWAIA can do this officially. He said he can contact Albert if she would like."

MOTION: Councilor Bushee moved, seconded by Councilor Dimas, to approve this request.

VOTE: The motion was approved unanimously on a voice vote.

17. REQUEST FOR APPROVAL OF A RESOLUTION CALLING FOR THE ESTABLISHMENT OF A CHARTER REVIEW COMMISSION TO REVIEW CHARTER AMENDMENT QUESTIONS FOR SUBMITTAL OF SUCH QUESTIONS TO THE ELECTORATE OF THE CITY OF SANTA FE AT A SPECIAL MUNICIPAL ELECTION (COUNCILOR WURZBURGER). (GENO ZAMORA)

Councilor Bushee said she removed this item for a variety of reasons. She noted Councilor Wurzburger isn't in attendance at this time. She said she has no problems with a Charter Review Commission. She noted the language on packet page 6, line 11, provides, "... proposed amendments introduced by members of the governing body and the public" will be entertained. She asked by what mechanism they will introduced. She said it isn't clear by what mechanism this is done. She said she has additional language to propose for the Ordinance.

Chair Dominguez asked Mr. Zamora to comment on lines 10-12 on page 2 of the Ordinance.

Mr. Zamora said, "You are correct, Section 3 discusses that the Charter Commission shall consider proposed amendments introduced by members of the Governing Body and the public. The process for the Governing Body is to pass something by Resolution to provide to the Charter Commission for their consideration, prior to November 14th. So, anything the Governing Body refers to them must be done by November 14th. That same deadline applies to the public, and if you look at Section 6 on page 4, line 1 of the Resolution, it says, "The Commission shall meet in public, at least once per month and shall conduct all meetings in accordance with the Open Meetings Act and adopted City policy and procedures." What is implied, but possibly not clearly stated, is in those public meetings, that's the forum by which members of the public would introduce items for consideration. Again, on a monthly basis, upon passage of this Resolution, the Charter Commission would convene and would meet at least once per month through December 2012. "

Councilor Wurzburger arrived at the meeting

Councilor Bushee asked Mr. Zamora if he wants to spell that out somewhere, that that has to be done by Resolution.

Mr. Zamora said this is on page 4 of the Resolution, line 15, in 3 of the Resolved clause, "...any other Charter amendment questions presented by resolution of the Governing Body or the public, at least two months prior to the conclusion of the Commission."

Mr. Zamora said, "Actually, we may need some clarification there because the public isn't able to provide a resolution. So on Item 3, it would read: "3. Any other Charter amendment questions presented by resolution of the Governing Body, or presented by the public, at a public meeting of the Commission, at least two months prior to the conclusion of the Commission."

Councilor Bushee said since this is focused on just one Councilor's interest, she would like to make sure there are, overall, potential things to look at.

MOTION: Councilor Bushee moved to approve this request "and I would add these in the Whereas section, the first one would be requiring that all property tax increases be put to the voters, including operational taxes, and I am putting these in before anyone seconds. I would like to have the Commission look at building into the Charter, because it's a new procedure, Public Campaign Financing which is done on a volunteer basis, we could have them look at if that would be constitutionally allowed to make it mandatory, given that we're looking at term limits, which is not constitutionally allowed for at this time. I would also like them to take a look at ranked choice voting, given that the public... again, these are all just topics for discussion, ranked choice voting given that the public actually voted, when we sent that out to the voters, they voted that number 1 as a priority, even over public campaign financing. I would look at building in a transparency policy into our Charter Commission, we have all kinds of policy statements there, so I would like to build that in there. I would also have them look at, as they did I think the last time, making initiatives easier to send out to the public. I would have them look at simplifying recall provisions. I would have them look at the succession of the Mayor's position, if that were to become vacant. I'm almost done."

POINT OF ORDER ON THE MOTION: Chair Dominguez said this is not amending specific language.

EXPLANATION BY THE MAKER: Councilor Bushee said, "These are just whereases. You can put a whereas in after the other two or three whereases, that just says, whereas the Charter Review Commission may review any and all topics, and these are topics that would be included."

CONTINUATION OF THE MOTION BY MAKER: Councilor Bushee said, "And then the other would be whether or not a member of the Governing Body should be allowed to hold two elected offices concurrently, with adjunct questions relation to the collection of salaries and benefits, as in, i.e. double or triple dipping, and if one were to be holding two elected office, if the conflict of interest were to come up as in the case if they had to represent both the City and the County at the same time, how that would be dealt with. And I think that's my list. **THE MOTION WAS SECONDED BY COUNCILOR DIMAS FOR PURPOSES OF DISCUSSION.**

DISCUSSION: Councilor Wurzbarger said she would like clarification from the City Attorney. She said it is her impression or understanding that once the Commission is formed the Council would have additional opportunities to provide others areas which they might explore, as would the public, but this is not the absolute definition. The concept is more important than the examples.

Chair Dominguez said this was made clear.

Councilor Wurzbarger said she wanted to be sure it was clear to the public that this is not the end of everything with the adoption of this Resolution – from the public and from the Council.

SUBSTITUTE MOTION: Councilor Bushee moved to approve the Resolution, with the exception of lines 4-22 on page 2, so that we don't pose any particular questions, that we're actually calling the Charter Review Commission to order, so we remove all of the questions which have been posed, and skip all the ones I'm posing so we don't have to keep bringing Resolutions forward, and just say that we want to empanel a Charter Review Commission.

Councilor Wurzburger said she would be against the motion, because the intent was to give some direction, and certainly the direction provided by Councilor Bushee today is also useful. The idea is that we could give some direction to the Committee as we have in the past.

COUNCILOR BUSHEE WITHDRAW THE SUBSTITUTE MOTION TO STICK WITH HER ORIGINAL MOTION.

VOTE: The motion failed to pass on the following Roll Call Vote:

For: Councilor Bushee

Against: Councilor Dimas and Councilor Ives.

MOTION: Councilor Ives moved, seconded by Councilor Dimas, move the Resolution forward to the Council as presented so we can have a much larger debate there.

VOTE: The motion was approved on a voice vote, with Councilors Dimas and Ives voting in favor of the motion and Councilor Bushee voting against.

- 18. REQUEST FOR APPROVAL OF A RESOLUTION DIRECTING STAFF TO EXPLORE VARIOUS OPTIONS AND FEASIBILITY RELATED TO THE SANTA FE PLAZA AND PLAZA PERIPHERY AREA REGARDING THE FINANCING OF INFRASTRUCTURE AND IMPROVEMENTS; ACQUIRING SECURITY; ADDRESSING DECEPTIVE MARKETING PRACTICES AND BUSINESS LICENSE NON-COMPLIANCE AND SPECIFYING LOCATIONS FOR THE PLACEMENT OF NEWSPAPER BOXES (COUNCILORS WURZBURGER AND RIVERA). (ROBERT ROMERO) Committee Review: Public Works (approved) 04/09/12; and City Council (scheduled) 04/25/12. Fiscal Impact – No.**

Councilor Bushee said she pulled this for a variety of reasons.

[STENOGRAPHER'S NOTE: At this time an individual approached Councilor Bushee at the Council dais and provided information to Councilor Bushee. The Chair asked the individual to identify herself, but her response was inaudible. The information was provided only to Councilor Bushee, and a copy was not entered for the record.]

Councilor Wurzburger said, as a point of order, the information should have been provided to the entire Committee, and should not go to just one Councilor.

Chair Dominguez asked staff to be sure the Councilors each receive a copy of the document which was presented to Councilor Bushee.

Councilor Bushee said she has worked with the Downtown Plaza people for a while. She said page 2, line 7 of the Ordinance says "public drunkenness." She said she thought there was constitutional issue around public drunkenness, and asked Mr. Zamora if this should be included in this Resolution, and asked if public drunkenness is a criminal activity.

Mr. Zamora said, "During the Railyard Park discussions, it was very clear that being drunk in public, in and of itself, is not a criminal offense pursuant to State law. They specifically exempt that. However, the amendments that were proposed and adopted by the Governing Body as a result of that research, strengthened the Open Container law in public."

Councilor Bushee said, "Right, but what I'm asking. It's just a resolution and it's just a whereas, but do you want to include, I presume you reviewed this for form, do you want to include public drunkenness. It's just an aside here, and this isn't what I have concerns about."

Mr. Zamora said, "This Resolution was based in large part on the original Railyard Resolution, and that may be why that language is carried over. Nonetheless, I do believe that public drunkenness may be a concern of the Downtown Merchants Association, and so looking into solutions, although not ordinance amendment solutions, may be appropriate for this Resolution."

Councilor Bushee said, "Then it's okay in there, even though it's outlined as criminal activity. You don't have a problem with it."

Councilor Bushee noted the Whereas on page 2, line 10, says "acquiring security." She said in the past, we had a police officer assigned to the downtown, and that's what the Downtown Merchants have requested. So, we used to have a Police Officer assigned to Plaza, specifically. I don't know what 'acquiring security,' is talking about... another, like we did in the Railyard, but, that was what they wished for. We had a bicycle officer, and at one point some of the Councilors, primarily from District 4, I think, looked to seeing that officer reassigned elsewhere. And so I guess I want to understand if that's what we're seeking, or are we seeking the hiring of a public security contract, or an addition to the public security contract. It just says 'acquiring security.' It doesn't mention anything about cameras or any of those things either."

Mr. Zamora asked if that is a question for him.

Councilor Bushee said, "I don't know. Robert."

Mr. Romero said, "Councilor, what we expect to do with this Resolution, similar to what we did on the Railyard Resolution is to come back with options. At this time, I can't say one thing or another."

Councilor Bushee said she would ask that staff look into cameras, even the fake cameras, and if a security guard contract is being considered, she would like to look at the cost and/or the possibility of a Police Officer in the downtown.

Councilor Bushee asked what is meant by "financing of additional infrastructure and improvements to the Santa Fe Plaza."

Mr. Zamora said, "Again, there has been a multitude of information that has been provided to the Governing Body members by the Downtown Merchants Association, as well as staff. Again, many of these terms are broad because the Resolution calls for a study and you want it to be as all-encompassing as possible. That particular language addresses the concern that's been stated to the Governing Body members about improving such things as sidewalks, etc., so infrastructure improvements in and around the downtown area is what that's meant to consider."

Councilor Bushee said what she's heard about mostly are curb replacements, and a good number of those are in front of businesses, and presumes we will look to the businesses to pay.

Councilor Bushee asked Matthew O'Reilly, regarding the newspaper boxes, if he has already started a program, and asked how far along he is with that.

Mr. O'Reilly said they are pretty far along in identifying all of the issues and locations. He said they have been working closely with Councilor Calvert and should have something fairly soon.

Councilor Bushee asked, "Will that be folded into this."

Mr. O'Reilly said yes.

Councilor Bushee asked, regarding the enforcement on deceptive marketing practices and business license non-compliance, if there is an additional enforcement mechanism we can do.

Mr. O'Reilly said staff is working on an ordinance to do exactly that. He said in July 2011, the Council adopted an Ordinance tightening restrictions on percentage off signs, increasing the fines substantially and made stricter provisions. He said staff is looking to do that same thing with regard to distress merchandise sales, noting there are legal issues.

Councilor Bushee said they [Downtown Merchants Association] would like to move two of the non-cultural events on the Plaza, which are Girls, Inc. and Challenge New Mexico.

Councilor Wurzbarger said that should go forward in a separate Resolution and that has been discussed with them.

Councilor Bushee said a group has started sitting on the bandstand on the Plaza and playing and amplifying their music. She has received a lot of complaint calls about this, commenting this isn't busking. She said one gentleman said he was just teaching his son to play the guitar.

Chair Dominguez asked if this falls under the Buskers Ordinance.

Mr. O'Reilly said Councilor Bushee spoke to the Noise Ordinance. He said the downtown area is a commercial district, and noise levels in a commercial zone during the day are quite high. He said there is a possibility of enforcement through the City's Noise Ordinance in Chapter 10. He said, however, his staff has noted that most of the time when they take a noise reading, it is below the allowable decibel levels for a commercial zone. He said he can't speak to the Busker's Ordinance.

Mr. Zamora noted they sent a copy of their analysis to the Governing Body on Friday, responding to the constituent that the Busker's Ordinance applies when you are performing for an audience, with/without the exchange of money, and especially applies if it is a performance in exchange or for tips. So people playing their guitar for themselves, or teaching each other, sitting in the park, is nothing that's prohibited by the Busker's Ordinance, of course, they can't amplify that music."

Councilor Bushee said they do amplify the music.

Mr. Zamora said if they do, that's a Noise Ordinance enforcement issue.

Chair Dominguez asked if this is something that needs to be addressed in the Busker's Ordinance, or if it is relevant to the bill before us today. He sees this as a different issue.

Mr. Zamora said, "The question of busking and enforcement and improvements to the Ordinance is squarely within this Resolution and should be discussed in that context.

Councilor Bushee asked if the Resolution allows people to strum away as long as they don't amplify, noting the gentleman she spoke about previously had a Busker's License to perform last weekend. She asked what if they want to strum when we have our music on the Plaza and amplify it. She asked if language should be inserted into this Resolution that there will be no amplification of music played on the Plaza.

Mr. Zamora said, "The question that was presented to the City Attorney's Office last week was answered, which was, can you play alongside another individual for your own enjoyment, not attracting a crowd and not doing it for money. The answer to that is yes, and you are not required to have a Busker's license. The City Attorney's Office does not have another question pending before it.

Councilor Bushee asked about the amplification of that music.

Mr. Zamora reiterated that that issue is squarely within this Resolution for the Committee to consider what, if any amendments are necessary to the Busker's Ordinance. He said the City Attorney's Office will provide an answer as they conduct that research in furthering this Resolution.

Responding to Councilor Bushee, Mr. Zamora said he has no proposed language.

MOTION: Councilor Ives moved, seconded by Councilor Dimas, to approve this request.

VOTE: The motion was approved unanimously on a voice vote.

END OF CONSENT CALENDAR DISCUSSION

MOTION: Councilor Ives moved, seconded by Councilor Dimas, to amend the agenda to move the Discussion Agenda Items #19 through #21, to be heard after the Special Finance Committee Study Session, and to approve the Agenda as amended.

VOTE: The motion was approved unanimously on a voice vote.

RECESS: 5:20 to 5:30 p.m.

**SPECIAL FINANCE COMMITTEE STUDY SESSION
FY 2012/2013 OPERATING BUDGET REVIEW**

1. CALL TO ORDER

A special Study Session of the City of Santa Fe Finance Committee for FY2012/2013 Operating Budget Review, was called to order by Chair Carmichael A. Dominguez, at approximately 5:30 p.m., on Monday, April 16, 2012, in the Council Chambers, City Hall, 200 Lincoln Avenue, Santa Fe, New Mexico.

3. ROLL CALL

MEMBERS PRESENT:

Carmichael A. Dominguez, Chair
Councilor Patti J. Bushee
Councilor Bill Dimas
Councilor Peter N. Ives

MEMBERS EXCUSED:

Councilor Christopher Calvert

OTHER GOVERNING BODY MEMBERS PRESENT:

Mayor David Coss
Councilor Christopher M. Rivera
Councilor Ronald S. Trujillo
Councilor Rebecca Wurzbarger

OTHERS ATTENDING:

Robert Romero, City Manager
Dr. Melville L. Morgan, Director, Finance Department
Yolanda Green, Finance Division
Melessia Helberg, Stenographer.

There was a quorum of the membership in attendance for the conducting of official business.

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

3. APPROVAL OF AGENDA

MOTION: Councilor Ives moved, seconded by Councilor Dimas, to approve the agenda, as presented.

VOTE: The motion was approved unanimously on a voice vote.

Councilor Dominguez thanked the public and past Councils, because it has been a tough 2-3 years, and it's not over, and "we're not out of the woods yet." He said, more importantly, he would like to thank the employees who have learned to do more with less, and have become more efficient. He said some members of the Governing Body have said they have priorities, and hopefully we will have a fruitful discussion about that. He wants to reinvest in our human resources, and we need to do that whether in the form of raises or some sort of incentives.

4. PUBLIC COMMENT

There was no public comment.

4(A). REMARKS FROM THE GOVERNING BODY

Mayor Coss thanked the Finance Committee and the City Council in advance for these budget hearings, and for all the work they're going to do. He said these are going to be the best budget hearings we've had since 2008 when the economy began to decline. He said General Fund revenues are up about 5% this year, so we are halfway back to where we were before the recession, and although we're not out of the woods yet, he believes we are coming out of the recession. He said Santa Fe has one of the lowest unemployment rates of any metropolitan area in the State, which he believes is due, in large part, to the work of the Council and some of the programs and policies they have followed. He said the Council worked very hard to balance the budget while keeping vital City services coming to Santa Fe, and those services make us a great community and help our economy to recover.

Mayor Coss said he especially wants to thank City Manager Robert Romero and all of the City employees for what they've done during the recession. He said they've done a lot for all of us, and the Committee will be going over that in pretty heavy detail – hundreds of lane miles maintained on our roads, thousands of meals served to our Seniors, the 24/7 response from Fire/Police, youth recreation, clean drinking water, solid waste disposal and all of the myriad programs our employees deliver for us. He said through the worst of the recession our employees kept going, and working with fewer resources, fewer coworkers, and always been accountable to the Governing Body and to the public. Their productivity actually was higher during the recession with the help of technology and automation which the Council always has provided.

Mayor Coss said he is very proud of the customer service provided by the employees, noting he gets compliments on employees quite often. He said a visitor had become disoriented, and one of the employees drove her around until she found her car.

Mayor Coss said this year, for the first time in four years, he believes we are able to consider pay raises for the employees, noting it is in Mr. Romero's spreadsheet of possible expenditures and revenues. He asked the Finance Committee and the Governing Body to really consider pay raises for our employees this year, as Councilor Dominguez says, to invest in the City's human resources.

Mayor Coss said additionally, he believes we can consider filling some positions this year. He said we need to focus especially on public safety and basic maintenance of our parks and streets and other vital infrastructure which is in the City Manager's list as well. He said creating jobs in these areas can create opportunities for our citizens and businesses, as well as continue to help reduce unemployment. He said as Chair Dominguez said, we're not out of the woods yet, and so even though the budget picture is brighter this year, we will be very conscious of all of our costs which will be seen in the City Manager's work as well.

Mayor Coss noted that the Convention & Visitors Bureau is still running at a bit of a deficit, although great strides have been made in the marketing and collaboration with the hospitality industry. The Parking Division revenues are an area of concern, and we need to look at those. The Economic Development Fund, which has been used quite well by the Council, has been depleted due to the slowness in the housing market, and it is something this Committee may want to consider. He said most significantly, the Health Insurance program faces steep rate increases this year if we leave the benefits as is, unchanged. He said he is calling on the administration and the employee unions to work to guarantee the solvency of our health insurance, noting this is one of the most important benefits we offer our employees.

Mayor Coss said it feels good to be up by 5% over last year, rather than down 10%. He said, "I'm sure, Mr. Chairman, you'll get public comment before it's all through."

5. INTRODUCTION AND OVERVIEW OF FISCAL YEAR 2012/2013 OPERATING BUDGET REVIEW. (ROBERT ROMERO)

A copy of *Fiscal Year 2012/2013 Budget Preparation Information* is incorporated herewith to these minutes by reference as Exhibit "5." Copies are on file in, and may be obtained from, the Finance Department.

A copy of *City of Santa Fe FY 2012/13 Budget Review by Department/Division* is incorporated herewith to these minutes by reference as Exhibit "6." Copies are on file in, and may be obtained from, the Finance Department.

A copy of *Santa Fe FY 2012/13 Budget Review by Fund* is incorporated herewith to these minutes by reference as Exhibit "7." Copies are on file in, and may be obtained from, the Finance Department.

Chair Dominguez asked Committee members to hold their questions until Mr. Romero finishes his overview, and he will then open it to questions.

Mr. Romero thanked the City employees in the audience, who are hard working, attend all of the meetings and put in a lot of extra hours to put this budget together, commenting that they did an excellent job this year.

Mr. Romero said he asked all departments and divisions to prepare flat budgets again this year. He said all of the budgets are flat, and as we go through the budget documents, you will see areas where there are options to expand or buy capital.

Mr. Romero said he will be presenting information from the peach colored document [Exhibit "5"] this evening. He asked the Committee members to bring Exhibits "5," "6," and "7" with them to the budget meetings, noting he will be referring to those three documents throughout the process.

Mr. Romero reviewed the contents of Exhibit "5." Please see Exhibit "5" for specifics of this presentation.

Councilor Rivera arrived at the meeting

The Committee made suggestions and asked questions as follows:

- Councilor Bushee asked where it shows what the Water Division owes the General Fund.

Mr. Romero said it isn't shown here, and he will discuss that later.

- [Councilor Bushee's question here is inaudible because her microphone was turned off.]
- Councilor Bushee said she understood Mr. Romero to say something about \$1.5 million for the Insurance Fund, but didn't hear the source of those fund.

Mr. Romero said the one we will be looking at for a long time is the Gap under Tab 10. He said if the Council chooses to approve any of the changes, the difference between \$3.6 million and \$4.4 million is about \$800,000, if we choose of all of the new expenses without having to find any extra revenue sources. For example, if the Council chose to help the Health Insurance Fund, it would be necessary to choose some revenue which hasn't been allocated to cover the cost. He said, for example if the Council chose to take the 1/16 GRT from Wastewater and do that "forever," it would generate \$1.7 million to cover the different expansion items. Or, the Council could choose to do a water payback, it would cover it for one year. If GRTs continue to increase, we would be in the same position.

- Councilor Bushee said she has preferred method to meet the gap that doesn't raise taxes.

Mr. Romero said the three in the end which would have to be covered somehow through fees are: (1) the Electric Franchise Fee, commenting PNM would raise electric rates in an equal amount to cover that; (2) take the \$1.7 million from Wastewater forever, it would have to be accounted for in future rate increases, and (3) the same for Solid Waste and the Water payback. He said we could do the water payback for one year only, and if there were an increase in GRT again in the next fiscal year, we wouldn't have to that again. He said there are lots of options, but they all have ramifications.

- Councilor Bushee said one thing that stood out was the proposed hiring of full time Parks workers.

Mr. Romero said he thinks we could do without those workers and continue to operate. He said he just threw some of these out here for discussion. He said all of the expansion proposals are under Tab 10. He said he thinks we are doing a good job in Parks, but we could use more workers. He said the four areas for expansion would be in Police, Fire, Streets and Parks. He said if we didn't get the Streets or Parks workers, we could survive at status quo. He noted the City lost the inmate contracts last year. However, he met recently with State Corrections and those workers may come back, so if that happens, we may not need the additional Parks workers, and that wasn't affected by the bond, annexation.

- Councilor Bushee how do we get that contract back.

Mr. Romero said he is working with them right now, and it looks like they are willing to do that. He the additional Streets and Parks workers aren't something we absolutely need, reiterating he brought those up just for discussion.

- Councilor Bushee said, with regarding to the gap funding, then you're saying we could choose to continue to take from reserves at \$3.4 million. She said this is at the top of the gap page.

Mr. Romero said that's what we took last year, and in this fiscal year, we have to cover that gap and the \$150,000 for the minimum wage adjustment.

- Councilor Bushee said then you're not recommending use of reserves, other than the transfer from Solid Waste or Wastewater.

Mr. Romero said the only thing he's suggesting is that the GRTs are going to increase, and the cost allocation for City services. He has made no other recommendations on using reserves or any types of transfer from GRT.

- Councilor Bushee said, "Okay, but you're pretty solid on the \$3.3 million."

Mr. Romero said he is solid on the \$4.4, and regardless, we have to cover a gap of \$3.5 million. He said if we choose to do nothing, we could spend the \$800,000 at the top of new expenses.

- Councilor Dimas said one item is to increase summer program fees by \$80,000, and asked "what exactly is that."

Mr. Romero said he will talk about this in more detail a little later. He said we have a sliding fee for the summer programs depending on income. He said the charge for the entire 8-week program for low income persons is \$20, or at the maximum \$160 which is \$20 per week. He said the Boys and Girls Club charges \$200-\$225 per week for the same service. He said they discussed options to raise the fee on the top end, noting the program costs \$400,000 to \$600,000, and the City collects only a fraction of that. He said, again, this is an option which has been discussed in past years. He said \$20 for 6 weeks is a very good deal. He said they introduced the sliding fee 2 years ago, which helped to raise some revenue, reiterating it is just a suggestion for discussion, commenting that we don't want to hurt the youth.

- Councilor Dimas said then this is a program where the kids go in the summer, and it funds the program workers.

Mr. Romero said we can discuss that in detail when that part of the budget is presented.

- Councilor Dimas said he thought this was charging the kids to play at the park, which has nothing to do with this.

Mr. Romero said the City serves 200 kids during the school year and approximately 1,100 kids during the summer at a very fair rate.

- Councilor Dimas said he supports this program.
- Councilor Ives asked, regarding the health benefits, what caused the declining fund balance.

Mr. Romero said the reason there is a \$1.4 million decrease this year, is because last year there was a "mistaken move of about \$1.4 million from this fund to the General Fund, and that was moved back." He said the difference is because the City contribution is \$13 million, the employee contribution is \$4 million and we think our expenses will be about \$17.5 million. He noted last year

the City took \$1.2 million across the board from several reserves and \$400,000 from this fund reserve. *Mr. Romero said these numbers don't look correct to him, and he needs to look more closely at the numbers.*

- Councilor Ives said the projection for out-years involves adding a percentage factor each year, and asked how that number is calculated.

Mr. Romero said the City's consultant projects the health care costs. He said if the City continues to contribute the same amount, and collect the same contribution from employees, at \$17 million, as the costs increase we will begin depleting more and more from that cash balance.

- Chair Dominguez asked if the percentage of increase in costs is the industry standard across the country, and not because we have more sick employees.

Mr. Romero said it could be a combination of things. He said because the City is self-insured we pay about \$500,000 to United Health Care to pay the hospitals, collect our money. He said, for example, significant surgery costs in any one year could impact the rates. He said for the most part the reason is the increase in health care premiums.

- Chair Dominguez asked Dr. Morgan if that is the case, if there is data which would indicate that, and Dr. Morgan said yes.

A. DEPARTMENT REVIEWS:

Responding to the Chair, Mr. Romero said he will be using mostly Exhibits "5" [peach binder] and "6" [yellow binder] in the Department Reviews.

1) MUNICIPAL COURT – PAGE 45 [Exhibit "6"]

Mr. Romero said the Municipal Court budget is essentially flat. He said there are several areas in the City which have its own custodians who work for the specific site, such as Wastewater, Airport, and others. He is asking to move two of the custodians from the facilities maintenance pool to areas permanently. They will be moving a custodian and the budget from Facilities Maintenance to Municipal Court, but everything else is flat.

The members of the Committee and other members of the Governing Body in attendance commented and asked questions as follows:

- Councilor Bushee asked if assigning the custodians to a site permanently makes for better accountability.

Mr. Romero said yes, and they are planning to move the custodians permanently into Ft. Marcy and Sal Perez as well. He said there will be better accountability, commenting they will be taking "baby steps" with this, and as we go forward we may be moving more custodians to other sites permanently. He said it seems to be working well at the Airport, Wastewater and GCCC.

- Councilor Bushee asked if it is more efficient, and currently if there is somebody supervising all of these people.

Mr. Romero said that has been a concern. He said there is no direct supervision of custodians at any of the facilities, and he hopes this move to assign custodians permanently to one site will result in better supervision.

- Councilor Bushee asked who will supervise them.

Mr. Romero said, in this case it will be the Judge.

- Chair Dominguez asked what is the budget for this change.

Mr. Romero said the budget is shown behind Tab 5 in Exhibit "5." He said the Courts may be lumped with somebody else.

Responding to a question from the Chair, Dr. Morgan said the increased amount, shown on page 46 of Exhibit "6," is for the custodian.

- Responding to Councilor Bushee, Mr. Romero said the City allocated \$300,000 to the Judge to help with the software, so he believes the Municipal Court budget is in good shape.

MOTION: Councilor Bushee moved, seconded by Councilor Dimas, to approve the Municipal Court budget as presented.

DISCUSSION: Mr. Romero said some of the expenses for things like the Teen Court and some of the other courts are either in this budget or the Police Budget. He said we are making some changes to add these items to the Court budget since it is paid in the Judge's budget, commenting those are shown in contracts.

Mr. Romero said Court contracts "are in here."

Councilor Bushee asked if this budget reflects the Judge's salary increase, and Mr. Romero said it does.

Councilor Rivera said, regarding the exempt/full time employees on page 45, the actual for 2010/2011 was \$754,00, and 2011/2012 was \$697,000, and year to date is \$51,774.

Mr. Romero said it looks like everybody at the Court is exempt, so there must be a typographical error because it is shown in classified, but there are no classified employees. He said this is something in the

system he needs to look at, noting he saw this in several areas where they were charged in the wrong area. He will look at this to be sure.

Councilor Rivera said then the classified and exempt added together would be the year to date, and Mr. Romero said yes.

VOTE: The motion was approved unanimously on a voice vote.

2) CITY CLERK – PAGE 39 – [Exhibit "6"]

Mr. Romero said the budget is neutral. He said the City Clerk is requesting to purchase 4 copiers at \$132,000 and improve the computerized mail system for \$31,000. He said there is no election in the coming year, and the Clerk's budget will stay the same. He said he is proposing to leave the budget flat and use the savings to buy the requested items, reiterating that the budget will be flat.

Mr. Romero said the Clerk's Office is listed in the Organizational Chart on page 3.

The members of the Committee and other members of the Governing Body in attendance commented and asked questions as follows:

- Councilor Bushee asked Ms. Vigil when she will be filling the Assistant Clerk position.

Ms. Vigil said she hasn't filled it, and she hasn't requested the position through City Finance. She said she plans on doing a reorganization to see if she actually needs an Assistant Clerk or another position.

- Councilor Bushee said it is always good to have someone in the office who can act on her behalf when Ms. Vigil is out of the office.
- Councilor Bushee asked if there is a chance she will try to fill this position soon.

Ms. Vigil said yes, of course.

- Chair Dominguez asked if the position is budgeted, and Ms. Vigil said yes.

Mr. Romero said in the organizational charts, as in the past, the positions in red have been eliminated over time, the yellow ones are vacant, the green are people who are double-filling, and this year you will see orange ones which are on the sheet for expansion, or, like the custodians, positions which are being moved to other areas.

- Councilor Bushee asked if the Clerk's Office ever had a public information officer.

Mr. Romero said no, noting that is the Constituent Services person.

- Chair Dominguez noted Councilor Ives is proposing a Public Records Specialist, which won't be paid from the City Clerk's budget.

Mr. Romero said this is correct, noting there is a vacant Administrative Assistant position in the City Attorney's Office, which is listed on page 3 as a Public Records Custodian, so that isn't an additional position.

MOTION: Councilor Bushee moved, seconded by Councilor Dimas, to approve the budget for the City Clerk as presented.

VOTE: The motion was approved unanimously on a voice vote.

3) HUMAN RESOURCES – PAGE 55 [Exhibit "6"]

The members of the Committee and other members of the Governing Body in attendance commented and asked questions as follows:

Mr. Romero said Human Resources is status quo. He said the Organization Chart is on page 4. He said Ms. Gage was the Assistant H.R. Director, and she has been the Acting Director for two years, which has saved a significant amount of money.

- Councilor Bushee said she assumes the budget is flat.

Ms. Gage said this is correct.

Mr. Romero said in 2010/2011 they eliminated one position, which is Ms. Gage's former position. There is a small change in the budget, but it may be due to the way we charge liability, benefits and such. He said PERA and health insurance costs increased some. He said they used formulas to calculate the General Liability and Benefit assessments. He said it depends on who is the employee and their benefits, and the numbers will change somewhat because of that. However, overall, Human Resources balances out and there is nothing significant to address.

- Councilor Bushee said there were various studies Ms. Gage was to do, and asked the status of those.

Ms. Gage asked if she is speaking about the recent changes, based on Resolutions on some of the leave benefits and so forth. She said they have a number of actions approved by the Governing Body which need to be converted into the rules and regulations along with contract changes regarding the recent reduction in leave benefits and incentive pay.

- Councilor Bushee said Ms. Gage had done some studies.

Ms. Gage said they did the Comp and Classification Study two years ago. She said they have been working on updates, but at this point they don't need to include significant funding for it. She said it primarily is at the stage where staff needs to review the components of the Study.

- Councilor Bushee asked if there is anything which needs to be implemented which will cost the City money.

Ms. Gage said Evergreen recommendations in the potential ranges, etc., those types of changes, would have to come to the Finance Committee and the Governing Body to determine which would be priority.

- Councilor Bushee asked if there will be any unanticipated costs, and Ms. Gage said no.
- Councilor Bushee said PERA and health insurance have increased.

Mr. Romero reiterated that those costs depend on who is in the position and what insurance they choose, and because of that things will change from year-to-year.

- Councilor Bushee asked, with regard to the EEOC H.R. Compliance Administrator, is this what the chief used to do, and Mr. Romero said yes.
- Councilor Bushee asked who is filling that position currently.

Mr. Romero said that person just retired, and there are several people doing double duty to cover these duties. He said he can fill the position.

- Councilor Bushee observed that Mr. Romero doesn't have to come to the Committee and Governing Body for approval to fill this position.

Mr. Romero said he has to bring the filling all positions to this Committee and the Council for approval, noting it is a vacant position.

- Councilor Bushee asked about the Senior H.R. Administrator.

Ms. Gage said this position is "our most experienced H.R. Administrator, Gary Bartlett. This position serves as sort of... he provides guidance, teaching, education, leadership to the H.R. Administrators. He reviews a lot of the work. He helps coordinate a lot of our projects.

- Councilor Bushee who is the H.R. Director listed in red, the double fills.

Mr. Romero said this is Vicki Gage's position, so it is a savings.

Councilor Dimas noted the *National Diabetes Program* for \$3,754,000, and asked what that is.

Ms. Gage said it is a grant to the City which is administered by Sue Perry, Wellness Coordinator. She said the funding is included in H.R.'s budget, but Ms. Perry is housed in the Recreation Division, and Mr. Pino might know more about this.

- Mr. Romero said Mr. Pino has gone home, but that can be discussed when they talk about Recreation and the GCC.
- Councilor Dimas said then it is grant money, so it's really not an expense.

Mr. Romero said the entire H.R. budget is \$3 million, but this is only \$10,975.

Mr. Romero said one thing he forgot to mention earlier. He said, regarding the union contracts for next year, we are supposed to begin negotiations on two of those. He said last year the Council went into executive session to discuss the Council's appropriation and to give him direction on negotiations, noting last year it was to take away benefits and leaves. He said, however, as we move forward, it would be in our best interest to develop a Resolution like we did last year, so the direction for negotiation is very clear.

- Councilor Rivera asked, regarding the classified full time employee on page 56 budgeted at \$219,000 with year to date of \$86,000, if this is a vacant position.

Ms. Gage said the employees paid out of Fund 6106 are the benefits administrators, noting there are two currently, and she can look to see if the \$86,000 figure is correct.

Mr. Romero agreed, noting there are no vacancies, and Ms. Gage said this is correct. Mr. Romero said it appears there are problems with the year to date numbers.

- Councilor Rivera asked Mr. Romero to look at that before it is approved by the Council, noting he wants to see the actual figures.

Mr. Romero said in the past, which is at the discretion of the Committee, staff brings the answers to these kinds of questions to the next meeting.

- Chair Dominguez said then we could approve the budget with direction to staff to bring the information to the Committee, and Mr. Romero said this is correct
- Councilor Ives asked how the union contracts relate in the budget process.

Mr. Romero said what we did last year is, once the Council chose to reduce incentives by \$600,000, the City pro rated numbers for each union and management. He said, for example, this year if the Council chose to do a 2% increase, it would be necessary to do the same calculations and the Council then would give direction to appropriate those additional dollars to each contract. He said what could happen in negotiations is the union could say they don't want the 2% in a salary increase, but want it in incentives or something else. He said as we move forward with the

gap, and the Council chooses to do a raise, or to do the 15% incentive raise proposed for the public safety employees who live in Santa Fe, there would have to be an appropriation which then would be negotiated with the union. The union would decide whether or not to accept the 15% for that purpose. He said as we discuss this further, he is working with Legal to be sure everything is done correctly. He said if the Council chose to appropriate no additional dollars to the contracts, there would be no discussion on that part of the funding.

- Councilor Bushee asked Mr. Romero if he has organizational charts which list only actual positions and the names of the persons filling the position, and Mr. Romero said no, but he can give her that information if she asks.
- Councilor Bushee said she will speak with Mr. Romero after the meeting to get that information.
- Chair Dominguez said he is unsure he wants to see names on an organizational chart, and said Councilor Bushee can just ask.
- Councilor Bushee said she doesn't want to have to ask for this information each and every time.

Mr. Romero said he is unsure how quickly that can be done.

MOTION: Councilor Ives moved, seconded by Councilor Dimas, to approve the Human Resources budget, with direction to staff to provide the information requested by Councilor Rivera.

VOTE: The motion was approved unanimously on a voice vote.

4) LAND USE – PAGE 57 [Exhibit "6"]

Mr. Romero said the City has started to put GPS units in City vehicles. He said last year's budget was approved to install several in Public Utilities vehicles. He said the City is doing a pilot program right now, and plan to put them in all of the Police and Fire Units, noting he has been working with the RECC which has purchased software to better use resources, so we know exactly where the vehicles are at all times. He said this has been done on the buses and ADA/para-transit in Transit. He said they propose to do more this year, noting studies say this helps in terms of improving accountability and safety. He said it is proposed to be done for Land Use vehicles for a cost of \$300 per vehicle initially and \$30 per month for the data package. He said Bernalillo County and lots of municipalities are doing this now.

The members of the Committee and other members of the Governing Body in attendance commented and asked questions as follows:

- Councilor Bushee noted there is not a big increase in the proposed budget, with the exception of dental insurance and uniforms. She said there are lots of vacant positions, and asked if the premise remains that the positions will be filled when the revenues increase sufficiently to pay for these positions, or if he will be requesting to fill some of these positions right away.

Mr. O'Reilly said all of these positions have been approved to be filled, and the Department is working to fill them, noting these costs are built into the proposed budget.

- Councilor Bushee asked where the Neighborhood Planner position is shown on the organizational chart.

Mr. O'Reilly said it is under the Current Planning Division, and the official title is Land Use Planner Senior (Neighborhood Services) which is shown with the other Land Use Planner Senior positions, noting there are 4 positions, and it is just for one of these positions.

- Councilor Bushee said people call every year and say, "Historic does not have a Division Director." She asked if Historic falls under Mr. O'Reilly, and he said yes and it remains unfunded.
- Councilor Bushee asked if the Planner Tech Senior position will be filled and Mr. O'Reilly said yes.
- Chair Dominguez asked where the expansion items would be shown, the 10 additional positions.

Mr. O'Reilly said, working with Professor Reynis, they came up 10-12 positions which will be needed once there is an uptick in Building Permits and other Land Use application activity. These positions would be in the Building Permit Division for more Building Permit Reviewers as well as in Code Enforcement for Code Enforcement Specialists and Inspectors. He said the 10 positions in the BBER Report are not in the budget at this time, and he would come forward to request these positions only when they felt the need arose in the Department.

- Chair Dominguez said then the expansion is throughout the Department and not in just one Division.

Mr O'Reilly said this is correct, and reiterated the staff which would be needed, commenting the goal is to work on cross-training, so, for example, the Building Plan Reviewers would be multi-certified. He said at the point the building permit requests increase significantly, they also may need additional Land Use Planner Seniors.

- Chair Dominguez said, in view of the looming annexation, he would like to know where exactly those positions would be in the organizational chart, so we can get an idea of where that expansion might happen.

Mr. Romero said he can provide the BBER report to the GIS people and have them add them to this organizational chart.

- Councilor Bushee would rather have a one-page memo discussing all the different departments.

Mr. Romero said he will do that.

- Chair Dominguez noted there is an increase in building permits in Phase 2 annexation. He asked Mr. O'Reilly if the current staff is sufficient to sustain that activity, as well as any additional activity in the next fiscal year.

Mr. O'Reilly said there was a significant uptick in building permit volume in 2010/2011, which was a 23-43% increase depending on how it is calculated. He said they were able to handle that activity when the Building Plan Review position was filled. However, it is vacant currently, and they are "holding our own," but definitely plan to fill that position very soon. He said it looks as if the activity will be level with last year, and they will be okay if the vacant position is filled. He said if things really pick up, he will come back to this Committee about additional positions to be filled.

- Councilor Dominguez asked where we show the increase under Tab 5, or where in the documents is the Land Use revenue increase shown.

Mr. Romero said the data under Tab 5 is for the last fiscal year, and that would be "in the other books."

Mr. O'Reilly explained the difference between permit volume and increased revenue, noting there may be an increase in activity but with no corresponding increase in revenue.

Mr. Romero said all funds go into the General Fund and then are redistributed, noting he can put together a report showing this activity.

Mr. Morgan said that revenue is listed in the very first pages of Exhibit "7," the green book.

- Councilor Ives asked the total potential positions if the annexation moves forward.

Mr. O'Reilly said approximately 10-12 positions would be needed, noting Land Use already has the responsibility for the "presumptive City limits," whether or not the annexation moves forward as currently agreed. He commented that the annexations would result in a 40% increase in the land area of the City. He hopes the increases in revenue and the need for additional staff will happen gradually and can be done over time.

- Councilor Ives asked how the space needs for the 10-12 position will be addressed.

Mr. O'Reilly said, "Very carefully." He said there is a limited amount of space, and although some cubicles are empty, some are for our budgeted but not filled positions. He said many will be Building Inspectors and Code Enforcement Officers which spend a lot of time in the field. He said last year they purchased the "tough book" computers for all field personnel, so they can access in the field and don't have to come back to the City Hall as frequently. He hopes to continue that, commenting there is no question that it will be necessary to shuffle somewhat to accommodate 10-12 new people.

- Councilor Ives replied that the area looks pretty full and he can't envision how all of the new positions will be housed.
- Responding to Councilor Bushee, Mr. Romero said the revenues are always shown in parenthesis and the expenses are not.
- Councilor Bushee noted there is an increase in revenues. She said she presumes the additional positions will be phased-in.

Mr. Romero said if we were to annex "tomorrow, we probably wouldn't need anybody tomorrow, but we'll just have to watch, and probably do it on a yearly basis. Like he said, he's doing all the work right now." He asked Mr. O'Reilly if he anticipates an immediate need if we were to annex tomorrow.

Mr. O'Reilly said when the Land Use Department assumed land use jurisdiction, it didn't assume jurisdiction for Chapter 10 of the Code, Environmental, which houses Code Enforcement, trash and debris and such, so he would need a few people right away for that.

- Councilor Bushee said a few years ago we put a long range planner in Community Development, and asked how many of those we have.

Mr. Romero said that is Reed, Maria, Richard McPherson, Melissa Daily, and Kym Dicome. He said Catherine Mortimer transferred to Solid Waste last year.

- Councilor Bushee asked if that is working, and if we would rather have the long range planners under Land Use.

Mr. Romero said it could work either way, but he believes it is working well.

Mr. O'Reilly said he coordinates very closely with Long Range Planning, and it really doesn't make a difference right now where they are housed.

- Councilor Bushee asked if any of those people will be able to transition over to help after annexation.

Mr. O'Reilly said it is hard to predict where we will need help when that happens, but that is a possibility.

- Chair Dominguez noted on page 1 of Exhibit "7," the Rezoning for 2010/2011 is \$15,800, and in 2011/2012 is \$10,500.

Mr. Romero said that was projected, but we're not there. He asked Mr. O'Reilly if the Rezoning money is actual revenue that goes into the General Fund, and Mr. O'Reilly said yes.

- Councilor Bushee asked how we can track the impact fees that have been waived over the next fiscal year.

Mr. Romero will speak to Reed Liming about that, noting Mr. Liming does a quarterly report, and he will ask him to track what we have lost. He said can provide those quarterly reports to the Committee, and Councilor Bushee said she would like to have that.

- Mr. Rivera noted on page 60, under Land Use Administration, there is a \$30,000 jump in General Liability, and asked the reason.

Dr. Morgan said you will see jumps in the budget for General Liability Insurance, because this year the projected bill was divided by the total number of employees, and then assigned to the appropriate department. He said it was much more, but they went back, used the appropriate formula and decreased it somewhat. However, the General Liability Insurance is increasing just like other insurance premiums. He said there won't be an increase in each department, reiterating it depends on the number of employees in the department, noting there are several factors.

- Councilor Rivera said then the number of employees was decreased during the past few years, but the General Liability has increased.

Dr. Morgan said, "If there are funded positions, whether or not filled, the department holds that responsibility because they will fill that position."

- Responding to Councilor Rivera, Dr. Morgan said the general fuel allocation has been increased by \$250,000 and they are watching it carefully.
- Councilor Ives noted the numbers on page 60 in Exhibit "6," don't seem correct, and suggested staff look through the budget reports.

Mr. Romero said we do track annual leave, sick leave and such, but there does seem to be some kind of disconnect between exempt and classified. He said staff will look at that and have answers at the next meeting.

Mr. O'Reilly said the Land Use Administration budget has only 3 people, himself and two others.

- Councilor Ives said he is looking at the year to date which jumps from \$105,000 down to \$6,000, and hopes they have been paid more than that.
- Councilor Rivera questioned that there are only 3 employees in the whole Department, but the General Liability increased by \$30,000.

Dr. Morgan said this is the place where the General Liability is held in this particular budget for the entire Department.

- Councilor Bushee asked why the professional contracts would increase.

Mr. Romero said that is for GIS, noting the equipment costs \$300 to buy the equipment and then \$30 for the data package and for the company to monitor it.

- Councilor Bushee asked is there anything “we should take note of.”

Dr. Morgan said he thinks they have done an excellent job.

- Chair Dominguez said Las Soleras is generating some funds to the City, and he would like a breakdown of how much Las Soleras has been paying to the City for some of these things.

Mr. Romero said the total is on page 62, and he will see if it is possible to do that breakout.

Mr. O'Reilly said permits are tied to addresses, and we can figure that out through the permitting process. He said we've only had two or three permits to date in Las Soleras right now, so it won't be much money.

- Chair Dominguez wants to be sure we earmark the revenue for Phase 2 from Las Soleras as intended by the Governing Body.

Mr. Romero noted the total Land Use Department budget was \$4.3 million last year and this year is a few thousand more.

MOTION: Councilor Bushee moved, seconded by Councilor Ives, to approve the Land Use budget as presented.

VOTE: The motion was approved unanimously on a voice vote.

5) CITY ATTORNEY – PAGE 39 [Exhibit “6”]

Mr. Romero said the budget is flat, and the new Records Custodian position will be covered with an existing vacant position. They are looking at how to best use the position, noting there is a person who could possibly do this, but they want to be sure the position is covered.

Geno Zamora, City Attorney, said the Public Records Custodian position is covered, noting 2 positions were not filled this year in his office, including Melissa Byer's old position, which will fund the proposed new position. He said the City and transparency laws have grown to the extent that it is advisable to provide a full time Records Custodian position, whose primary and sole duties are complying with IPRA requests. This is the only change being proposed to the budget for his Office.

The members of the Committee and other members of the Governing Body in attendance commented and asked questions as follows:

- Councilor Bushee asked if there is an increase for contracts.

Mr. Zamora said no, noting this year's contracts were a little higher because the Redistricting contract was paid from the City Attorney's budget, but it then goes back to the original \$40,000.

- Councilor Ives said there may be a little of the similar confusion on classified and exempt in the figures shown. He said the FICA drops significantly, while the retirement increases, and asked the reason for the big swings.

Mr. Romero said he will look at this and report back to the Committee.

- Responding to Councilor Rivera, Mr. Zamora said this year the Office had duties relating to redistricting, which they won't have in the next fiscal year. He said the change in the budget as it relates to that is the purchase of Justice Systems, which is a software system which the prosecutor's offices uses to coordinate with the Courts. He said the \$40,000 represents the part-time contract prosecutor which they have as a backup to the full time prosecutor.

- Chair Dominguez asked if the costs for the Advantage Asphalt investigation is coming out of this budget.

Mr. Zamora said there are various legal issues they deal with, but those are on behalf of certain departments, and he doesn't know where the funds for the Advantage Asphalt review will come from. He said, for example, at times, the costs for the Firstenberg litigation and the Qwest litigation are covered by other departments that gain revenue from those questions.

Mr. Romero said he will look at several areas, and will look for unspent funds to cover the costs of the Advantage Asphalt work done by the City Attorney's Office.

- Chair Dominguez asked if there is some sort of contingency fund for investigations that pop up.

Mr. Romero said he would look for these funds from reserves or existing budgeted but unspent funding.

MOTION: Councilor Ives moved, seconded by Councilor Dimas, to approve the City Attorney Budget as presented.

VOTE: The motion was approved unanimously on a voice vote.

B. WRAP-UP

Chair Dominguez said the next Budget Hearing will be on Wednesday, April 18, 2012, beginning at 8:30 a.m., and asked members who can't attend to email him or staff.

19. REQUEST FOR ACCEPTANCE OF THE CITY OF SANTA FE COMPREHENSIVE ANNUAL FINANCIAL REPORT ["CAFR"] FOR FISCAL YEAR ENDING JUNE 30, 2011. (TERESITA GARCIA, MAURICE LIERZ AND MARTY MATHESON)

A copy of the *City of Santa Fe Comprehensive Annual Financial Report [CAFR]*, for the year ended June 30, 2011, is incorporated is incorporated herewith to these minutes by reference as Exhibit "8." Copies are on file in, and may be obtained from, the Finance Department.

A copy of a letter to the Mayor and City Council, with attachments, from Atkinson & Co., LTD, is incorporated herewith to these minutes as Exhibit "9."

A copy of the *DRAFT Report of the Internal Audit Analysis of the Financial Processes and Procedures of the Santa Fe Police Department*, is incorporated herewith to these minutes as Exhibit "10."

A copy of a packet of information regarding the Internal Audit function for the City of Santa Fe, prepared by Dr. Mel Morgan and the Audit Committee, is incorporated herewith to these minutes as Exhibit "11."

20. OTHER FINANCIAL INFORMATION:

A. UPDATE OF GROSS RECEIPTS TAX REPORT RECEIVED IN MARCH 2012 (FOR JANUARY 2012 ACTIVITY) AND LODGERS' TAX REPORT RECEIVED IN APRIL 2012 (FOR FEBRUARY 2012 ACTIVITY) AND LODGERS' TAX REPORT RECEIVED IN APRIL 2012 (FOR MARCH 2012 ACTIVITY). (DR. MELVILLE MORGAN)

A copy of City of Santa Fe Gross Receipts Taxes Collected (less Water 1/4%), with attachments, prepared by Helene Hausman, dated April 16, 2012, is incorporated herewith to these minutes as Exhibit "12."

STENOGRAPHER'S NOTE: Items #19 and #20 were moved to the end of the Budget Review session. However, these items were not heard during the Special Finance Committee meeting or following the Budget Review session.

21. MATTERS FROM THE COMMITTEE

Councilor Bushee asked when will we deal with the benefits in a separate spreadsheet like we did the last time.

Mr. Romero said he can bring that information back to the Committee, noting he is unsure what the Council will decide with regard to the union contracts. He can provide a benefit sheet for discussion, noting that was done last year in Executive Session.

Responding to Councilor Bushee, Mr. Romero said we didn't negotiate last year until after the budget was approved. He said the way to do this is for the Council to appropriate a certain dollar amount, give him direction and then he can negotiate with the unions.

Councilor Bushee said she wants to see the big picture, because in the end it had to do with what happens with collective bargaining.

Mr. Romero said he has the information and the only one pending is the Police Officers Association.

Responding to Councilor Bushee, Mr. Romero said we could convene the Benefits Committee quickly and have the discussion with them regarding the health care costs. He will look at those numbers and report back. Councilor Bushee said this will be a key issue this year.

Councilor Ives said, regarding the increase in health care premiums, in gathering information, it seems the expense could be driven by two factors. First, just a generalized increase in the cost of health care services, and the other is the utilizing of those services more frequently by the employees. He said it would be interesting to look at those statistics.

Mr. Romero said he can't provide those by Wednesday, but he can convene the Benefits group this week, and ask the consultant to attend that meeting, and provide that information by Monday's meeting.

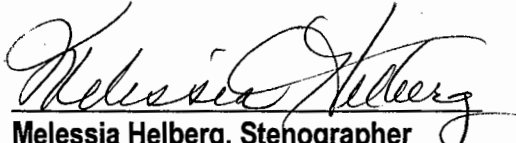
ADJOURN

There was no further business to come before the Committee, and the meeting was adjourned at approximately 7:45 pm.

Carmichael A. Dominguez, Chair

Reviewed by:

**Dr. Melville L. Morgan, Director
Department of Finance**


Melessia Helberg, Stenographer

Advantage Asphalt Procurement Memo

June 30, 2010

Purpose: Atkinson created this memo to document procurement activities surrounding the procurement of services from Advantage Asphalt.

Objectives:

1. Atkinson will review bid files and review all bid submittals to determine whether a competitive bid process was followed for each contract entered into with Advantage Asphalt.
2. Atkinson will review all payments to Advantage Asphalt during FY10 to determine whether amounts were properly recorded and applied to the correct business unit. Also to determine whether payment exceeded maximum amounts allowed under contracts.
3. Atkinson will perform a physical walkthrough of jobs completed by Advantage Asphalt.
4. Atkinson will review composition reports from a 3rd party to determine whether NMDOT specifications were being met by Advantage Asphalt.

Testing:

1. Atkinson obtained from the City Clerk's office a listing of open contracts with Advantage Asphalt. We then went to the Purchasing Division and obtained the complete bid files. We reviewed each bid file to determine if a competitive bid process per City requirements was followed. A complete listing of bid files reviewed by Atkinson is located in the table below. The winning bid(s) are highlighted in yellow.

RFB	Bid submitter	Bid Amount with Local Preference
City Wide Water Utility Pavement Restoration Contract		
10/01/B	Advantage Asphalt & Seal Coating	75,924.00
	Sub Surface Contracting, Inc.	96,262.08
	Sparling Construction Company, Inc.	100,358.72
	R.L. Leeder Company	215,868.35

Exhibit "1"

City Wide Sewer Line Spot Repair Contract		
10/05/B	Advantage Asphalt & Seal Coating	70,890.09
	TLC Plumbing & Utility	81,369.90
	Triman Construction Industries	85,909.69
	AUI Inc.	88,476.17
	K.R. Swerdfeger Construction Inc.	100,552.50
	A.A.C Construction LLC	105,187.50

Ferguson Well Wall Construction		
10/13/B	Advantage Asphalt & Seal Coating	67,904.10
	Done Right Construction	74,435.31
	Sub Surface Contracting, Inc.	86,580.68
	Padilla Industries Inc.	99,072.00
	Rockscapes of New Mexico	100,421.14
	RCC, LLC	118,607.01
	K.R. Swerdfeger Construction Inc.	161,442.00

Pueblos del Sol Asphalt Concrete Trails		
09/01/B	Advantage Asphalt & Seal Coating	148,380.88
	R.L. Leeder Company	304,697.56
	Star Paving, Inc.	426,870.69

Santa Fe River Trail Construction

09/42/B	Advantage Asphalt & Seal Coating	907,219.43
	A.S. Horner, Inc.	1,124,163.38
	Star Paving, Inc.	1,080,329.76
	R.L. Leeder Company	1,250,169.75
	Hasse Contracting Co. Inc.	1,506,328.30
	Moore & Cowart Contractors Inc.	1,704,070.09

On Call Concrete Construction Services		
08/21/B	Advantage Asphalt & Seal Coating	898,009.70
	A.S. Horner, Inc.	1,084,864.00
	Star Paving, Inc.	1,309,171.00
	TLC Plumbing & Utility, Inc.	1,448,634.50
	AUI, Inc.	1,353,106.00

On Call Concrete & Miscellaneous Construction Services		
08/37/B	Advantage Asphalt & Seal Coating	1,994,359.73
	H.O. Construction, Inc.	2,187,569.85
	Star Paving, Inc.	2,549,613.28
	TLC Plumbing & Utility, Inc.	2,666,923.60

- Atkinson obtained all contracts for Advantage Asphalt that were in effect during FY10. Atkinson received these contracts from the City Clerk's office. The contracts are summarized at **WP1347.2**. Atkinson then obtained from Enterprise 1, a summary of all payments made to Advantage from the effective date of the earliest contract (2/13/2008)

to 6/30/2010. We compared in aggregate the sum of the payments to the total amount listed within the contracts to determine if Advantage was paid in excess of contract amounts. See **WP1347.2** for test work and conclusions.

Atkinson also obtained the A/P file for Advantage Asphalt and reviewed all expenditures for FY10. Atkinson used this file to determine whether amounts were properly recorded and applied to the correct business unit. Using the City's accounting system, Enterprise 1, we confirmed the amounts and business unit on the expenditure were posted properly into Enterprise 1 and payment was approved by the responsible project lead or delegate. See **WP1347.2** for test work. Atkinson also inquired of all project engineers the method for ensuring amounts invoiced by Advantage Asphalt was actually performed in the field. In all instances, the project engineers are in the field verifying work is satisfactorily completed prior to submitting invoices to accounts payable for payment.

3. Atkinson met with the responsible project leads for each contract listed at **WP1347.3X** and obtained project information with respect to each contract. The project leads that Atkinson met with include:
 - a. Richard Carrillo/Stan Holland – Wastewater Division
 - b. Bill Huey – Water Division
 - c. LeAnn Valdez – Engineering Division
 - d. Brian Drypolcher – Public Works Division
 - e. Ben Gurule/Frank Archuleta – Parks Division

In some cases, the contract was for on-call activities, meaning the City could obtain services from Advantage Asphalt for minor repairs. In other cases, the contract was for an entire project, such as the Santa Fe Trail project and Pueblos del Sols trail. The listing of projects that Advantage Asphalt was contracted for is listed below. Atkinson drove to all locations listed below to determine that projects were indeed worked on and/or completed.

RFB	Contract	Project(s) Completed
08/21/B	On Call Concrete Construction Services	Rufina & Alameda sidewalk improvements
		2006 ADA improvement projects
		Plaza concrete rehabilitation
		Rodeo Rd. curb ramps
		St. Michaels Dr. driveway

		Railyard rollover curb
		Transit yard asphalt patch
		Street resurfacing (Maclovía, Declovina, Milagra, Luna, Milagro Oro, Entrada de Oro)
08/37/B	On Call Concrete & Miscellaneous Construction Services	Palomino/Montano-Rio Vista @ Cielo Azul-Hickox driveway
		Calle Espejo drainage repair & Armijo St. overlay
		Siringo Rd. sidewalk
		Cerrillos Rd @ Railfan Rd left turn bay
		Arroyo Chamiso speed table reconstruction
		Sheridan/Palace bulb-outs & curb ramps
		Rufina St. connection - Jorgensen Rd to Harrison Rd.
09/01/B	Pueblos del Sol Asphalt Concrete Trails	Concrete trails located within the Pueblos del Sol subdivision
09/42/B	Santa Fe River Trail Construction	Santa Fe River Trail construction from Ricardo Rd. to Camino Alire
10/01/B	City Wide Water Utility Pavement Restoration Contract	300 block of Calle Loma Norte
		Camino San Patricio patch
		Cielo Azul patch
		231 Anita Pl. patch
		Camino Carlos Rey patch
		Parkside Dr. patch
		Delgado St. patch
		951 Acequia Madre patch
		1312 to 1320 Lujan St. patch
		Country Club Dr. patch

10/05/B	City Wide Sewer Line Spot Repair Contract	Duran St. repair
		Candelario St. repair
10/13/B	Ferguson Well Wall Construction	Cinder block wall constructed around Ferguson Well

4. Atkinson also discussed testing performed on asphalt and concrete installed by Advantage Asphalt. All project leads stated that there were no issues with the material installed by Advantage Asphalt. Additionally, we selected a sample of reports that were obtained from Lee Ann Valdez and Frank Archuletta, see **WP1347.4**. Testing is performed by BSN and they provide materials testing and analysis. BSN performed these services on jobs that were performed by Advantage Asphalt. Per review of the test reports, it appears that testing was performed on jobs on a routine basis. It also appears that requirements set forth by NMDOT were met with respect to concrete and asphalt.

Conclusions: Atkinson concludes that the contracts with Advantage Asphalt appear to be properly obtained through competitive bid, expenditures appear properly accounted for and within contracted amounts, and services appear to be complete and materials within engineering standards.

City of Santa Fe
 Advantage Asphalt Cash Disbursement
 June 30, 2010

1347.2

Purpose: To determine that payments made to Advantage Asphalt were properly recorded and applied to the correct business unit and to determine if total amounts paid to Advantage Asphalt exceeded maximum amounts allowed under the contracts.

Source: Atkinson downloaded FY10 payment information from the City's general ledger (Enterprise 1) which was accessed online. Atkinson also obtained copies of contracts for Advantage Asphalt from the City Clerk's office.

Procedure: First, Atkinson summarized the contracts that were in effect for FY10, noting the total amount of the contracts. Atkinson then ran a G/L query from Enterprise 1 to get a listing of payments to Advantage Asphalt. The range was from the effective date of the earliest contract (2/13/2008) through 6/30/2010.

Summary of Contracts in effect for FY10.

Item #	Effective Date	Expiration Date	Amount of Contract	Description of Services
08-0532	6/25/08	6/25/11	2,152,500	On call concrete & miscellaneous construction services
08-0117	2/13/08	2/13/12	1,076,250	On call concrete construction services
09-1181	12/9/09	3/9/10	81,532	Ferguson well wall construction
09-0985	10/14/09	12/14/10	85,117	City-wide sewer line spot repair
09-0875	9/9/09	9/9/10	216,125	City-wide water utility pavement restoration
08-0863	6/10/09	TBD	102,649	Pueblos del Sol trails
09-0812	8/31/09	5/31/11	1,131,351	Santa Fe river trail construction from Ricardo Rd. to Camino Alire
			4,845,524	Sum of contracts effective during FY10
			2,783,891	Sum of payments from 2/13/2008 to 6/30/2010

Procedure: Next, Atkinson obtained the FY10 A/P file for Advantage Asphalt and reviewed all expenditures for FY10. Atkinson used this file to determine whether amounts were properly recorded and applied to the correct business unit through Enterprise 1.

Item #	Document Number	G/L Date	Invoice Date	Purchase Order	Invoice Number	Gross Amount	Amount paid on contract in FY10	A	B	C
08-0532	20131985	7/13/2010	6/24/2010	10099850	9372	52,512.60		✓	✓	✓
	20095610	8/25/2009	8/19/2009	19026305	9039	11,984.51		✓	✓	✓
	20113884	2/23/2010	1/19/2010	10094340	9190	134,641.55		✓	✓	✓

Exhibit "2"

08-0117	20113883	2/23/2010	1/21/2010	10094340	9192	19,499.15	✓	✓	✓
	20099583	10/5/2009	9/16/2009	19026652	9063	4,390.54	✓	✓	✓
09-1181	20135648	8/16/2010	4/30/2010	10096143	9324	13,847.67	✓	✓	✓
	20112828	2/15/2010	2/4/2010	10096143	9229	31,342.45	✓	✓	✓
	20124451	5/14/2010	5/4/2010	10098776	9327	61,455.14	✓	✓	✓
	20120110	4/14/2010	3/31/2010	10093195	9254 033110	3,073.66	✓	✓	✓
	20120103	4/14/2010	3/31/2010	10093195	9251	59,434.48	✓	✓	✓
	20120102	4/14/2010	3/31/2010	10093195	9252	1,082.34	✓	✓	✓
	20120120	4/14/2010	3/31/2010	10098776	9293	1,534.04	✓	✓	✓
	20120118	4/14/2010	3/31/2010	10098776	9258	3,292.22	✓	✓	✓
09-0875	20120116	4/14/2010	3/31/2010	10098776	9257	1,082.34	✓	✓	✓
	20120115	4/14/2010	3/31/2010	10098776	9256	1,877.68	✓	✓	✓
	20120113	4/14/2010	3/31/2010	10098776	9255	16,465.89	✓	✓	✓
	20120112	4/14/2010	3/31/2010	10098776	9254	2,626.19	✓	✓	✓
	20109230	1/8/2010	10/12/2009	10093195	9087	7,349.90	✓	✓	✓
	20109230	1/8/2010	10/12/2009	10093195	9087	27,571.05	✓	✓	✓
	20128186	6/15/2010	10/6/2009	10093299	6	295,661.47	✓	✓	✓
	20122810	5/4/2010	4/29/2010	10093299	5-10093299	191,525.84	✓	✓	✓
	20122811	5/4/2010	4/1/2010	10093299	4-10093299	99,878.82	✓	✓	✓
09-0812	20116054	3/16/2010	2/25/2010	10093299	310093299	134,295.66	✓	✓	✓
	20116055	3/16/2010	3/11/2010	10096412	9272	33,517.23	✓	✓	✓
	20132552	7/19/2010	6/30/2010	10093299	7-10093299	90,026.43	✓	✓	✓
	20110662	1/26/2010	1/14/2010	10093299	11410	93,025.43	✓	✓	✓
	20106983	12/15/2009	11/30/2009	10093299	9127	80,101.33	✓	✓	✓
08-0863	20104189	11/18/2009	10/13/2009	10090684	9089	59,829.45	✓	✓	✓
	20104188	11/18/2009	8/27/2009	10090684	9048	11,141.14	✓	✓	✓
						1,544,066.20	✓	✓	✓

① Payments made to Advantage Asphalt in FY10 associated with the contracts stated above.

Attributes:

- A Atkinson reviewed the purchase order and invoice and verified the amounts were accounted for in the correct business within Enterprise 1.
 - B Atkinson reviewed the invoice and verified the amount was correctly entered into Enterprise 1.
 - C Invoice/PO signed by project lead or delegate with an ok to pay.
- ✓ Attribute met without exception

Conclusion: It appears that Advantage Asphalt has not been paid in excess of stated contract amounts.


Payments to Advantage Asphalt in FY10 appear to be properly recored right amount and business unit and contain proper approvals for payment.

City of Santa Fe, New Mexico

memo

DATE: April 16, 2012

TO: Dr. Melville L. Morgan, Director
Finance Department

FROM: Robert Rodarte, Officer
Purchasing Division 

SUMMARY: Advantage Asphalt Public Bid Participation

The Purchasing Division is providing supporting documentation related to all Public Bid's in which Advantage Asphalt was a participant. We have provided documentation starting with year 2001-2002 to present. The first page is a consolidation of activity by year which is easier to follow rather than having to scroll through the 94 pages of supporting documentation. Since July 2001, Advantage Asphalt has participated in twenty nine City of Santa Fe Publicly Advertised Bids and were awarded a total of twelve (41.37%). The supporting document provides the Purchasing Division's original memo to the Finance Committee along with the official Bid Tabulation Sheet. The supporting documentation also identifies the awarded vendor name, along with all additional participating vendors and the awarded dollar value. The supporting documentation does not identify the actual dollar amount spent on the Bid project but only identifies what was competitively submitted to the Purchasing Office when the bid was accepted and publicly read.

REQUESTED ACTION:

Please review this documentation and distribute to the various parties of interest.

Exhibit "3"

Advantage Asphalt Bid Participation

FISCAL YEAR	BID #	BID TITLE	AWARDED VENDOR	DOLLAR AMOUNT
7/01/01-6/30/02		No Bids from Advantage Asphalt	NA	N/A
7/1/03-6/30/03	03/46/B	CW Pavement Restoration	Advantage Asphalt	\$ 195,323.48
7/01/03-6/30/04	04/32/B	Pueblo Del Sol Sewer Extension	Sparling Construction	\$ 226,801.09
7/01/04-6/30/05		No Bids from Advantage Asphalt	NA	NA
7/01/05-6/30/06	06/13/B	CW Pavement Restoration	Advantage Asphalt	\$214,404.33
7/01/06-6/30/07		Ammendment #1 Bid 6/13/B	Advantage Asphalt	\$ 150,000.00
7/01/07-6/30/08	08/21/B	On Call Concrete Services	Advantage Asphalt	\$ 1,000,000.00
	08/37/B	On Call Concrete Services	Advantage Asphalt	\$ 1,000,000.00
		2nd awarded vendor	HO Construction	\$1,000,000.00
	08/38/B	Caretaker Housing City Parks	NO Award	
	08/39/B	CW Utiltiy Pavement Restoration	Sub Surface Contracting	\$ 200,000.00
7/01/08-6/30/09	09/01/B	Pueblos Del Sol Trails Maint.	Advantage Asphalt	\$ 178,085.45
	09/42/B	Santa Fe River Trail Ricardo/Alire	Advantage Asphalt	\$1,089,293.33
	09/43/B	City Wide Utility Repair	Sub Surface Contracting	\$ 500,000.00
7/01/09-6/30/10	10/01/B	CW Utiltiy Pavement Restoration	Advantage Asphalt	\$ 200,000.00
	10/05/B	CW Sewer Line Spot Repair	Advantage Asphalt	\$ 85,117.32
	10/07/B	Airport RD Resurfacing Project	Armour Pavement (Alb)	\$ 2,292,444.77
	10/13/B	Ferguson Well Wall Construction	Advantage Asphalt	\$ 81,532.08
	10/14/B	On Call Roadway Const. Services	Star Paving (Alb)	\$ 1,000,000.00
	10/34/B	Water/Sewer Main Extention	Sub Surface Contracting	\$ 74,000.00
	10/35/B	Old Pecos Sidewalk Improvements	Star Paving (Alb)	\$ 359,971.81
	10/40/B	Barrio La Canada Renovations	Cerro Azul Const.	\$ 83,208.12
7/01/10-6/30/11	11/01/B	CW Utility Pavement Restoration	Advantage Asphalt	\$ 200,000.00
	11/06/B	Parks/Rec Public Restrooms	Advantage Asphalt	\$ 39,375.00
	11/07/B	Avenida Cristobal Pavement Rest	TLC Plumbing	\$ 48,386.00
	11/11/B	Agua Fria Water Sever Extension	Sub Surface Contractng	\$ 166,143.82
	11/19/B	CW Sewer Line Spot Repair	Advantage Asphalt	\$ 62,229.67
	11/25/B	Frenchys Park Storage Building	Carreon Construction	\$ 37,649.25
	11/38/B	SF River Park El Parque Del Rio	Nambe Construction	*\$1,078,377.08
				*not awarded
7/01/11-6/30/12	12/01/B	City Wide Utility Restoration	no award	
	12/14/B	City Wide Utility Restoration	TLC Plumbing Utiltiy	\$ 200,000.00

1. *Phragmites* (common)

[illegible]

Fiscal Year 02/03 (07/01/02 – 06/30/03)

[illegible]

DATE: May 13, 2003

TO: Finance Committee

FROM: Kathryn L. Raveling, Director
Finance Department

ISSUE: Award of Bid # '03/46/B
City Wide Water Utility Pavement Restoration Contract

SUMMARY:

On April 11, 2003, four bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference Factor</u>
Advantage Asphalt & Seal Coating, Santa Fe		
Total Bid Items 100010-100110	\$183,080.00	\$185,557.31
NMGRT	<u>\$ 12,243.48</u>	
Total Bid Amount	<u>\$195,323.48</u>	
 RL Leeder Company, Santa Fe		
Total Bid Items 100010-100110	\$246,650.00	\$249,987.48
NMGRT	<u>\$ 16,494.72</u>	
Total Bid Amount	<u>\$249,987.48</u>	
 Star Paving Company, Albuquerque		
Total Bid Items 100010-100110	\$333,478.45	\$316,804.53
NMGRT	<u>\$ 20,903.45</u>	
Total Bid Amount	<u>\$333,478.45</u>	
 J.R. Hale Contracting, Company, Albuquerque		
Total Bid Items 100010-100110	\$314,565.00	
*NMGRT	<u>\$ 21,034.96</u>	
Total Bid Amount	<u>\$335,601.53</u>	

*NMGRT INCORRECT

The using department has reviewed the bids and recommends award of bid to Advantage Asphalt & Seal Coating, LLC, Santa Fe in the amount of \$195,323.48.

A budget transfer is being requested from account number 52363.520150 (Water – Repair/Maintenance of System Equipment) to account number 52363.530200 (Water – Operating Supplies) in the amount of \$43,323.48. Budget is available in account number 52305.572970 (Water – WIP – Construction) and account number 52363.530200 (Water – Operating Supplies).

Page 2
Award of '03/46/B

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, LLC, Santa Fe, in the total amount of \$195,323.48 be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

City Wide Water Utility Pavement Restoration Contract

[illegible]

[illegible][illegible]

DATE: April 13, 2004

TO: Finance Committee

FROM: Kathryn L. Raveling, Director
Finance Department

ISSUE: Award of Bid # '04/32/B
Construction of Pueblos Del Sol Sanitary Sewer Extension Phase 2

SUMMARY:

On March 31, 2004, six bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Sparling Construction Corporation, Inc., Albuquerque		
Subtotal Of All Bid Items	\$213,146.40	\$196,094.69
NMGRT City	\$ 7,127.08	
NMGRT County	\$ 6,527.61	
Total Of All Bid Items Plus City and County GRT	<u>\$226,801.09</u>	
Advantage Asphalt, Santa Fe		
Subtotal Of All Bid Items	\$260,703.95	\$239,847.63
NMGRT City	\$ 8,717.29	
NMGRT County	\$ 7,984.06	
Total Of All Bid Items Plus City and County GRT	<u>\$277,405.30</u>	
Cone Construction, Corporation, Inc., Albuquerque		
Subtotal Of All Bid Items	\$274,999.00	
*NMGRT City	\$ 9,195.28	
*NMGRT County	\$ 8,421.84	
Total Of All Bid Items Plus City and County GRT	<u>\$292,616.12</u>	
TLC Company, Inc., Albuquerque		
Subtotal Of All Bid Items	\$289,500.91	
NMGRT City	\$ 9,680.19	
NMGRT County	\$ 8,865.97	
Total Of All Bid Items Plus City and County GRT	<u>\$308,047.07</u>	

Page 2
Award of '04/32/B

J.R. Hale Contracting Company, Inc., Albuquerque

Subtotal Of All Bid Items	\$317,913.40
NMGRT City	\$ 10,630.23
NMGRT County	\$ 9,736.10
Total Of All Bid Items Plus City and County GRT	<u>\$338,279.73</u>

K.R. Swerdfeger, CO

Subtotal Of All Bid Items	\$362,830.00
NMGRT City	\$ 12,132.13
NMGRT County	\$ 11,111.67
Total Of All Bid Items Plus City and County GRT	<u>\$386,073.80</u>

*NMGRT Incorrect

The using department has reviewed the bids and recommends award to Sparling Construction Company, Albuquerque in the amount of \$226,801.09. A 10% contingency in the amount of \$22,680.11 is being requested.

Budget is available as outlined in memo of recommendation from using department.

ACTION:

It is requested that this recommendation of award to Sparling Construction Company, Albuquerque in the total amount of \$249,481.20 reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Construction of Pueblos Del Sol Sanitary Sewer Extension Phase 2

[illegible]

Fiscal Year 04/05 (07/01/04 – 06/30/05)

[illegible]

DATE: June 28, 2006
TO: Finance Committee
FROM: Robert Rodarte, Purchasing Officer
Purchasing Division
VIA: Kathryn L. Raveling, Director
Finance Department
ISSUE: Award of Bid # '06/13/B
City Wide Water Utility Pavement Restoration

SUMMARY:

On October 20, 2005, one bid was received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>
Advantage Asphalt, Santa Fe	
Total Bid Items 100010 - 100110	\$199,330.00
NMGRT	<u>\$ 15,074.33</u>
Total Base Bid Amount Plus Tax	<u>\$214,404.33</u>

The using department has reviewed the bids and recommends award to Advantage Asphalt, Santa Fe, in the total amount of \$150,000.00. This is a four year contract and the using department is requesting approval to renew the contract again for fiscal year 06/07.

Budget is available in F/Y 06/07 in account number 52361.520200 (Water – Repair of grounds/roadways). Funds were approved at Council on May 24, 2006 in the amount of \$150,000.00.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt, Santa Fe in the amount of \$150,000.00 and renewal of contract be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

City Wide Water Utility Pavement Restoration

[illegible]

Fiscal Year 05/06 (07/01/05 – 06/30/06)

[illegible]

Fiscal Year 06/07 (07/01/06 – 06/30/07)

[illegible]

Fiscal Year 07/08 (07/01/07 – 06/30/08)

[illegible]

DATE: January 30, 2008
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: Kathryn L. Raveling
Finance Director
ISSUE: Award of Bid # '08/21/B
On Call Concrete Construction Services

SUMMARY:

On January 3, 2008, five bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Amount	\$ 976,097.50	\$ 898,009.70
NMGRT	\$ 76,867.69	
Total Bid Amount	<u>\$1,052,965.18</u>	
A.S. Horner Inc., Albuquerque		
Total Bid Amount	\$1,179,200.00	\$1,084,864.00
NMGRT	\$ 92,862.00	
Total Amount Including NMGR	<u>\$1,272,062.00</u>	
Star Paving, Albuquerque		
Total Bid Amount	\$1,213,600.00	
NMGRT	\$ 95,571.00	
Total Amount Including NMGR	<u>\$1,309,171.00</u>	
TLC Plumbing & Utility, Albuquerque		
Total Bid Amount	\$1,342,882.50	
NMGRT	\$ 105,752.00	
Total Amount Including NMGR	<u>\$1,448,634.50</u>	
AUI, Inc., Albuquerque		
Total Bid Amount	\$1,353,105.94	
NMGRT	\$ 106,557.09	
Total Amount Including NMGR	<u>\$1,459,663.03</u>	

Page 2

Award '08/21/B

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, LLC, Santa Fe in the \$1,000,000.00 excluding NMGRT.

The funding for these services will be budgeted as needed for each individual Capital Improvements Project.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, LLC, Santa Fe in the total amount of \$1,000,000.00 excluding NMGRT be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BUDGET ALLOCATION SHEET**

On Call Concrete Construction Services

[illegible]

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

On Call Concrete Construction Services

[illegible]

DATE: June 9, 2008

TO: Finance Committee

FROM: Robert Rodarte, Officer
Purchasing Office

VIA: Kathryn L. Raveling
Finance Director

ISSUE: Award of Bid # '08/37/B
On Call Concrete Construction Services

SUMMARY:

On May 28, 2008, four bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Amount	\$2,167,782.31	\$1,994,359.73
NMGRT	\$ 172,067.72	
Total Bid Amount	<u>\$2,339,850.03</u>	
H.O. Construction, Inc., Albuquerque		
Total Bid Amount	\$2,026,700.50	
NMGRT	\$ 160,869.35	
Total Amount Including NMGR	<u>\$2,187,569.85</u>	
Star Paving, Albuquerque		
Total Bid Amount	\$2,362,120.00	
NMGRT	\$ 187,493.28	
Total Amount Including NMGR	<u>\$2,549,613.28</u>	
TLC Plumbing & Utility, Albuquerque		
Total Bid Amount	\$2,898,830.00	\$2,666,923.60
NMGRT	\$ 230,094.63	
Total Amount Including NMGR	<u>\$3,128,924.63</u>	

Page 2
Award '08/21/B

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, LLC, Santa Fe and H.O. Construction, Inc., Albuquerque in the \$2,000,000.00 excluding NMGRT.

The funding for these services will be budgeted as needed for each individual Capital Improvements Project.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, LLC, Santa Fe and H.O. Construction, Inc., Albuquerque in the total amount of \$2,000,000.00 excluding NMGRT be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

On Call Concrete & Miscellaneous Construction Services

[illegible]

DATE: October 27, 2008
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: David Millican, Finance Director
Finance

ISSUE: Award of Bid # '08/38/B
Caretaker Housing In City Parks Construction of Residential Homes

Not awarded.

SUMMARY:

On June 16, 2008, two bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>
Advantage Asphalt & Seal Coating, Santa Fe	
Adam Gabriel Armijo Park	
Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>
 Candelero Park	
Base Bid Amount	\$300,000.00
NMGRT	<u>\$ 23,812.50</u>
Total Bid Amount	<u>\$323,812.50</u>
 General Franklin E. Miles Park	
Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>
 Municipal Recreation	
Base Bid Amount	\$360,000.00
NMGRT	<u>\$ 28,575.00</u>
Total Bid Amount	<u>\$388,575.00</u>
 Ragle Park	
Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>

W.R. Henderson Construction, Inc., Idaho

Adam Gabriel Armijo Park

Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>

Candeler Park

Base Bid Amount	\$300,000.00
NMGRT	<u>\$ 23,812.50</u>
Total Bid Amount	<u>\$323,812.50</u>

General Franklin E. Miles Park

Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>

Municipal Recreation

Base Bid Amount	\$360,000.00
NMGRT	<u>\$ 28,575.00</u>
Total Bid Amount	<u>\$388,575.00</u>

Ragle Park

Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating LLC, Santa Fe in the amount of \$1,198,106.25 inclusive NMGRT.

Budget is available as outlined in memo of recommendation from using department.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating LLC, Inc., Santa Fe in the total amount of \$1,198,106.25 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Caretaker Housing In City Parks Construction Of Residential Homes

DATE: 06/16/08		Advantage Asphalt & Seal		W.R. Henderson Construction,			
BID: 08/38/B		Coating L.C. Santa Fe		Inc, Idaho			
PREPARED BY: SHIRLEY R.							
ITEM & DESCRIPTION	BID AMOUNT	BID AMOUNT	BID AMOUNT	BID AMOUNT	BID AMOUNT	BID AMOUNT	BID AMOUNT
Adam Gabriel Armijo Park Base Bid	\$150,000.00	\$270,000.00					
NMGRT	\$11,906.25	\$21,431.25					
Total Base Bid Plus Tax	\$161,906.25	\$291,431.25					
Candelero Park Base Bid	\$300,000.00	\$550,000.00					
NMGRT	\$23,812.50	\$43,656.25					
Total Base Bid Plus Tax	\$323,812.50	\$593,656.25					
General Franklin E. Miles Park Base Bid	\$150,000.00	\$266,000.00					
NMGRT	\$11,906.25	\$21,113.75					
Total Base Bid Plus Tax	\$161,906.25	\$287,113.75					
Municipal Recreation Base Bid	\$360,000.00	\$597,000.00					
NMGRT	\$28,575.00	\$47,386.88					
Total Base Bid Plus Tax	\$388,575.00	\$644,386.88					
Ragle Park	\$150,000.00	\$257,000.00					
NMGRT	\$11,906.25	\$20,399.38					
Total Base Bid Plus Tax	\$161,906.25	\$277,399.38					
SUBMITTAL REQUIREMENTS							
BID BOND	X	X					
EQUAL EMPLOYMENT	X	X					
NON-SPECIFICATED FACILITIES	X	X					
NON-COLLISION AFFIDAVIT	X	X					
SUBCONTRACTORS LISTING	X	X					
LOCAL PREFERENCE	X	N/A					
5% RESIDENT PREFERENCE NUMBER	X	X					
RECEIPT ADDENDUM #1	X	X					
RECEIPT ADDENDUM #2	X	X					
RECEIPT ADDENDUM #3	X	X					

DATE: June 23, 2008

TO: Finance Committee

FROM: Robert Rodarte, Officer
Purchasing Office

VIA: David Millican, Finance Director
Finance

ISSUE: Award of Bid # '08/39/B
City Wide Water Utility Pavement Restoration

SUMMARY:

On June 9, 2008, three bids were received for the procurement of the above referenced service based on model quantities as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Sub Surface Contracting, Inc., Santa Fe		
Total Bid Items 100021-100120	\$100,181.25	\$ 92,166.75
NMGRT	\$ 7,951.89	
Total Bid Amount	<u>\$108,133.14</u>	
Advantage Asphalt & Seal Coating, Santa Fe		
Total Bid Items 100021-100120	\$145,082.10	\$133,475.53
NMGRT	\$ 11,515.89	
Total Bid Amount	<u>\$155,597.99</u>	
R.L. Leeder Company, Santa Fe		
Total Bid Items 100021-100120	\$155,900.00	
NMGRT	\$ 12,374.56	
Total Bid Amount	<u>\$168,274.56</u>	

The using department has reviewed the bid and recommends the award to Sub Surface Contracting, Inc., Santa Fe in the \$200,000.00 plus NMGR to provide the most impact consistent with budgeted funds.

Budget is available in next fiscal year budget 08/09 in account number 52363.520200 (Water – Transmission & Distribution - Repair & Maintenance Grounds/Roadways).

ACTION:

It is requested that this recommendation of award to Sub Surface Contracting, Inc., Santa Fe in the total amount of \$200,000.00 plus NMGR be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
-BID TABULATION SHEET-**

City Wide Water Utility Pavement Restoration

[illegible]

100

DATE: August 26, 2008

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing Office

VIA: David Millican, Director
Finance Department

ISSUE: Award of Bid # '09/01/B
Pueblos Del Sol Asphalt/Concrete Trails Maintenance

SUMMARY:

On July 24, 2008, three bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Base Bid Amount	\$161,283.57	\$148,380.88
GRT	\$ 12,801.88	
Total Base Bid Plus Tax	\$174,085.45	
Asphalt complete per linear foot	\$ 8.06	
Concrete complete per linear foot	\$ 31.50	
Check dams complete each	\$ 150.00	
Culvert maintenance each	\$ 200.00	
 RL Leeder Company, Santa Fe		
Base Bid Amount	\$331,193.00	\$304,697.56
GRT	\$ 26,447.19	
Total Base Bid Plus Tax	\$359,640.19	
Asphalt complete per linear foot	\$ 19.91	
Concrete complete per linear foot	\$ 67.50	
Check dams complete each	\$ 300.00	
Culvert maintenance each	\$ 200.00	
 Star Paving Company, Albuquerque		
Base Bid Amount	\$395,479.50	
GRT	\$ 31,391.19	
Total Base Bid Plus Tax	\$426,870.69	
Asphalt complete per linear foot	\$ 15.70	
Concrete complete per linear foot	\$ 43.00	

Page 2

Award of '09/01/B

Check dams complete each	\$ 8,495.00
Culvert maintenance each	\$ 2,296.00

The using department has reviewed the bid and recommends award to Advantage Asphalt & Seal Coating, Santa Fe in the amount of \$174,085.45 inclusive of GRT.

Budget is available as outlined in memo of recommendation from using department.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, Santa Fe in the total amount of \$174,085.45, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Pueblos Del Sol Asphalt/Concrete Trails Maintenance

[illegible]

DATE: August 10, 2009

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing Office

VIA: David Millican, Director
Finance Department

ISSUE: Award of Bid # '09/42/B
Santa Fe River Trail Construction, Ricardo Road to Camino Alire

SUMMARY:

On July 15, 2009, six bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, Santa Fe		
Base Bid Subtotal	\$1,008,021.59	\$ 907,219.43
NMGRT	\$ 81,271.74	
Total Bid Including NMGRT	<u>\$1,089,293.33</u>	
A.S. Horner, Inc., Albuquerque		
Base Bid Subtotal	\$1,040,290.00	
NMGRT	\$ 83,873.38	
Total Bid Including NMGRT	<u>\$1,124,163.38</u>	
Star Paving Company, Albuquerque		
Base Bid Subtotal	\$1,200,366.40	\$1,080,329.76
NMGRT	\$ 96,779.54	
Total Bid Including NMGRT	<u>\$1,297,145.94</u>	
R.L. Leeder Company, Santa Fe		
Base Bid Subtotal	\$1,389,077.50	\$1,250,169.75
NMGRT	\$ 111,994.32	
Base Bid Total	<u>\$1,501,071.80</u>	
Hasse Contracting Co., Inc., Albuquerque		
Base Bid Subtotal	\$1,393,941.75	
NMGRT	\$ 112,386.55	
Base Bid Subtotal	<u>\$1,506,328.30</u>	

Page 2

Award of '09/42/B

Moore & Cowart Contractors, Inc., Albuquerque

Base Bid Subtotal	\$1,576,930.10
NMGRT	<u>\$ 127,139.99</u>
Base Bid	<u>\$1,704,070.09</u>

The using department has reviewed the bid and recommends award of base bid only to Advantage Asphalt & Seal Coating, Santa Fe in the amount of \$1,089,293.33 inclusive of GRT. Star Paving Company, Inc., Albuquerque submitted and qualified for the local preference the company has an office located in Santa Fe County at 1205 North Riverside, Espanola, New Mexico.

Budget is available in account number 32803.572970 (Exp – Trails – WIP Construction) in the amount of \$1,509,640.30.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, Santa Fe in the total amount of \$1,089,293.33, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Santa Fe River Trail Construction, Ricardo Road to Camino Allre

[illegible]

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

REHABILITATION SHEET

Santa Fe River Trail Construction, Ricardo Road to Camline Alire

DATE 07/15/09					
BID- 09/42/B					
PREPARED BY, SHIRLEY R.					
ITEM & DESCRIPTION	BID AMOUNT	Moore & Covatt Contractors, Inc., Albuquerque			
Base Bid Subtotal	\$1,393,941.75		\$1,576,930.10		
NMGRT	\$112,386.55		127139.99		
Base Bid Total	\$1,506,328.30		\$1,704,070.09		
Local Preference					
SUBMITTAL REQUIREMENTS					
BID BOND	X		X		
EQUAL EMPLOYMENT	X		X		
NONSEGREGATED FACILITIES	X		X		
NON-COLLISION AFFIDAVIT	X		X		
SUBCONTRACTORS LISTING	X		X		
LOCAL PREFERENCE	N/A		N/A		
NA RESIDENT PREFERENCE NUMBER	X		X		
RECIPT APPENDIX #1	X		X		
RECIPT APPENDIX #2	X		X		
RECIPT APPENDIX #3	X		X		

DATE: August 12, 2009

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing Office

VIA: David Millican, Director
Finance Department

ISSUE: Award of Bid # '09/43/B
FY 09/10 City Wide Water Utility Construction & Repair Contract

SUMMARY:

On July 8, 2009, four bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Sub Surface Contracting, Inc., Santa Fe		
Total Bid Items 10 - 9950	\$522,896.50	\$470,606.65
NMGRT	\$ 42,158.53	
Total Bid	<u>\$565,055.03</u>	
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Items 10 -9950	\$533,351.95	\$479,004.03
NMGRT	\$ 43,001.50	
Total Bid	<u>\$576,353.45</u>	
TLC Plumbing & Utility, Albuquerque		
Total Bid Items 10- 9950	\$598,977.00	
NMGRT	\$ 48,292.52	
Total Bid Including NMGRT	<u>\$647,269.52</u>	
K.R. Swerdfeger Construction, Inc., CO		
Total Bid Items 10-9950	\$648,764.00	\$583,887.60
NMGRT	\$ 52,306.00	
Base Bid Total	<u>\$701,070.60</u>	

The using department has reviewed the bid and recommends award of base bid to Sub Surface Contracting, Inc., Santa Fe in the limited amount of \$500,000.00 plus GRT. K.R. Swerdfeger Construction, Inc., CO submitted and qualified for the local preference the company has an office located in Santa Fe County.

Budget will be available upon the approval of the division's FY 08/09 budget carry forward request.

ACTION:

It is requested that this recommendation of award to Sub Surface Contracting, Inc., Santa Fe in the limited amount of \$500,000.00 plus GRT, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

FY 09/10 City Wide Water Utility Construction & Repair Contract

[illegible]

Fiscal Year 09/10 (07/01/09 – 06/30/10)

[illegible]

DATE: August 26, 2009

TO: Finance Committee

FROM: Robert Rodarte, Officer
Purchasing Office

VIA: David Millican, Finance Director
Finance

ISSUE: Award of Bid # '10/01/B
F/Y 09/10 City Wide Water Utility Pavement Restoration Contract

SUMMARY:

On August 5, 2009, four bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, Santa Fe		
Total Bid Items 100021-100120	\$ 84,360.00	\$ 75,924.00
NMGRT	<u>\$ 6,801.53</u>	
Total Bid Amount	<u>\$ 91,161.53</u>	
Sub Surface Contracting, Inc., Santa Fe		
Total Bid Items 100021-100120	\$ 89,080.00	\$ 80,172.00
NMGRT	<u>\$ 7,182.08</u>	
Total Bid Amount	<u>\$ 96,262.08</u>	
Sparling Construction Co., Inc., Albuquerque		
Total Bid Items 100021-100120	\$ 92,871.00	
NMGRT	<u>\$ 7,487.72</u>	
Total Bid Amount	<u>\$100,358.72</u>	
R.L. Leeder Company, Santa Fe		
Total Bid Items 100021-100120	\$199,762.50	\$179,786.25
NMGRT	<u>\$ 16,105.85</u>	
Total Bid Amount	<u>\$215,868.35</u>	

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, Santa Fe in the limited amount of \$200,000.00 plus NMGR to provide the most impact consistent with budgeted funds.

Page 2

Award of '10/01/B

Budget is available in account number 52363.520200 (Water – Transmission & Distribution - Repair & Maintenance Grounds/Roadways) in the amount of \$240,151.18.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt Seal & Coating, Santa Fe in the total limited amount of \$200,000.00 plus NMGRT be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

F/Y 09/10 City Wide Water Utility Pavement Restoration Contract

[illegible]

DATE: September 28, 2009
TO: Finance Committee
FROM: Robert Rodarte, Purchasing Officer
Purchasing Office
VIA: David Millican, Director
Finance Department
ISSUE: Award of Bid # '10/05/B
FY 09/10 City Wide Sewer Line Spot Repair Contract

SUMMARY:

On September 3, 2009, seven bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Items 1 - 17	\$ 78,766.75	\$ 70,890.09
NMGRT	\$ 6,350.57	
Total Amount Base Bid 1 - 17	<u>\$ 85,117.32</u>	
 Bid Alternate A Bid Item 1 – 11	\$ 46,606.00	
NMGRT	\$ 3,757.61	
Total Amount Alternate 1 – 10	<u>\$ 50,363.61</u>	
 Triman Construction Industries, Inc., Belen		
Total Bid Items 1 - 17	\$ 79,750.00	
NMGRT	\$ 6,409.69	
Total Amount Base Bid 1 - 17	<u>\$ 85,909.69</u>	
 Bid Alternate A Bid Item 1 – 10	\$ 57,700.00	
NMGRT	\$ 4,652.06	
Total Amount Alternate 1 – 10	<u>\$ 62,352.06</u>	
 AUI Inc., Albuquerque		
Total Bid Items 1 - 17	\$ 81,875.00	
NMGRT	\$ 6,601.17	
Total Amount Base Bid 1 – 17	<u>\$ 88,476.17</u>	
 Bid Alternate A Bid Item 1 – 10	\$ 95,050.00	
NMGRT	\$ 7,663.41	
Total Amount Alternate 1 – 10	<u>\$102,713.41</u>	

TLC Plumbing & Utility, Albuquerque

Total Bid Items 1 – 17	\$ 90,114.00	\$ 81,369.90
NMGRT	<u>\$ 7,625.44</u>	
Total Amount Base Bid 1 – 17	<u>\$ 97,379.44</u>	

Bid Alternate A Bid Item 1 – 10	\$ 97,535.00	
NMGRT	<u>\$ 7,265.44</u>	
Total Amount Alternate 1 – 10	<u>\$105,398.76</u>	

K.R. Swerdfeger Construction, Inc., CO

Total Bid Items 1 - 17	\$111,725.00	\$100,552.50
NMGRT	<u>\$ 52,306.00</u>	
Total Amount Base Bid 1 - 17	<u>\$701,070.60</u>	

Bid Alternate A Bid Item 1 – 10	\$64,300.00	
NMGRT	<u>\$ 5,184.19</u>	
Total Amount Alternate 1 – 10	<u>\$69,484.19</u>	

A.A.C. Construction, LLC, Santa Fe

Total Bid Items 1 – 17	\$116,875.00	\$105,187.50
NMGRT	<u>\$ 9,423.05</u>	
Total Amount Base Bid 1 – 17	<u>\$126,298.05</u>	

Bid Alternate A Bid Item 1 – 10	\$ 73,050.00	
NMGRT	<u>\$ 5,889.66</u>	
Total Amount Alternate 1 – 10	<u>\$105,187.50</u>	

The using department has reviewed the bid and recommends award of base bid to Advantage Asphalt & Seal Coating, Santa Fe in the amount of \$85,117.32 including GRT. TLC Plumbing & Utility, Albuquerque & Swerdfeger Construction, Inc., CO submitted and qualified for the local preference each company has a office located in Santa Fe County.

Budget is available in account number 52455.520200 (Wastewater – Collection System – Repair & Maintenance Grounds/Rd) in the amount of \$156,843.39.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, LLC, Santa Fe in the total amount of \$85,117.32, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BD TABULATION SHEET**

RY 09/10 City Wide Sewer Line Spot Repair Contract

[illegible]

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

BID TABULATION SHEET

EX 09/10 City Wide Sewer Line Spot Marking

[illegible]

DATE: March 10, 2010
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: David Millican, Finance Director
Finance
ISSUE: Award of Bid # '10/07/B
Airport Road Resurfacing Project Cerrillos Road to Calle Debra

SUMMARY:

On February 10, 2010, seven bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>
Armour Pavement, Albuquerque	
Total Base Bid Amount	\$2,121,406.38
NMGRT	\$ 171,038.39
Total Base Bid Including NMGR	<u>\$2,292,444.77</u>
Star Paving Company, Albuquerque	
Total Base Bid Amount	\$2,152,121.27
NMGRT	\$ 173,514.78
Total Base Bid Including NMGR	<u>\$2,325,636.05</u>
Albuquerque Asphalt, Inc., Albuquerque	
Total Base Bid Amount	\$2,174,581.79
NMGRT	\$ 175,325.66
Total Base Bid Including NMGR	<u>\$2,349,907.45</u>
FNF New Mexico, LLC, Albuquerque	
Total Base Bid Amount	\$2,215,457.00
NMGRT	\$ 178,621.22
Total Base Bid Including NMGR	<u>\$2,394,078.22</u>
R.L. Leeder Company, Santa Fe	
Total Base Bid Amount	\$2,251,643.89
NMGRT	\$ 181,538.79
Total Base Bid Including NMGR	<u>\$2,433,182.68</u>

Advantage Asphalt & Coating, LLC, Santa Fe

Total Base Bid Amount	\$2,367,706.42
NMGRT	<u>\$ 190,896.33</u>
Total Base Bid Including NMGRT	<u>\$2,558,602.75</u>

A.A.C. Construction, LLC, Santa Fe

Total Base Bid Amount	\$2,482,753.57
NMGRT	<u>\$ 200,172.01</u>
Total Base Bid Including NMGRT	<u>\$2,682,925.58</u>

The using department has reviewed the bid and recommends the award to Armour Pavement, Albuquerque in the amount of \$2,292,444.77 inclusive of NMGRT.

Budget is available as outlined in memo of recommendation from using department.

ACTION:

It is requested that this recommendation of award to Armour Pavement, Albuquerque in the total amount of \$2,292,444.77 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BUDGET ALLOCATION SHEET

Airport Road Resurfacing Project Cerrillos Road to Calle Debra

[illegible]

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Airport Road Resurfacing Project Cerrillos Road to Calle Debra

[illegible]

DATE: November 9, 2009

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing

VIA: David Millican, Finance Director
Finance

ISSUE: Award of Bid # '10/13/B
Ferguson Well Wall Construction

SUMMARY:

On October 22, 2009, seven bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Items 100 – 800	\$ 75,449.00	\$ 67,904.10
NMGRT	<u>\$ 6,083.08</u>	
Total Bid Amount	<u>\$ 81,532.08</u>	
Done Right Construction, LLC, Pecos	\$ 68,881.72	
Total Bid Items 100 – 800	<u>\$ 5,553.59</u>	
Total Bid Amount	<u>\$ 74,435.31</u>	
Sub Surface Contracting, Inc., Santa Fe		
Total Bid Items 100 – 800	\$ 96,200.75	\$ 86,580.68
NMGRT	<u>\$ 7,756.19</u>	
Total Bid Amount	<u>\$103,956.94</u>	
Rockscapes of New Mexico, Albuquerque		
Total Bid Items 100- 800	\$ 92,928.76	
NMGRT	<u>\$ 7,492.38</u>	
Total Bid Amount	<u>\$100,421.14</u>	
Padillas Industries, Inc., Santa Fe		
Total Bid Items 100 – 800	\$110,080.00	\$ 99,072.00
NMGRT	<u>\$ 8,875.20</u>	
Total Bid Amount	<u>\$118,955.20</u>	

Page 2

Award of '10/13/B

RCC, LLC, Albuquerque

Total Bid Items 100 – 800

\$109,757.79

NMGRT

\$ 8,849.22

Total Bid Amount

\$118,607.01

K.R. Swerdfeger Construction, Inc., CO

Total Bid Items 100 – 800

\$179,380.00

NMGRT

\$ 14,462.51

Total Bid Amount

\$193,842.51

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, Santa Fe in the amount of \$81,532.08 including NMGRT.

Budget is available in account number 52375.572970 (Water – Expansion Well – WIP Construction) in the amount of \$1,947,029.00.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt Seal & Coating, LLC, Santa Fe in the total amount of \$81,532.08 plus NMGRT be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Ferguson Well Wall Construction

[illegible]

**LIBRARY OF SANTANA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Ferguson Well Wall Construction

[illegible]

DATE: December 6, 2009

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing Office

VIA: David Millican, Director
Finance Department

ISSUE: Award of Bid # '10/14/B
On Call Roadway Construction Services

SUMMARY:

On November 12, 2009, six bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Star Paving Company, Albuquerque		
Total Bid Amount	\$795,731.00	\$716,157.90
NMGRT	<u>\$ 64,155.81</u>	
Total Amount Bid Including NMGR	<u>\$859,886.81</u>	
TLC Plumbing & Utility, Albuquerque		
Total Bid Amount	\$858,970.00	\$773,073.00
NMGRT	<u>\$ 69,254.46</u>	
Total Bid Including NMGR	<u>\$928,224.46</u>	
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Amount	\$919,302.50	\$827,372.25
NMGRT	<u>\$ 74,118.76</u>	
Total Bid Including NMGR	<u>\$993,421.26</u>	
ALTOR Construction, Inc., Los Lunas		
Total Bid Amount	\$876,927.50	
NMGRT	<u>\$ 70,702.28</u>	
Total Bid Including NMGR	<u>\$947,629.78</u>	
Espanola Mercantile, dba, Emco, Espanola		
Total Bid Amount	\$1,024,872.00	\$922,384.80
NMGRT	<u>\$ 82,630.31</u>	
Total Bid Including NMGR	<u>\$1,107,502.31</u>	

A.S. Horner Inc., Albuquerque

Total Bid Amount	\$1,376,335.00
NMGRT	<u>\$ 110,967.01</u>
Base Bid Total	<u>\$1,487,302.01</u>

The using department has reviewed the bid and recommends award to Star Paving Company, Albuquerque in an amount not exceed \$1,000,000.00 inclusive of NMGRT.

The funding for these services will be budgeted as needed for each individual Capital Improvements Project.

ACTION:

It is requested that this recommendation of award to Star Paving Company, Albuquerque in the amount not to exceed \$1,000,000.00 inclusive of NMGRT, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA KE
PURCHASING OFFICE
BID TABULATION SHEET

On Call Roadway Construction Services

[illegible]

CITY OF SANTA FE
 PURCHASING OFFICE
 BID TABULATION SHEET

On Call Roadway Construction Services

DATE: 11/12/09					
BID: #V014/B					
PREPARED BY: SHIRLEY R.					
ITEM & DESCRIPTION					
BID AMOUNT	BID AMOUNT				
Total Bid Amount	\$1,024,872.00	\$1,376,335.00			
NMGRT	\$82,630.31	\$110,967.01			
Total Amount Bid Including NMGRT	\$1,107,502.31	\$1,487,302.01			
Local Preference	\$922,384.80				
SUBMITTAL REQUIREMENTS					
BID BOND	X	X			
EQUAL EMPLOYMENT	X	X			
NON-SEGREGATED FACILITIES	X	X			
NON-COLLISION AFFIDAVIT	X	X			
SUBCONTRACTORS LISTING	X	X			
LOCAL PREFERENCE	X				
NY RESIDENT PREFERENCE NUMBER	X	N/A			
RECEIPT APPENDIX #1	X	X			
RECEIPT APPENDIX #2	X	X			
RECEIPT APPENDIX #3					

DATE: April 26, 2010
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: Kathryn Raveling, Finance Director
Finance
ISSUE: Award of Bid # '10/34/B
Water and Sewer Main Extension Project Phase One

SUMMARY:

On April 12, 2010, six bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Sub Surface Contracting, Santa Fe		
Base Bid	\$68,635.00	\$60,741.41
NMGRT	<u>\$ 5,533.70</u>	
Total Bid Amount	<u>\$74,168.70</u>	
Advantage Asphalt, Santa Fe		
Base Bid	\$82,685.00	\$74,416.50
NMGT	<u>\$ 6,666.48</u>	
Total Bid Amount	<u>\$89,351.48</u>	
Cobalt Construction, Santa Fe		
Base Bid	\$ 92,807.00	\$83,526.30
NMGRT	<u>\$ 7,482.56</u>	
Total Bid Amount	<u>\$100,289.56</u>	
K.R. Swerdfeger Construction, Inc., CO		
Base Bid	\$102,619.00	\$92,357.10
NMGRT	<u>\$ 8,273.66</u>	
Total Bid Amount	<u>\$100,289.56</u>	
Blueline Construction, Inc., Santa Fe		
Base Bid	\$108,882.50	\$97,994.25
NMGRT	<u>\$ 32,469.12</u>	
Total Bid Amount	<u>\$435,186.87</u>	

Page 2
Award of '10/34/B

K.R. Swerdfeger Construction, Inc., CO

Base Bid	\$109,083.00	\$98,174.70
NMGRT	<u>\$ 8,794.82</u>	
Total Bid Amount	<u>\$117,877.82</u>	

The using department has reviewed the bid and recommends the award to Sub Surface contracting, Inc. Santa Fe in the amount of \$74,168.70 inclusive of GRT.

Budget is available from two state grants in account number 52212.572970 (Wastewater – Sewer Line Exp – WIP Construction) in the amount of \$498,522.00.

ACTION:

It is requested that this recommendation of award to Sub Surface Contracting, Inc., Santa Fe in the total amount of \$74,168.70 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Water and Sewer Main Extension Project Phase One

[illegible]

CITY OF SANTA FE
PURCHASING OFFICE
BD TABULATON SHEET

Water and Sewer Main Extension Project Phase One

[illegible]

DATE: April 26, 2010

TO: Finance Committee

FROM: Robert Rodarte, Officer
Purchasing Office

VIA: Kathryn Raveling, Finance Director
Finance

ISSUE: Award of Bid # '10/35/B
Old Pecos Trail Sidewalk Improvements-Cordova Rd. to Berger St.,
Street Widening-Barcelona Rd. to Coronado Rd.

SUMMARY:

On April 12, 2010, four bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Star Paving, Albuquerque		
Base Bid	\$333,114.46	\$299,803.01
NMGRT	\$ 26,857.35	
Total Bid Amount	<u>\$359,971.81</u>	
H.O. Construction, Inc., Albuquerque		
Base Bid	\$370,868.00	
NMGRT	\$ 29,901.23	
Total Bid Amount	<u>\$400,769.23</u>	
Advantage Asphalt, Santa Fe		
Base Bid	\$402,717.75	
NMGRT	\$ 32,469.12	
Total Bid Amount	<u>\$435,186.87</u>	
Botone Industries, LLC, Albuquerque		
Base Bid	\$456,935.72	
NMGRT	\$ 36,840.44	
Total Bid Amount	<u>\$493,776.16</u>	

The using department has reviewed the bid and recommends the award to Star Paving, Albuquerque in the amount of \$359,971.81 inclusive of GRT.

Page 2
Award of '10/35/B

Budget is available in account number 32785.572970 (CIP – Old Pecos Trail Design – WIP Construction) in the amount of \$392,490.00.

ACTION:

It is requested that this recommendation of award to Star Paving, Albuquerque in the total amount of \$359,971.81 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Old Pecos Trail Sidewalk Improvements - Cordova Rd. to Berzer St. Street Widening-Barcelona Rd to Camino Rd

[illegible]

DATE: June 15, 2010

TO: Finance Committee

FROM: Robert Rodarte, Officer
Purchasing Office

VIA: Kathryn Raveling, Finance Director
Finance

ISSUE: Award of Bid # '10/40/B
Barrio La Canada Entranceway Renovations

SUMMARY:

On May 26, 2010, four bids were received for the procurement of the aforementioned project. The bid received from Vigil Contracting Services, Inc. was non responsive they did not bid on alternate 1. The bids received are as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Cerro Azul Construction, LLC, Teseque		
Base Bid	\$ 55,500.00	\$70,840.00
Alternate 1 (renovation of south gate house tower)	\$ 21,500.00	
Total Base Bid Plus Alternate 1	\$ 77,000.00	
NMGRT	\$ 6,208.12	
Total Bid Amount	<u>\$ 83,208.12</u>	
Above & Beyond, Albuquerque		
Base Bid	\$ 48,557.00	
Alternate 1 (renovation of south gate house tower)	\$ 32,278.00	
Total Base Bid Plus Alternate 1	\$ 80,835.00	
NMGRT	\$ 6,517.32	
Total Bid Amount	\$ 87,352.32	
Advantage Asphalt, Santa Fe		
Base Bid	\$ 71,500.00	\$96,140.00
Alternate 1 (renovation of south gate house tower)	\$ 33,000.00	
Total Base Bid Plus Alternate 1	\$104,500.00	
NMGRT	\$ 8,425.31	
Total Bid Amount	<u>\$112,925.31</u>	

The using department has reviewed the bid and recommends the award to Cerro Azul Construction, LLC, Teseque in the amount of \$83,208.12 inclusive of GRT.

Page 2

Award of '10/40/B

Budget is available in account numbers 32361.572500 (CIP – Camino La Canada – Remodel & Replacement) in the amount of \$76,341.63 and 32313.572970 (CIP – Camino Alire Bridge – WIP Construction) in the amount of \$55,660.83.

ACTION:

It is requested that this recommendation of award to Cerro Azul Construction, LLC, Teseque in the total amount of \$83,208.12 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Barrio La Canada Entranceway Renovation

[illegible]

Fiscal Year 10/11 (07/01/10 - 06/30/11)

[illegible]

DATE: August 6, 2010

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing

VIA: Kathryn Raveling, Finance Director
Finance

ISSUE: Award of Bid # '11/01/B
FY 09/10 City Wide Water Utility Pavement Restoration Contract

SUMMARY:

On July 26, 2010, two bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, Santa Fe		
Total Bid Items 100021-100120	\$74,071.00	\$68,145.32
NMGRT	\$ 6,064.56	
Total Bid Amount	<u>\$80,135.56</u>	
 Sub Surface Contracting, Inc., Santa Fe		
Total Bid Items 100021-100120	\$83,960.00	\$75,564.00
NMGRT	\$ 6,874.23	
Total Bid Amount	<u>\$90,834.23</u>	

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, Santa Fe in the limited amount of \$200,000.00 plus NMGRT to provide the most impact consistent with budgeted funds.

Budget is available in account number 52363.520200 (Water – Transmission & Distribution - Repair & Maintenance Grounds/Roadways) in the amount of \$292,401.08.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt Seal & Coating, Santa Fe in the total limited amount of \$200,000.00 plus NMGRT be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

11

FY 10/11 City Wide Water Utility Pavement Restoration Contract

[illegible]

CITY OF SAN ANTONIO
 PURCHASING OFFICE
 BID TABULATION SHEET

Parks & Recreation Public Restrooms

DATE: 08/18/10 BID: 00067B PREPARED BY: SHIRLEY R.		Advantage Asphalt & Seal Coating, Santa Fe	AAA Pumping Service, Inc. Albuquerque		
ITEM & DESCRIPTION	BID AMOUNT		BID AMOUNT		
Cost per unit for 2 regular for 17 weeks	\$420.00		\$107.00		
Total Bid Amount	\$840.00		\$856.00		
Cost per unit for 8 regular for 22 weeks	\$625.00		\$171.20		
Total Bid Amount	\$5,000.00		\$6,848.00		
Cost per unit for 1 handicapp for 22 week	\$725.00		\$181.90		
Total Bid Amount	\$725.00		\$909.50		
Cost per unit for 4 regular for 26 weeks	\$750.00		\$171.20		
Total Bid Amount	\$3,000.00		\$4,108.80		
Cost per unit for 18 regular for 30 weeks	\$875.00		\$171.20		
Total Bid Amount	\$15,750.00		\$21,571.20		
Cost per unit 6 w/hand wash for 30 weeks	\$945.00		\$171.20		
Total Bid Amount	\$5,670.00		\$7,190.40		
Cost per unit for 2 handicapp for 30 weeks	\$1,015.00		\$181.90		
Total Bid Amount	\$2,030.00		\$2,546.60		
Cost per unit for 4 regular for 35 weeks	\$840.00		\$107.00		
Total Bid Amount	\$3,360.00		\$3,424.00		
Cost per unit for 2 regular for 52 weeks	\$1,500.00		\$171.20		
Total Bid Amount	\$3,000.00		\$4,108.80		
Installation Fee	\$20.00		\$26.75		
Removal Fee	\$30.00		\$26.75		
Other Fees	N/A		\$26.75		
Total Bid Amount	\$39,375.00		\$51,670.30		
Local Preference	\$36,225.00				
Relocation Fee	N/A		\$26.75		
Other fees for regular units	\$85.00		\$126.75		
Other fees for w/hand unit	\$95.00		\$126.75		
Other fees for handicapped units	\$105.00		\$226.75		
Other fees for 2 weekly cleanings	\$40.00		\$153.50		
Other fees for 3 weekly cleanings	\$60.00		\$180.25		
Unisex Regular Unit	\$105.00		\$126.75		
LOCAL PREFERENCE	x				

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Avenida Cristobal Colon Pavement Restoration Project

[illegible]

DATE: September 27, 2010

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing

VIA: Kathryn Raveling, Finance Director
Finance

ISSUE: Award of Bid # '11/11/B
2800 Block Agua Fria Water and Sewer Extension Project Phase Two

SUMMARY:

On September 16, 2010, three bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Sub Surface Contracting, Inc., Santa Fe		
Base Bid Items 1, 2, & 3	\$ 83,305.25	\$74,974.73
GRT	\$ 6,820.62	
Additive Alternate 1 & 2	\$ 70,265.00	
GRT	\$ 5,752.95	
Base Bid 1, 2 & 3 Additive Alternate 1 & 2 Plus Tax	<u>\$166,143.82</u>	
Advantage Asphalt Seal Coating, Santa Fe		
Base Bid Items 1, 2, & 3	\$121,359.00	\$109,223.10
GRT	\$ 9,936.27	
Additive Alternate 1 & 2	\$ 72,901.18	
GRT	\$ 5,968.78	
Additive Alternate 1 & 2 Plus Tax	<u>\$210,165.23</u>	
Star Paving Company, Albuquerque		
Base Bid Items 1, 2, & 3	\$254,260.00	\$228,834.00
GRT	\$ 20,817.54	
Additive Alternate 1 & 2	\$ 85,771.00	
GRT	\$ 7,022.50	
Base Bid 1, 2 & 3 Additive Alternate 1 & 2 Plus Tax	<u>\$367,871.04</u>	

The using department has reviewed the bid and recommends the award of base bid and additive alternate 1 & 2 to Sub Surface Contracting, Inc., Santa Fe in the amount of \$166,143.82 inclusive of GRT.

Page 2

Award of '11/11/B

Funding is available from a state grant in the amount of \$188,839.00. Budget is available in account number 52212.572970 (Water – Transmission & Distribution) in the amount of \$189,061.26.

ACTION:

It is requested that this recommendation of award to Sub Surface Contracting, Inc., Santa Fe in the total amount of \$166,143.82 inclusive of GRT be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATON SHEET**

Water and Sewer Main Extension Project Phase Two

[illegible]

DATE: October 25, 2010

TO: Finance Committee

FROM: Robert Rodarte, Officer
Purchasing Office

VIA: Kathryn Raveling, Finance Director
Finance

ISSUE: Award of Bid # '11/19/B
FY 10/11 City Wide Sewer Line Spot Repair Contract

SUMMARY:

On October 14, 2010, four bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, Santa Fe		
Base Bid 1 thru 57	\$ 57,520.20	\$51,768.18
NMGRT	\$ 4,709.47	
Total Bid Amount Including NMGR	<u>\$ 62,229.67</u>	
TriMan Construction, Santa Fe		
Base Bid 1 thru 57	\$ 66,426.50	
NMGRT	\$ 5,438.66	
Total Bid Amount Including NMGR	<u>\$ 71,865.17</u>	
TLC Plumbing & Utility, Albuquerque		
Base Bid 1 thru 57	\$ 81,793.50	
NMGRT	\$ 6,696.84	
Total Bid Amount Including NMGR	<u>\$ 88,490.34</u>	
K.R. Swerdfeger Construction, Inc., CO		
Base Bid 1 thru 57	\$ 96,327.00	\$86,687.10
NMGRT	\$ 7,886.77	
Total Bid Amount Including NMGR	<u>\$104,213.77</u>	

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, Santa Fe in the amount of \$62,229.67 inclusive of GRT.

Page 2

Award of '11/19/B

Budget is available from two state grants in account number 52455.520200 (Wastewater – Collection System – Repair Maintenance Grounds/Rd) in the amount of \$141,643.25.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, Santa Fe in the total amount of \$62,229.67 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

FY 10/11 City Wide Sewer Line Spot Repair Contract

[illegible]

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Frenchy's Park Storage Building

[illegible]

DATE: August 30, 2011

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing Office

VIA: Kathryn Raveling, Director
Finance Department

ISSUE: Award of Bid # '11/38/B
Santa Fe River Park – El Parque Del Rio – Renovations and Improvements

SUMMARY:

On May 24, 2011, five bids were received for the procurement of the above referenced project as follows:

	Bid Amount	Local Preference
DBA Nambe Construction, Santa Fe		
Base Bid	\$1,172,149.00	\$1,078,377.08
Deductive Alternate No. 3 Including Tax	- \$ 78,367.00	
Subtotal	\$1,093,782.00	
GRT	\$ 89,553.40	
Total Base Bid Plus Tax	<u>\$1,183,335.40</u>	
Deductive Alternate No. 1 Including Tax	\$ 27,290.00	
Deductive Alternate No. 2 Including Tax	\$ 48,015.00	
Deductive Alternate No. 3 Including Tax	\$ 417,836.75	
Advantage Asphalt & Seal Coating, Santa Fe		
Base Bid	\$1,356,596.90	\$1,248,069.15
Deductive Alternate No. 3 Including Tax	- \$ 108,527.75	
Subtotal	\$1,248,069.15	
GRT	\$ 102,185.67	
Total Base Bid Plus Tax	<u>\$1,350,254.82</u>	
Deductive Alternate No. 1 Including Tax	\$ 67,829.85	
Deductive Alternate No. 2 Including Tax	\$ 135,659.69	
Deductive Alternate No. 3 Including Tax	\$ 108,527.75	
Star Paving Co., Albuquerque		
Base Bid	\$1,477,547.68	
Deductive Alternate No. 3 Including Tax	- \$ 61,689.05	

Page 2
Award of '11/38/B

Subtotal	\$1,415,858.63
GRT	\$ 115,923.43
Total Base Bid Plus Tax	<u>\$1,531,782.06</u>

Deductive Alternate No. 1 Including Tax	\$ 24,542.16
Deductive Alternate No. 2 Including Tax	\$ 54,969.49
Deductive Alternate No. 3 Including Tax	\$ 61,689.05

Lockwood Construction Co., Santa Fe

Base Bid	\$1,498,000.00	\$1,378,160.00
Deductive Alternate No. 3 Including Tax	-\$ 90,877.00	
Subtotal	\$1,407,123.00	
GRT	\$ 115,208.20	
Total Base Bid Plus Tax	<u>\$1,522,331.20</u>	

Deductive Alternate No. 1 Including Tax	\$ 21,638.00
Deductive Alternate No. 2 Including Tax	\$ 31,374.00
Deductive Alternate No. 3 Including Tax	\$ 90,877.00

Meridian Contracting, Inc., Albuquerque

Base Bid	\$1,607,144.00
Deductive Alternate No. 3 Including Tax	-\$ 97,189.16
Subtotal	\$1,509,954.84
GRT	\$ 123,627.56
Total Base Bid Plus Tax	<u>\$1,633,582.40</u>

Deductive Alternate No. 1 Including Tax	\$ 24,609.41
Deductive Alternate No. 2 Including Tax	\$ 52,672.17
Deductive Alternate No. 3 Including Tax	\$ 97,189.16

The using department has reviewed the bid and recommends award of base bid and deductive alternate No. 3 to Nambe Construction, Santa Fe in the amount of \$1,183,335.40 inclusive of GRT. Nambe Construction made an error in their bid submittal for deductive alternate No.3 the error did not alter their position as the low bidder. The City's purchasing officer made a determination that it is in the best interest of the city to accept the corrected bid amount.

Budget is available in account number 423047.572970 (Parks – SF River Parkway – WIP Construction) in the amount of \$1,636,429.30.

ACTION:

It is requested that this recommendation of award to Nambe Construction, Santa Fe in the total amount of \$1,183,335.40, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Santa Fe River Park - El Parque Del Rio - Renovations and Improvements

[illegible]

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Santa Fe River Park - El Parque Del Rio - Renovations and Improvements

DATE: 05/24/11					
BID: #118/B					
PREPARED BY: SHIRLEY R.					
Meridian Contracting, Inc. Albuquerque					
ITEM & DESCRIPTION	BID AMOUNT	BID AMOUNT	BID AMOUNT	BID AMOUNT	BID AMOUNT
Base Bid	\$1,607,144.00				
GRT	\$131,584.92				
Total Base Bid Plus Tax	\$1,738,728.92				
Local Preference					
Deductive Alternate No. 1 Including Tax	\$24,609.41				
Deductive Alternate No. 2 Including Tax	\$52,672.17				
Deductive Alternate No. 3 Including Tax	\$97,189.16				
SUBMITTAL REQUIREMENTS					
BID BOND	X				
EQUAL EMPLOYMENT	X				
NON-SEGREGATED FACILITIES	X				
NON-COLLUSION AFFIDAVIT	X				
SUBCONTRACTORS LISTING	X				
NEW RESIDENT PREFERENCE NUMBER					
CERTIFY ADDENDUM #1	X				
CERTIFY ADDENDUM #2	X				
CERTIFY ADDENDUM #3	X				

[illegible][illegible]

DATE: September 21, 2011
TO: Finance Committee
FROM: Robert Rodarte, Purchasing Officer
Purchasing
VIA: Dr. Melville L. Morgan, Finance Director
Finance
ISSUE: Award of Bid # '12/01/B
F/Y 11/12 City Wide Water Utility Pavement Restoration Contract

No Award

SUMMARY:

On August 4, 2011, five bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Star Paving Company, Albuquerque		
Total Bid	\$48,890.00	
NMGRT	\$ 4,084.74	
Total Bid Amount	<u>\$53,974.74</u>	
TLC Plumbing & Utility, Albuquerque		
Total Bid	\$58,308.25	
NMGRT	\$ 4,773.99	
Total Bid Amount	<u>\$63,082.24</u>	
Advantage Asphalt & Seal Coating, Santa Fe		
Total Bid	\$84,093.33	\$75,684.00
NMGRT	\$ 6,885.15	
Total Bid Amount	<u>\$90,978.48</u>	
Sub Surface Contracting, Inc., Santa Fe		
Total Bid	\$88,810.00	\$79,929.00
NMGRT	\$ 7,271.32	
Total Bid Amount	<u>\$96,082.31</u>	
AUI, Inc., Albuquerque		
Total Bid	\$172,406.50	
NMGRT	\$ 14,115.79	
Total Bid Amount	<u>\$186,522.29</u>	

Page 2

Award of '12/01/B

Award of the bid was based on the total of unit prices and estimated amounts per Exhibit I Fixed Unit Price Schedule and Estimated Quantities. The using department has reviewed the bid and recommends the award to Star Paving Company, Albuquerque in the amount up to \$200,000.00 plus NMGRT. The estimated minimum contract is \$50,000.00 however based on prior year contracts usage may be up to \$200,000.00.

Budget is available in account number 52363.520200 (Water – Transmission & Distribution - Repair & Maintenance Grounds/Roadways) in the amount of \$226,670.21.

ACTION:

It is requested that this recommendation of award to Star Paving Company, Albuquerque in the total amount up to \$200,000.00 plus NMGRT be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

FY 11/12 City Wide Water Utility Pavement Restoration Contract

[illegible]

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

FY 11/12 City Wide Water Utility Pavement Restoration Contract

[illegible]

DATE: January 10, 2012

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing

VIA: Dr. Melville L. Morgan, Finance Director
Finance

ISSUE: Award of Bid # '12/14/B
FY 11/12 City Wide Water Utility Pavement Restoration Contract

SUMMARY:

On November 27, 2011, two bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
TLC Plumbing & Utility, Albuquerque		
Base Bid	\$77,905.00	
NMGRT	<u>\$ 6,378.48</u>	
Total Bid Amount	<u>\$84,283.48</u>	
 Next Generation Contracting, Inc., Santa Fe		
Base Bid	\$87,024.25	\$78,321.83
NMGRT	<u>\$ 7,125.11</u>	
Total Bid Amount	<u>\$94,149.36</u>	

The using department has reviewed the bid and recommends the award to TLC Plumbing & Utility, Albuquerque in the limited amount of \$200,000.00 plus NMGRT to provide the most impact consistent with budgeted funds.

Budget is available in account number 52363.520200 (Water – Transmission & Distribution - Repair & Maintenance Grounds/Roadways) in the amount of \$226,670.21.

ACTION:

It is requested that this recommendation of award to TLC Plumbing & Utility, Albuquerque in the total limited amount of \$200,000.00 plus NMGRT be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

FY 11/12 City Wide Water Utility Pavement Restoration Contract

[illegible]

[illegible]

Exhibit "4"

Fiscal Year 02/03 (07/01/02 – 06/30/03)[illegible]

DATE: May 13, 2003

TO: Finance Committee

FROM: Kathryn L. Raveling, Director
Finance Department

ISSUE: Award of Bid # '03/46/B
City Wide Water Utility Pavement Restoration Contract

SUMMARY:

On April 11, 2003, four bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference Factor</u>
Advantage Asphalt & Seal Coating, Santa Fe		
Total Bid Items 100010-100110	\$183,080.00	\$185,557.31
NMGRT	<u>\$ 12,243.48</u>	
Total Bid Amount	<u>\$195,323.48</u>	
RL Leeder Company, Santa Fe		
Total Bid Items 100010-100110	\$246,650.00	\$249,987.48
NMGRT	<u>\$ 16,494.72</u>	
Total Bid Amount	<u>\$249,987.48</u>	
Star Paving Company, Albuquerque		
Total Bid Items 100010-100110	\$333,478.45	\$316,804.53
NMGRT	<u>\$ 20,903.45</u>	
Total Bid Amount	<u>\$333,478.45</u>	
J.R. Hale Contracting, Company, Albuquerque		
Total Bid Items 100010-100110	\$314,565.00	
*NMGRT	<u>\$ 21,034.96</u>	
Total Bid Amount	<u>\$335,601.53</u>	

*NMGRT INCORRECT

The using department has reviewed the bids and recommends award of bid to Advantage Asphalt & Seal Coating, LLC, Santa Fe in the amount of \$195,323.48.

A budget transfer is being requested from account number 52363.520150 (Water – Repair/Maintenance of System Equipment) to account number 52363.530200 (Water – Operating Supplies) in the amount of \$43,323.48. Budget is available in account number 52305.572970 (Water – WIP – Construction) and account number 52363.530200 (Water – Operating Supplies).

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, LLC, Santa Fe, in the total amount of \$195,323.48 be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

City Wide Water Utility Pavement Restoration Contract

[illegible]

[illegible]

DATE: April 13, 2004

TO: Finance Committee

FROM: Kathryn L. Raveling, Director
Finance Department

ISSUE: Award of Bid # '04/32/B
Construction of Pueblos Del Sol Sanitary Sewer Extension Phase 2

SUMMARY:

On March 31, 2004, six bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Sparling Construction Corporation, Inc., Albuquerque		
Subtotal Of All Bid Items	\$213,146.40	\$196,094.69
NMGRT City	\$ 7,127.08	
NMGRT County	\$ 6,527.61	
Total Of All Bid Items Plus City and County GRT	<u>\$226,801.09</u>	
Advantage Asphalt, Santa Fe		
Subtotal Of All Bid Items	\$260,703.95	\$239,847.63
NMGRT City	\$ 8,717.29	
NMGRT County	\$ 7,984.06	
Total Of All Bid Items Plus City and County GRT	<u>\$277,405.30</u>	
Cone Construction, Corporation, Inc., Albuquerque		
Subtotal Of All Bid Items	\$274,999.00	
*NMGRT City	\$ 9,195.28	
*NMGRT County	\$ 8,421.84	
Total Of All Bid Items Plus City and County GRT	<u>\$292,616.12</u>	
TLC Company, Inc., Albuquerque		
Subtotal Of All Bid Items	\$289,500.91	
NMGRT City	\$ 9,680.19	
NMGRT County	\$ 8,865.97	
Total Of All Bid Items Plus City and County GRT	<u>\$308,047.07</u>	

J.R. Hale Contracting Company, Inc., Albuquerque

Subtotal Of All Bid Items	\$317,913.40
NMGRT City	\$ 10,630.23
NMGRT County	\$ 9,736.10
Total Of All Bid Items Plus City and County GRT	<u>\$338,279.73</u>

K.R. Swerdfeger, CO

Subtotal Of All Bid Items	\$362,830.00
NMGRT City	\$ 12,132.13
NMGRT County	\$ 11,111.67
Total Of All Bid Items Plus City and County GRT	<u>\$386,073.80</u>

*NMGRT Incorrect

The using department has reviewed the bids and recommends award to Sparling Construction Company, Albuquerque in the amount of \$226,801.09. A 10% contingency in the amount of \$22,680.11 is being requested.

Budget is available as outlined in memo of recommendation from using department.

ACTION:

It is requested that this recommendation of award to Sparling Construction Company, Albuquerque in the total amount of \$249,481.20 reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Construction of Pueblos Del Sol Sanitary Sewer Extension Phase 2

[illegible]

Fiscal Year 04/05 (07/01/04 – 06/30/05)

[illegible]

Fiscal Year 05/06 (07/01/05 – 06/30/06)

[illegible]

DATE: June 28, 2006

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing Division

VIA: Kathryn L. Raveling, Director
Finance Department

ISSUE: Award of Bid # '06/13/B
City Wide Water Utility Pavement Restoration

SUMMARY:

On October 20, 2005, one bid was received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>
Advantage Asphalt, Santa Fe	
Total Bid Items 100010 - 100110	\$199,330.00
NMGRT	<u>\$ 15,074.33</u>
Total Base Bid Amount Plus Tax	<u>\$214,404.33</u>

The using department has reviewed the bids and recommends award to Advantage Asphalt, Santa Fe, in the total amount of \$150,000.00. This is a four year contract and the using department is requesting approval to renew the contract again for fiscal year 06/07.

Budget is available in F/Y 06/07 in account number 52361.520200 (Water – Repair of grounds/roadways). Funds were approved at Council on May 24, 2006 in the amount of \$150,000.00.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt, Santa Fe in the amount of \$150,000.00 and renewal of contract be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

BID TABULATION SHEET

City Wide Water Utility Pavement Restoration

[illegible]

Fiscal Year 06/07 (07/01/06 – 06/30/07)

[illegible]

Fiscal Year 07/08 (07/01/07 - 06/30/08)

[illegible]

DATE: January 30, 2008
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: Kathryn L. Raveling
Finance Director
ISSUE: Award of Bid # '08/21/B
On Call Concrete Construction Services

SUMMARY:

On January 3, 2008, five bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Amount	\$ 976,097.50	\$ 898,009.70
NMGRT	\$ 76,867.69	
Total Bid Amount	<u>\$1,052,965.18</u>	
A.S. Horner Inc., Albuquerque		
Total Bid Amount	\$1,179,200.00	\$1,084,864.00
NMGRT	\$ 92,862.00	
Total Amount Including NMGR	<u>\$1,272,062.00</u>	
Star Paving, Albuquerque		
Total Bid Amount	\$1,213,600.00	
NMGRT	\$ 95,571.00	
Total Amount Including NMGR	<u>\$1,309,171.00</u>	
TLC Plumbing & Utility, Albuquerque		
Total Bid Amount	\$1,342,882.50	
NMGRT	\$ 105,752.00	
Total Amount Including NMGR	<u>\$1,448,634.50</u>	
AUI, Inc., Albuquerque		
Total Bid Amount	\$1,353,105.94	
NMGRT	\$ 106,557.09	
Total Amount Including NMGR	<u>\$1,459,663.03</u>	

Page 2

Award '08/21/B

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, LLC, Santa Fe in the \$1,000,000.00 excluding NMGR.

The funding for these services will be budgeted as needed for each individual Capital Improvements Project.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, LLC, Santa Fe in the total amount of \$1,000,000.00 excluding NMGR be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

On Call Concrete Construction Services

[illegible]

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

[illegible]

DATE: June 9, 2008
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: Kathryn L. Raveling
Finance Director
ISSUE: Award of Bid # '08/37/B
On Call Concrete Construction Services

SUMMARY:

On May 28, 2008, four bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Amount	\$2,167,782.31	\$1,994,359.73
NMGRT	\$ 172,067.72	
Total Bid Amount	<u>\$2,339,850.03</u>	
H.O. Construction, Inc., Albuquerque		
Total Bid Amount	\$2,026,700.50	
NMGRT	\$ 160,869.35	
Total Amount Including NMGR	<u>\$2,187,569.85</u>	
Star Paving, Albuquerque		
Total Bid Amount	\$2,362,120.00	
NMGRT	\$ 187,493.28	
Total Amount Including NMGR	<u>\$2,549,613.28</u>	
TLC Plumbing & Utility, Albuquerque		
Total Bid Amount	\$2,898,830.00	\$2,666,923.60
NMGRT	\$ 230,094.63	
Total Amount Including NMGR	<u>\$3,128,924.63</u>	

Page 2

Award '08/21/B

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, LLC, Santa Fe and H.O. Construction, Inc., Albuquerque in the \$2,000,000.00 excluding NMGRt.

The funding for these services will be budgeted as needed for each individual Capital Improvements Project.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, LLC, Santa Fe and H.O. Construction, Inc., Albuquerque in the total amount of \$2,000,000.00 excluding NMGRt be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

On Call Concrete & Miscellaneous Construction Services

DATE: 05/28/08		Advantage Asphalt & Seal Coating, Santa Fe		H.O. Construction, Inc., Albuquerque		Star Paving, Albuquerque		TLC Plumbing & Utility, Albuquerque	
BID: 08/37/B									
PREPARED BY: SHIRLEY R.									
ITEM & DESCRIPTION		BID AMOUNT		BID AMOUNT		BID AMOUNT		BID AMOUNT	
Total Bid Amount		\$2,167,782.31		\$2,026,700.50		\$2,362,120.00		\$2,898,830.00	
NMGRT		\$172,067.72		\$160,869.35		\$187,493.28		\$230,094.63	
Total Amount Including NMGRT		\$2,339,850.03		\$2,187,569.85		\$2,549,613.28		\$3,128,924.63	
Local Preference		\$1,994,359.73						\$2,666,923.60	
						</			

DATE: October 27, 2008
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: David Millican, Finance Director
Finance

Not awarded.

ISSUE: Award of Bid # '08/38/B
Caretaker Housing In City Parks Construction of Residential Homes

SUMMARY:

On June 16, 2008, two bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>
Advantage Asphalt & Seal Coating, Santa Fe	
Adam Gabriel Armijo Park	
Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>
 Candelero Park	
Base Bid Amount	\$300,000.00
NMGRT	<u>\$ 23,812.50</u>
Total Bid Amount	<u>\$323,812.50</u>
 General Franklin E. Miles Park	
Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>
 Municipal Recreation	
Base Bid Amount	\$360,000.00
NMGRT	<u>\$ 28,575.00</u>
Total Bid Amount	<u>\$388,575.00</u>
 Ragle Park	
Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>

W.R. Henderson Construction, Inc., Idaho

Adam Gabriel Armijo Park

Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>

Candelero Park

Base Bid Amount	\$300,000.00
NMGRT	<u>\$ 23,812.50</u>
Total Bid Amount	<u>\$323,812.50</u>

General Franklin E. Miles Park

Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>

Municipal Recreation

Base Bid Amount	\$360,000.00
NMGRT	<u>\$ 28,575.00</u>
Total Bid Amount	<u>\$388,575.00</u>

Ragle Park

Base Bid Amount	\$150,000.00
NMGRT	<u>\$ 11,906.25</u>
Total Bid Amount	<u>\$161,906.25</u>

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating LLC, Santa Fe in the amount of \$1,198,106.25 inclusive NMGRT.

Budget is available as outlined in memo of recommendation from using department.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating LLC, Inc., Santa Fe in the total amount of \$1,198,106.25 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE

PURCHASING OFFICE

BID TABULATION SHEET

Caretaker Housing In City Parks Construction Of Residential Homes

DATE: 06/16/08	Advantage Asphalt & Seal Coating LLC, Santa Fe	W.R. Henderson Construction, Inc., Idaho		
BID: 08/38/B				
PREPARED BY: SHIRLEY K.				
ITEM & DESCRIPTION	BID AMOUNT	BID AMOUNT	BID AMOUNT	BID AMOUNT
Adam Gabriel Armijo Park Base Bid	\$150,000.00	\$270,000.00		
NMGRT	\$11,906.25	\$21,431.25		
Total Base Bid Plus Tax	\$161,906.25	\$291,431.25		
Candelero Park Base Bid	\$300,000.00	\$550,000.00		
NMGRT	\$23,812.50	\$43,656.25		
Total Base Bid Plus Tax	\$323,812.50	\$593,656.25		
General Franklin E. Miles Park Base Bid	\$150,000.00	\$266,000.00		
NMGRT	\$11,906.25	\$21,113.75		
Total Base Bid Plus Tax	\$161,906.25	\$287,113.75		
Municipal Recreation Base Bid	\$360,000.00	\$597,000.00		
NMGRT	\$28,575.00	\$47,386.88		
Total Base Bid Plus Tax	\$388,575.00	\$644,386.88		
Ragle Park	\$150,000.00	\$257,000.00		
NMGRT	\$11,906.25	\$20,399.38		
Total Base Bid Plus Tax	\$161,906.25	\$277,399.38		
SUBMITTAL REQUIREMENTS				
BID BOND	X	X		
EQUAL EMPLOYMENT	X	X		
NON-SEGREGATED FACILITIES	X	X		
NON-COLLUSION AFFIDAVIT	X	X		
SUBCONTRACTOR LISTING	X	X		
LOCAL PREFERENCE	X	N/A		
SMA RESIDENT PREFERENCE NUMBER	X	X		
RECEIPT ADDENDUM #1	X	X		
RECEIPT ADDENDUM #2	X	X		
RECEIPT ADDENDUM #3	X	X		

DATE: June 23, 2008
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: David Millican, Finance Director
Finance
ISSUE: Award of Bid # '08/39/B
City Wide Water Utility Pavement Restoration

SUMMARY:

On June 9, 2008, three bids were received for the procurement of the above referenced service based on model quantities as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Sub Surface Contracting, Inc., Santa Fe		
Total Bid Items 100021-100120	\$100,181.25	\$ 92,166.75
NMGRT	<u>\$ 7,951.89</u>	
Total Bid Amount	<u>\$108,133.14</u>	
Advantage Asphalt & Seal Coating, Santa Fe		
Total Bid Items 100021-100120	\$145,082.10	\$133,475.53
NMGRT	<u>\$ 11,515.89</u>	
Total Bid Amount	<u>\$155,597.99</u>	
R.L. Leeder Company, Santa Fe		
Total Bid Items 100021-100120	\$155,900.00	
NMGRT	<u>\$ 12,374.56</u>	
Total Bid Amount	<u>\$168,274.56</u>	

The using department has reviewed the bid and recommends the award to Sub Surface Contracting, Inc., Santa Fe in the \$200,000.00 plus NMGR to provide the most impact consistent with budgeted funds.

Budget is available in next fiscal year budget 08/09 in account number 52363.520200 (Water – Transmission & Distribution - Repair & Maintenance Grounds/Roadways).

ACTION:

It is requested that this recommendation of award to Sub Surface Contracting, Inc., Santa Fe in the total amount of \$200,000.00 plus NMGR be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

City Wide Water Utility Pavement Restoration

[illegible]

Fiscal Year 08/09 (07/01/08 – 06/30/09)[illegible]

DATE: August 26, 2008

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing Office

VIA: David Millican, Director
Finance Department

ISSUE: Award of Bid # '09/01/B
Pueblos Del Sol Asphalt/Concrete Trails Maintenance

SUMMARY:

On July 24, 2008, three bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Base Bid Amount	\$161,283.57	\$148,380.88
GRT	\$ 12,801.88	
Total Base Bid Plus Tax	\$174,085.45	
Asphalt complete per linear foot	\$ 8.06	
Concrete complete per linear foot	\$ 31.50	
Check dams complete each	\$ 150.00	
Culvert maintenance each	\$ 200.00	
RL Leeder Company, Santa Fe		
Base Bid Amount	\$331,193.00	\$304,697.56
GRT	\$ 26,447.19	
Total Base Bid Plus Tax	\$359,640.19	
Asphalt complete per linear foot	\$ 19.91	
Concrete complete per linear foot	\$ 67.50	
Check dams complete each	\$ 300.00	
Culvert maintenance each	\$ 200.00	
Star Paving Company, Albuquerque		
Base Bid Amount	\$395,479.50	
GRT	\$ 31,391.19	
Total Base Bid Plus Tax	\$426,870.69	
Asphalt complete per linear foot	\$ 15.70	
Concrete complete per linear foot	\$ 43.00	

Page 2

Award of '09/01/B

Check dams complete each	\$ 8,495.00
Culvert maintenance each	\$ 2,296.00

The using department has reviewed the bid and recommends award to Advantage Asphalt & Seal Coating, Santa Fe in the amount of \$174,085.45 inclusive of GRT.

Budget is available as outlined in memo of recommendation from using department.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, Santa Fe in the total amount of \$174,085.45, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

DATE: August 10, 2009

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing Office

VIA: David Millican, Director
Finance Department

ISSUE: Award of Bid # '09/42/B
Santa Fe River Trail Construction, Ricardo Road to Camino Alire

SUMMARY:

On July 15, 2009, six bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, Santa Fe		
Base Bid Subtotal	\$1,008,021.59	\$ 907,219.43
NMGRT	\$ 81,271.74	
Total Bid Including NMGRT	<u>\$1,089,293.33</u>	
A.S. Horner, Inc., Albuquerque		
Base Bid Subtotal	\$1,040,290.00	
NMGRT	\$ 83,873.38	
Total Bid Including NMGRT	<u>\$1,124,163.38</u>	
Star Paving Company, Albuquerque		
Base Bid Subtotal	\$1,200,366.40	\$1,080,329.76
NMGRT	\$ 96,779.54	
Total Bid Including NMGRT	<u>\$1,297,145.94</u>	
R.L. Leeder Company, Santa Fe		
Base Bid Subtotal	\$1,389,077.50	\$1,250,169.75
NMGRT	\$ 111,994.32	
Base Bid Total	<u>\$1,501,071.80</u>	
Hasse Contracting Co., Inc., Albuquerque		
Base Bid Subtotal	\$1,393,941.75	
NMGRT	\$ 112,386.55	
Base Bid Subtotal	<u>\$1,506,328.30</u>	

Page 2
Award of '09/42/B

Moore & Cowart Contractors, Inc., Albuquerque

Base Bid Subtotal	\$1,576,930.10
NMGRT	<u>\$ 127,139.99</u>
Base Bid	<u>\$1,704,070.09</u>

The using department has reviewed the bid and recommends award of base bid only to Advantage Asphalt & Seal Coating, Santa Fe in the amount of \$1,089,293.33 inclusive of GRT. Star Paving Company, Inc., Albuquerque submitted and qualified for the local preference the company has an office located in Santa Fe County at 1205 North Riverside, Espanola, New Mexico.

Budget is available in account number 32803.572970 (Exp – Trails – WIP Construction) in the amount of \$1,509,640.30.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, Santa Fe in the total amount of \$1,089,293.33, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

BID TABULATION SHEET

Santa Fe River Trail Construction, Ricardo Road to Camino Alire

[illegible]

BID TABULATION SHEET

Santa Fe River Trail Construction, Ricardo Road to Camino Alire

[illegible]

DATE: August 12, 2009
TO: Finance Committee
FROM: Robert Rodarte, Purchasing Officer
Purchasing Office
VIA: David Millican, Director
Finance Department
ISSUE: Award of Bid # '09/43/B
FY 09/10 City Wide Water Utility Construction & Repair Contract

SUMMARY:

On July 8, 2009, four bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Sub Surface Contracting, Inc., Santa Fe		
Total Bid Items 10 - 9950	\$522,896.50	\$470,606.65
NMGRT	\$ 42,158.53	
Total Bid	<u>\$565,055.03</u>	
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Items 10 -9950	\$533,351.95	\$479,004.03
NMGRT	\$ 43,001.50	
Total Bid	<u>\$576,353.45</u>	
TLC Plumbing & Utility, Albuquerque		
Total Bid Items 10- 9950	\$598,977.00	
NMGRT	\$ 48,292.52	
Total Bid Including NMGR	<u>\$647,269.52</u>	
K.R. Swerdfeger Construction, Inc., CO		
Total Bid Items 10-9950	\$648,764.00	\$583,887.60
NMGRT	\$ 52,306.00	
Base Bid Total	<u>\$701,070.60</u>	

The using department has reviewed the bid and recommends award of base bid to Sub Surface Contracting, Inc., Santa Fe in the limited amount of \$500,000.00 plus GRT. K.R. Swerdfeger Construction, Inc., CO submitted and qualified for the local preference the company has an office located in Santa Fe County.

Budget will be available upon the approval of the division's FY 08/09 budget carry forward request.

ACTION:

It is requested that this recommendation of award to Sub Surface Contracting, Inc., Santa Fe in the limited amount of \$500,000.00 plus GRT, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

FY 09/10 City Wide Water Utility Construction & Repair Contract

[illegible]

Fiscal Year 09/10 (07/01/09 – 06/30/10)

[illegible]

DATE: August 26, 2009

TO: Finance Committee

FROM: Robert Rodarte, Officer
Purchasing Office

VIA: David Millican, Finance Director
Finance

ISSUE: Award of Bid # '10/01/B
F/Y 09/10 City Wide Water Utility Pavement Restoration Contract

SUMMARY:

On August 5, 2009, four bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, Santa Fe		
Total Bid Items 100021-100120	\$ 84,360.00	\$ 75,924.00
NMGRT	\$ 6,801.53	
Total Bid Amount	<u>\$ 91,161.53</u>	
Sub Surface Contracting, Inc., Santa Fe		
Total Bid Items 100021-100120	\$ 89,080.00	\$ 80,172.00
NMGRT	\$ 7,182.08	
Total Bid Amount	<u>\$ 96,262.08</u>	
Sparling Construction Co., Inc., Albuquerque		
Total Bid Items 100021-100120	\$ 92,871.00	
NMGRT	\$ 7,487.72	
Total Bid Amount	<u>\$100,358.72</u>	
R.L. Leeder Company, Santa Fe		
Total Bid Items 100021-100120	\$199,762.50	\$179,786.25
NMGRT	\$ 16,105.85	
Total Bid Amount	<u>\$215,868.35</u>	

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, Santa Fe in the limited amount of \$200,000.00 plus NMGRT to provide the most impact consistent with budgeted funds.

Page 2

Award of '10/01/B

Budget is available in account number 52363.520200 (Water – Transmission & Distribution - Repair & Maintenance Grounds/Roadways) in the amount of \$240,151.18.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt Seal & Coating, Santa Fe in the total limited amount of \$200,000.00 plus NMGR be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

BID TABULATION SHEET

FY 09/10 City Wide Water Utility Pavement Restoration Contract

[illegible]

DATE: September 28, 2009

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing Office

VIA: David Millican, Director
Finance Department

ISSUE: Award of Bid # '10/05/B
FY 09/10 City Wide Sewer Line Spot Repair Contract

SUMMARY:

On September 3, 2009, seven bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Items 1 - 17	\$ 78,766.75	\$ 70,890.09
NMGRT	\$ 6,350.57	
Total Amount Base Bid 1 - 17	<u>\$ 85,117.32</u>	
 Bid Alternate A Bid Item 1 - 11	 \$ 46,606.00	
NMGRT	\$ 3,757.61	
Total Amount Alternate 1 - 10	<u>\$ 50,363.61</u>	
 Triman Construction Industries, Inc., Belen		
Total Bid Items 1 - 17	\$ 79,750.00	
NMGRT	\$ 6,409.69	
Total Amount Base Bid 1 - 17	<u>\$ 85,909.69</u>	
 Bid Alternate A Bid Item 1 - 10	 \$ 57,700.00	
NMGRT	\$ 4,652.06	
Total Amount Alternate 1 - 10	<u>\$ 62,352.06</u>	
 AUI Inc., Albuquerque		
Total Bid Items 1 - 17	\$ 81,875.00	
NMGRT	\$ 6,601.17	
Total Amount Base Bid 1 - 17	<u>\$ 88,476.17</u>	
 Bid Alternate A Bid Item 1 - 10	 \$ 95,050.00	
NMGRT	\$ 7,663.41	
Total Amount Alternate 1 - 10	<u>\$102,713.41</u>	

TLC Plumbing & Utility, Albuquerque

Total Bid Items 1 – 17	\$ 90,114.00	\$ 81,369.90
NMGRT	<u>\$ 7,625.44</u>	
Total Amount Base Bid 1 – 17	<u>\$ 97,379.44</u>	
 Bid Alternate A Bid Item 1 – 10	 \$ 97,535.00	
NMGRT	<u>\$ 7,265.44</u>	
Total Amount Alternate 1 – 10	<u>\$105,398.76</u>	

K.R. Swerdfeger Construction, Inc., CO

Total Bid Items 1 - 17	\$111,725.00	\$100,552.50
NMGRT	<u>\$ 52,306.00</u>	
Total Amount Base Bid 1 - 17	<u>\$701,070.60</u>	
 Bid Alternate A Bid Item 1 – 10	 \$64,300.00	
NMGRT	<u>\$ 5,184.19</u>	
Total Amount Alternate 1 – 10	<u>\$69,484.19</u>	

A.A.C. Construction, LLC, Santa Fe

Total Bid Items 1 – 17	\$116,875.00	\$105,187.50
NMGRT	<u>\$ 9,423.05</u>	
Total Amount Base Bid 1 – 17	<u>\$126,298.05</u>	
 Bid Alternate A Bid Item 1 – 10	 \$ 73,050.00	
NMGRT	<u>\$ 5,889.66</u>	
Total Amount Alternate 1 – 10	<u>\$105,187.50</u>	

The using department has reviewed the bid and recommends award of base bid to Advantage Asphalt & Seal Coating, Santa Fe in the amount of \$85,117.32 including GRT. TLC Plumbing & Utility, Albuquerque & Swerdfeger Construction, Inc., CO submitted and qualified for the local preference each company has a office located in Santa Fe County.

Budget is available in account number 52455.520200 (Wastewater – Collection System – Repair & Maintenance Grounds/Rd) in the amount of \$156,843.39.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, LLC, Santa Fe in the total amount of \$85,117.32, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

FY 09/10 City Wide Sewer Line Spot Repair Contract

DATE: 09/03/09		Advantage Asphalt & Seal Coating, Santa Fe		Truman Construction Industries Inc., Belen		AUI Inc., Albuquerque		TLC Plumbing & Utility, Albuquerque	
BID: 10/05/B									
PREPARED BY: SHIRLEY R.									
ITEM & DESCRIPTION		BID AMOUNT		BID AMOUNT		BID AMOUNT		BID AMOUNT	
Base Bid Total Bid Items 1 -17		\$78,766.75		\$79,750.00		\$81,875.00		\$90,114.00	
NMGRT		\$6,350.57		\$6,409.69		\$6,601.17		\$7,265.44	
Total Amount Base Bid 1 - 17		\$85,117.32		\$85,909.69		\$88,476.17		\$97,379.44	
Bid Alternate A Bid Item 1 - 10		\$46,606.00		\$57,700.00		\$95,050.00		\$97,535.00	
NMGRT		\$3,757.61		\$4,652.06		\$7,663.41		\$7,863.76	
Total Amount Alternate A 1 -10		\$50,363.61		\$62,352.06		\$102,713.41		\$105,398.76	
Local Preference		\$70,890.09						\$81,369.90	

BID TABULATION SHEET

FY 09/10 City Wide Sewer Line Spot Repair Contract

[illegible]

DATE: March 10, 2010
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: David Millican, Finance Director
Finance
ISSUE: Award of Bid # '10/07/B
Airport Road Resurfacing Project Cerrillos Road to Calle Debra

SUMMARY:

On February 10, 2010, seven bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>
Armour Pavement, Albuquerque	
Total Base Bid Amount	\$2,121,406.38
NMGRT	\$ 171,038.39
Total Base Bid Including NMGR	<u>\$2,292,444.77</u>
Star Paving Company, Albuquerque	
Total Base Bid Amount	\$2,152,121.27
NMGRT	\$ 173,514.78
Total Base Bid Including NMGR	<u>\$2,325,636.05</u>
Albuquerque Asphalt, Inc., Albuquerque	
Total Base Bid Amount	\$2,174,581.79
NMGRT	\$ 175,325.66
Total Base Bid Including NMGR	<u>\$2,349,907.45</u>
FNF New Mexico, LLC, Albuquerque	
Total Base Bid Amount	\$2,215,457.00
NMGRT	\$ 178,621.22
Total Base Bid Including NMGR	<u>\$2,394,078.22</u>
R.L. Leeder Company, Santa Fe	
Total Base Bid Amount	\$2,251,643.89
NMGRT	\$ 181,538.79
Total Base Bid Including NMGR	<u>\$2,433,182.68</u>

Page 2

Award of '10/07/B

Advantage Asphalt & Coating, LLC, Santa Fe

Total Base Bid Amount	\$2,367,706.42
NMGRT	<u>\$ 190,896.33</u>
Total Base Bid Including NMGRT	<u>\$2,558,602.75</u>

A.A.C. Construction, LLC, Santa Fe

Total Base Bid Amount	\$2,482,753.57
NMGRT	<u>\$ 200,172.01</u>
Total Base Bid Including NMGRT	<u>\$2,682,925.58</u>

The using department has reviewed the bid and recommends the award to Armour Pavement, Albuquerque in the amount of \$2,292,444.77 inclusive of NMGRT.

Budget is available as outlined in memo of recommendation from using department.

ACTION:

It is requested that this recommendation of award to Armour Pavement, Albuquerque in the total amount of \$2,292,444.77 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

[illegible][illegible]

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Airport Road Resurfacing Project Cerrillos Road to Calle Debra

[illegible]

DATE: November 9, 2009

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing

VIA: David Millican, Finance Director
Finance

ISSUE: Award of Bid # '10/13/B
Ferguson Well Wall Construction

SUMMARY:

On October 22, 2009, seven bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Items 100 – 800	\$ 75,449.00	\$ 67,904.10
NMGRT	\$ 6,083.08	
Total Bid Amount	<u>\$ 81,532.08</u>	
Done Right Construction, LLC, Pecos	\$ 68,881.72	
Total Bid Items 100 – 800	\$ 5,553.59	
Total Bid Amount	<u>\$ 74,435.31</u>	
Sub Surface Contracting, Inc., Santa Fe		
Total Bid Items 100 – 800	\$ 96,200.75	\$ 86,580.68
NMGRT	\$ 7,756.19	
Total Bid Amount	<u>\$103,956.94</u>	
Rockscapes of New Mexico, Albuquerque		
Total Bid Items 100- 800	\$ 92,928.76	
NMGRT	\$ 7,492.38	
Total Bid Amount	<u>\$100,421.14</u>	
Padillas Industries, Inc., Santa Fe		
Total Bid Items 100 – 800	\$110,080.00	\$ 99,072.00
NMGRT	\$ 8,875.20	
Total Bid Amount	<u>\$118,955.20</u>	

Page 2
Award of '10/13/B

RCC, LLC, Albuquerque

Total Bid Items 100 – 800	\$109,757.79
NMGRT	<u>\$ 8,849.22</u>
Total Bid Amount	<u>\$118,607.01</u>

K.R. Swerdfeger Construction, Inc., CO

Total Bid Items 100 – 800	\$179,380.00
NMGRT	<u>\$ 14,462.51</u>
Total Bid Amount	<u>\$193,842.51</u>

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, Santa Fe in the amount of \$81,532.08 including NMGRT.

Budget is available in account number 52375.572970 (Water – Expansion Well – WIP Construction) in the amount of \$1,947,029.00.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt Seal & Coating, LLC, Santa Fe in the total amount of \$81,532.08 plus NMGRT be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Ferguson Well Wall Construction

[illegible]

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

[illegible][illegible]

DATE: December 6, 2009
TO: Finance Committee
FROM: Robert Rodarte, Purchasing Officer
Purchasing Office
VIA: David Millican, Director
Finance Department
ISSUE: Award of Bid # '10/14/B
On Call Roadway Construction Services

SUMMARY:

On November 12, 2009, six bids were received for the procurement of the above referenced project as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Star Paving Company, Albuquerque		
Total Bid Amount	\$795,731.00	\$716,157.90
NMGRT	<u>\$ 64,155.81</u>	
Total Amount Bid Including NMGR	<u>\$859,886.81</u>	
TLC Plumbing & Utility, Albuquerque		
Total Bid Amount	\$858,970.00	\$773,073.00
NMGRT	<u>\$ 69,254.46</u>	
Total Bid Including NMGR	<u>\$928,224.46</u>	
Advantage Asphalt & Seal Coating, LLC, Santa Fe		
Total Bid Amount	\$919,302.50	\$827,372.25
NMGRT	<u>\$ 74,118.76</u>	
Total Bid Including NMGR	<u>\$993,421.26</u>	
ALTOR Construction, Inc., Los Lunas		
Total Bid Amount	\$876,927.50	
NMGRT	<u>\$ 70,702.28</u>	
Total Bid Including NMGR	<u>\$947,629.78</u>	
Espanola Mercantile, dba, Emco, Espanola		
Total Bid Amount	\$1,024,872.00	\$922,384.80
NMGRT	<u>\$ 82,630.31</u>	
Total Bid Including NMGR	<u>\$1,107,502.31</u>	

A.S. Horner Inc., Albuquerque

Total Bid Amount	\$1,376,335.00
NMGRT	<u>\$ 110,967.01</u>
Base Bid Total	<u>\$1,487,302.01</u>

The using department has reviewed the bid and recommends award to Star Paving Company, Albuquerque in an amount not exceed \$1,000,000.00 inclusive of NMGRT.

The funding for these services will be budgeted as needed for each individual Capital Improvements Project.

ACTION:

It is requested that this recommendation of award to Star Paving Company, Albuquerque in the amount not to exceed \$1,000,000.00 inclusive of NMGRT, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

On Call Roadway Construction Services

[illegible]

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

[illegible]

DATE: April 26, 2010
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: Kathryn Raveling, Finance Director
Finance
ISSUE: Award of Bid # '10/34/B
Water and Sewer Main Extension Project Phase One

SUMMARY:

On April 12, 2010, six bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Sub Surface Contracting, Santa Fe		
Base Bid	\$68,635.00	\$60,741.41
NMGRT	<u>\$ 5,533.70</u>	
Total Bid Amount	<u>\$74,168.70</u>	
Advantage Asphalt, Santa Fe		
Base Bid	\$82,685.00	\$74,416.50
NMGRT	<u>\$ 6,666.48</u>	
Total Bid Amount	<u>\$89,351.48</u>	
Cobalt Construction, Santa Fe		
Base Bid	\$ 92,807.00	\$83,526.30
NMGRT	<u>\$ 7,482.56</u>	
Total Bid Amount	<u>\$100,289.56</u>	
K.R. Swerdfeger Construction, Inc., CO		
Base Bid	\$102,619.00	\$92,357.10
NMGRT	<u>\$ 8,273.66</u>	
Total Bid Amount	<u>\$100,289.56</u>	
Blueline Construction, Inc., Santa Fe		
Base Bid	\$108,882.50	\$97,994.25
NMGRT	<u>\$ 32,469.12</u>	
Total Bid Amount	<u>\$435,186.87</u>	

Page 2
Award of '10/34/B

K.R. Swerdfeger Construction, Inc., CO

Base Bid	\$109,083.00	\$98,174.70
NMGRT	<u>\$ 8,794.82</u>	
Total Bid Amount	<u>\$117,877.82</u>	

The using department has reviewed the bid and recommends the award to Sub Surface contracting, Inc. Santa Fe in the amount of \$74,168.70 inclusive of GRT.

Budget is available from two state grants in account number 52212.572970 (Wastewater – Sewer Line Exp – WIP Construction) in the amount of \$498,522.00.

ACTION:

It is requested that this recommendation of award to Sub Surface Contracting, Inc., Santa Fe in the total amount of \$74,168.70 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Water and Sewer Main Extension Project Phase One

[illegible]

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Water and Sewer Main Extension Project Phase One

[illegible]

DATE: April 26, 2010

TO: Finance Committee

FROM: Robert Rodarte, Officer
Purchasing Office

VIA: Kathryn Raveling, Finance Director
Finance

ISSUE: Award of Bid # '10/35/B
Old Pecos Trail Sidewalk Improvements-Cordova Rd. to Berger St.,
Street Widening-Barcelona Rd. to Coronado Rd.

SUMMARY:

On April 12, 2010, four bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Star Paving, Albuquerque		
Base Bid	\$333,114.46	\$299,803.01
NMGRT	<u>\$ 26,857.35</u>	
Total Bid Amount	<u>\$359,971.81</u>	
H.O. Construction, Inc., Albuquerque		
Base Bid	\$370,868.00	
NMGT	<u>\$ 29,901.23</u>	
Total Bid Amount	<u>\$400,769.23</u>	
Advantage Asphalt, Santa Fe		
Base Bid	\$402,717.75	
NMGRT	<u>\$ 32,469.12</u>	
Total Bid Amount	<u>\$435,186.87</u>	
Botone Industries, LLC, Albuquerque		
Base Bid	\$456,935.72	
NMGRT	<u>\$ 36,840.44</u>	
Total Bid Amount	<u>\$493,776.16</u>	

The using department has reviewed the bid and recommends the award to Star Paving, Albuquerque in the amount of \$359,971.81 inclusive of GRT.

Page 2

Award of '10/35/B

Budget is available in account number 32785.572970 (CIP – Old Pecos Trail Design – WIP Construction) in the amount of \$392,490.00.

ACTION:

It is requested that this recommendation of award to Star Paving, Albuquerque in the total amount of \$359,971.81 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Old Pecos Trail Sidewalk Improvements - Cortova Rd. to Berger St. Street Widening-Barcelona Rd. to Coronado Rd.

[illegible]

DATE: June 15, 2010
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: Kathryn Raveling, Finance Director
Finance
ISSUE: Award of Bid # '10/40/B
Barrio La Canada Entranceway Renovations

SUMMARY:

On May 26, 2010, four bids were received for the procurement of the aforementioned project. The bid received from Vigil Contracting Services, Inc. was non responsive they did not bid on alternate 1. The bids received are as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Cerro Azul Construction, LLC, Teseque		
Base Bid	\$ 55,500.00	\$70,840.00
Alternate 1 (renovation of south gate house tower)	\$ 21,500.00	
Total Base Bid Plus Alternate 1	\$ 77,000.00	
NMGRT	\$ 6,208.12	
Total Bid Amount	<u>\$ 83,208.12</u>	
Above & Beyond, Albuquerque		
Base Bid	\$ 48,557.00	
Alternate 1 (renovation of south gate house tower)	\$ 32,278.00	
Total Base Bid Plus Alternate 1	\$ 80,835.00	
NMGRT	\$ 6,517.32	
Total Bid Amount	\$ 87,352.32	
Advantage Asphalt, Santa Fe		
Base Bid	\$ 71,500.00	\$96,140.00
Alternate 1 (renovation of south gate house tower)	\$ 33,000.00	
Total Base Bid Plus Alternate 1	\$104,500.00	
NMGRT	\$ 8,425.31	
Total Bid Amount	<u>\$112,925.31</u>	

The using department has reviewed the bid and recommends the award to Cerro Azul Construction, LLC, Teseque in the amount of \$83,208.12 inclusive of GRT.

Page 2

Award of '10/40/B

Budget is available in account numbers 32361.572500 (CIP – Camino La Canada – Remodel & Replacement) in the amount of \$76,341.63 and 32313.572970 (CIP – Camino Alire Bridge – WIP Construction) in the amount of \$55,660.83.

ACTION:

It is requested that this recommendation of award to Cerro Azul Construction, LLC, Teseque in the total amount of \$83,208.12 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

Fiscal Year 10/11 (07/01/10 – 06/30/11)

[illegible]

DATE: August 6, 2010
TO: Finance Committee
FROM: Robert Rodarte, Purchasing Officer
Purchasing
VIA: Kathryn Raveling, Finance Director
Finance
ISSUE: Award of Bid # '11/01/B
F/Y 09/10 City Wide Water Utility Pavement Restoration Contract

SUMMARY:

On July 26, 2010, two bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, Santa Fe		
Total Bid Items 100021-100120	\$74,071.00	\$68,145.32
NMGRT	<u>\$ 6,064.56</u>	
Total Bid Amount	<u>\$80,135.56</u>	
Sub Surface Contracting, Inc., Santa Fe		
Total Bid Items 100021-100120	\$83,960.00	\$75,564.00
NMGRT	<u>\$ 6,874.23</u>	
Total Bid Amount	<u>\$90,834.23</u>	

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, Santa Fe in the limited amount of \$200,000.00 plus NMGR to provide the most impact consistent with budgeted funds.

Budget is available in account number 52363.520200 (Water – Transmission & Distribution - Repair & Maintenance Grounds/Roadways) in the amount of \$292,401.08.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt Seal & Coating, Santa Fe in the total limited amount of \$200,000.00 plus NMGR be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

FY 10/11 City Wide Water Utility Pavement Restoration Contract

[illegible]

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Parks & Recreation Public Restrooms

DATE: 08/18/10	Advantage Asphalt & Seal	AAA Pumping Service, Inc.		
BID: 11/06/B	Coaling Santa Fe	Albuquerque		
PREPARED BY: SHIRLEY R.				
ITEM & DESCRIPTION	BID AMOUNT	BID AMOUNT	BID AMOUNT	BID AMOUNT
Cost per unit for 2 regular for 17 weeks	\$420.00		\$107.00	
Total Bid Amount	\$840.00		\$856.00	
Cost per unit for 8 regular for 22 weeks	\$625.00		\$171.20	
Total Bid Amount	\$5,000.00		\$6,848.00	
Cost per unit for 1 handicapp for 22 week	\$725.00		\$181.90	
Total Bid Amount	\$725.00		\$909.50	
Cost per unit for 4 regular for 26 weeks	\$750.00		\$171.20	
Total Bid Amount	\$3,000.00		\$4,108.80	
Cost per unit for 18 regular for 30 weeks	\$875.00		\$171.20	
Total Bid Amount	\$15,750.00		\$21,571.20	
Cost per unit 6 w/hand wash for 30 weeks	\$945.00		\$171.20	
Total Bid Amount	\$5,670.00		\$7,190.40	
Cost per unit for 2 handicapp for 30 weeks	\$1,015.00		\$181.90	
Total Bid Amount	\$2,030.00		\$2,546.60	
Cost per unit for 4 regular for 35 weeks	\$840.00		\$107.00	
Total Bid Amount	\$3,360.00		\$3,424.00	
Cost per unit for 2 regular for 52 weeks	\$1,500.00		\$171.20	
Total Bid Amount	\$3,000.00		\$4,108.80	
Installation Fee	\$20.00		\$26.75	
Removal Fee	\$30.00		\$26.75	
Other Fees	N/A		\$26.75	
Total Bid Amount	\$39,375.00		\$51,670.30	
Local Preference	\$36,225.00			
Relocation Fee	N/A		\$26.75	
Other fees for regular units	\$85.00		\$126.75	
Other fees for w/hand unit	\$95.00		\$126.75	
Other fees for handicapped units	\$105.00		\$226.75	
Other fees for 2 weekly cleanings	\$40.00		\$153.50	
Other fees for 3 weekly cleanings	\$60.00		\$180.25	
Unisex Regular Unit	\$105.00		\$126.75	
LOCAL PREFERENCE	x			

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Avenida Cristobal Colon Pavement Restoration Project

[illegible]

DATE: September 27, 2010

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing

VIA: Kathryn Raveling, Finance Director
Finance

ISSUE: Award of Bid # '11/11/B
2800 Block Agua Fria Water and Sewer Extension Project Phase Two

SUMMARY:

On September 16, 2010, three bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Sub Surface Contracting, Inc., Santa Fe		
Base Bid Items 1, 2, & 3	\$ 83,305.25	\$74,974.73
GRT	\$ 6,820.62	
Additive Alternate 1 & 2	\$ 70,265.00	
GRT	\$ 5,752.95	
Base Bid 1, 2 & 3 Additive Alternate 1 & 2 Plus Tax	<u>\$166,143.82</u>	
Advantage Asphalt Seal Coating, Santa Fe		
Base Bid Items 1, 2, & 3	\$121,359.00	\$109,223.10
GRT	\$ 9,936.27	
Additive Alternate 1 & 2	\$ 72,901.18	
GRT	\$ 5,968.78	
Additive Alternate 1 & 2 Plus Tax	<u>\$210,165.23</u>	
Star Paving Company, Albuquerque		
Base Bid Items 1, 2, & 3	\$254,260.00	\$228,834.00
GRT	\$ 20,817.54	
Additive Alternate 1 & 2	\$ 85,771.00	
GRT	\$ 7,022.50	
Base Bid 1, 2 & 3 Additive Alternate 1 & 2 Plus Tax	<u>\$367,871.04</u>	

The using department has reviewed the bid and recommends the award of base bid and additive alternate 1 & 2 to Sub Surface Contracting, Inc., Santa Fe in the amount of \$166,143.82 inclusive of GRT.

Page 2

Award of '11/11/B

Funding is available from a state grant in the amount of \$188,839.00. Budget is available in account number 52212.572970 (Water – Transmission & Distribution) in the amount of \$189,061.26.

ACTION:

It is requested that this recommendation of award to Sub Surface Contracting, Inc., Santa Fe in the total amount of \$166,143.82 inclusive of GRT be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Water and Sewer Main Extension Project Phase Two

[illegible]

DATE: October 25, 2010
TO: Finance Committee
FROM: Robert Rodarte, Officer
Purchasing Office
VIA: Kathryn Raveling, Finance Director
Finance
ISSUE: Award of Bid # '11/19/B
FY 10/11 City Wide Sewer Line Spot Repair Contract

SUMMARY:

On October 14, 2010, four bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Advantage Asphalt & Seal Coating, Santa Fe		
Base Bid 1 thru 57	\$ 57,520.20	\$51,768.18
NMGRT	\$ 4,709.47	
Total Bid Amount Including NMGR	<u>\$ 62,229.67</u>	
TriMan Construction, Santa Fe		
Base Bid 1 thru 57	\$ 66,426.50	
NMGRT	\$ 5,438.66	
Total Bid Amount Including NMGR	<u>\$ 71,865.17</u>	
TLC Plumbing & Utility, Albuquerque		
Base Bid 1 thru 57	\$ 81,793.50	
NMGRT	\$ 6,696.84	
Total Bid Amount Including NMGR	<u>\$ 88,490.34</u>	
K.R. Swerdfeger Construction, Inc., CO		
Base Bid 1 thru 57	\$ 96,327.00	\$86,687.10
NMGRT	\$ 7,886.77	
Total Bid Amount Including NMGR	<u>\$104,213.77</u>	

The using department has reviewed the bid and recommends the award to Advantage Asphalt & Seal Coating, Santa Fe in the amount of \$62,229.67 inclusive of GRT.

Page 2

Award of '11/19/B

Budget is available from two state grants in account number 52455.520200 (Wastewater – Collection System – Repair Maintenance Grounds/Rd) in the amount of \$141,643.25.

ACTION:

It is requested that this recommendation of award to Advantage Asphalt & Seal Coating, Santa Fe in the total amount of \$62,229.67 be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

FY 10/11 City Wide Sewer Line Spot Repair Contract

[illegible]

DATE: August 30, 2011

TO: Finance Committee

FROM: Robert Rodarte, Purchasing Officer
Purchasing Office

VIA: Kathryn Raveling, Director
Finance Department

ISSUE: Award of Bid # '11/38/B
Santa Fe River Park – El Parque Del Rio – Renovations and Improvements

SUMMARY:

On May 24, 2011, five bids were received for the procurement of the above referenced project as follows:

	Bid Amount	Local Preference
DBA Nambe Construction, Santa Fe		
Base Bid	\$1,172,149.00	\$1,078,377.08
Deductive Alternate No. 3 Including Tax	- \$ 78,367.00	
Subtotal	\$1,093,782.00	
GRT	\$ 89,553.40	
Total Base Bid Plus Tax	<u>\$1,183,335.40</u>	
Deductive Alternate No. 1 Including Tax	\$ 27,290.00	
Deductive Alternate No. 2 Including Tax	\$ 48,015.00	
Deductive Alternate No. 3 Including Tax	\$ 417,836.75	
Advantage Asphalt & Seal Coating, Santa Fe		
Base Bid	\$1,356,596.90	\$1,248,069.15
Deductive Alternate No. 3 Including Tax	- \$ 108,527.75	
Subtotal	\$1,248,069.15	
GRT	\$ 102,185.67	
Total Base Bid Plus Tax	<u>\$1,350,254.82</u>	
Deductive Alternate No. 1 Including Tax	\$ 67,829.85	
Deductive Alternate No. 2 Including Tax	\$ 135,659.69	
Deductive Alternate No. 3 Including Tax	\$ 108,527.75	
Star Paving Co., Albuquerque		
Base Bid	\$1,477,547.68	
Deductive Alternate No. 3 Including Tax	- \$ 61,689.05	

Page 2
Award of '11/38/B

Subtotal	\$1,415,858.63
GRT	\$ 115,923.43
Total Base Bid Plus Tax	<u>\$1,531,782.06</u>

Deductive Alternate No. 1 Including Tax	\$ 24,542.16
Deductive Alternate No. 2 Including Tax	\$ 54,969.49
Deductive Alternate No. 3 Including Tax	\$ 61,689.05

Lockwood Construction Co., Santa Fe

Base Bid	\$1,498,000.00	\$1,378,160.00
Deductive Alternate No. 3 Including Tax	-\$ 90,877.00	
Subtotal	\$1,407,123.00	
GRT	\$ 115,208.20	
Total Base Bid Plus Tax	<u>\$1,522,331.20</u>	

Deductive Alternate No. 1 Including Tax	\$ 21,638.00
Deductive Alternate No. 2 Including Tax	\$ 31,374.00
Deductive Alternate No. 3 Including Tax	\$ 90,877.00

Meridian Contracting, Inc., Albuquerque

Base Bid	\$1,607,144.00
Deductive Alternate No. 3 Including Tax	-\$ 97,189.16
Subtotal	\$1,509,954.84
GRT	\$ 123,627.56
Total Base Bid Plus Tax	<u>\$1,633,582.40</u>

Deductive Alternate No. 1 Including Tax	\$ 24,609.41
Deductive Alternate No. 2 Including Tax	\$ 52,672.17
Deductive Alternate No. 3 Including Tax	\$ 97,189.16

The using department has reviewed the bid and recommends award of base bid and deductive alternate No. 3 to Nambe Construction, Santa Fe in the amount of \$1,183,335.40 inclusive of GRT. Nambe Construction made an error in their bid submittal for deductive alternate No.3 the error did not alter their position as the low bidder. The City's purchasing officer made a determination that it is in the best interest of the city to accept the corrected bid amount.

Budget is available in account number 423047.572970 (Parks – SF River Parkway – WIP Construction) in the amount of \$1,636,429.30.

ACTION:

It is requested that this recommendation of award to Nambe Construction, Santa Fe in the total amount of \$1,183,335.40, be reviewed, approved and submitted to the City Council for its consideration.

Attachment(s):

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

Santa Fe River Park - El Parque Del Rio - Renovations and Improvements

DATE: 05/24/11	Name: Construction,	Advantage Asphalt & Seal Coating	Star Paving Co.,	Lockwood Construction Co.,
BID: #1138/B	Santa Fe	Santa Fe	Albuquerque	Santa Fe
PREPARED BY: SHIRLEY R.				
ITEM & DESCRIPTION	BID AMOUNT	BID AMOUNT	BID AMOUNT	BID AMOUNT
Base Bid	\$1,172,149.00	\$1,356,596.90	\$1,477,547.68	\$1,498,000.00
GRT	\$95,969.69	\$111,071.38	\$120,974.22	\$122,648.75
Total Base Bid Plus Tax	\$1,268,118.69	\$1,467,668.28	\$1,598,521.90	\$1,620,648.75
Local Preference	\$1,078,377.08	\$1,248,069.15		\$1,378,160.00
Deductive Alternate No. 1 Including Tax	\$27,290.00	\$67,829.85	\$24,542.16	\$21,638.00
Deductive Alternate No. 2 Including Tax	\$48,015.00	\$135,659.69	\$54,969.49	\$31,374.00
Deductive Alternate No. 3 Including Tax	\$417,836.75	\$108,527.75	\$61,689.05	\$90,877.00
SUBMITTAL REQUIREMENTS				
BID BOND	X	X	X	X
EQUAL EMPLOYMENT	X	X	X	X
NON-SEGREGATED FACILITIES	X	X	X	X
NON-COLLUSION AFFIDAVIT	X	X	X	X
SUBCONTRACTORS LISTING	X	X	X	X
NM RESIDENT PREFERENCE NUMBER				
RECEIPT ADDENDUM #1	X	X	X	X
RECEIPT ADDENDUM #2	X	X	X	X
RECEIPT ADDENDUM #3	X	X	X	X

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

Santa Fe River Park - El Parque Del Rio - Renovations and Improvements

DATE: 05/24/11 BID: #11138/B PREPARED BY: SHIRLEY R.	Meridian Contracting, Inc., Albuquerque	BID AMOUNT	BID AMOUNT	BID AMOUNT
ITEM & DESCRIPTION	BID AMOUNT	BID AMOUNT	BID AMOUNT	BID AMOUNT
Base Bid	\$1,607,144.00			
GRT	\$131,584.92			
Total Base Bid Plus Tax	\$1,738,728.92			
Local Preference				
Deductive Alternate No. 1 Including Tax	\$24,609.41			
Deductive Alternate No. 2 Including Tax	\$52,672.17			
Deductive Alternate No. 3 Including Tax	\$97,189.16			
SUBMITTAL REQUIREMENTS				
BID BOND	X			
EQUAL EMPLOYMENT	X			
NON-SEGREGATED FACILITIES	X			
NON-COLLUSION AFFIDAVIT	X			
SUBCONTRACTORS LISTING	X			
NON RESIDENT PREFERENCE NUMBER				
RECEIPT ADDENDUM #1	X			
RECEIPT ADDENDUM #2	X			
RECEIPT ADDENDUM #3	X			

[illegible]

DATE: September 21, 2011
TO: Finance Committee
FROM: Robert Rodarte, Purchasing Officer
Purchasing
VIA: Dr. Melville L. Morgan, Finance Director
Finance
ISSUE: Award of Bid # '12/01/B
F/Y 11/12 City Wide Water Utility Pavement Restoration Contract

No Award

SUMMARY:

On August 4, 2011, five bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
Star Paving Company, Albuquerque		
Total Bid	\$48,890.00	
NMGRT	<u>\$ 4,084.74</u>	
Total Bid Amount	<u>\$53,974.74</u>	
TLC Plumbing & Utility, Albuquerque		
Total Bid	\$58,308.25	
NMGRT	<u>\$ 4,773.99</u>	
Total Bid Amount	<u>\$63,082.24</u>	
Advantage Asphalt & Seal Coating, Santa Fe		
Total Bid	\$84,093.33	\$75,684.00
NMGRT	<u>\$ 6,885.15</u>	
Total Bid Amount	<u>\$90,978.48</u>	
Sub Surface Contracting, Inc., Santa Fe		
Total Bid	\$88,810.00	\$79,929.00
NMGRT	<u>\$ 7,271.32</u>	
Total Bid Amount	<u>\$96,082.31</u>	
AUI, Inc., Albuquerque		
Total Bid	\$172,406.50	
NMGRT	<u>\$ 14,115.79</u>	
Total Bid Amount	<u>\$186,522.29</u>	

Page 2

Award of '12/01/B

Award of the bid was based on the total of unit prices and estimated amounts per Exhibit I Fixed Unit Price Schedule and Estimated Quantities. The using department has reviewed the bid and recommends the award to Star Paving Company, Albuquerque in the amount up to \$200,000.00 plus NMGR. The estimated minimum contract is \$50,000.00 however based on prior year contracts usage may be up to \$200,000.00.

Budget is available in account number 52363.520200 (Water – Transmission & Distribution - Repair & Maintenance Grounds/Roadways) in the amount of \$226,670.21.

ACTION:

It is requested that this recommendation of award to Star Paving Company, Albuquerque in the total amount up to \$200,000.00 plus NMGR be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

FY 11/12 City Wide Water Utility Pavement Restoration Contract

[illegible]

CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET

FY 11/12 City Wide Water Utility Pavement Restoration Contract

[illegible]

DATE: January 10, 2012
TO: Finance Committee
FROM: Robert Rodarte, Purchasing Officer
Purchasing
VIA: Dr. Melville L. Morgan, Finance Director
Finance
ISSUE: Award of Bid # '12/14/B
FY 11/12 City Wide Water Utility Pavement Restoration Contract

SUMMARY:

On November 27, 2011, two bids were received for the procurement of the above referenced service as follows:

	<u>Bid Amount</u>	<u>Local Preference</u>
TLC Plumbing & Utility, Albuquerque		
Base Bid	\$77,905.00	
NMGRT	\$ 6,378.48	
Total Bid Amount	<u>\$84,283.48</u>	
Next Generation Contracting, Inc., Santa Fe		
Base Bid	\$87,024.25	\$78,321.83
NMGRT	\$ 7,125.11	
Total Bid Amount	<u>\$94,149.36</u>	

The using department has reviewed the bid and recommends the award to TLC Plumbing & Utility, Albuquerque in the limited amount of \$200,000.00 plus NMGR to provide the most impact consistent with budgeted funds.

Budget is available in account number 52363.520200 (Water – Transmission & Distribution - Repair & Maintenance Grounds/Roadways) in the amount of \$226,670.21.

ACTION:

It is requested that this recommendation of award to TLC Plumbing & Utility, Albuquerque in the total limited amount of \$200,000.00 plus NMGR be reviewed, approved and submitted to the City Council for its consideration.

Attachments:

1. Memo of recommendation from the using division.
2. Bid tabulation sheet.
3. Copy of the agreement between the owner and contractor.

**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**

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**CITY OF SANTA FE
PURCHASING OFFICE
BID TABULATION SHEET**



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**REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING
AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN
AUDIT OF FINANCIAL STATEMENTS PERFORMED IN
ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**

City of Santa Fe
Santa Fe, New Mexico
Honorable Mayor and City Council
and
Hector H. Balderas
New Mexico State Auditor

We have audited the financial statements of the governmental activities, the business-type activities, each major fund, the aggregate remaining fund information, and the respective budgetary comparison for the general fund of City of Santa Fe (the City) as of and for the year ended June 30, 2011, which collectively comprise the City's basic financial statements as listed in the table of contents, and have issued our report dated February 13, 2012. We have also audited the financial statements of each of the City of Santa Fe's nonmajor governmental, nonmajor enterprise, and internal service funds and respective budgetary comparisons for the major capital projects and debt service funds and the nonmajor governmental and enterprise funds presented as supplementary information in the accompanying combining and individual fund financial statements as listed in the table of contents. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

Internal Control Over Financial Reporting

Management of the City of Santa Fe is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered the City's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the City's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the City's internal control over financial reporting.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions to prevent, or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of the internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above. However, as discussed below, we identified certain deficiencies in internal control over financial reporting, described in the accompanying schedule of findings and questioned costs that we consider to be significant deficiencies in internal control over financial reporting. These items can be referenced as findings 06-05 and 11-01. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Compliance and Other Matters

As a part of obtaining reasonable assurance about whether the City's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

We noted certain matters that are required to be reported under *Government Auditing Standards*, paragraph 5.14 and 5.16 and Section 12-6-5 NMSA 1978 which are described in the accompanying schedule of findings and questioned costs as findings 06-06, 08-04, and 11-02.

The City's responses to the findings identified in our audit are described in the accompanying schedule of findings and questioned costs. We did not audit the City's responses and, accordingly, we express no opinion on them.

This report is intended solely for the information and use of management, City Council, the Audit Committee, the Office of the State Auditor, the New Mexico Legislature, Department of Finance and Administration and applicable federal awarding agencies and pass-through entities, and is not intended to be and should not be used by anyone other than these specified parties.

Atkinson & Co., Ltd.

Atkinson & Co., Ltd.

Albuquerque, New Mexico
February 13, 2012



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**REPORT ON COMPLIANCE WITH REQUIREMENTS THAT COULD
HAVE A DIRECT AND MATERIAL EFFECT ON EACH MAJOR PROGRAM
AND ON INTERNAL CONTROL OVER COMPLIANCE
IN ACCORDANCE WITH OMB CIRCULAR A-133**

City of Santa Fe
Santa Fe, New Mexico
Honorable Mayor and City Council
and
Hector H. Balderas
New Mexico State Auditor

Compliance

We have audited the City of Santa Fe, New Mexico's (the City) compliance with the types of compliance requirements described in the *OMB Circular A-133 Compliance Supplement* that could have a direct and material effect on each of the City's major federal programs for the year ended June 30, 2011. The City's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to each of its major federal programs is the responsibility of the City's management. Our responsibility is to express an opinion on the City's compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the City's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination on the City's compliance with those requirements.

In our opinion, the City complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on each of its major programs for the year ended June 30, 2011.

However, the results of our auditing procedures disclosed instances of noncompliance with those requirements, which are required to be reported in accordance with OMB Circular A-133 and which are described in the accompanying schedule of findings and questioned costs as items 11-03 and 11-04.

Internal Control Over Compliance

Management of the City of Santa Fe is responsible for establishing and maintaining effective internal control over compliance with requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered the City's internal control over compliance with the requirements that could have a direct and material effect on a major federal program to determine our auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the City's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above. However, we identified certain deficiencies in internal control over compliance that we consider to be significant deficiencies as described in the accompanying schedule of findings and questioned costs as items 11-05 and 11-06. A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

The City's responses to the findings identified in our audit are described in the accompanying schedule of findings and questioned costs. We did not audit the City's responses and, accordingly, we express no opinion on the responses.

This report is intended solely for the information and use of management, City Council, the Audit Committee, the Office of the State Auditor, the New Mexico Legislature, the New Mexico Department of Finance and Administration and federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

Atkinson & Co., Ltd.

Atkinson & Co., Ltd.

Albuquerque, New Mexico
February 13, 2012

SCHEDULE OF FINDINGS AND QUESTIONED COSTS

For the year ended June 30, 2011

I. Summary of Audit Results*Financial Statements*

Type of auditor's report issued: Unqualified

Internal control over financial reporting:

- Material weakness(es) identified? No
- Significant deficiency(ies) identified? Yes

Noncompliance material to financial statements noted? No

Federal Awards

Internal control over financial reporting:

- Material weakness(es) identified? No
- Significant deficiency(ies) identified? Yes

Type of auditor's report issued on compliance for major programs: Unqualified

Any audit findings disclosed that are required to be reported in accordance with Section 510(a) of OMB Circular A-133? Yes

Identification of major programs:

<u>CFDA Number</u>	<u>Name of Federal Program or Cluster</u>
14.218	CDBG – Entitlement and Grants Cluster
14.238	CDBG – Entitlement and Small Cities Cluster
14.253	CDBG – Entitlement and Grants Cluster
14.218	Neighborhood Stabilization Program
16.710	Cops Hiring Recovery Program
20.208	Pavement Resurfacing
20.500	Department of Transportation Direct Program: Sec 5309
20.507	Department of Transportation Direct Program: Sec 5307
81.128	Energy Efficiency

Dollar threshold used to distinguish between type A and type B programs: \$300,000

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

I. Summary of Audit Results – Continued

Auditee qualified as low-risk auditee? No

II. Findings – Findings and Questioned Costs – Major Federal Award Programs Audit

	<u>Questioned Costs</u>
CDBG – Entitlement and Small Cities Cluster	None
CDBG – Entitlement and Grants Cluster	None
Neighborhood Stabilization Program	None
Cops Hiring Recovery Program	None
Shelter Plus Care Program	None
Energy Efficiency	None
Federal Transit Cluster	None

III. Status of Prior Audit Findings

06-05 Due Date of Audit Report	Repeated and Modified
06-06 Budget Overages	Repeated and Modified
08-02 Data Collection Form-Late Filing	Cleared
08-04 IT Policies and Procedures	Repeated and Modified
09-03 Parking Permit Receivables	Cleared

IV. Current Audit Findings

Financial Statement Findings Required by *Government Auditing Standards*

06-05 Due Date of Audit Report (Repeated and Modified) (Significant Deficiency)
11-01 Improper Cutoff

Findings in Accordance with 2.2.2 NMAC

06-06 Budget Overages (Repeated and Modified)
08-04 IT Policies and Procedures (Repeated and Modified)
11-02 Capital Asset Inventory Observation

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

Findings in Accordance with OMB Circular A-133

- 11-03 Federal Grant Reporting – Neighborhood Stabilization Program 14.218 and CDBG 14.218 (Non-Compliance)
- 11-04 Federal Grant Cost Principles – COPS Hiring Recovery Program 16.710 (Non-Compliance)
- 11-05 Federal Grant Monitoring – Shelter Care Program 14.238 (Significant Deficiency)
- 11-06 Federal Grant Procurement – Energy Efficiency Program 81.128 and Federal Transit Cluster 20.500 & 20.507 (Significant Deficiency)

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

PRIOR YEAR FINDINGS-REPEATED AND MODIFIED

FINANCIAL STATEMENT FINDING REQUIRED BY GOVERNMENT AUDITING STANDARDS

06-05 DUE DATE OF AUDIT REPORT (SIGNIFICANT DEFICIENCY)

Condition:

The June 30, 2011 audit report was not filed with the State Auditor by the applicable date noted in the contract. The report was not submitted until February 13, 2012.

Criteria:

According to State Auditor Rule NMAC 2.2.2.9A, the audited financial statements are due by December 1 following the fiscal year-end, which would be December 1, 2011 for the year under audit.

Effect:

The City is not in compliance with State Auditor Rule NMAC 2.2.2.9A for the fiscal year ended June 30, 2011. The users of the financial statements such as legislators, creditors, bondholders, state and federal grantors, oversight agencies, etc., do not have timely audit reports and financial statements for their review. Late audit reports could have an effect on state and federal funding and the City's internal budgeting.

Cause:

Reconciliations related to accounts receivable and capital assets required additional time to complete and additional time to make correcting entries. Turnover in key areas related to CAFR preparation contributed to the late filing.

Recommendation:

We recommend the City evaluate whether there is adequate personnel resources to produce a timely CAFR and identify areas where additional training and procedures could be established.

Management Response:

This year the 2011 Audit was completed and submitted to the State Auditor by February 13, 2012. The City of Santa Fe has every intention of meeting the December 1 deadline for the 2012 audit. We will accomplish this by working on policies and procedures as well setting internal deadlines. It should be noted that again this year, the finance staff did all the financials and supplied them to the external auditor who verified them. Also, we will work closely with the external auditor to arrange some pre-work that can begin as early as May so that the compilation and testing can take place in a relatively short amount of time.

City of Santa Fe

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

PRIOR YEAR FINDINGS-REPEATED AND MODIFIED – CONTINUED

FINDINGS IN ACCORDANCE WITH 2.2.2. NMAC

06-06 BUDGETARY COMPLIANCE

Condition:

During our testwork over budgetary compliance for the year ended June 30, 2011, we noted the following budget overages for the City.

Reporting Unit	Budgetary Level	Final Budget	Actual Amount	Overage Amount
General Fund-Public Safety-Expenditures	Function Level	30,262,514	31,184,558	922,044
General Fund-Culture/Recreation-Expenditure	Function Level	7,021,755	7,588,337	566,562
Museums fund – expenditures	Fund Level	108,964	110,190	1,226
½% Gross Receipts Tax fund - expenditures	Fund Level	3,311,593	3,424,682	113,089
Debt Service fund - expenditures	Fund Level	14,168,344	30,491,847	16,323,503
Waste Water Management–operating expenses	Division Level	11,310,007	14,328,883	3,018,876
Parking Enterprise – operating expenses	Division Level	5,086,892	5,147,411	60,519
SF Convention Center – operating expenses	Division Level	2,245,958	2,997,372	751,414
College of Santa Fe – operating expenses	Division Level	1,496,591	1,884,620	388,029
Risk Management - operating expenses	Division Level	5,086,788	5,144,033	57,243
Worker’s Compensation – operating expenses	Division Level	1,085,300	1,297,324	212,024
Union Sick Leave Bank – operating expenses	Division Level	--	156,432	156,432

In addition, there were funds that had budgeted expenditures exceed budgeted revenues, transfers and beginning fund balance. The following special revenue funds were non-compliant: Franchise Fee Fund budgeted shortfall was \$17,893, Law Enforcement Grants Fund budgeted shortfall was \$605,234, Resource Conservation Fund budgeted shortfall was \$60,967. The capital projects funds that were non-compliant: – Special Projects budgeted shortfall was \$478,603, City Parks Improvements budgeted shortfall was \$1,043,944. The enterprise funds that were non-compliant: Municipal Recreation Complex budgeted shortfall was \$7,416,587 and Solid Waste Management had a budgeted shortfall of \$1,288,953.

Criteria:

New Mexico State Statue 6-6-6 NMSA 1978 requires that local government spending does not exceed budgeted amounts, unless approved budget adjustments are made. State law mandates that municipalities develop and operate within the confines of a balanced budget. Proprietary fund budgets prepared in accordance with generally accepted accounting principles (GAAP) should consist of all items of expense, including depreciation.

Effect:

The possibility existed for the City to incur a significant budget overage that would have had financial impact. The city is not in compliance with state statutes.

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

PRIOR YEAR FINDINGS-REPEATED AND MODIFIED - CONTINUED

FINDINGS IN ACCORDANCE WITH 2.2.2. NMAC - CONTINUED

08-04 IT POLICIES AND PROCEDURES

Condition:

During our review of information technology policies and procedures, we noted the following conditions related to change controls and backup recovery testing procedures:

- 1) Application data users do not perform periodic reviews of user access rights for all in-scope applications (and network access when required). Additionally when user access rights are modified (due to job transfers or other reasons), the access rights of these users are not reviewed in order to remove access rights that are no longer needed.
- 2) During FY11, application and data backup and recovery testing on the iSeries server was not performed at least once to ensure data integrity and recovery.

Criteria:

State audit rule 2.2.2.8 L (7) states "Any violation of law or good accounting practice including instances of noncompliance or internal control weakness must be reported as an audit finding per section 12-6-5 NMSA 1978."

Policies and procedures should provide the basis for internal control activities that ensure backup recovery testing is performed and change controls are implemented. All internal control criteria and requirements apply to the IT function as well that protect the integrity of information.

Effect:

Lack of backup recovery testing could result in unexpected backup failure in the event of a catastrophe. This could impair the City's ability to prepare reliable financial statements if relevant information is lost. Lack of change control could result in unauthorized changes to application, database, and operating systems.

Cause:

Lack of backup recovery testing procedures and change procedures combined with inadequate staffing levels contribute to the internal control weakness, which can affect operations of the City.

Recommendation:

We recommend updating policy controls surrounding Information technology processes, responsibilities for recovery testing, change controls related to application, databases, and user rights should be present to ensure only valid changes are made.

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

PRIOR YEAR FINDINGS-REPEATED AND MODIFIED - CONTINUED

FINDINGS IN ACCORDANCE WITH 2.2.2. NMAC - CONTINUED

08-05 IT POLICIES AND PROCEDURES - CONTINUED

Management Response:

While this is a continued finding for several years, safeguards and backups must be in place to protect the financial integrity of the City. To those ends, during the first months of 2012, IT will work with Human Resources and others to establish a periodic review chart with due dates and deadlines for review of access to user rights for all in-scope applications. This will include notification when user access rights are modified due to changes in position or separation. In addition, the plan will include the exact date, time and location (with supporting documentation of occurrence) when data backup and recovery testing is to occur.

CURRENT YEAR FINDINGS

FINANCIAL STATEMENT FINDING REQUIRED BY GOVERNMENT AUDITING STANDARDS

11-01 IMPROPER CUTOFF (SIGNIFICANT DEFICIENCY)

Condition:

During our audit we noted multiple instances in which transactions related to periods other than fiscal year 2011 were recorded. The purchase of a capital asset in the amount of \$82,798 was recorded during fiscal year 2011; however, the asset had not yet been received. Lodger's Taxes receivable in the amount of \$757,364 were not recorded as of year-end.

Criteria:

Accounting principles generally accepted in the United States of America (GAAP) applicable to governmental entities specify that expenses should be recognized when obligations are incurred, usually when goods are transferred or services are rendered. Additionally, revenues should be recorded when they are both measurable and available.

Cause:

The capital asset was recorded in the incorrect time period due to oversight. Management did not deem the Lodger's Tax to be measurable as of year-end.

Effect:

Capital assets and accounts payable were overstated. Accounts receivable were understated.

Recommendation:

We recommend that management re-evaluate the processes of transaction recording and review to ensure that transactions are being recorded in the proper period in accordance with GAAP.

Management Response:

The City will develop controls to ensure that this does not occur in the future.

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

CURRENT YEAR FINDINGS - CONTINUED

FINDING IN ACCORDANCE WITH 2.2.2. NMAC

11-02 CAPITAL ASSET INVENTORY OBSERVATION

Condition:

During our audit, it came to our attention that some department managers did not conduct an annual physical inventory count of capital assets. In addition, we noted that for those department managers who did perform the capital asset inventory count, not all of the results were certified.

Criteria:

Section 12-6-10(A) NMSA 1978 requires each agency to conduct an annual physical inventory of movable chattels and equipment on the inventory list and the end of each fiscal year. The agency shall certify the correctness of the inventory after the physical inventory.

Cause:

Capital asset inventory counts were not performed due to lack of enforcement of the requirement by upper management. Inventory results were not certified due to lack of communication to the department managers regarding the requirement.

Effect:

Not performing an annual inventory count can result in a misstated capital asset balance on the financial statement as assets additions and disposals may not be accurately reflected in the accounting records. In addition, the amount of depreciation expense may also be misstated as it may not reflect necessary depreciation for assets that are not included on the capital asset listing, and may include depreciation for assets which are no longer in use or have been disposed.

Recommendation:

We recommend that department managers be required to perform an annual inventory count of capital assets and to certify the results that are provided to the accounting department.

Management Response:

The City will implement policies and procedures to ensure all departments conduct and certify asset inventory.

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

CURRENT YEAR FINDINGS - CONTINUED

FINDINGS IN ACCORDANCE WITH OMB CIRCULAR A-133

11-03 FEDERAL GRANT REPORTING (NON-COMPLIANCE)

Funding Agency: U.S. Department of Housing and Urban Development

Title: Neighborhood Stabilization Program

CFDA Number: 14.218

Funding Agency: U.S. Department of Housing and Urban Development

Title: Community Development Block Grant Program

CFDA Number: 14.218

Condition:

During our testing of all reporting requirements with respect to the US Department of Housing and Urban Development grant used to fund the Neighborhood Stabilization Program we identified two instances in which the bi-monthly reporting package was submitted to the Department of Finance and Administration (DFA) after the required deadline of the first day of the month following the end of the reporting period.

The reporting package for the period of May through June 2011 was due by July 1, 2011 but was not submitted until July 22, 2011.

The reporting package for January through February 2011 was due by March 1, 2011, but was not submitted until April 26, 2011.

During our testing of all reporting requirements with respect to the Community Development Block Grant used to fund the Community Development Block Grant Program (CDBG) we identified two instances in which the quarterly reporting package was submitted after the required deadline of thirty days after the end of the quarterly reporting period.

The reporting package for the period of October 1, 2010 through December 31, 2010 was due by January 30, 2011 but was not submitted until February 14, 2011.

The reporting package for the period of April 1, 2011 through June 30, 2011 was due by July 30, 2011, but was not submitted until September 7, 2011. Additionally, during our testing of all reporting requirements with respect to the Federal American Recovery and Reinvestment Act grant used to fund CDBG we identified one instance in which the quarterly reporting package was submitted after the required deadline of ten days after the end of the quarterly reporting period.

The reporting package for the period of January 1, 2011 through March 31, 2011 was due April 10, 2011 but was not submitted until April 13, 2011.

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

CURRENT YEAR FINDINGS - CONTINUED

FINDINGS IN ACCORDANCE WITH OMB CIRCULAR A-133 - CONTINUED

11-03 FEDERAL GRANT REPORTING - CONTINUED

Criteria:

According to the US Housing and Urban Development Code of Federal Regulations, 24 CFR 570 § 570.490, the state disbursing the CDBG funds to local entities should establish recording keeping requirements for those entities to ensure sufficient documentation to facility reviews and audits of the local entities. The deadline established by the New Mexico Department of Finance and Administration requires the bi-monthly reporting package to be submitted by the first day following the end of the reporting period. The deadline established by the State of New Mexico is thirty days after the end of the quarterly reporting period.

Effect:

There is an increased possibility the program will not be able to continue to receive funding if compliance requirements are not met.

Cause:

The City was not able to file some of the reports timely due to staff turnover in the housing department.

Questioned Costs: None

Recommendation:

Program management and those charged with the responsibility of preparing and submitting the reporting package should establish a reminder system notifying all parties of the due date of the reports therefore holding more than one person accountable for submitting the reports in a timely fashion.

Management's Response:

While we have been completing our reports on time, the reports in question were returned to us for various issues within the report. We; however, did not keep documentation. Therefore, we will commit to producing and filing reports on time and keeping all documentation pertaining to any and all communication regarding such reports. We will produce a calendar with due dates of reports for our Operating Procedures Manual and require everyone concerned to follow this document.

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

CURRENT YEAR FINDINGS - CONTINUED

FINDING IN ACCORDANCE WITH OMB CIRCULAR A-133- CONTINUED

11-04 FEDERAL GRANT COST PRINCIPLES (NON-COMPLIANCE)

Funding Agency: U.S. Department of Justice

Title: Cops Hiring Recovery Program

CFDA Number: 16.710

Condition:

During our testing of cost principle requirements with respect to the Federal American Recovery and Reinvestment Act grant used to fund the Cops Hiring Recovery we identified a lack of time certification. The program did not require certifications signed by the employee or their respective supervisors certifying that each employee worked solely on this program.

Criteria:

According to OMB Circular A-87, where employees are expected to work solely on a single Federal award or cost objective, charges for their salaries and wages will be supported by periodic certifications that the employees worked solely on that program for the period covered by the certification. These certifications are to be prepared at least semi-annually and signed by the employee or supervisory official having firsthand knowledge of the work performed by the employee.

Effect:

Without approved certifications, the City could not substantiate whether the employee was charged appropriately to the correct grant.

Cause:

The City was not aware of this requirement.

Questioned Costs: None

Recommendation:

Program management should establish a policy that requires all employees working under the Cops Hiring Recovery Program and other federal programs to certify their time worked related to the applicable program on a semi-annual basis.

Management's Response:

The City of Santa Fe does require time and attendance logs for employees. To ensure compliance with all grants the finance department will work with departments to have employees certify by signature that their time was attributable to a specific grant.

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

CURRENT YEAR FINDINGS - CONTINUED

**FINDINGS IN ACCORDANCE WITH OMB CIRCULAR A-133 - CONTINUED
11-05 FEDERAL GRANT MONITORING (SIGNIFICANT DEFICIENCY)**

Funding Agency: U.S. Department of Housing and Urban Development

Title: Shelter Plus Care Program

CFDA Number: 14.238

Condition:

During our testing of sub-recipient monitoring requirements with respect to the US Department of Housing and Urban Development (HUD) Grant passed through the Shelter Plus Care Program to sub-recipient Santa Fe Community Housing Trust, we identified a lack of documentation to show adequate sub-recipient monitoring. The program did not have documentation on file to support that the sub-recipients were complying with matching requirements. Further examination and testing showed that the matching requirements were in fact being met; however the program lacked adequate procedures to assess and monitor the level of supportive services provided by sub-recipients throughout the year.

Criteria:

According to 58 FR 13892 Section 582.1, rental assistance grants must be matched in the aggregated by supportive services that are equal in value to the amount of rental assistance. Additionally, the grant agreement between HUD and Shelter Plus Care states that the recipient is required to conduct an ongoing assessment of the supportive services required by the participants in the program to assure the adequate provisions of supportive services to the participants in the program.

Effect:

If a process to monitor sub-recipients throughout the year is not established, there is a risk that the required match for supportive services will not be met by the sub-recipients which could result in the loss of funding.

Cause:

The program has relied on the year end Annual Performance Reports (APR) to monitor the level of supportive services provided by each sub-recipient. Based on their understanding of their responsibilities as a pass-through entity and lack of prior comments regarding this issue, the program was under the impression that this level of monitoring was adequate. However in instances such as the current year when issues arose with the system used by the sub-recipients to complete their APR's, the program did not possess documentation on file to show that matching requirements were being met.

Questioned Costs: None

Recommendation:

Program management should establish a policy that requires the sub-recipients to report the dollar amount of mental health services provided at the expense of the sub-recipient on a regular basis. Additionally, program management should develop a system to track these services to ensure they meet the matching requirements of the grant agreement.

Management's Response:

The City will develop a system to track these services to ensure they meet the matching requirements of the grant agreement.

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

11-06 FEDERAL GRANT PROCUREMENT (SIGNIFICANT DEFICIENCY)

Funding Agency: U.S. Department of Energy
Title: Energy Efficiency Program
CFDA Number: 81.128

Funding Agency: U.S. Department of Transportation
Title: Federal Transit Cluster
CFDA Number: 20.500 and 20.507

Condition:

During our testing of procurement requirements with respect to the Energy Efficiency & Conservation Block grants used to fund the Energy Efficiency Program we identified a lack of verification that contracted parties are not excluded, suspended or debarred in accordance with the Excluded Parties List System. We tested two vendors that were contracted with by the program to provide materials and services in excess of \$25,000 (covered transactions) and identified that no documentation was retained to show that verification to ensure the vendors were not included excluded, suspended, or debarred was not completed. During our testing of procurement requirements with respect to the U.S. Department of Transportation grants used to fund the programs under the federal transit cluster we identified a lack of verification that contracted parties are not excluded, suspended or debarred in accordance with the Excluded Parties List System. We tested two vendors that were contracted with by the program to provide materials and services in excess of \$25,000 (covered transactions) and identified that verification to ensure the vendors were not included excluded, suspended, or debarred was not completed.

Criteria:

According to OMB Circular A-133 Compliance Supplement, when a non-federal enters into a covered transaction with another entity, the first entity must verify the second entity is not excluded, suspended or debarred. This verification can be completed through one of three methods, including such documentation in the agreement or contract entered into with the entity, by checking the Excluded Parties List System (EPLS) at <https://www.epls.gov/>, or by receiving a certification from the entity.

Effect:

If verification is not completed or documented there is an increased possibility that the program is entering into transactions with an excluded, suspended, or debarred entity which could lead to loss of funding.

Cause:

The City was not aware of this requirement.

Questioned Costs: None

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2011

CURRENT YEAR FINDINGS - CONTINUED

FINDINGS IN ACCORDANCE WITH OMB CIRCULAR A-133 - CONTINUED

11-06 FEDERAL GRANT PROCUREMENT - CONTINUED

Recommendation:

Program management should establish a step in the procurement process that requires verification of the entity they intend to contract with against the Excluded Parties List System and include such documentation in the procurement file.

Management's Response:

The City will establish procedures for grant approval/verification/procurement processes that ensures verification of the entity intended to contract with is or is not listed in the Excluded Parties List System maintained by the Federal Government and that information will be included as documentation in the procurement file.

City of Santa Fe

EXIT CONFERENCE

For the year ended June 30, 2011

An exit conference was held on February 1, 2012, to discuss the audit. The following individuals were in attendance:

City of Santa Fe

Dr. Melville L. Morgan
Robert P. Romero
Teresita Garcia

Finance Director
City Manager
Assistant Finance Director

Erica Martinez

Senior Financial Analyst

Independent Auditor

Martin Mathisen, CPA, CGFM
James Hartogensis, CPA, CGFM

Audit Director
Audit Senior Manager

**CITY OF SANTA FE
Police Department
Fiscal Year 2012**

DRAFT

**Report of the Internal Audit
Analysis of the Financial Processes and Procedures
of the
Santa Fe Police Department**

There are three positions within the Administration Division which have the primary responsibility for the processing of documents and analysis of data relating to the financial activities of the Santa Fe Police Department. The following issues have been identified in the review of these activities:

• **BUDGETING**

1. Prior year Purchase Orders are affecting current year budget – need to close-out those which are no longer need (i.e. refer to Attachment A) i.e. BU 22772 Attach Exp Rpt/PSAs for Hearing Officers PY and CY Excel Spreadsheet
2. Budgets for grants should be established early in the fiscal year (refer to E-Mail from Budget (Attachment B) i.e. Domestic Violence Grant – a BAR was not submitted until September 13, 2011
3. Budgets by Business Unit should be analyzed for establishment of budget/over expenditure (Attachment C) i.e. DWI Forfeitures/Stop Program – Full-Time Classified – Human Resource Action Request – E-Mail from Budget provided by Paul Varela In addition, expenditures are not being evenly divided between BU 22772 and BU 22792
4. Need to consider collapsing business units within the General Fund – This should eliminate some duplication of effort, primarily in the area of budgeting (less duplication of forms, minimizes the number of BARs, etc. Please refer to Attachment D Chart of Accounts for Police Dept. by Business Units.

However, the collapse of business units will not alleviate the bottleneck which exists in the area of procurement which exists in the Finance Office. The Police Department should identify which programs have the administrative support to assume the responsibility for their own budgets as well as for the procurement of goods and services. The financial staff would then have more time to respond to administration requests for analysis of financial data and the provision of reports. Attachment E – Organizational Chart

Exhibit "10."

DRAFT

- **PROCUREMENT**

1. Prior year P.O.s are affecting current fiscal year budget – need to identify those PY P.O.s which can be closed which will free up budget
2. Difficulties in processing requisitions need for understanding Purchasing Office requirements as to what documentation is needed, when written quotes are needed, when it is necessary to go out to bid, etc. There is a need for the training which is provided by the Purchasing office
3. Need for ensuring that all required documentation is attached to the requisition

- **PETTY CASH TRANSACTIONS**

1. Numerous requests for Petty Cash reimbursement requests- this s/be the exception rather than the rule – This is probably tied to the difficulties staff are having in the processing of requisitions
2. One Petty Cash reimbursement request also included a request to be reimbursed for the candy bar which was bought as well on the same receipt

- **FEDERAL GRANTS**

1. Files need to be organized
2. Testing of year-end data submitted to the Finance department has not identified any errors
3. Need to test for allowable costs
4. The COPs Grant – Need to request an extension of one year – Grant is for a three year period FY 2010, FY 2011, and FY 2012 - there were limited expenditures in FY 2010 Refer to Attachment F for BU Expenditure Reports --- Please refer to Attachment F

- **CONTINGENCY FUND**

1. Requested documentation regarding Laws, rules and regulations affecting this program – no one has contacted me or provided the information

- **DWI FORFEITURE PROGRAM**

1. Amanda Katz and I met with ITT and a consultant for the purpose of developing needed software – Benefits would allow data to be backed up on the server. The software would provide immediate information as to how much is due instead of manually computing the information

- **TRANSCRIPTING SERVICES**

1. Request had been made for the person requesting this service to provide me with information as to what exactly is needed

- **TRAINING**

1. Training should be requested on the Purchase Office requirements and also on utilizing the E-1 System – Many of the problems identified above would be reduced

ATTACHMENT A

- **Bu 22772 Exp. Rpts. – Before and After Cancellation of PY P.O.s**
- **Excel Spread Sheet on Open P.O.s – PY and CY**

City of Santa Fe
Job Status Inquiry Print

R512000P

22772 Exp-DW1 Forfeiture Program

After canceling POs from P/y for BSAs

Job
Project

Job	Cost Code	Type	Description	L P M	Actual Amount	Open Commitments	Total Commitments	Budget	Remaining to Spend	% Remaining	% Spent
22772	500000	EXPENDITURES		3 ND							
22772	500010	Salaries, Wages & Benefits		4 ND							
22772	500100	Salaries		5 ND							
22772	500150	Elected Positions		6 D							
22772	500200	Exempt Full-Time		6 D							
22772	500225	Exempt Full-time position		7 D							
22772	500250	Exempt Part-time position		7 D							
22772	500200	Exempt Full-Time		6 T							
22772	500300	Classified Positions		6 ND							
22772	500350	Classified Full-Time		7 D	7,300.75		7,300.75	7,300.75	7,300.75-		
22772	500400	Classified Part-Time		7 D							
22772	500300	Classified Positions		6 T	7,300.75		7,300.75	7,300.75	7,300.75-		
22772	500700	Temporary Positions		6 ND							
22772	500750	Temporary Full-Time		7 D							
22772	500800	Temporary Part-Time		7 D							
22772	500700	Temporary Positions		6 T							
22772	501000	Term Positions		6 ND							
22772	501050	Term Full-time		7 D							
22772	501055	Term Part-Time		7 D							
22772	501080	Seasonal position		7 D							
22772	501065	Intern position		7 D							
22772	501100	Grant Funded		7 D							
22772	501103	Grant Funded Part-Time		7 D							
22772	501000	Term Positions		6 T							
22772	501400	Overtime		6 D							
22772	501410	OT Fire-FLSA		7 D							
22772	501411	OT Fire		7 D							
22772	501415	OT Fire @ 1.0		7 D							
22772	501400	Overtime		6 T							
22772	501500	Worked Holiday		6 ND							
22772	501510	Worked Holiday @ 1.5		7 D							
22772	501511	Paid Holiday-not scheduled		7 D							
22772	501512	Worked Holiday @ 2.5		7 D							
22772	501500	Worked Holiday		6 T							
22772	501900	Shift Differential		6 D							
22772	501910	On-call Shift(875)		6 D							
22772	502000	Annual Leave		6 D	1,140.00		1,140.00	1,140.00	1,140.00-		
22772	502010	Personal Day		6 D							
22772	502015	Miscellaneous Leave		9 D							

22772 Exp-DWI Forfeiture Program

Job

Project

Job	Cost Code	Cost Type	Description	L P M	DEC	UM	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22772	502010	Personal Day		6	T								
22772	502050	Comp-time		6	D		28.50		28.50		28.50-		
22772	502100	Sick Leave		6	D		42.75		42.75		42.75-		
22772	502115	Union Business		6	D								
22772	502200	Incentives		6	D								
22772	500100	Salaries		5	T		8,512.00		8,512.00		8,512.00-		
22772	503000	Employee Benefits		5	ND								
22772	503100	FICA		6	D		563.03		563.03		563.03-		
22772	503150	Retirement (PERA)		6	D		1,618.34		1,618.34		1,618.34-		
22772	503200	Employee Health Insurance		6	D		986.47		986.47		986.47-		
22772	503250	Retiree Health Care		6	D		156.13		156.13		156.13-		
22772	503300	Unemployment Insurance		6	D								
22772	503350	Workers' Comp		6	D		2.30		2.30		2.30-		
22772	503400	City Share Dental Insurance		6	D		44.67		44.67		44.67-		
22772	503455	Contract Employee's Benefits		6	D								
22772	503000	Employee Benefits		5	T		3,370.94		3,370.94		3,370.94		
22772	503500	Cost alloc-end of year		5	D								
22772	503850	Auto Parts		6	ND								
22772	503500	Cost alloc-end of year		5	T								
22772	500010	Salaries, Wages & Benefits		4	T		11,882.94		11,882.94		11,882.94-		
22772	510010	Contractual Svs & Utilities		4	ND								
22772	510100	Contractual Services		5	ND								
22772	510200	Legal Service Contracts		6	D								
22772	510300	Professional Contracts		6	D		15,408.45	51,236.09	66,644.54	100,000.00	33,355.46	.33	.67
22772	510400	Grants and Services		6	D								
22772	510100	Contractual Services		5	T		15,408.45	51,236.09	66,644.54	100,000.00	33,355.46	.33	.67
22772	520300	Rep & Maint Furn/Fix/Equip		5	D		481.00		481.00	1,000.00	519.00	.52	.48
22772	530100	Office Supplies		5	D		940.79		940.79	2,000.00	1,059.21	.53	.47
22772	530200	Operating Supplies		5	D			505.99	505.99	2,000.00	1,494.01	.75	.25
22772	530500	Uniform, Clothing, Linen		5	D								
22772	531000	Gasoline		7	D								
22772	531060	Alternative Fuel		7	D								
22772	530500	Uniform, Clothing, Linen		5	T								
22772	510010	Contractual Svs & Utilities		4	T		16,830.24	51,742.08	68,572.32	105,000.00	36,427.68	.35	.65
22772	540000	Depreciation/Amortization Exp		4	ND								
22772	540010	Depreciation Expense		5	D								
22772	555260	Benefits Dept. Assessments		6	D								
22772	560200	Out of State		7	D								
22772	560250	In State		7	D					500.00	500.00	1.00	

Job 22772 Exp-DWI Forfeiture Program

Project

Job	Cost Code	Cost Type	Description	L P M	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22772	560500	Out of State		7 D							
22772	560550	In State		7 D				1,500.00	1,500.00	1.00	
22772	555260	Benefits Dept. Assessments		6 T				2,000.00	2,000.00	1.00	
22772	560700	Registration		6 D							
22772	540010	Depreciation Expense		5 T				2,000.00	2,000.00	1.00	
22772	561000	Postage and Mail Service		5 D				4,000.00	4,000.00	1.00	
22772	561800	Print/Publish		5 D				4,000.00	4,000.00	1.00	
22772	561850	Advertising		5 D				3,000.00	3,000.00	1.00	
22772	540000	Depreciation/Amortization Exp		4 T				13,000.00	13,000.00	1.00	
22772	570010	Capital Purchases		4 ND							
22772	570100	Capital Outlay		5 ND							
22772	570200	Land Acquisition		6 D							
22772	570300	Improv to Land other than Bldg		6 D							
22772	570400	Building & Structures		6 D							
22772	570500	Equipment & Machinery		6 D							
22772	570600	Furniture & Fixtures		6 D							
22772	570700	Lease Purchases		6 D							
22772	570800	Data Processing		6 D							
22772	570900	Vehicles		6 ND							
22772	570950	Vehicles < 1.5		7 D							
22772	571000	Vehicles > 1.5		7 D							
22772	570900	Vehicles		6 T							
22772	572400	Inventory Exempt		6 D				4,000.00	4,000.00	1.00	
22772	570100	Capital Outlay		5 T				4,000.00	4,000.00	1.00	
22772	570010	Capital Purchases		4 T				4,000.00	4,000.00	1.00	
22772	500000	EXPENDITURES		3 T	28,713.18	51,742.08	80,455.26	122,000.00	41,544.74	.34	.66
22772	700000	OTHER FINANCING USES		3 ND							
22772	700100	Operating Transfers Out		4 L D							
22772	700150	Interfund Transfers Out		4 L D							
22772	700300	Disposal of Inventory		8 D G2							
22772	700400	Transfer Fixed Assets		5 D							
22772	700150	Interfund Transfers Out		4 T							
22772	700000	OTHER FINANCING USES		3 T							
22772		Exp-DWI Forfeiture Program		2 T	28,713.18	51,742.08	80,455.26	122,000.00	41,544.74	.34	.66
22772		Total:		1 T	28,713.18	51,742.08	80,455.26	122,000.00	41,544.74	.34	.66

Job

Project

22772 Exp-DWI Forfeiture Program

→ Prior to canceling PLY PAs
for PSAs

Thru Date

10/31/11

Job	Cost Code	Cost Type	Description	L P M	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22772	500000	EXPENDITURES		3 ND							
22772	500010	Salaries, Wages & Benefits		4 ND							
22772	500100	Salaries		5 ND							
22772	500150	Elected Positions		6 D							
22772	500200	Exempt Full-Time		6 D							
22772	500225	Exempt Full-time position		7 D							
22772	500250	Exempt Part-time position		7 D							
22772	500200	Exempt Full-Time		6 T							
22772	500300	Classified Positions		6 ND							
22772	500350	Classified Full-Time		7 D	7,300.75		7,300.75		7,300.75-		
22772	500400	Classified Part-Time		7 D	7,300.75		7,300.75		7,300.75-		
22772	500300	Classified Positions		6 T							
22772	500700	Temporary Positions		6 ND							
22772	500750	Temporary Full-Time		7 D							
22772	500800	Temporary Part-Time		7 D							
22772	500700	Temporary Positions		6 T							
22772	501000	Term Positions		6 ND							
22772	501050	Term Full-time		7 D							
22772	501055	Term Part-Time		7 D							
22772	501060	Seasonal position		7 D							
22772	501065	Intern position		7 D							
22772	501100	Grant Funded		7 D							
22772	501103	Grant Funded Part-Time		7 D							
22772	501000	Term Positions		6 T							
22772	501400	Overtime		6 D							
22772	501410	OT Fire-FLSA		7 D							
22772	501411	OT Fire		7 D							
22772	501415	OT Fire @ 1.0		7 D							
22772	501400	Overtime		6 T							
22772	501500	Worked Holiday		6 ND							
22772	501510	Worked Holiday @ 1.5		7 D							
22772	501511	Paid Holiday-not scheduled		7 D							
22772	501512	Worked Holiday @ 2.5		7 D							
22772	501500	Worked Holiday		6 T							
22772	501900	Shift Differential		6 D							
22772	501910	On-call Shift(875)		6 D							
22772	502000	Annual Leave		6 D	1,140.00		1,140.00		1,140.00-		
22772	502010	Personal Day		6 D							
22772	502015	Miscellaneous Leave		9 D							

Job 22772 Exp-DWI Forfeiture Program

Thru Date 10/31/11

Project

Job	Cost Code	Cost Type	Description	L P M	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22772	502010	Personal Day		6 T							
22772	502050	Comp-time		6 D	28.50		28.50		28.50-		
22772	502100	Sick Leave		6 D	42.75		42.75		42.75-		
22772	502115	Union Business		6 D							
22772	502200	Incentives		6 D							
22772	500100	Salaries		5 T	8,512.00		8,512.00		8,512.00-		
22772	503000	Employee Benefits		5 ND							
22772	503100	FICA		6 D	563.03		563.03		563.03-		
22772	503150	Retirement (PERA)		6 D	1,618.34		1,618.34		1,618.34-		
22772	503200	Employee Health Insurance		6 D	986.47		986.47		986.47-		
22772	503250	Retiree Health Care		6 D	156.13		156.13		156.13-		
22772	503300	Unemployment Insurance		6 D							
22772	503350	Workers' Comp		6 D	2.30		2.30		2.30-		
22772	503400	City Share Dental Insurance		6 D	44.67		44.67		44.67-		
22772	503455	Contract Employee's Benefits		6 D							
22772	503000	Employee-Benefits		5 T	3,370.94		3,370.94		3,370.94-		
22772	503500	Cost alloc-end of year		5 D							
22772	503850	Auto Parts		6 ND							
22772	503500	Cost alloc-end of year		5 T							
22772	500010	Salaries, Wages & Benefits		4 T	11,882.94		11,882.94		11,882.94-		
22772	510010	Contractual Svs & Utilities		4 ND							
22772	510100	Contractual Services		5 ND							
22772	510200	Legal Service Contracts		6 D							
22772	510300	Professional Contracts		6 D	15,408.45	77,493.59	92,902.04	100,000.00	7,097.96	.07	.93
22772	510400	Grants and Services		6 D							
22772	510100	Contractual Services		5 T	15,408.45	77,493.59	92,902.04	100,000.00	7,097.96	.07	.93
22772	520300	Rep & Maint Furn/Fix/Equip		5 D	481.00		481.00	1,000.00	519.00	.52	.48
22772	530100	Office Supplies		5 D	940.79		940.79	2,000.00	1,059.21	.53	.47
22772	530200	Operating Supplies		5 D		505.99	505.99	2,000.00	1,494.01	.75	.25
22772	530500	Uniform, Clothing, Linen		5 D							
22772	531000	Gasoline		7 D							
22772	531060	Alternative Fuel		7 D							
22772	530500	Uniform, Clothing, Linen		5 T							
22772	510010	Contractual Svs & Utilities		4 T	16,830.24	77,999.58	94,829.82	105,000.00	10,170.18	.10	.90
22772	540000	Depreciation/Amortization Exp		4 ND							
22772	540010	Depreciation Expense		5 D							
22772	555260	Benefits Dept. Assessments		6 D							
22772	560200	Out of State		7 D							
22772	560250	In State		7 D				500.00	500.00	1.00	

Job 22772 Exp-DWI Forfeiture Program

Project

Job	Cost Code	Cost Type	Description	L P M	DECUM	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22772	560500	Out of State		7 D								
22772	560550	In State		7 D					1,500.00	1,500.00	1.00	
22772	555260	Benefits Dept. Assessments		6 T					2,000.00	2,000.00	1.00	
22772	560700	Registration		6 D								
22772	540010	Depreciation Expense		5 T					2,000.00	2,000.00	1.00	
22772	561000	Postage and Mail Service		5 D					4,000.00	4,000.00	1.00	
22772	561800	Print/Publish		5 D					4,000.00	4,000.00	1.00	
22772	561850	Advertising		5 D					3,000.00	3,000.00	1.00	
22772	540000	Depreciation/Amortization Exp		4 T					13,000.00	13,000.00	1.00	
22772	570010	Capital Purchases		4 ND								
22772	570100	Capital Outlay		5 ND								
22772	570200	Land Acquisition		6 D								
22772	570300	Improv to Lnd outl than Bldg		6 D								
22772	570400	Building & Structures		6 D								
22772	570500	Equipment & Machinery		6 D								
22772	570600	Furniture & Fixtures		6 D								
22772	570700	Lease Purchases		6 D								
22772	570800	Data Processing		6 D								
22772	570900	Vehicles		6 ND								
22772	570950	Vehicles < 1.5		7 D								
22772	571000	Vehicles > 1.5		7 D								
22772	570900	Vehicles		6 T								
22772	572400	Inventory Exempt		6 D					4,000.00	4,000.00	1.00	
22772	570100	Capital Outlay		5 T					4,000.00	4,000.00	1.00	
22772	570010	Capital Purchases		4 T					4,000.00	4,000.00	1.00	
22772	500000	EXPENDITURES		3 T		28,713.18	77,999.58	106,712.76	122,000.00	15,287.24	.13	.87
22772	700000	OTHER FINANCING USES		3 ND								
22772	700100	Operating Transfers Out		4 LD								
22772	700150	Interfund Transfers Out		4 LD								
22772	700300	Disposal of Inventory		8 DG2								
22772	700400	Transfer Fixed Assets		5 D								
22772	700150	Interfund Transfers Out		4 T								
22772	700000	OTHER FINANCING USES		3 T								
22772		Exp-DWI Forfeiture Program		2 T		28,713.18	77,999.58	106,712.76	122,000.00	15,287.24	.13	.87
22772		Total:		1 T		28,713.18	77,999.58	106,712.76	122,000.00	15,287.24	.13	.87

Fy 2012 HWT 22772.510300

PO #	Or Ty	G/L Date	Line #	Amount Committed	Amount Relieved	Supplier	Description	Account Number
10105118	OP	07/01/2011	1	331.2		496218	Professional Contracts	22772.510300.
10105313	OP	07/01/2011	1	505.11		226049	Professional Contracts	22772.510300.
10105313	OP	07/26/2011	1		78.5	226049	Professional Contracts	22772.510300.
10105313	OP	09/01/2011	1		147.01	226049	Professional Contracts	22772.510300.
10105313	OP	10/04/2011	1		129.62	226049	Professional Contracts	22772.510300.
10105328	OP	07/01/2011	1	557.35		259456	Professional Contracts	22772.510300.
10105328	OP	07/12/2011	1		102.65	259456	Professional Contracts	22772.510300.
10105328	OP	07/26/2011	1		62.5	259456	Professional Contracts	22772.510300.
10105328	OP	08/22/2011	1		129.82	259456	Professional Contracts	22772.510300.
10105328	OP	09/20/2011	1		169.5	259456	Professional Contracts	22772.510300.
10105332	OP	07/01/2011	1	28.04	92.88	259456	Professional Contracts	22772.510300.
10105707	OP	07/01/2011	1	283.17		265695	Professional Contracts	22772.510300.
10105707	OP	07/25/2011	1	-205.32		9692	Professional Contracts	22772.510300.
10105707	OP	07/25/2011	1		77.85	9692	Professional Contracts	22772.510300.
10105720	OP	07/01/2011	1	392.89		265695	Professional Contracts	22772.510300.
10105733	OP	07/01/2011	1	268.04		212396	Professional Contracts	22772.510300.
10105733	OP	07/13/2011	1	-72.48		212396	Professional Contracts	22772.510300.
10105733	OP	07/13/2011	1	72.48		212396	Professional Contracts	22772.510300.
10105733	OP	07/13/2011	1		72.48	212396	Professional Contracts	22772.510300.
10106294	OP	07/01/2011	1	164.5		478891	Professional Contracts	22772.510300.
10106294	OP	07/27/2011	1	-96.8		478891	Professional Contracts	22772.510300.
10106294	OP	07/27/2011	1	96.8		478891	Professional Contracts	22772.510300.
10106294	OP	07/27/2011	1	-67.7		478891	Professional Contracts	22772.510300.
10106294	OP	07/27/2011	1	67.7		478891	Professional Contracts	22772.510300.
10106294	OP	07/27/2011	1		96.8	478891	Professional Contracts	22772.510300.
10106313	OP	07/01/2011	1	404.33		204766	Professional Contracts	22772.510300.
10106313	OP	07/21/2011	1	-404.33		204766	Professional Contracts	22772.510300.
10107730	OP	07/01/2011	1	305.64		490121	Professional Contracts	22772.510300.
10109788	OP	07/01/2011	1	8,811.65		152891	Professional Contracts	22772.510300.
10109795	OP	07/01/2011	1	51.36		245475	Professional Contracts	22772.510300.
10109795	OP	07/12/2011	1	-51.36		245475	Professional Contracts	22772.510300.
10109799	OP	07/01/2011	1	7,843.60		267720	Professional Contracts	22772.510300.
10109801	OP	07/01/2011	1	9,602.25		276814	Professional Contracts	22772.510300.

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* These were cancelled. - Phy 10s Ton Hearing Officers
 Page 1 Ton Hearing Officers

10109929	OP	07/01/2011	1	463.63		254827	Professional Contracts	22772.510300.
10109929	OP	07/12/2011	1		138.48	254827	Professional Contracts	22772.510300.
10109929	OP	08/17/2011	1		146.39	254827	Professional Contracts	22772.510300.
10109937	OP	07/01/2011	1	726.32		493197	Professional Contracts	22772.510300.
10109941	OP	07/01/2011	1	627.79		249471	Professional Contracts	22772.510300.
10110709	OP	07/01/2011	1	636.48		503871	Professional Contracts	22772.510300.
10110709	OP	07/05/2011	1	-66.97		503871	Professional Contracts	22772.510300.
10110709	OP	07/05/2011	1	66.97		503871	Professional Contracts	22772.510300.
10110709	OP	07/05/2011	1		66.97	503871	Professional Contracts	22772.510300.
10110709	OP	07/26/2011	1		71.29	503871	Professional Contracts	22772.510300.
10110709	OP	08/17/2011	1		113.42	503871	Professional Contracts	22772.510300.
10110709	OP	09/01/2011	1		135	503871	Professional Contracts	22772.510300.
10110709	OP	09/01/2011	1		145.83	503871	Professional Contracts	22772.510300.
10110783	OP	07/01/2011	1	938.03		107315	Professional Contracts	22772.510300.
10110786	OP	07/01/2011	1	421.4		151717	Professional Contracts	22772.510300.
10110786	OP	07/25/2011	1		69	151717	Professional Contracts	22772.510300.
10111440	OP	07/01/2011	1	800		482126	Professional Contracts	22772.510300.
10111731	OP	07/01/2011	1	252.1		107431	Professional Contracts	22772.510300.
10111731	OP	07/18/2011	1	-172.13		107431	Professional Contracts	22772.510300.
10111735	OP	07/01/2011	1	144.14		245475	Professional Contracts	22772.510300.
10111735	OP	07/01/2011	1	-91.95		245475	Professional Contracts	22772.510300.
10111735	OP	07/01/2011	1	91.95		245475	Professional Contracts	22772.510300.
10111735	OP	07/21/2011	1	-52.19		245475	Professional Contracts	22772.510300.
10111737	OP	07/01/2011	1	141.04		482126	Professional Contracts	22772.510300.
10111737	OP	07/12/2011	1		88.5	482126	Professional Contracts	22772.510300.
10111737	OP	07/21/2011	1	-52.54		482126	Professional Contracts	22772.510300.
10111738	OP	07/01/2011	1	161.69		498680	Professional Contracts	22772.510300.
10111738	OP	07/01/2011	1	-81.14		498680	Professional Contracts	22772.510300.
10111738	OP	07/01/2011	1	81.14		498680	Professional Contracts	22772.510300.
10111738	OP	07/01/2011	1	-80.55		498680	Professional Contracts	22772.510300.
10112546	OP	07/01/2011	1	75.87		260925	Professional Contracts	22772.510300.
10112547	OP	07/01/2011	1	800		505418	Professional Contracts	22772.510300.
10113368	OP	07/01/2011	1	653.46		505418	Professional Contracts	22772.510300.
10113862	OP	07/01/2011	1	17.5		6401	Professional Contracts	22772.510300.

10113862	OP	08/02/2011	1	-17.5		6401	Professional Contracts	22772.510300.
10114514	OP	07/01/2011	1	215.92		4435	Professional Contracts	22772.510300.
10114514	OP	07/07/2011	1	-74.97		4435	Professional Contracts	22772.510300.
10114514	OP	07/07/2011	1	74.97		4435	Professional Contracts	22772.510300.
10114514	OP	07/07/2011	1		74.97	4435	Professional Contracts	22772.510300.
10114514	OP	07/21/2011	1	-140.95		4435	Professional Contracts	22772.510300.
10114536	OP	07/01/2011	1	49.28		105306	Professional Contracts	22772.510300.
10114773	OP	07/01/2011	1	869.09		9662	Professional Contracts	22772.510300.
10114773	OP	07/12/2011	1	-61.13		9662	Professional Contracts	22772.510300.
10114773	OP	07/12/2011	1	61.13		9662	Professional Contracts	22772.510300.
10114773	OP	07/12/2011	1		61.13	9662	Professional Contracts	22772.510300.
10114773	OP	07/13/2011	1	-56.79		9662	Professional Contracts	22772.510300.
10114773	OP	07/13/2011	1	56.79		9662	Professional Contracts	22772.510300.
10114773	OP	07/13/2011	1	-200.14		9662	Professional Contracts	22772.510300.
10114773	OP	07/13/2011	1	200.14		9662	Professional Contracts	22772.510300.
10114773	OP	07/13/2011	1		56.79	9662	Professional Contracts	22772.510300.
10114773	OP	07/13/2011	1		200.14	9662	Professional Contracts	22772.510300.
10114773	OP	07/26/2011	1		99.53	9662	Professional Contracts	22772.510300.
10114773	OP	08/10/2011	1		142.51	9662	Professional Contracts	22772.510300.
10114773	OP	08/17/2011	1		114.9	9662	Professional Contracts	22772.510300.
10114773	OP	08/22/2011	1		63.29	9662	Professional Contracts	22772.510300.
10114773	OP	09/01/2011	1		113.9	9662	Professional Contracts	22772.510300.
10114793	OP	07/01/2011	1	779.13		505439	Professional Contracts	22772.510300.
10114793	OP	07/12/2011	1		127.5	505439	Professional Contracts	22772.510300.
10114793	OP	07/26/2011	1		96.5	505439	Professional Contracts	22772.510300.
10114793	OP	07/26/2011	1		155	505439	Professional Contracts	22772.510300.
10114793	OP	08/18/2011	1		149	505439	Professional Contracts	22772.510300.
10114793	OP	08/18/2011	1		150	505439	Professional Contracts	22772.510300.
10114793	OP	09/20/2011	1		101.13	505439	Professional Contracts	22772.510300.
10116294	OP	07/01/2011	1	387.97		260925	Professional Contracts	22772.510300.
10116294	OP	07/01/2011	1	-107.1		260925	Professional Contracts	22772.510300.
10116294	OP	07/01/2011	1	107.1		260925	Professional Contracts	22772.510300.
10116294	OP	07/01/2011	1		107.1	260925	Professional Contracts	22772.510300.
10116294	OP	07/26/2011	1		107.1	260925	Professional Contracts	22772.510300.
10116294	OP	07/26/2011	1		63.83	260925	Professional Contracts	22772.510300.
10116294	OP	07/26/2011	1		118.46	260925	Professional Contracts	22772.510300.
10116294	OP	09/19/2011	1		98.58	260925	Professional Contracts	22772.510300.
10116303	OP	07/01/2011	1	348.54		503870	Professional Contracts	22772.510300.

10116303	OP	07/05/2011	1	-139.02		503870	Professional Contracts	22772.510300.
10116303	OP	07/05/2011	1	139.02		503870	Professional Contracts	22772.510300.
10116303	OP	07/05/2011	1		139.02	503870	Professional Contracts	22772.510300.
10116303	OP	07/26/2011	1		93.08	503870	Professional Contracts	22772.510300.
10116303	OP	08/01/2011	1		116.44	503870	Professional Contracts	22772.510300.
10116441	OP	07/01/2011	1	368.27		204269	Professional Contracts	22772.510300.
10116441	OP	07/01/2011	1	-84.24		204269	Professional Contracts	22772.510300.
10116441	OP	07/01/2011	1	84.24		204269	Professional Contracts	22772.510300.
10116441	OP	07/01/2011	1		84.24	204269	Professional Contracts	22772.510300.
10116441	OP	07/26/2011	1		84.24	204269	Professional Contracts	22772.510300.
10116441	OP	08/10/2011	1	-80		204269	Professional Contracts	22772.510300.
10116441	OP	08/10/2011	1		25.5	204269	Professional Contracts	22772.510300.
10116441	OP	08/10/2011	1		119.02	204269	Professional Contracts	22772.510300.
10117055	OP	07/01/2011	1	394		4430	Professional Contracts	22772.510300.
10117055	OP	08/10/2011	1		165	4430	Professional Contracts	22772.510300.
10117055	OP	08/10/2011	1		102.5	4430	Professional Contracts	22772.510300.
10117055	OP	09/01/2011	1		126.5	4430	Professional Contracts	22772.510300.
10117058	OP	07/01/2011	1	295		6401	Professional Contracts	22772.510300.
10117058	OP	07/26/2011	1	43.18		6401	Professional Contracts	22772.510300.
10117060	OP	07/01/2011	1	-43.18		7591	Professional Contracts	22772.510300.
10117060	OP	07/01/2011	1	500		7591	Professional Contracts	22772.510300.
10117069	OP	07/01/2011	1	419.85		105306	Professional Contracts	22772.510300.
10117075	OP	07/01/2011	1	-93.17		213757	Professional Contracts	22772.510300.
10117075	OP	07/12/2011	1	93.17		213757	Professional Contracts	22772.510300.
10117075	OP	07/12/2011	1		93.17	213757	Professional Contracts	22772.510300.
10117075	OP	07/26/2011	1		97.52	213757	Professional Contracts	22772.510300.
10117075	OP	08/18/2011	1		164.33	213757	Professional Contracts	22772.510300.
10117075	OP	10/04/2011	1		64.83	213757	Professional Contracts	22772.510300.
10117079	OP	07/01/2011	1	200		265695	Professional Contracts	22772.510300.
10117080	OP	07/01/2011	1	200		478891	Professional Contracts	22772.510300.
10117080	OP	07/27/2011	1	-184.88		478891	Professional Contracts	22772.510300.
10117080	OP	07/27/2011	1	184.88		478891	Professional Contracts	22772.510300.
10117080	OP	07/27/2011	1		184.88	478891	Professional Contracts	22772.510300.
10117080	OP	08/02/2011	1	-15.12		478891	Professional Contracts	22772.510300.
10117444	EO	07/05/2011	1	-108		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	108		275022	Emergency Towing for DWI	22772.510300.

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10117444	EO	07/05/2011	1	-133		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	133		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	-107		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	107		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	-95		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	95		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	-115		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	115		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	-121.5		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	121.5		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	-53.5		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	53.5		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	-108		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	108		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	-98.5		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	98.5		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	-88.5		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	88.5		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	-99		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	99		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	-185		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1	185		275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		115	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		121.5	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		53.5	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		108	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		98.5	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		88.5	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		99	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		185	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		108	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		133	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		107	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/05/2011	1		95	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/26/2011	1		112	275022	Emergency Towing for DWI	22772.510300.
10117444	EO	07/26/2011	1		76	275022	Emergency Towing for DWI	22772.510300.
11120840	OP	07/20/2011	1	800		7591	Professional Contracts	22772.510300.

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11120840	OP	07/25/2011	1		85.72	7591	Professional Contracts	22772.510300.
11120840	OP	08/18/2011	1		119.88	7591	Professional Contracts	22772.510300.
11120840	OP	09/19/2011	1		130.78	7591	Professional Contracts	22772.510300.
11120853	OP	07/20/2011	1	1,000.00		482126	Professional Contracts	22772.510300.
11120853	OP	07/25/2011	1		85	482126	Professional Contracts	22772.510300.
11120853	OP	08/01/2011	1		130	482126	Professional Contracts	22772.510300.
11120853	OP	08/22/2011	1		125	482126	Professional Contracts	22772.510300.
11120861	OP	07/20/2011	1	1,000.00		498680	Professional Contracts	22772.510300.
11120861	OP	07/26/2011	1		140.64	498680	Professional Contracts	22772.510300.
11120861	OP	08/01/2011	1		129.82	498680	Professional Contracts	22772.510300.
11120861	OP	08/10/2011	1		146.05	498680	Professional Contracts	22772.510300.
11120861	OP	08/10/2011	1		113.59	498680	Professional Contracts	22772.510300.
11120861	OP	09/01/2011	1		135.23	498680	Professional Contracts	22772.510300.
11120861	OP	09/19/2011	1		129.82	498680	Professional Contracts	22772.510300.
11120861	OP	09/19/2011	1		140.64	498680	Professional Contracts	22772.510300.
11120868	OP	07/20/2011	1	1,200.00		107431	Professional Contracts	22772.510300.
11120868	OP	08/17/2011	1		116.22	107431	Professional Contracts	22772.510300.
11120868	OP	08/22/2011	1		137.55	107431	Professional Contracts	22772.510300.
11120868	OP	09/01/2011	1		139.68	107431	Professional Contracts	22772.510300.
11120868	OP	09/01/2011	1		140.75	107431	Professional Contracts	22772.510300.
11120868	OP	09/19/2011	1		152.47	107431	Professional Contracts	22772.510300.
11120868	OP	09/28/2011	1		133.28	107431	Professional Contracts	22772.510300.
11121225	OP	07/28/2011	1	1,000.00		204766	Professional Contracts	22772.510300.
11121225	OP	08/01/2011	1		59.5	204766	Professional Contracts	22772.510300.
11121225	OP	08/01/2011	1		81.14	204766	Professional Contracts	22772.510300.
11121225	OP	08/01/2011	1		54.09	204766	Professional Contracts	22772.510300.
11121225	OP	08/01/2011	1		54.09	204766	Professional Contracts	22772.510300.
11121225	OP	09/20/2011	1		64.91	204766	Professional Contracts	22772.510300.
11121225	OP	09/20/2011	1		70.32	204766	Professional Contracts	22772.510300.
11121235	OP	07/28/2011	1	1,200.00		245475	Professional Contracts	22772.510300.
11121235	OP	08/10/2011	1		173.1	245475	Professional Contracts	22772.510300.
11121235	OP	09/19/2011	1		108.18	245475	Professional Contracts	22772.510300.
11121235	OP	09/28/2011	1		189.32	245475	Professional Contracts	22772.510300.
11121397	OP	08/01/2011	1	1,000.00		4435	Professional Contracts	22772.510300.
11121397	OP	08/10/2011	1		85.79	4435	Professional Contracts	22772.510300.
11121397	OP	08/10/2011	1		75.79	4435	Professional Contracts	22772.510300.
11121397	OP	08/17/2011	1		190.15	4435	Professional Contracts	22772.510300.

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11121397	OP	09/01/2011	1		136.59	4435	Professional Contracts	22772.510300.
11121397	OP	10/04/2011	1		118.21	4435	Professional Contracts	22772.510300.
11121433	OP	08/01/2011	1	500		478891	Professional Contracts	22772.510300.
11121611	OP	08/03/2011	1	1,500.00		275022	Professional Contracts	22772.510300.
11121611	OP	08/10/2011	1		125	275022	Professional Contracts	22772.510300.
11121611	OP	08/10/2011	1		100	275022	Professional Contracts	22772.510300.
11121611	OP	08/10/2011	1		125	275022	Professional Contracts	22772.510300.
11121611	OP	08/10/2011	1		100	275022	Professional Contracts	22772.510300.
11121611	OP	08/17/2011	1		150	275022	Professional Contracts	22772.510300.
11121611	OP	08/17/2011	1		160	275022	Professional Contracts	22772.510300.
11121611	OP	08/18/2011	1		150	275022	Professional Contracts	22772.510300.
11121611	OP	08/22/2011	1		125	275022	Professional Contracts	22772.510300.
11121611	OP	09/01/2011	1		180	275022	Professional Contracts	22772.510300.
11122404	OP	08/24/2011	1	1,000.00		4430	Professional Contracts	22772.510300.
11122404	OP	09/01/2011	1		143.5	4430	Professional Contracts	22772.510300.
11122404	OP	09/19/2011	1		100	4430	Professional Contracts	22772.510300.
11122404	OP	09/19/2011	1		160	4430	Professional Contracts	22772.510300.
11122416	OP	08/24/2011	1	1,000.00		204269	Professional Contracts	22772.510300.
11122416	OP	09/01/2011	1		125	204269	Professional Contracts	22772.510300.
11122416	OP	09/01/2011	1		185	204269	Professional Contracts	22772.510300.
11122416	OP	09/20/2011	1		100	204269	Professional Contracts	22772.510300.
11122416	OP	09/20/2011	1		130	204269	Professional Contracts	22772.510300.
11122416	OP	09/20/2011	1		110	204269	Professional Contracts	22772.510300.
11122416	OP	09/20/2011	1		100	204269	Professional Contracts	22772.510300.
11122416	OP	10/04/2011	1		113.61	204269	Professional Contracts	22772.510300.
11122662	OP	08/26/2011	1	300		107315	Professional Contracts	22772.510300.
11122768	OP	08/26/2011	1	1,000.00		9662	Professional Contracts	22772.510300.
11122768	OP	09/19/2011	1		195.02	9662	Professional Contracts	22772.510300.
11122769	OP	08/26/2011	1	1,000.00		9692	Professional Contracts	22772.510300.
11122769	OP	09/01/2011	1		117.3	9692	Professional Contracts	22772.510300.
11122778	OP	08/26/2011	1	1,000.00		259456	Professional Contracts	22772.510300.
11122804	OP	08/29/2011	1	800		6401	Professional Contracts	22772.510300.
11122811	OP	08/29/2011	1	500		151717	Professional Contracts	22772.510300.
11122815	OP	08/29/2011	1	800		212396	Professional Contracts	22772.510300.
11122816	OP	08/29/2011	1	800		213757	Professional Contracts	22772.510300.
11122816	OP	10/04/2011	1		58.81	213757	Professional Contracts	22772.510300.
11122820	OP	08/29/2011	1	1,000.00		226049	Professional Contracts	22772.510300.

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11122822	OP	08/29/2011	1	500		254827	Professional Contracts	22772.510300.
11122823	OP	08/29/2011	1	1,000.00		260925	Professional Contracts	22772.510300.
11122823	OP	09/19/2011	1		63.7	260925	Professional Contracts	22772.510300.
11122823	OP	09/19/2011	1		183.91	260925	Professional Contracts	22772.510300.
11122823	OP	09/28/2011	1		200.14	260925	Professional Contracts	22772.510300.
11122823	OP	09/28/2011	1		188.91	260925	Professional Contracts	22772.510300.
11122823	OP	09/28/2011	1		227.19	260925	Professional Contracts	22772.510300.
11122823	OP	09/28/2011	1		136.15	260925	Professional Contracts	22772.510300.
11122828	OP	08/29/2011	1	500		490121	Professional Contracts	22772.510300.
11122829	OP	08/29/2011	1	300		496218	Professional Contracts	22772.510300.
11122830	OP	08/29/2011	1	800		503870	Professional Contracts	22772.510300.
11122830	OP	09/01/2011	1		221.78	503870	Professional Contracts	22772.510300.
11122830	OP	09/19/2011	1		205.55	503870	Professional Contracts	22772.510300.
11122831	OP	08/29/2011	1	800		503871	Professional Contracts	22772.510300.
11122832	OP	08/29/2011	1	500		505418	Professional Contracts	22772.510300.
11122833	OP	08/29/2011	1	1,000.00		505439	Professional Contracts	22772.510300.
11122833	OP	09/20/2011	1		150	505439	Professional Contracts	22772.510300.
11122833	OP	09/20/2011	1		170	505439	Professional Contracts	22772.510300.
11122833	OP	09/28/2011	1		180	505439	Professional Contracts	22772.510300.
11122835	OP	08/29/2011	1	500		493197	Professional Contracts	22772.510300.
11123598	OP	09/19/2011	1	500		482127	Professional Contracts	22772.510300.
11123598	OP	09/28/2011	1		118.94	482127	Professional Contracts	22772.510300.
11123599	OP	09/19/2011	1	1,000.00		498680	Professional Contracts	22772.510300.
11123627	OP	09/20/2011	1	10,818.75		204807	Professional Contracts	22772.510300.
11123627	OP	09/20/2011	1		270.47	204807	Professional Contracts	22772.510300.
11123627	OP	09/20/2011	1		135.23	204807	Professional Contracts	22772.510300.
11124015	OP	09/30/2011	1		676.17	204807	Professional Contracts	22772.510300.
11124015	OP	10/04/2011	1	10,818.75		267720	Professional Contracts	22772.510300.
11124034	OP	10/03/2011	1	8,114.06		204807	Professional Contracts	22772.510300.
20120862	OR	07/14/2011	1	1,000.00		482126	Professional Contracts	22772.510300.
20120862	OR	07/20/2011	1	-1,000.00		482126	Professional Contracts	22772.510300.
20120863	OR	07/14/2011	1	800		7591	Professional Contracts	22772.510300.
20120863	OR	07/20/2011	1	-800		7591	Professional Contracts	22772.510300.
20120864	OR	07/14/2011	1	1,000.00		498680	Professional Contracts	22772.510300.
20120864	OR	07/20/2011	1	-1,000.00		498680	Professional Contracts	22772.510300.
20120939	OR	07/14/2011	1	1,200.00		107431	Professional Contracts	22772.510300.

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✱✱ New - Quencher #19 PD's for PSAs - hearing officers for DWI
 force; the pros.
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20120939	OR	07/20/2011	1	-1,200.00	107431	Professional Contracts	22772.510300.
20121456	OR	07/21/2011	1	1,000.00	204766	Professional Contracts	22772.510300.
20121456	OR	07/28/2011	1	-1,000.00	204766	Professional Contracts	22772.510300.
20121466	OR	07/21/2011	1	1,200.00	245475	Professional Contracts	22772.510300.
20121466	OR	07/28/2011	1	-1,200.00	245475	Professional Contracts	22772.510300.
20121605	OR	07/26/2011	1	500	478891	Professional Contracts	22772.510300.
20121605	OR	08/01/2011	1	-500	478891	Professional Contracts	22772.510300.
20121606	OR	07/26/2011	1	1,000.00	4435	Professional Contracts	22772.510300.
20121606	OR	08/01/2011	1	-1,000.00	4435	Professional Contracts	22772.510300.
20121914	OR	08/01/2011	1	1,500.00	275022	Professional Contracts	22772.510300.
20121914	OR	08/03/2011	1	-1,500.00	275022	Professional Contracts	22772.510300.
20122656	OR	08/16/2011	1	1,000.00	4430	Professional Contracts	22772.510300.
20122656	OR	08/24/2011	1	-1,000.00	4430	Professional Contracts	22772.510300.
20122657	OR	08/16/2011	1	1,000.00	204269	Professional Contracts	22772.510300.
20122657	OR	08/24/2011	1	-1,000.00	204269	Professional Contracts	22772.510300.
20123067	OR	08/23/2011	1	10,818.75	204807	Professional Contracts	22772.510300.
20123067	OR	08/23/2011	1	-10,818.75	204807	Professional Contracts	22772.510300.
20123067	OR	09/17/2011	1	10,818.75	204807	Professional Contracts	22772.510300.
20123067	OR	09/20/2011	1	-10,818.75	204807	Professional Contracts	22772.510300.
20123182	OR	08/24/2011	1	1,000.00	9692	Professional Contracts	22772.510300.
20123182	OR	08/26/2011	1	-1,000.00	9692	Professional Contracts	22772.510300.
20123195	OR	08/25/2011	1	1,000.00	259456	Professional Contracts	22772.510300.
20123195	OR	08/26/2011	1	-1,000.00	259456	Professional Contracts	22772.510300.
20123200	OR	08/25/2011	1	1,000.00	9662	Professional Contracts	22772.510300.
20123200	OR	08/26/2011	1	-1,000.00	9662	Professional Contracts	22772.510300.
20123201	OR	08/25/2011	1	1,000.00	505439	Professional Contracts	22772.510300.
20123201	OR	08/29/2011	1	-1,000.00	505439	Professional Contracts	22772.510300.
20123202	OR	08/25/2011	1	800	213757	Professional Contracts	22772.510300.
20123202	OR	08/29/2011	1	-800	213757	Professional Contracts	22772.510300.
20123203	OR	08/25/2011	1	800	503871	Professional Contracts	22772.510300.
20123203	OR	08/29/2011	1	-800	503871	Professional Contracts	22772.510300.
20123207	OR	08/25/2011	1	800	212396	Professional Contracts	22772.510300.
20123207	OR	08/29/2011	1	-800	212396	Professional Contracts	22772.510300.
20123209	OR	08/25/2011	1	1,000.00	226049	Professional Contracts	22772.510300.
20123209	OR	08/29/2011	1	-1,000.00	226049	Professional Contracts	22772.510300.
20123211	OR	08/25/2011	1	1,000.00	260925	Professional Contracts	22772.510300.
20123211	OR	08/29/2011	1	-1,000.00	260925	Professional Contracts	22772.510300.

20123213	OR	08/25/2011	1	800		6401	Professional Contracts	22772.510300.
20123213	OR	08/29/2011	1	-800		6401	Professional Contracts	22772.510300.
20123215	OR	08/25/2011	1	800		503870	Professional Contracts	22772.510300.
20123215	OR	08/29/2011	1	-800		503870	Professional Contracts	22772.510300.
20123219	OR	08/25/2011	1	500		505418	Professional Contracts	22772.510300.
20123219	OR	08/29/2011	1	-500		505418	Professional Contracts	22772.510300.
20123220	OR	08/25/2011	1	500		493197	Professional Contracts	22772.510300.
20123220	OR	08/29/2011	1	-500		493197	Professional Contracts	22772.510300.
20123221	OR	08/25/2011	1	500		490121	Professional Contracts	22772.510300.
20123221	OR	08/29/2011	1	-500		490121	Professional Contracts	22772.510300.
20123222	OR	08/25/2011	1	300		496218	Professional Contracts	22772.510300.
20123222	OR	08/29/2011	1	-300		496218	Professional Contracts	22772.510300.
20123223	OR	08/25/2011	1	500		254827	Professional Contracts	22772.510300.
20123223	OR	08/29/2011	1	-500		254827	Professional Contracts	22772.510300.
20123224	OR	08/25/2011	1	500		151717	Professional Contracts	22772.510300.
20123224	OR	08/29/2011	1	-500		151717	Professional Contracts	22772.510300.
20123225	OR	08/25/2011	1	300		107315	Professional Contracts	22772.510300.
20123225	OR	08/26/2011	1	-300		107315	Professional Contracts	22772.510300.
20123878	OR	09/12/2011	1	10,818.75		267720	Professional Contracts	22772.510300.
20123878	OR	09/30/2011	1	-10,818.75		267720	Professional Contracts	22772.510300.
20123882	OR	09/12/2011	1	7,500.00		204807	Professional Contracts	22772.510300.
20123882	OR	09/12/2011	1	-7,500.00		204807	Professional Contracts	22772.510300.
20123882	OR	09/14/2011	1	8,114.06		204807	Professional Contracts	22772.510300.
20123882	OR	10/03/2011	1	-8,114.06		204807	Professional Contracts	22772.510300.
20124146	OR	09/17/2011	1	500		482127	Professional Contracts	22772.510300.
20124146	OR	09/19/2011	1	-500		482127	Professional Contracts	22772.510300.
20124147	OR	09/17/2011	1	1,000.00		498680	Professional Contracts	22772.510300.
20124147	OR	09/19/2011	1	-1,000.00		498680	Professional Contracts	22772.510300.
				95,715.20	18,221.61		Totals	

ATTACHMENT B

- **E-Mail from Cal regarding the need to budget early**
- **BAR – Domestic Violence Grant**

MARES, RICHARD R.

From: PROBASCO, CALVIN H.
Sent: Tuesday, September 20, 2011 1:51 PM
To: MARES, RICHARD R.
Cc: HOPKINS, ANDREW J.
Subject: RE: BAR for Domestic Violence Grant

hard,

I'm unsure why you are following up on this again after just discussing it with me yesterday. I would think that Shirley/Laura would be following up if necessary on their BARs. As I recall, this BAR was received late last week. I gave it to Andy to review—he's off Friday. We are not on any particular deadline for BAR entries.

From: MARES, RICHARD R.
Sent: Tuesday, September 20, 2011 1:37 PM
To: PROBASCO, CALVIN H.
Cc: COCA-BARELA, SHIRLEY I.
Subject: BAR for Domestic Violence Grant

Good afternoon cal. I just wanted to follow-up on the status of the BAR submitted by the Police Dept. relative to the Domestic Violence Grant Exp. Business Unit 22769). The BAR was signed by the Chief on September 13, 2011.

City of Santa Fe, New Mexico

BUDGET ADJUSTMENT REQUEST (BAR)

DEPARTMENT / DIVISION / SECTION / UNIT NAME				DATE
POLICE DEPARTMENT / Domestic Violence Grant 12-13				09/12/2011
ITEM DESCRIPTION	B.U. / LINE ITEM	SUBLEDGER <small>(Finance Dept. Use Only)</small>	INCREASE	DECREASE
Domestic Violence Grant Grant Funded	21226-490535 22769.501100		(287,081) 166,417.00	
FICA	22769.503100		7,000.00	
Retirement (PERA)	22769.503150		18,000.00	
Employee Health Ins	22769.503200		9,199.00	
Retiree Health Care	22769.503300		1,500.00	
Unemployment Insurance	22769.503300		2,000.00	
Workers' comp	22769.503350		5,000.00	
City Share Employee Benefits	22769.503400		700.00	
Professional Contracts	22769.510300		20,115.00	
Communication	22769.514100		3,600.00	
Office Supplies	22769.530100		5,000.00	
Operating Supplies	22769.530200		2,891.00	
Per Diem - In State	22769.560200		25,980.00	
Per Diem - Out of State	22769. 560250		3,930.00	
Transportation - Out of State	22769 560500		1,454.00	
Transportation - In State	22769 560550		1,407.00	
Registration	22769 560700		11,693.00	
Print/Publish	22769 561800		1,195.00	
JUSTIFICATION: (use additional page if needed)			TOTAL	0.00
				0.00

To carry forward Budget Balances at 6-30-11 and Re-align Expenditures for DOJ Office on Violence Against Women

Grant #2009-WE-AX-0046 Probation Supervisor and officers. Exp 9/30/12.

Laura A. Vigil		CITY COUNCIL APPROVAL	
Date		City Council Approval Required <input type="checkbox"/>	Budget Officer Date
Division Director	Date	City Council Approval Date	Finance Director Date
Department Director	Date	Agenda Item #:	City Manager Date

Signature: Raymond J. Vigil 9/13/11

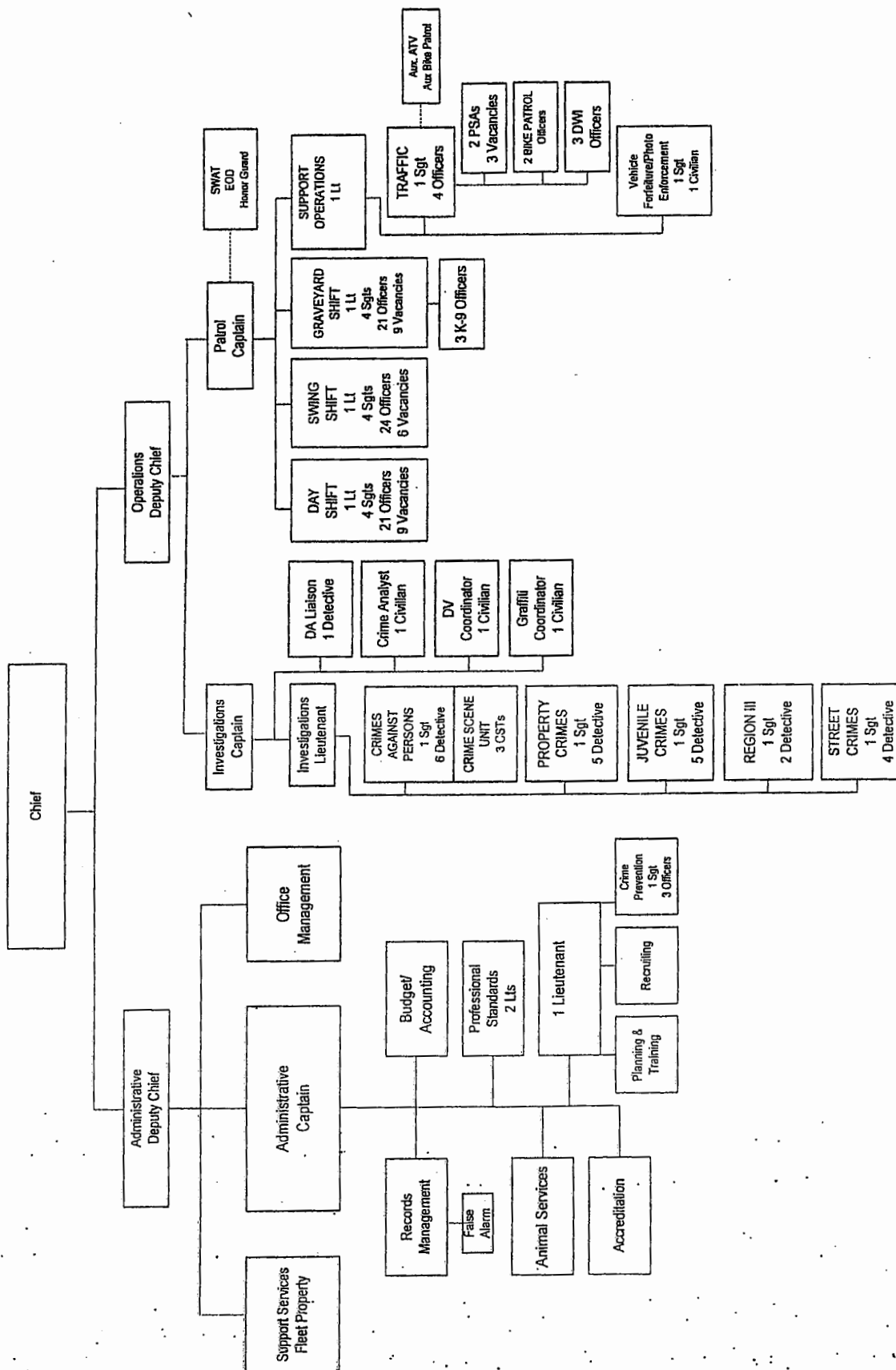
ATTACHMENT D

- **Chart of Accounts for the Police Dept. by Business Units**

Dept	Dept Title	DIV	DIV Title	BU	BU Title	Ind Co	Type
POL	Police	COR	Corrections Fee	21201	Rev-Corrections Fee	2201	RV
POL	Police	COR	Corrections Fee	22201	Exp-Corrections Fee	2201	EX
POL	Police	DWI	DWI School	21205	Rev-DWI School	2205	RV
POL	Police	DWI	DWI School	22205	Exp-DWI School	2205	EX
POL	Police	LEP	Law Enfrmnt Protection	21211	Rev-Law Enforce Prot	2211	RV
POL	Police	LEP	Law Enfrmnt Protection	22209	Exp-Law Enforc Prot	2211	EX
POL	Police	OPS	Operations Division	12058	Exp-Patrol Division	1001	EX
POL	Police	OPS	Operations Division	12059	Exp-Patrol Unit Teams	1001	EX
POL	Police	OPS	Operations Division	12060	Exp-Public Safety Aides	1001	EX
POL	Police	OPS	Operations Division	12061	Exp-Police Operations	1001	EX
POL	Police	OPS	Operations Division	12062	Exp-Investigations	1001	EX
POL	Police	OPS	Operations Division	12063	Exp-Special Investigations	1001	EX
POL	Police	OPS	Operations Division	12064	Exp-Crime Scene Techs	1001	EX
POL	Police	OPS	Operations Division	12069	Exp-Crime Prevention	1001	EX
POL	Police	OPS	Operations Division	21204	Rev-Fed Forfeit Shrg	2204	RV
POL	Police	OPS	Operations Division	21210	Rev-Municipal GRT-Poli	2210	RV
POL	Police	OPS	Operations Division	21212	Rev-Law Enforcmt Block Grant	2212	RV
POL	Police	OPS	Operations Division	21226	Rev-Sex Offender Manag	2226	RV
POL	Police	OPS	Operations Division	21227	Rev-DWI Forfeiture Program	2227	RV
POL	Police	OPS	Operations Division	22120	Exp-Cap Equip Rsrv Pol	2118	EX
POL	Police	OPS	Operations Division	22204	Exp-Fed Forfeit Shrg	2204	EX
POL	Police	OPS	Operations Division	22210	Exp-Municipal GRT-Poli	2210	EX
POL	Police	OPS	Operations Division	22220	Exp-Law Enforcmt Block Grant	2212	EX
POL	Police	OPS	Operations Division	22769	Exp- Sex Offender Mana	2226	EX
POL	Police	OPS	Operations Division	22772	Exp-DWI Forfeiture Program	2227	EX
POL	Police	PAD	Police Administration	12057	Exp-Police Administration	1001	EX
POL	Police	PAD	Police Administration	12129	Exp-Domestic Violence Prgm	1001	EX
POL	Police	PAD	Police Administration	21229	Rev-Police Grants	2229	RV
POL	Police	PAD	Police Administration	21252	Rev-Police Property Tax/Safety	2252	RV
POL	Police	PAD	Police Administration	21722	Rev-Impact Fees - Police	2722	RV
POL	Police	PAD	Police Administration	21724	Rev-Red Light Project	2724	RV
POL	Police	PAD	Police Administration	22229	Exp-Police Grants	2229	EX
POL	Police	PAD	Police Administration	22252	Exp-Police Property Tax/Safety	2252	EX
POL	Police	PAD	Police Administration	22787	Exp-Impact Fees - Police	2722	EX
POL	Police	PAD	Police Administration	22792	Exp-Red Light Project	2724	EX
POL	Police	PSS	Police Support Svcs	12030	Exp-Dispatch	1001	EX
POL	Police	PSS	Police Support Svcs	12065	Exp-Animal Control	1001	EX
POL	Police	PSS	Police Support Svcs	12066	Exp-Police Support Svcs	1001	EX
POL	Police	PSS	Police Support Svcs	12067	Exp-Records Units	1001	EX
POL	Police	PSS	Police Support Svcs	12068	Exp-Planning/Training	1001	EX
POL	Police	PSS	Police Support Svcs	12070	Exp-Technical Services	1001	EX
POL	Police	PSS	Police Support Svcs	12071	Exp-Prof Stnds/Internal Affairs	1001	EX
POL	Police	PSS	Police Support Svcs	12130	Exp-Accreditation	1001	EX
POL	Police	PSS	Police Support Svcs	12131	Exp-Quality Control	1001	EX
POL	Police	PSS	Police Support Svcs	21230	Rev-Animal Spay/Neuter Program	2230	RV
POL	Police	PSS	Police Support Svcs	21231	Rev-Animal Control Training/Ed	2231	RV
POL	Police	PSS	Police Support Svcs	21710	Rev-COPS Program	2710	RV
POL	Police	PSS	Police Support Svcs	22230	Exp-Animal Spay/Neuter Program	2230	EX
POL	Police	PSS	Police Support Svcs	22231	Exp-Animal Control Training/Ed	2231	EX
POL	Police	PSS	Police Support Svcs	22767	Exp-COPS Program	2710	EX

ATTACHMENT E

- **Police Department Organizational Chart**



ATTACHMENT F

- **BU Expenditure Reports COPs Grant – FYs 2010, FY 2011, and FY 2012**

City of Santa Fe
Job Status Inquiry Print

R512000P
22767 Cops Hiring Program
Project

Job	Cost Code	Cost Type	Description	L P M	Actual Amount	Open Commitments	Total Commitments	Budget	Remaining to Spend	% Remaining	% Spent
22767	500000	EXPENDITURES		3 ND							
22767	500010	Salaries, Wages & Benefits		4 ND							
22767	500100	Salaries		5 ND							
22767	500150	Elected Positions		6 D							
22767	500200	Exempt Full-Time		6 D							
22767	500225	Exempt Full-time position		7 D							
22767	500250	Exempt Part-time position		7 D							
22767	500200	Exempt Full-Time		6 T							
22767	500300	Classified Positions		6 ND							
22767	500350	Classified Full-Time		7 D							
22767	500400	Classified Part-Time		7 D							
22767	500300	Classified Positions		6 T							
22767	500700	Temporary Positions		6 ND							
22767	500750	Temporary Full-Time		7 D							
22767	500800	Temporary Part-Time		7 D							
22767	500700	Temporary Positions		6 T							
22767	501000	Term Positions		6 ND							
22767	501050	Term Full-time		7 D							
22767	501055	Term Part-Time		7 D							
22767	501060	Seasonal position		7 D							
22767	501065	Intern position		7 D							
22767	501100	Grant Funded		7 D	8,295.45		8,295.45	819,337.00	811,041.55	.99	.01
22767	501103	Grant Funded Part-Time		7 D							
22767	501000	Term Positions		6 T	8,295.45		8,295.45	819,337.00	811,041.55	.99	.01
22767	501400	Overtime		6 D							
22767	501410	OT Fire-FLSA		7 D							
22767	501411	OT Fire		7 D							
22767	501415	OT Fire @ 1.0		7 D							
22767	501400	Overtime		6 T							
22767	501500	Worked Holiday		6 ND							
22767	501510	Worked Holiday @ 1.5		7 D							
22767	501511	Paid Holiday-not scheduled		7 D							
22767	501512	Worked Holiday @ 2.5		7 D							
22767	501500	Worked Holiday		6 T							
22767	501900	Shift Differential		6 D							
22767	502000	Annual Leave		6 D							
22767	502050	Comp-time		6 D							
22767	502100	Sick Leave		6 D							
22767	502200	Incentives		6 D							

22767 Cops Hiring Program

Thru Date 06/29/10

Job
Project

Job	Cost Code	Cost Type	Description	L P M	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22767	500100	Salaries		5 T	8,295.45		8,295.45	819,337.00	811,041.55	.99	.01
22767	503000	Employee Benefits		5 ND							
22767	503100	TRICA		6 D	120.28		120.28	11,880.00	11,759.72	.99	.01
22767	503150	Retirement (PBRRA)		6 D	2,714.34		2,714.34	273,659.00	270,944.66	.99	.01
22767	503200	Employee Health Insurance		6 D							
22767	503250	Retiree Health Care		6 D	107.82		107.82	319,955.00	319,847.18	1.00	
22767	503300	Unemployment Insurance		6 D							
22767	503350	Workers' Comp		6 D	2.30		2.30	39,984.00	39,981.70	1.00	
22767	503400	City Share Dental Insurance		6 D				14,513.00	14,513.00	1.00	
22767	503455	Contract Employee's Benefits		6 D							
22767	503000	Employee Benefits		5 T	2,944.74		2,944.74	659,991.00	657,046.26	1.00	
22767	503500	Cost alloc-end of year		5 D							
22767	503850	Auto Parts		6 ND							
22767	503500	Cost alloc-end of year		5 T							
22767	500010	Salaries, Wages & Benefits		4 T	11,240.19		11,240.19	1,479,328.00	1,468,087.81	.99	.01
22767	510010	Contractual Svs & Utilities		4 ND							
22767	510100	Contractual Services		5 ND							
22767	510300	Professional Contracts		6 D							
22767	510100	Contractual Services		5 T							
22767	510010	Contractual Svs & Utilities		4 T							
22767	520010	Repairs and Maintenance		4 ND							
22767	520300	Rep & Maint Furn/Fix/Equip		5 D							
22767	520400	Rep & Maint Machin & Equip		5 D							
22767	520500	Rep & Maint Vehicles		5 D							
22767	520010	Repairs and Maintenance		4 T							
22767	530010	Supplies		4 ND							
22767	530100	Office Supplies		5 D							
22767	530200	Operating Supplies		5 D							
22767	530300	Safety Supplies		5 D							
22767	530500	Uniform, Clothing, Linen		5 D							
22767	530600	Software		5 D							
22767	530700	Books/Subscripts/Periodicals		5 D							
22767	530800	Vehicles		5 ND							
22767	530850	Auto Parts		6 D							
22767	530900	Tires		6 D							
22767	531000	Gasoline		7 D							
22767	531060	Alternative Fuel		7 D							
22767	530900	Tires		6 T							
22767	530800	Vehicles		5 T							

Job 22767 Cops Hiring Program

Project

Job	Cost Code	Cost Type	Description	L P M	DECUM	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22767	530010	Supplies		4	T							
22767	555010	Insurance		4	ND							
22767	555100	Premiums		5	ND							
22767	555150	Fleet & Physical Damage		6	D							
22767	555250	Gen Liab Dept Assessment		6	D							
22767	555260	Benefits Dept. Assessments		6	D							
22767	555100	Premiums		5	T							
22767	555010	Insurance		4	T							
22767	560010	Other Operating Costs		4	ND							
22767	560050	Travel		5	ND							
22767	560100	Per Diem		6	ND							
22767	560200	Out of State		7	D							
22767	560250	In State		7	D							
22767	560100	Per Diem		6	T							
22767	560400	Transportation Expense		6	ND							
22767	560500	Out of State		7	D							
22767	560550	In State		7	D							
22767	560400	Transportation Expense		6	T							
22767	560700	Registration		6	D							
22767	560050	Travel		5	T							
22767	561800	Print/Publish		5	D							
22767	562500	Rental		5	ND							
22767	562600	Equipment/Machinery		6	D							
22767	562500	Rental		5	T							
22767	560010	Other Operating Costs		4	T							
22767	570010	Capital Purchases		4	ND							
22767	570100	Capital Outlay		5	ND							
22767	570200	Land Acquisition		6	D							
22767	570300	Improv to Land other than Bldg		6	D							
22767	570400	Building & Structures		6	D							
22767	570500	Equipment & Machinery		6	D							
22767	570600	Furniture & Fixtures		6	D							
22767	570700	Lease Purchases		6	D							
22767	570800	Data Processing		6	D							
22767	570900	Vehicles		6	ND							
22767	570950	Vehicles < 1.5		7	D							
22767	571000	Vehicles > 1.5		7	D							
22767	570900	Vehicles		6	T							
22767	570100	Capital Outlay		5	T							

Job Status Inquiry Print

Job: 22767 Cops Hiring Program

Project

Job	Cost Code	Cost Type	Description	L P M	DECUM	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22767		571500	Inventory Exempt Purchases	5 ND								
22767		571900	Equipment & Machinery	6 D								
22767		572000	Furniture & Fixtures	6 D								
22767		572400	Inventory Exempt	6 D								
22767		572800	Data processing	6 D								
22767		571500	Inventory Exempt Purchases	5 T								
22767		570010	Capital Purchases	4 T								
22767		500000	EXPENDITURES	3 T		11,240.19		11,240.19	1,479,328.00	1,468,087.81	.99	.01
22767		700000	OTHER FINANCING USES	3 ND								
22767		700100	Operating Transfers Out	4 LD								
22767		700400	Transfer Fixed Assets	5 D								
22767		700100	Operating Transfers Out	4 T								
22767		700000	OTHER FINANCING USES	3 T								
22767			Cops Hiring Program	2 T		11,240.19		11,240.19	1,479,328.00	1,468,087.81	.99	.01
22767			Total:	1 T		11,240.19		11,240.19	1,479,328.00	1,468,087.81	.99	.01

Job

Project

Job	Cost Code	Cost Type	Description	L P M	DEC	UM	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22767		500000	EXPENDITURES	3	ND								
22767		500010	Salaries, Wages & Benefits	4	ND								
22767		500100	Salaries	5	ND								
22767		500150	Elected Positions	6	D								
22767		500200	Exempt Full-Time	6	D								
22767		500225	Exempt Full-time position	7	D								
22767		500250	Exempt Part-time position	7	D								
22767		500200	Exempt Full-Time	6	T								
22767		500300	Classified Positions	6	ND								
22767		500350	Classified Full-Time	7	D								
22767		500400	Classified Part-Time	7	D								
22767		500300	Classified Positions	6	T								
22767		500700	Temporary Positions	6	ND								
22767		500750	Temporary Full-Time	7	D								
22767		500800	Temporary Part-Time	7	D								
22767		500700	Temporary Positions	6	T								
22767		501000	Term Positions	6	ND								
22767		501050	Term Full-time	7	D								
22767		501055	Term Part-Time	7	D								
22767		501060	Seasonal position	7	D								
22767		501065	Intern position	7	D								
22767		501100	Grant Funded	7	D		221,385.19		221,385.19	330,140.00	108,754.81	.33	.67
22767		501103	Grant Funded Part-Time	7	D								
22767		501000	Term Positions	6	T		221,385.19		221,385.19	330,140.00	108,754.81	.33	.67
22767		501400	Overtime	6	D		2,267.61		2,267.61		2,267.61-		
22767		501410	OT Fire-FLSA	7	D								
22767		501411	OT Fire	7	D								
22767		501415	OT Fire @ 1.0	7	D								
22767		501400	Overtime	6	T		2,267.61		2,267.61		2,267.61-		
22767		501500	Worked Holiday	6	ND								
22767		501510	Worked Holiday @ 1.5	7	D		2,306.80		2,306.80		2,306.80-		
22767		501511	Paid Holiday-not scheduled	7	D								
22767		501512	Worked Holiday @ 2.5	7	D								
22767		501500	Worked Holiday	6	T		2,306.80		2,306.80		2,306.80-		
22767		501900	Shift Differential	6	D								
22767		502000	Annual Leave	6	D								
22767		502050	Comp-time	6	D								
22767		502100	Sick Leave	6	D								
22767		502200	Incentives	6	D								

Job Status Inquiry Print

22767 Cops Hiring Program

Job

Project

Job	Cost Code	Cost Type	Description	L P M DEC UM	Actual Amount	Open Commitments	Total Commitments	Budget	Remaining to Spend	% Remaining	% Spent
22767	500100	Salaries		5 T	225,959.60		225,959.60	330,140.00	104,180.40	.32	.68
22767	503000	Employee Benefits		5 ND							
22767	503100	FICA		6 D	3,330.78		3,330.78	6,341.00	3,010.22	.47	.53
22767	503150	Retirement (PERA)		6 D	60,544.43		60,544.43	86,069.00	25,524.57	.30	.70
22767	503200	Employee Health Insurance		6 D	42,623.81		42,623.81	102,740.00	60,116.19	.59	.41
22767	503250	Retiree Health Care		6 D	4,734.82		4,734.82	4,292.00	442.82	.10	1.10
22767	503300	Unemployment Insurance		6 D							
22767	503350	Workers' Comp		6 D	15,105.96		15,105.96	15,037.00	68.96		1.00
22767	503400	City Share Dental Insurance		6 D	1,597.24		1,597.24	4,543.00	2,945.76	.65	.35
22767	503455	Contract Employee's Benefits		6 D							
22767	503000	Employee Benefits		5 T	127,937.04		127,937.04	219,022.00	91,084.96	.42	.58
22767	503500	Cost alloc-end of year		5 D							
22767	503850	Auto Parts		6 ND							
22767	503500	Cost alloc-end of year		5 T							
22767	500010	Salaries, Wages & Benefits		4 T	353,896.64		353,896.64	549,162.00	195,265.36	.36	.64
22767	510010	Contractual Svs & Utilities		4 ND							
22767	510100	Contractual Services		5 ND							
22767	510300	Professional Contracts		6 D							
22767	510100	Contractual Services		5 T							
22767	510010	Contractual Svs & Utilities		4 T							
22767	520010	Repairs and Maintenance		4 ND							
22767	520300	Rep & Maint Furn/Fix/Equip		5 D							
22767	520400	Rep & Maint Machin & Equip		5 D							
22767	520500	Rep & Maint Vehicles		5 D							
22767	520010	Repairs and Maintenance		4 T							
22767	530010	Supplies		4 ND							
22767	530100	Office Supplies		5 D							
22767	530200	Operating Supplies		5 D							
22767	530300	Safety Supplies		5 D							
22767	530500	Uniform, Clothing, Linen		5 D							
22767	530600	Software		5 D							
22767	530700	Books/Subscripts/Periodicals		5 D							
22767	530800	Vehicles		5 ND							
22767	530850	Auto Parts		6 D							
22767	530900	Tires		6 D							
22767	531000	Gasoline		7 D							
22767	531060	Alternative Fuel		7 D							
22767	530900	Tires		6 T							
22767	530800	Vehicles		5 T							

22767 Cops Hiring Program

Job

Project

Job	Cost Code	Cost Type	Description	L P M DECUM	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22767	530010	Supplies		4 T							
22767	555010	Insurance		4 ND							
22767	555100	Premiums		5 ND							
22767	555150	Fleet & Physical Damage		6 D							
22767	555250	Gen Liab Dept Assessment		6 D							
22767	555260	Benefits Dept. Assessments		6 D							
22767	555100	Premiums		5 T							
22767	555010	Insurance		4 T							
22767	560010	Other Operating Costs		4 ND							
22767	560050	Travel		5 ND							
22767	560100	Per Diem		6 ND							
22767	560200	Out of State		7 D							
22767	560250	In State		7 D							
22767	560100	Per Diem		6 T							
22767	560400	Transportation Expense		6 ND							
22767	560500	Out of State		7 D							
22767	560550	In State		7 D							
22767	560400	Transportation Expense		6 T							
22767	560700	Registration		6 D							
22767	560050	Travel		5 T							
22767	561800	Print/Publish		5 D							
22767	562500	Rental		5 ND							
22767	562600	Equipment/Machinery		6 D							
22767	562500	Rental		5 T							
22767	560010	Other Operating Costs		4 T							
22767	570010	Capital Purchases		4 ND							
22767	570100	Capital Outlay		5 ND							
22767	570200	Land Acquisition		6 D							
22767	570300	Improv to Lnd othr than Bldg		6 D							
22767	570400	Building & Structures		6 D							
22767	570500	Equipment & Machinery		6 D							
22767	570600	Furniture & Fixtures		6 D							
22767	570700	Lease Purchases		6 D							
22767	570800	Data Processing		6 D							
22767	570900	Vehicles		6 ND							
22767	570950	Vehicles <1.5		7 D							
22767	571000	Vehicles > 1.5		7 D							
22767	570900	Vehicles		6 T							
22767	570100	Capital Outlay		5 T							

Job 22767 Cops Hiring Program

Thru Date 06/29/11

Project

Job	Cost Code	Cost Type	Description	L P M	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22767	571500		Inventory Exempt Purchases	5 ND							
22767	571900		Equipment & Machinery	6 D							
22767	572000		Furniture & Fixtures	6 D							
22767	572400		Inventory Exempt	6 D							
22767	572800		Data processing	6 D							
22767	571500		Inventory Exempt Purchases	5 T							
22767	570010		Capital Purchases	4 T							
22767	500000		EXPENDITURES	3 T	353,896.64		353,896.64	549,162.00	195,265.36	.36	.64
22767	700000		OTHER FINANCING USES	3 ND							
22767	700100		Operating Transfers Out	4 L D							
22767	700400		Transfer Fixed Assets	5 D							
22767	700100		Operating Transfers Out	4 T							
22767	700000		OTHER FINANCING USES	3 T							
22767			Cops Hiring Program	2 T	353,896.64		353,896.64	549,162.00	195,265.36	.36	.64
22767			Total:	1 T	353,896.64		353,896.64	549,162.00	195,265.36	.36	.64

22767 Cops Hiring Program

Job

Project

Job	Cost Code	Type	Description	L P M	DECUM	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22767	500000	EXPENDITURES		3	ND							
22767	500010	Salaries, Wages & Benefits		4	ND							
22767	500100	Salaries		5	ND							
22767	500150	Elected Positions		6	D							
22767	500200	Exempt Full-Time		6	D							
22767	500225	Exempt Full-time position		7	D							
22767	500250	Exempt Part-time position		7	D							
22767	500200	Exempt Full-Time		6	T							
22767	500300	Classified Positions		6	ND							
22767	500350	Classified Full-Time		7	D	44,817.54		44,817.54	44,817.54			
22767	500400	Classified Part-Time		7	D							
22767	500300	Classified Positions		6	T	44,817.54		44,817.54	44,817.54			
22767	500700	Temporary Positions		6	ND							
22767	500750	Temporary Full-Time		7	D							
22767	500800	Temporary Part-Time		7	D							
22767	500700	Temporary Positions		6	T							
22767	501000	Term Positions		6	ND							
22767	501050	Term Full-time		7	D							
22767	501055	Term Part-Time		7	D							
22767	501060	Seasonal position		7	D							
22767	501065	Intern position		7	D							
22767	501100	Grant Funded		7	D	7,198.48		7,198.48	274,470.00	267,271.52	.97	.03
22767	501103	Grant Funded Part-Time		7	D							
22767	501000	Term Positions		6	T	7,198.48		7,198.48	274,470.00	267,271.52	.97	.03
22767	501400	Overtime		6	D	8,910.38		8,910.38	8,910.38			
22767	501410	OT Fire-FLSA		7	D							
22767	501411	OT Fire		7	D							
22767	501415	OT Fire @ 1.0		7	D							
22767	501400	Overtime		6	T	8,910.38		8,910.38	8,910.38			
22767	501500	Worked Holiday		6	ND							
22767	501510	Worked Holiday @ 1.5		7	D	1,475.90		1,475.90	1,475.90			
22767	501511	Paid Holiday-not scheduled		7	D							
22767	501512	Worked Holiday @ 2.5		7	D							
22767	501500	Worked Holiday		6	T	1,475.90		1,475.90	1,475.90			
22767	501900	Shift Differential		6	D							
22767	501910	On-call Shift(875)		6	D							
22767	502000	Annual Leave		6	D	3,472.62		3,472.62		3,472.62		
22767	502010	Personal Day		6	D							
22767	502015	Miscellaneous Leave		9	D	2,889.33		2,889.33		2,889.33		

22767 Cops Hiring Program

Job

Project

Job	Cost Code	Cost Type	Description	L P M	DECUM	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22767	502010	Personal Day		6 T		2,889.33		2,889.33		2,889.33-		
22767	502050	Comp-time		6 D		562.16		562.16		562.16-		
22767	502100	Sick Leave		6 D		498.80		498.80		498.80-		
22767	502115	Union Business		6 D								
22767	502200	Incentives		6 D		298.35		298.35		298.35-		
22767	500100	Salaries		5 T		70,123.56		70,123.56	274,470.00	204,346.44	.74	.26
22767	503000	Employee Benefits		5 ND								
22767	503100	FICA		6 D		991.60		991.60	3,980.00	2,988.40	.75	.25
22767	503150	Retirement (PERA)		6 D		15,528.60		15,528.60	73,146.00	57,617.40	.79	.21
22767	503200	Employee Health Insurance		6 D		10,783.78		10,783.78	65,548.00	54,764.22	.84	.16
22767	503250	Retiree Health Care		6 D		1,335.50		1,335.50	6,291.00	4,955.50	.79	.21
22767	503300	Unemployment Insurance		6 D								
22767	503350	Workers' Comp		6 D		16.10		16.10	13,468.00	13,451.90	1.00	
22767	503400	City Share Dental Insurance		6 D		559.73		559.73	2,519.00	1,959.27	.78	.22
22767	503455	Contract Employee's Benefits		6 D								
22767	503000	Employee Benefits		5 T		29,215.31		29,215.31	164,952.00	135,736.69	.82	.18
22767	503500	Cost alloc-end of year		5 D								
22767	503850	Auto Parts		6 ND								
22767	503500	Cost alloc-end of year		5 T								
22767	500010	Salaries, Wages & Benefits		4 T								
22767	510010	Contractual Svs & Utilities		4 ND		99,338.87		99,338.87	439,422.00	340,083.13	.77	.23
22767	510100	Contractual Services		5 ND								
22767	510300	Professional Contracts		6 D								
22767	510100	Contractual Services		5 T								
22767	510010	Contractual Svs & Utilities		4 T								
22767	520010	Repairs and Maintenance		4 ND								
22767	520300	Rep & Maint Furn/Fix/Equip		5 D								
22767	520400	Rep & Maint Machin & Equip		5 D								
22767	520500	Rep & Maint Vehicles		5 D								
22767	520010	Repairs and Maintenance		4 T								
22767	530010	Supplies		4 ND								
22767	530100	Office Supplies		5 D								
22767	530200	Operating Supplies		5 D								
22767	530300	Safety Supplies		5 D								
22767	530500	Uniform, Clothing, Linen		5 D								
22767	530600	Software		5 D								
22767	530700	Books/Subscripts/Periodicals		5 D								
22767	530800	Vehicles		5 ND								
22767	530850	Auto Parts		6 D								

22767 Cops Hiring Program

Thru Date 10/31/11

Job
Project

Job	Cost Code	Cost Type	Description	L P M	Actual Amount	Open Commitments	Total Commitments	BA Budget	Remaining to Spend	% Remaining	% Spent
22767	530900	Tires		6 D							
22767	531000	Gasoline		7 D							
22767	531060	Alternative Fuel		7 D							
22767	530900	Tires		6 T							
22767	530800	Vehicles		5 T							
22767	530010	Supplies		4 T							
22767	555010	Insurance		4 ND							
22767	555100	Premiums		5 ND							
22767	555150	Fleet & Physical Damage		6 D							
22767	555250	Gen Liab Dept Assessment		6 D							
22767	555260	Benefits Dept Assessments		6 D							
22767	555100	Premiums		5 T							
22767	555010	Insurance		4 T							
22767	560010	Other Operating Costs		4 ND							
22767	560050	Travel		5 ND							
22767	560100	Per Diem		6 ND							
22767	560200	Out of State		7 D							
22767	560250	In State		7 D							
22767	560100	Per Diem		6 T							
22767	560400	Transportation Expense		6 ND							
22767	560500	Out of State		7 D							
22767	560550	In State		7 D							
22767	560400	Transportation Expense		6 T							
22767	560700	Registration		6 D							
22767	560050	Travel		5 T							
22767	561800	Print/Publish		5 D							
22767	562500	Rental		5 ND							
22767	562600	Equipment/Machinery		6 D							
22767	562500	Rental		5 T							
22767	560010	Other Operating Costs		4 T							
22767	570010	Capital Purchases		4 ND							
22767	570100	Capital Outlay		5 ND							
22767	570200	Land Acquisition		6 D							
22767	570300	Improv to Land other than Bldg		6 D							
22767	570400	Building & Structures		6 D							
22767	570500	Equipment & Machinery		6 D							
22767	570600	Furniture & Fixtures		6 D							
22767	570700	Lease Purchases		6 D							
22767	570800	Data Processing		6 D							

Job Status Inquiry Print

Job 22767 Cops Hiring Program

Thru Date 10/31/11

Project

Job	Cost Code	Cost Type	Description	L P M	Actual Amount	Open Commitments	Total Commitments	Budget	Remaining to Spend	% Remaining	% Spent
22767	570900	Vehicles		6 ND							
22767	570950	Vehicles < 1.5		7 D							
22767	571000	Vehicles > 1.5		7 D							
22767	570900	Vehicles		6 T							
22767	570100	Capital Outlay		5 T							
22767	571500	Inventory Exempt Purchases		5 ND							
22767	571900	Equipment & Machinery		6 D							
22767	572000	Furniture & Fixtures		6 D							
22767	572400	Inventory Exempt		6 D							
22767	572800	Data processing		6 D							
22767	571500	Inventory Exempt Purchases		5 T							
22767	570010	Capital Purchases		4 T							
22767	500000	EXPENDITURES		3 T	99,338.87		99,338.87	439,422.00	340,083.13	.77	.23
22767	700000	OTHER FINANCING USES		3 ND							
22767	700100	Operating Transfers Out		4 L D							
22767	700300	Disposal of Inventory		8 D G2							
22767	700400	Transfer Fixed Assets		5 D							
22767	700100	Operating Transfers Out		4 T							
22767	700000	OTHER FINANCING USES		3 T							
22767		Cops Hiring Program		2 T	99,338.87		99,338.87	439,422.00	340,083.13	.77	.23
22767		Total:		1 T	99,338.87		99,338.87	439,422.00	340,083.13	.77	.23

Internal Audit

The mission of the City of Santa Fe Internal Audit Department is to provide independent, objective assurance and review services designed to promote transparency, accountability, efficiency and effectiveness of City government for the citizens of the City of Santa Fe. The services provided by the Internal Audit Department are conducted in accordance with the Institute of Internal Auditors' (IIA) international standards and government auditing standards. For more details refer to the Internal Audit Charter.

The work of the City of Santa Fe Internal Audit Department is accomplished by focusing its efforts on areas that represent the most risk to the City. Risks are identified through an annual risk assessment. The result of the risk assessment process is an annual audit plan which lists the planned audits to be conducted during the upcoming fiscal year.

In addition to performing risk-based auditing, the department is also responsible for overseeing the City's Anonymous Reporting Hotline, investigating anonymous allegations and providing consulting services to management.

Overview

The City of Santa Fe Internal Audit Department must perform its work according to authoritative guidance promulgated by the Institute of Internal Auditors (IIA) as described below in order to insure compliance with professional standards.

The International Professional Practices Framework (IPPF) is the conceptual framework that organizes authoritative guidance promulgated by The IIA. IPPF mandatory guidance includes the Definition of Internal Auditing, Code of Ethics, and Standards.

IIA defines the internal audit function as an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

For more details about the City of Santa Fe's internal audit process, refer to the appropriate link under the Internal Audit main page.

Internal Auditor

\$80,000 to \$95,000 Annually

Conducts assigned internal audits and provides consulting services to improve performance, assess risks, effectiveness of fiscal controls, accuracy of financial records and information, and to assure the City is compliant with Federal, state and local laws, rules and regulations.

Position involves competing demands, performing multiple tasks, working to deadlines, occasional work beyond normal business hours, and responding to customer issues.

Position reports to the City Manager and Audit Committee

This is a contract, exempt position.

Duties and Responsibilities:

- Assists with and conducts development of audit scope and objectives; conducts audits of City operations and internal systems controls that include all operational areas including compliance, documentation, and operating practices; audits department records to assure accurate recording of transactions, and compliance with laws, regulations, policies, procedures and management goals; inspects accounting systems to determine the protective value; assesses the proper accountability of assets, documents findings and formulates recommendations to correct deficiencies, reduce risk and costs, and improve performance
- Interviews staff, and analyzes the reliability and effectiveness of operational policies and practices; reviews performance measures and reporting methods; analyzes data obtained for evidence of deficiencies in controls, duplication of effort, extravagance, fraud, or lack of compliance with laws, regulations, policies and procedures.
- Documents audit findings; prepares draft report of findings and recommendations for management to correct deficiencies; meets with the organization to present findings and recommendations; conducts follow up reviews to assure implementation of recommendations.
- Conducts special studies to analyze compliance and internal control issues, fraud prevention, and allegations of inappropriate activity as assigned.
- As specified in the Internal Audit Plan of Work Guidelines, will provide status updates to the Audit Committee, including salient draft information, and will provide the Audit Committee with final reports prior to delivery and publication.

Minimum Qualifications:

Bachelor's degree in Accounting, Finance or related field AND three (3) years of professional accounting and auditing experience, preferably in public sector accounting. A combination of education, experience, and training may be applied in accordance with City of Santa Fe policy.

Valid Class D driver's license is required. Position requires an acceptable driving record in accordance with City policy. Registration as a Certified Public Accountant with the State of New Mexico or Certified Internal Auditor is preferred; specific technical training and certifications may be required.

Knowledge, Skills, and Abilities:

Considerable Knowledge of: International Standards for the Professional Practice of Internal Auditing and the Generally Accepted Government Auditing Standards (GAGAS); recommended practices and policies;

Entrance Conference: This is a meeting between the managers of the area being audited and Internal Audit personnel. The scope of the audit will be discussed at this meeting as well as any scheduling concerns. Every reasonable attempt will be made to schedule audit procedures around busy times. The audit will be designed to be as least disruptive as possible to normal operations. Managers are given the opportunity to share any concerns that they may have. If there is a particular area of concern that a manager would like to have reviewed, it will be included in the audit plan.

Fieldwork: This phase may include interviewing employees, flow charting processes and testing transactions. Some of the work will be performed in the area under audit, and some of the work will be performed in the internal audit office. Appropriate managers are kept informed of any findings and recommendations as the audit progresses. The principal objectives will be accomplished by:

- Control reviews which require discussions with and observations of the personnel responsible for various operating and accountability functions to evaluate the existence and adequacy of internal controls.
- Detailed testing, which requires review of transaction documentation and observation of events to evaluate compliance with existing contractual, departmental and City policies and procedures.

Draft Report: Once fieldwork is completed, a draft of the audit report will be written which will state procedures performed findings and observations, and any recommendations for improvement. The draft will be provided to the manager, the Audit Committee, and anyone else deemed appropriate by the manager. Management will be asked to provide written responses to the recommendations that will be included in the final report.

Audit Findings and Issues

An Audit Finding is defined as an area of potential control weakness, policy violation, financial misstatement, or other problematic issue identified during the audit. Documentation of all Audit Findings will be maintained to reflect the discussion of these findings with auditee management during the course of the audit. When further review and discussion with auditee management determines that the Audit Finding is valid, it will be included in the Audit Report. The Audit Report will reflect all of the issues developed during the audit.

Developing Recommendations

Throughout the audit, the Internal Audit Department and auditee personnel will discuss findings with auditee management. The objective of these discussions is to communicate audit findings/issues and obtain agreements on resolution by joint formulation of recommendations. While developing audit issues, the auditor will present the apparent root cause and how the issue can best be resolved. Thus, when reviewing a draft of the issue for the first time, auditee management should take this into consideration and feel free to discuss modifications of the proposed recommendations to more closely reflect a feasible solution, if appropriate.

Management Review of Internal Audit Work

All audit work documentation is reviewed by the Internal Auditor prior to the issuance of the Final Report. This review is performed to ensure that all issues are documented completely and that all numbers and computations contained in the report are accurate. The Final Report is sent out only after being reviewed by the City Manager and the Audit Committee.

Exit Conference: This is a meeting between departmental management and Internal Audit personnel to discuss the results of the audit and to go over the draft report. If management discovers any factual errors or believes that anything has been misinterpreted, they should provide that information at this meeting so appropriate corrections can be made prior to report publication. On occasion, there may be items that are not appropriate to

include in the written report, but need to be brought to the attention of management. Those items will be discussed during the exit conference or they might be included in a separate management letter. At the conclusion of the audit, a formal meeting is held with the management of the department to discuss the details of the Audit Findings and Recommendations that will be contained in the Final Report. The auditees will be furnished with copies of the Discussion Draft Report prior to the Exit Conference meeting. Any additional comments or questions will be addressed at this time.

Audit Report: Once any agreed upon changes are made to the audit report, a draft of the final report will be provided to departmental management that includes their responses to the recommendations. It may be appropriate to include other managers at this stage, if not included previously. Once final review and approval is obtained from departmental management, the audit report is distributed. The final report is addressed to the Mayor and Members of the City Council, the City Manager, and appropriate managers of the audited area.

Follow Up: The City of Santa Fe Internal Audit Department will follow up on all audit findings and recommendations as time permits, to determine progress made in implementing recommendations. A written status report will be provided to the same individuals who received a copy of the Audit Report. One additional follow up may be performed if necessary; however, any items not cleared by the time the first follow-up is completed, may be referred to the City Manager for appropriate action.

Post-Audit Communication: Following the issuing of the Final Report, the audited department will be asked to complete a Post Audit Survey to help the Internal Audit Department evaluate the effectiveness of the audit process.

Audit Follow-Up: The auditee responses in the audit report should specify the completion dates and other measures that will determine the success of implementation. It is the responsibility of auditee management to ensure the recommendations are completed and the audit findings are resolved in a timely manner. The internal auditor will perform an audit follow-up to determine the status of all open report issues approximately one year after the audit is completed. The Internal Audit Department will provide audit follow-up reports to the City Manager and Audit Committee.

Audit Principles: One of the primary objectives of the Internal Audit Department is to maintain good working relations with the auditee. Our scope and objectives are communicated and management's concerns are considered prior to the performance of any auditing procedures. The Internal Audit Department strives to maintain a free flow of both formal and informal communications to develop recommendations that are effective and helpful for the auditee. Because the Internal Audit Department recognizes that additional time is required of the auditee personnel during an audit, the Internal Audit Department wishes to express appreciation for all efforts in helping us complete the audit as efficiently as possible.

Confidentiality: The auditor will maintain the confidentiality of audit information during the course of audit work, ensuring that proper security is provided, and limiting dissemination to only necessary contacts.

principles and practices of legal, ethical and professional rules of conduct; applicable state and Federal statutes, rules, codes and regulations; mathematical and statistical models for financial analysis; business and personal computers, and spreadsheet software applications; City organization, operations, policies and procedures.

Ability to: Assess and prioritize multiple tasks, projects and demands; interpret a variety of technical instructions and manage abstract and concrete variables; prepare accounting/financial reports; prepare, maintain and analyze accounting information and records; communicate effectively verbally and in writing; establish and maintain effective working relations with co-workers and representatives from other local, state and Federal agencies.

Skills in: Reading, interpreting, understanding and applying accounting standards and procedures, applicable Federal rules and regulations, and City policies and procedures; analyzing accounting issues, evaluating alternatives, and making logical recommendations based on findings; assessing and prioritizing multiple tasks, projects and demands; interpreting technical instructions and analyzing complex variables; applying mathematical knowledge to such tasks as frequency distribution, determination of test reliability and validity, analysis of variance, correlation techniques, sampling theory, and factor analysis; composing reports and correspondence independently or from brief instructions; using initiative and independent judgment within established procedural guidelines; effectively managing and leading staff, and delegating tasks and authority.

Licenses and/or Certifications:

Valid Class D driver's license is required. Position requires an acceptable driving record in accordance with City policy. Registration as a Certified Public Accountant with the State of New Mexico or Certified Internal Auditor is preferred; specific technical training and certifications may be required

Environmental and Physical Factors: Work is performed in a standard office environment; occasional travel to other city facilities; may perform surveillance of City employees at work.

Light physical demands; requiring some lifting and carrying of files and reports. Frequent to constant use of a personal computer and calculator.

Work Situation Factors:

Position involves competing demands, performing multiple tasks, working to deadlines, occasional work beyond normal business hours, and responding to customer issues.

CODE of ETHICS

PRINCIPLES

Internal auditors are expected to apply and uphold the following principles:

- *Integrity*: The integrity of internal auditors establishes trust and thus provides the basis for reliance on their judgment.
- *Objectivity*: Internal auditors exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. Internal auditors make a balanced assessment of all the relevant circumstances and are not unduly influenced by their own interests or by others in forming judgments.
- *Confidentiality*: Internal auditors respect the value and ownership of information they receive and do not disclose information without appropriate authority unless there is a legal or professional obligation to do so.
- *Competency*: Internal auditors apply the knowledge, skills, and experience needed in the performance of internal audit services.

RULES OF CONDUCT

1. *Integrity*

Internal Auditors:

- 1.1. Shall perform their work with honesty, diligence, and responsibility.
- 1.2. Shall observe the law and make disclosures expected by the law and the profession.
- 1.3. Shall not knowingly be a party to any illegal activity or engage in acts that are discreditable to the profession of internal auditing or to the organization.
- 1.4. Shall respect and contribute to the legitimate and ethical objectives of the organization.

2. *Objectivity*

Internal Auditors:

- 2.1. Shall not participate in any activity or relationship that may impair or be presumed to impair their unbiased assessment. This participation includes those activities or relationships that may be in conflict with the interests of the organization.
- 2.2. Shall not accept anything that may impair or be presumed to impair their professional judgment.
- 2.3. Shall disclose all material facts known to them that, if not disclosed, may distort the reporting of activities under review.

3. *Confidentiality*

Internal Auditors:

- 3.1. Shall be prudent in the use and protection of information acquired in the course of their duties.
- 3.2. Shall not use information for any personal gain or in any manner that would be contrary to the law or detrimental to the legitimate and ethical objectives of the organization.

4. *Competency*

Internal Auditors:

- 4.1. Shall engage only in those services for which they have the necessary knowledge, skills, and experience.
- 4.2. Shall perform internal audit services in accordance with the *International Standards for the Professional Practice of Internal Auditing*.
- 4.3. Shall continually improve their proficiency and the effectiveness and quality of their services.

What Types of Audits Does Internal Audit Perform?

The Internal Audit Department performs compliance and performance audits. These audits are defined by Government Audit Standards as:

“Engagements providing sufficient, appropriate evidence against stated criteria, such as specific requirements, measures, or defined business practices. They provide objective analysis so that management and those charged with governance and oversight can use the information to improve program performance and operations, reduce costs, facilitate decision making by parties with responsibility to oversee or initiate corrective action, and contribute to public accountability.”

Types of audits that Internal Audit Department conducts include:

- **Management** – These audits are operational in nature and assess a process, program or activity. Management audits are included on the annual audit plan, which is developed at the beginning of the fiscal year and passed by City Council in the form of a Resolution.
- **Information Technology (IT)** – These audits have an IT focus and are conducted to protect the City’s investment in IT assets, review security issues and verify data integrity.
- **Vendor** – These audits are conducted to ensure vendors are complying with the terms of the contract and the City is properly administering and monitoring the contract.
- **Special** - These audits are not included in the annual audit plan. Any City employee, City Councilor, department director or member of the Administration may make a suggestion for a Special Audit. The Internal Audit Department will assess the risk and recommend to the City Manager if the risk of the suggested audit outweighs the risk of the audits that are on the current audit plan. A formal Council Resolution passed by a majority of the Councilors will also result in the initiation of a Special Audit.

Audit Prioritization and Selection

The objective of utilizing a risk-based audit plan is to identify and prioritize various operational and other issues posing the greatest potential risk and liability to the City. The risk assessment process provides a tool for assigning available audit personnel to perform audits for the purpose of reducing risk and liability exposure to the City.

Risk assessment is a process used to score potential audits based upon specific risk factors related to an entity’s operations, internal controls, and estimated liability to the City. The development of an annual risk-based audit plan is a dynamic process. Throughout the year, the Internal Audit Department staff obtains current information about departments and contractors for use in the risk assessment process. Additionally, the Director obtains input from the Administration, City Council and the Audit Committee throughout the year to identify key risks related to various operational areas. The risk factors and scoring process are annually reviewed and refined as needed.

The following risk factors are used to determine the audits included in the audit plan:

- Perception of risk from the Administration, City Council, contractors, or audit staff;
- Economic factors such as financial impact, volume of transactions, number of personnel, revenue generated, the alignment of responsibility with authority and trends;
- Changes in organization, management, key personnel and information systems;
- Time since last audit;
- Environmental factors such as control, regulatory, and public perception;
- Results of external audit; and
- Results of risk self-evaluation audits.

Audit Process

What steps are involved in the audit process?

Every audit is unique and the order that steps are performed may vary or overlap; however, a formal management/process/operational/compliance audit would typically include the following:

Management's Responsibility for Control: Management is responsible for devising, implementing and ensuring the adequacy, effectiveness and efficiency of controls. The Internal Audit Department functions most effectively when it is able to objectively review, analyze and interpret management's information, conditions, procedures, organization and controls. Management should encourage personnel to be open with the auditors when discussing issues. Often an issue raised by an auditor's internal control review can be satisfied by some alternate control procedure of which the auditor may be unaware.

Engagement Memo: Prior to the beginning of an audit, appropriate administrators are notified of the pending audit and apprised of the audit objectives. Certain preliminary information may be requested at this time, such as organization charts, internal office procedure's manuals, etc.

Planning: Prior to beginning audit fieldwork, the Internal Audit Department will need information and documents useful to plan the audit, including the Self-Assessment Questionnaire. The Internal Audit Department will begin conducting meetings with personnel in your area to gain an understanding of the divisions, procedures and information systems related to the audit.

During this phase of the audit, background information on the area to be audited is obtained from a number of sources in order to learn as much as possible about the area. Applicable City policies and procedures are reviewed, as well as applicable laws and regulations. Any prior audits of the area are also reviewed. Employees may be interviewed during walkthroughs of processes and Internal Control questionnaires/preliminary surveys are distributed.

Self-assessment questionnaire: This document is sent out with the Engagement Memo, in the planning and information gathering stage of the audit process. The Internal Audit Department asks the auditee to answer all the questions as completely as possible. The answers will assist the Internal Audit Department in understanding the key objectives and risks of the area. The Internal Audit Department will develop our audit objectives and scope using your responses. Objectives are what the audit is intended to accomplish. Some of our general audit objectives are to evaluate:

- Controls, policies and procedures
- Actual and budgeted expenditures
- Compliance with department policies and procedures, City rules, regulations and Ordinances, State Statutes and other applicable rules and regulations
- Performance measures

The scope is the boundary of the audit and is directly tied to the audit objectives. The scope defines:

- Subject matter that the auditor will assess and report on
- Necessary documents or records
- Program, process, contract, or operation being audited
- Time period being audited
- Locations that will be audited

How is the Annual Audit Plan Developed?

Introduction

The Internal Audit Department recognizes that an overall strategy and plan is important to meet the goals, objectives, and the mission. In compliance with the Accountability in Government Ordinance, § 2-10-11, Annual Audit Plan:

Prior to the beginning of each fiscal year, the Audit Director shall submit an annual audit plan to the Audit Committee and City Manager for review and comment. City Manager will be asked to recommend areas for inclusion in the plan. The plan shall include the auditees scheduled for audit during the year, a statement of the scope of the audit and the estimated time required to complete the audit. The annual audit plan shall be transmitted to the City Council. Time will be allocated to respond to the City Manager for requests for information, reports, research, analysis, budget issues or any other assistance he or she may require.

An annual audit plan benefits the organization by:

- Establishing what departments, contracts, or other areas will be prioritized for audits on an annual basis,
- Permitting an efficient allocation of limited resources,
- Providing a flexible basis for managing audit personnel,
- Internal controls are reviewed to determine whether policies, procedures, practices, and organizational structures designed by management provide reasonable assurance that organizational goals and objectives will be achieved and that undesired events will be prevented or detected and corrected in a timely manner.

Audits are selected and prioritized using a risk-based approach. The Internal Audit Department utilizes several techniques to identify and prioritize audits in the annual plan. These techniques include:

- Input from the Internal Audit Department staff, the Administration, the City manager, the City Attorney, and the City Council,
- Knowledge of operations and internal controls derived from previous audits,
- Utilization of risk assessment criteria: Potential, Evidence, Exposure.

All input is evaluated and rated using a risk assessment matrix. The number of audits selected for the plan is based on the impact the audit would have (the problem or risks it would address and the likely types of findings and recommendations to result); the sensitivity, complexity, and difficulty of the project compared to its likely impact; staff qualifications and other resources available; and the breadth and depth of audit coverage across City government.

In an effort to accelerate and broaden annual audit activities, reviews of control systems and ongoing programs will be increased through continuous auditing:

- Part of the annual plan will be devoted to follow-ups. A follow-up audit assesses the progress made on issues identified in a previous audit, one or more years after its release.
- Contract Audits will be reviewed for compliance with contract provisions – both professional services and construction services contracts will be selected for audit.
- Consulting services: time will be dedicated to respond to requests for procedural guidance and other advisory services, such as participation on various committees and review of draft policies and procedures.

- In addition to scheduled audits, the Internal Audit Department will occasionally conduct unscheduled audits provided staff and resources are available. City Counsel and Administrative requests or allegations of significant irregularities may be given priority over scheduled audits if immediate action is needed to protect City assets or for other urgent reasons.
- Annual Report: time will be allocated for the preparation of the Annual CAFR.

Principles for Audit Plan Development

In order to provide practical guidance and an authoritative framework for the development of the annual audit plan, the following basic principles are recognized and observed:

- Audit resources are limited, thus prohibiting one hundred percent audit coverage each year. This limiting factor is inherent in the concept of utilizing risk assessment to help prioritize audits.
- The plan is viewed as a flexible and dynamic tool that can be amended throughout the year to reflect changing City risks and priorities.
- The audit plan gives consideration to work performed by other auditors.
- The audit plan gives consideration of those audits which may be mandated by ordinance.
- The risk assessment criteria used in the ranking of the audit suggestions places an emphasis on perceived or actual knowledge of systems of internal control.

The audit plan is developed with the understanding that there are inherent risks and limitations associated with any method or system of prioritizing audits. As a result, the risk factors and scoring process are periodically evaluated and modified, if necessary, in order to improve the audit plan.

Internal Audit
Process and Procedures
Organization or Department Level Internal Control

Exhibit 1: Ethics

1. The agency's Code of Ethics and other policies regarding acceptable business practice, conflicts of interest, and expected standards of ethical and moral behavior are comprehensive and relevant and address matters of significance.
2. Employees fully and clearly understand what behavior is acceptable and unacceptable under the agency's Code of Ethics and know what to do when they encounter improper behavior.
3. Management frequently and clearly communicates the importance of integrity and ethical behavior during staff meetings, one-on-one discussions, training and periodic written statements of compliance from key employees.
4. Management demonstrates a commitment to integrity and ethical behavior by example in their day-to-day activities.
5. Employees are generally inclined to do the "right thing" when faced with pressures to cut corners with regard to policies and procedures.
6. Management addresses and resolves violations of behavioral and ethical standards consistently, timely, and equitably in accordance with the provisions of the agency's Code of Ethics.
7. The existence of the agency's Code of Ethics and the consequences of its breach are an effective deterrent to unethical behavior.
8. Management strictly prohibits circumvention of established policies and procedures, except where specific guidance has been provided, and demonstrates commitment to this principle.
9. Performance targets are reasonable and realistic and do not create undue pressure on achievement of short term results.
10. Ethics are woven into criteria used to evaluate individual or division's performance.
11. Management reacts appropriately when receiving bad news from subordinates and divisions.
12. Agency has obtained adequate fidelity/surety bond coverage for:
 - a) Key administrative and accounting personnel
 - b) Other employees
 - c) Positions for which coverage is required by state statute
13. Agency identifies related employees and asserts that no conflict of interest exists. Related employees have job assignments that minimize opportunities for collusion.
14. Agency has a process to identify and prevent significant related-party transactions

Exhibit 2: Management's Philosophy

1. The agency has a written mission philosophy or code of conduct statement, or at a minimum, the executive director provides a statement that confirms their support of internal controls.
2. The statement clarifies functional goals or objectives and provides insight into management's beliefs, attitudes, and operating style.
3. Executive management has provided staff with an understanding and awareness of the benefits of effective internal controls.
4. The statement mentions safeguarding State's assets and ensuring the proper use of State resources.
5. Agency maintains a written personnel policies or standard operating procedures in addition to those published by the State Personnel Board (SPB).

Exhibit 3: Organizational Structure

1. The agency's organizational structure is appropriate to carry out its mission and manage its activities.
2. Management treats each division as an integral part of the agency's overall operations.
3. The current organizational structure facilitates the flow of information both up and down divisions and across divisions/functions.
4. Reporting relationships provide managers with the information appropriate to their responsibility and authority.
5. Managers and process owners have ready access to senior management in addressing significant issues.
6. The organizational structure in each division provides adequate supervisory and managerial oversight. Management periodically evaluates the organizational structure in light of changes in the scope, nature, or extent of operations.
7. The agency has the appropriate number of people and resources allocated to key functions/activities.
8. Employees do not work excessive overtime and do not fulfill the responsibilities of more than one employee.
9. The assignment of authority and responsibility within the agency is expressed in the form of an organization chart.
10. The agency internal auditor (if applicable) reports directly to the board or commission. In the absence of an agency board or commission the internal auditor reports directly to the agency Executive Director and agency audit committee (if applicable).

Exhibit 4: Management's Commitment to Professional and Technical Competence

1. Job descriptions (and other documents that define key position duties/requirements) are current, accurate, and understood.
2. There is a mechanism in place to keep the job descriptions current, accurate, and understood.
3. Job knowledge/skill requirements realistically match the organization and position's needs.
4. Management has the specialized knowledge, experience, and training required to perform their duties and does not rely extensively on technical specialists or outside consultants.
5. Employees are properly trained and are capable of performing all jobs within your division.
6. Employees are committed to excellence in performing their jobs.
7. Individual performance targets focus on both the long and short-term and address a broad spectrum of criteria (e.g., quality, productivity, leadership, teamwork, and self-development).

Exhibit 5: Assignment of Authority and Responsibility

1. Management designates who is responsible for committing to financial or contractual obligations through a formal delegation of authority.
2. Specific limits are established for certain types of transactions and delegations are clearly communicated and understood by employees.
3. Job descriptions for personnel include specific references to control related responsibilities.
4. Management accepts responsibility for information generated and on reported results.
5. Managers at all levels within your agency are appropriately empowered to correct problems and implement improvements.
6. The current level of delegation of duties balances empowerment and "getting the job done" with management involvement and authority levels.
7. Agency has formed an external audit committee or assigned an audit committee type function within the agency.
8. The agency governing board or commission (if applicable) approves the minutes of all transactions of major importance.
9. Final minutes of agency board or commission meetings (if applicable) are signed by the chairman and secretary.

Exhibit 6: Human Resources Standards

1. Existing personnel policies and procedures facilitate recruiting and developing competent and trustworthy personnel necessary to achieve the agency's objectives.
2. New employees are made aware of their responsibilities and management's expectations.
3. Supervisory personnel meet periodically with employees to review job performance and discuss opportunities for improvement.
4. Performance appraisals adequately address internal control responsibilities and set forth criteria for integrity and ethical behavior.
5. Management takes the appropriate remedial action for departures from approved policies and procedures.
6. Recruitment and selection process for new employees require investigation of background and references.
7. Employees take periodic vacations and their work is performed by other employees.

Exhibit 7: Risk Assessment

1. Formal or informal mechanisms exist to inform management of events that are considered risks; i.e., events that may adversely affect the achievement of agency-wide or division objectives.
2. Management assesses for inherent risk, each event or combination of events that represents a risk, considering both likelihood and impact, and then develops a risk response.
3. Once a risk response is developed for each risk, management considers residual risk.
4. Management uses an appropriate blend of quantitative or qualitative techniques across the various divisions/functions such that sufficient consistency exists to assess risks agency-wide.
5. The process used to analyze risks is clearly understood and includes estimating the significance of risks and assessing the likelihood of their occurring.

Exhibit 8: Risk Response

1. The process used to analyze risks is clearly understood and includes determining steps needed to mitigate risks.
2. In determining risk response, management considers the effects of potential responses on risk likelihood and impact because a response may affect the likelihood and impact differently.
3. Management considers the relative costs and benefits of alternative risk response options.
4. When considering cost-benefit relationships, management looks at risks as interrelated and pools the agency's risk reduction and risk sharing responses.
5. The agency's risk response considerations are not limited solely to reducing identified risks, but also include consideration of new opportunities.
6. Once management has selected a response, management determines whether an implementation plan is needed.
7. If an implementation plan is needed, management establishes the necessary control activities to ensure the risk response is carried out.
8. The agency evaluates risk from an agency-wide perspective.

Exhibit 9: System Risk Assessment

1. Risk assessments are performed and documented regularly and whenever systems, facilities, or other conditions change.
2. Risk assessments consider data sensitivity and integrity.
3. Final risk determinations and managerial approvals are documented and kept on file.

Exhibit 10: Control Activities Applicable to All Fiscal Processes

1. Appropriate policies and procedures have been developed and implemented for each major fiscal major process.
2. Appropriate and timely actions are taken on exceptions to policies and procedures.
3. Policies and procedures identify how processes are to be performed and monitored and who is responsible for carrying them out.
4. Control activities described in policy and procedure manuals are actually applied the way they are intended to be applied and clearly relate to designated risks.
5. Management clearly assigns responsibilities for training and monitoring of internal controls.
6. Controls are in place to provide reasonable assurance that management decisions are properly carried out.
7. Supervisory personnel with appropriate responsibilities, organizational experience, and knowledge of the organization's affairs periodically review and document the functioning and overall effectiveness of controls.
8. Appropriate criteria are established to evaluate controls.
9. Responsibilities have been assigned in a manner that precludes any individual from processing data transactions in their entirety or from maintaining records for transactions in which the individual participated.
10. Effective procedures have been established for the routine verification of the accuracy of data when it is entered, processed, generated, distributed, or transferred.
11. Individuals have appropriately segregated responsibility for control over assets and data and the processing of transactions.
12. Effective contingency plans have been developed and documented to deal with service interruptions if they occur.
13. Periodic tests of contingency and disaster recovery plans take place to make sure they are current, operational, and effective.
14. Appropriate controls are built-in as new information systems are designed and integrated into the agency.

Exhibit 11: Control Activities Applicable to Accounting Administration

1. The agency has adequately detailed accounting policies and procedures.
2. Accounting policies and procedures manuals are updated timely.
3. Manuals are distributed or made available to appropriate personnel.
4. The principal accounting officer of the agency has adequate authority over accounting employees and principal accounting records at all locations.
5. The agency encourages employees to obtain certifications in their functional areas.
6. The agency encourages employees to attend training courses or seminars for continuing education in their functional area. In so doing, agency is insuring that staff are keep up-to-date regarding changes in governmental auditing and accounting and federal and state laws and regulations.

Exhibit 12: Journal Entries

1. The preparation and approval functions of journal entries are segregated.
2. All journal entries are adequately explained and supported.
3. The approving officer reviews supporting documentation to ensure the journal entry contains proper coding for the adjustment.
4. An authorized individual in the agency approves and signs all journal entries.
5. Written journal entry processing procedures are maintained.
6. The responsibilities for cash receipts and cash disbursement functions are segregated from the journal entry function.

Exhibit 13: Control Activities Applicable to Any General Ledger

1. Access to the general ledger and related records is restricted to those who are assigned general ledger responsibilities.
2. The responsibilities for maintaining the general ledger and custody of assets are segregated.

Exhibit 14: Segregation of Duties

1. Incompatible duties have been identified and policies implemented to segregate those duties.
2. Access controls have been established to enforce segregation of duties.
3. The agency exercises control over personnel activities through the use of formal operating procedures, supervision, and review.

Exhibit 15: Agency-wide Security Management Program

1. The agency has developed a plan that clearly describes the agency-wide security program and policies and procedures that support it.
2. Senior management has established a structure to implement and manage the security program throughout the agency, and security responsibilities are clearly defined.
3. The agency has implemented effective security-related personnel policies.
4. Management monitors the security program's effectiveness and periodically assesses the appropriateness of security policies and compliance with them.
5. If weaknesses in the security program are identified, corrective actions are promptly and effectively implemented and tested, and they are continually monitored.
6. Agency information technology policies and procedures are in accordance with ITS policies, standards and guidelines.

Exhibit 16: Access Control

1. The agency classifies information resources according to their criticality and sensitivity. Consider the following:
 - Resource classifications and related criteria have been established and communicated to resource owners.
 - Resource owners have classified their information resources based on the approved criteria and with regard to risk determinations and assessments and have documented those classifications.
2. Resource owners have identified authorized users, and their access to the information has been formally authorized.
3. The agency has established physical and logical controls to prevent or detect unauthorized access.
4. The agency monitors information systems access, investigates apparent violations, and takes appropriate remedial and disciplinary action.
5. Policies are in place to prevent the sharing of employee passwords.

Exhibit 17: Application Software Development & Change Control

1. Information system processing features and program modifications are properly authorized.
2. All new or revised software is thoroughly tested and approved.
3. The agency has established procedures to ensure control of its software libraries, including labeling, access restrictions, and use of inventories and separate libraries.

Exhibit 18: System Software Control

1. The agency limits access to system software based on job responsibilities, and access authorization is documented.
2. Access to and uses of system software are controlled and monitored.
3. The agency controls changes made to the system software.

4. Policies are in place which will not allow an employee to load personal software on agency servers or employee work stations.

Exhibit 19: Service Continuity

1. The criticality and sensitivity of computerized operations have been assessed and prioritized, and supporting resources have been identified.
2. The agency has taken steps to prevent and minimize potential damage and interruption through the use of data and program backup procedures including off-site storage of backup data as well as environmental controls, staff training, and hardware maintenance and management.
3. Management has developed and documented a comprehensive contingency plan.
4. The agency periodically tests the contingency plan and adjusts it as appropriate.

Exhibit 20: Information Questionnaire

1. Adequate information gathering mechanisms are in place to provide information to appropriate personnel so that they can carry out their operating, reporting, and compliance responsibilities.
2. Reports generated or used by each division are adequate and contain sufficient and meaningful information.
3. Mechanisms exist for identifying emerging information needs.
4. An information technology plan has been developed that is linked to achieving the agency's objectives.
5. Information technology plans are modified as needed to support new objectives.

Exhibit 21: Communication Questionnaire

1. Management clearly and effectively communicates employees' internal control and risk assessment duties and responsibilities and these roles and responsibilities are uniformly understood.
2. Communication channels exist for employees to effectively communicate up, down and across within an agency.
3. Computer information/analytical reports are provided to the right people, with the right level of detail, at the right time.
4. Mechanisms are in place to identify emerging technology needs, establish priorities, and provide feedback on system performance.
5. A clear communication channel is available to report suspected improprieties.
6. Persons who report suspected improprieties are provided feedback and are immune from reprisals.
7. Realistic mechanisms are in place for employees to provide recommendations for improvement.
8. Good employee suggestions are acknowledged by providing incentives or other meaningful recognition.
9. Changes with respect to agency-wide objectives and strategies are communicated timely and effectively to all affected personnel.
10. Outside parties understand the agency's ethical and behavioral standards and expectations regarding dealings with the agency.
11. Management is receptive to comments by internal and external auditors regarding control deficiencies or suggestions for process improvement. Appropriate actions are taken and documented.

Exhibit 22: Monitoring Questionnaire

1. Management has established performance measures for processes and receives periodic reports of results against those measures.
2. Personnel responsible for reports are required to "sign off" on their accuracy and integrity and are held accountable if errors are discovered.
3. In the event of known control breakdowns or deficiencies, controls that should have prevented or detected problems are reassessed and modified as appropriate.
4. Controls most critical to mitigating high priority risks in your function are evaluated with appropriate frequency.

5. Evaluations of the entire internal control system are performed when there are major strategy changes, major acquisitions or dispositions, or operations and methods of processing financial information are changed.
6. An appropriate level of documentation is developed to facilitate the understanding of how your internal control system works.
7. Employees are provided with sufficient control and compliance training sessions and feedback opportunities.
8. Control deficiencies are identified by on-going monitoring activities of the agency, including managerial activities and everyday supervision of employees.
9. Control deficiencies are identified during separate evaluations of the agency's internal control system.
10. Internal control deficiencies are reported to the person directly responsible for the activity and to a person at least one level higher.
11. Specifications have been established for deficiencies that should be reported to more senior management, to the board, and to control agencies.
12. Senior management ensures that the necessary follow-up actions are taken in response to reported control deficiencies.
13. Current audit/compliance reporting procedures are timely and effective.

Exhibit 23: Appropriations - Appropriations, Allotments, and Transfers

1. The agency does not expend appropriated or allotted funds for purposes that are not authorized by the Appropriation Act or by general statute.
2. Budget to actual expenditure reports are submitted on a routine basis to management for their oversight review.
3. Unexpected variances in budget to actual comparisons are investigated and appropriate and timely corrective action is taken where required.
4. Monitoring of appropriation authority/cash are conducted on a regular basis to ensure obligations can be met.
5. Procedures are in place to immediately review remaining agency allotment authority upon receipt of a new federal grant award to determine if DFA escalation authority should be requested.

Exhibit 24: Cash Receipts – Deposits

1. The agency has developed internal processing systems capable of separating payments received from the related accounting documents at the earliest possible processing point.
2. Deposit policies and procedures are in accordance with federal and state requirements (Section 7-9-21, NM. Code Ann. (1972), clearly stated, and systematically communicated through manuals, handbooks, or other media.
3. All deposits are properly and accurately recorded and accounted for in SAAS in a timely manner.
4. Checks are endorsed "For Deposit Only" immediately upon their receipt.
5. Responsibilities for collection and deposit preparation functions are segregated from those for recording cash receipts and general ledger entries.
6. Responsibilities for cash receipts functions are segregated from those for cash disbursements.
7. "Non sufficient funds" checks are delivered to someone independent of processing and recording of cash receipts.
8. Procedures exist for follow-up of "non sufficient funds" checks.
9. Receipts are controlled by cash register, prenumbered receipts, or other equivalent means if payments are made in person.
10. Receipts are accounted for and balanced to collections on a daily basis.
11. A secured and fireproof area exists for protecting undeposited cash receipts. Access to this area is restricted to authorized persons only. The secured area is locked when not occupied.

12. Remittances by mail are listed at the time mail is opened. A copy of the listing is forwarded to the cashier with the receipts. The original copy is the basis for accounting controls through ledger positions. The listing is periodically compared with the deposit by a third person.
13. The cash receiving function is centralized to the extent possible.
14. Cashiers are prohibited from cashing personal checks or notes of personal indebtedness.
15. Bank balances in excess of \$100,000 (F.D.I.C. limit) are adequately secured.
16. Deposits into agency clearing funds are in accordance with approved use of such funds by the DFA and State Treasury.
17. Cash drawers, if applicable are balanced on a daily basis.
18. Periodically, supervisors conduct surprise cash drawer audits.
19. SAAS security profiles are consistent with segregation of duties over receipt functions.
20. Procedures are in place to document when receipt of funds should be recorded as refunds of expenditures or prior year revenue.
21. A summary memo regarding the overall soundness of the internal controls over the receipting function is included in the agency's internal control plan.

Exhibit 25: Accounts Receivable

1. Accounts receivable policies and procedures are clearly stated, and systematically communicated through manuals, handbooks, or other media.
2. All receivable transactions are properly and accurately recorded, aged, and accounted for in the agency based accounting system or in SAAS.
3. Billings are timely and accurately recorded and documented on the date the revenue transaction is completed, or on the nearest normal billing cycle date.
4. All collections on accounts receivable are deposited and the source and date of payment are recorded in a timely manner.
5. Responsibilities for billing for services and fees are adequately segregated from those for collection and accounting.
6. Responsibilities for maintaining detailed accounts receivable records are adequately segregated from those for collection, deposit, and general ledger posting.
7. All adjustments, write-offs, and discharges are properly authorized, documented, and made in accordance with established policies, procedures and legal requirements.
8. Uncollected accounts are periodically reviewed and collection actions taken in accordance with established policies, procedures, and legal requirements.
9. Account balances are aged periodically and reviewed by an official not involved in cash receipts and disbursements.
10. Recorded balances of receipts and accounts receivable and related transaction activity are periodically substantiated and evaluated.
11. Receivables are recorded promptly upon the completion of the acts which entitle the agency to collect the amounts owed it.
12. Records of receivables are strictly guarded. Access to these records, as well as, physical protection of them, is required.
13. Receivable amounts are reviewed periodically for credit balances.
14. Quantities, prices and clerical accuracy of billing invoices are independently verified by person other than preparer.
15. Billings are prompt and statements are sent to all customers on a regular basis.
16. Controls are in place to ensure prompt follow-up of past due receivables.
17. Adequate files are maintained by the agency on all accounts that have been written off to avoid violation of the provision in the constitution which prohibits the forgiveness of debts owed to the State.
18. Voided billings are retained on file.

Exhibit 26: Purchasing Overview

1. All state purchases are made in accordance with State and Federal laws and regulations including, but not limited to, directives of the DFA Office of Purchasing and Travel Procurement Manual, Information Technology Services Procurement and Procedures Handbook, State Personnel Board Policy and Procedures Manual and the Personal Service Contract Procurement regulations.
2. Only persons knowledgeable in federal and state purchasing laws and regulations are allowed to procure goods and services for the agency.
3. The Executive Director and all staff authorized as purchasing agents for the agency are aware of penalties associated with improper and fraudulent purchases cited in NM Code Annotated (1972) Section 31-7-55 and 31-7-57.
4. All purchasing staff is encouraged to participate in the NM Association of Government
5. Purchasing/Property Agents so that they may stay current with changes to purchasing laws and regulations.
6. To the extent possible, agency procurement is centralized within the agency.
7. All employees of the agency are required to read (at least annually) and be knowledgeable in the Ethics in Public Contracting section of the DFA Office of Purchasing and Travel Procurement Manual.
8. Procedures are in place to prevent splitting of purchase orders made to avoid solicitation of bids or advertising for bids.

Exhibit 27: Purchasing - Issuing Purchase Orders

1. Purchases of equipment, supplies, materials, or services of whatever kind, the cost of which are to be paid by the agency are made only by written purchase order duly signed by the official authorized to do so.
2. Employees have been made aware that if a purchase is made without a valid and approved purchase order
3. (when one is required by law or regulations), it is not an obligation of the state.
4. Procedures are in place to periodically examine open purchase orders to determine if they should be adjusted or perhaps closed.
5. Procedures are in place to electronically submit purchase orders to be paid out of funds appropriated for any fiscal year by June 30 or the date specified by DFA.
6. Procedures are in place to ensure that proper expenditure object codes as set forth in Section 25.60.20 of the MAAPP Manual are used on purchase order documents and that all other required purchase order fields are populated with correct accounting codes.
7. Procedures are in place whereby vendors are notified on a timely basis (before service begins or goods are shipped) that a purchase order cannot be issued to them unless they first have a vendor number in SAAS. Agency furnishes a vendor file maintenance form to new vendors.
8. Procedures are in place to consolidate orders in order to take advantage of quantity discounts.
9. Procedures are in place to insure budget authority/cash exists prior to solicitation for procurement.
10. Procedures are in place to ensure that only authorized employees within agency request purchasing staff to procure goods and services and that such request are through written communication.
11. Procedures are in place to ensure that segregation of duties exist between purchasing, receiving and payment of goods and services.
12. Procedures are in place which allows information pertaining to the results of any bid to be reviewed on the premises of the agency in accordance with Section 1.201-02 of the DFA Office of Purchasing and Travel Procurement Manual and the agency's open records policy.
13. Procedures are in place whereby claims are filed promptly for goods damaged in shipment.
14. Procedures are in place to ensure that SAAS security profiles are consistent with segregation of duties.
15. A summary memo regarding the soundness of the internal controls over the purchasing function is included in the agency's internal control plan.

Exhibit 28: Purchasing - Emergency Purchases

1. The Executive Director and purchasing staff are aware of the legal definition of an emergency as set forth in Section 31-7-1(f) of the NM Code. Before an emergency purchase is declared, it is determined that the emergency which necessitates the purchase meets the legal definition.
2. At the next Board meeting (if applicable) following each emergency purchase, documentation of the purchase, including a description of the commodity purchased, the purchase price thereof and the nature of the emergency is submitted to the Board and placed on its minutes.
3. At the earliest possible date following each emergency purchase, the Executive Director files with DFA a statement explaining the conditions and circumstances of the emergency which detail a description of the events leading up to the situation and the negative impact to the entity if the purchase was made following the statutory purchasing requirements. A certified copy of the appropriate minutes of the Board (if applicable) is also filed.
4. In an emergency situation, even though state law does not require it, the purchasing staff is urged to seek competition (telephone quotes, written quotes, bids) to seek competition to be sure they are getting a good value.
5. The agency has developed an emergency purchasing plan which may be put to immediate use should a disaster occur. The plan includes items that may be needed during an emergency that are already on state contract, 24/7 information on supplier contacts, prearranging credit plans, a generic request for emergency quotes form, a generic services contract to be used during an emergency, etc.
6. All buildings leased or occupied for emergency purposes are approved by the Bureau of Buildings, as well as, the Tort Claims Board.
7. Emergency purchases of information technology equipment, software, or services, are submitted to ITS on the ITS Emergency Purchase Form.
8. The agency follows emergency purchasing rules for contractual services as defined in the Personal Service Contract Review Board procedures manual.

Exhibit 29: Cash Disbursements - Procurement Cards

1. The agency has developed and documented internal control procedures for the Procurement Card activities that comply with the Office of Purchasing and Travel Procurement Manual.
2. The agency has developed and documented internal control procedures that are in compliance with Procurement Card contract provisions.
3. All payments to the Procurement Card Vendor are made by the corresponding due date.
4. Purchase logs and cardholder statements are obtained and reconciled with the corresponding Procurement Card vendor statement prior to receipt of the next Procurement card vendor statement.
5. Reconciled statements are reviewed and approved in writing by the cardholder's supervisor.
6. Unacceptable materials and incomplete services are documented and the purchaser takes the appropriate corrective action with the vendor.
7. Original payment processing documents are maintained in an agency file for audit purposes.

Exhibit 30: Cash Disbursements – Expenditures

1. Responsibilities for initiating a purchase are separate from responsibility for approving a payment.
2. Responsibilities for the invoice processing and accounts payable functions are adequately segregated from those for the general ledger functions.
3. The agency has documented policies to ensure compliance with the State's prompt payment law.
4. Payment processing documents are retained on file at the agency for the required retention period.
5. The agency has procedures to ensure the disbursement is used only for authorized purposes; and that laws, rules and regulations governing the disbursement are followed.
6. The responsibility for disbursement procedures are clearly documented and assigned to specific personnel

7. Controls are established to assure that all payments are made on a timely basis and in accordance with all PO's and contracts.
8. Proper invoice numbers are reported on the payment voucher to ensure that duplicate payments are not made.
9. Vendor invoices are received in a central location.
10. Responsibilities for receiving goods and services are adequately segregated from approving payments.
11. SAAS security profiles established for the cash disbursement function are in agreement with adequate segregation of duties.
12. Agency has established procedures for adequate preaudit of all agency expenditures for compliance with all state and federal regulations.
13. Procedures are in place to assure that adequate, sufficient documentation is collected as support for each payment.
14. Procedures are in place whereby management periodically examines expenditure reports in order to monitor the agency purchases.
15. Controls are in place to ensure sufficient cash or federal grant receivables (if applicable) is available prior to the agency approval of payment vouchers – (SAAS will reject in nightly processing if not sufficient, and will delay vendor payments until resolved).
16. Procedures are in place to ensure that payment of prior year claims is in accordance with Section 27.104.25, NM. Code Ann. (1972) and MAAPP manual sub-section 11.20.50.

Exhibit 31: Cash Disbursements - Receiving Reports

1. The agency documents unacceptable materials and incomplete services on the receiving report and takes the appropriate corrective action with the vendor.
2. The agency ensures that the requisition and purchase order and vendor invoice are compared to the receiving report prior to approval and payment processing.
3. A designated individual who is not also authorized to make payments pursuant to the purchase order or contract authorizes receiving reports.

Exhibit 32: Cash Disbursements - Petty Cash

1. Responsibility for a petty cash account is to be vested in only one person.
2. The petty cash bank statement (if applicable) is delivered unopened, directly to the person performing the reconciliation.
3. Someone other than the cashier or authorizing official reconciles the monthly petty cash bank statement.
4. Interest earned on a petty cash checking account is deposited in accordance with state rules and regulations.
5. The petty cash account is in the name of the agency.
6. All checks are serially pre-numbered and imprinted with "Petty Cash Fund" and the name of the agency.
7. Checks are only signed upon presentation of satisfactory documentary evidence that the disbursement is proper.
8. The check register lists every check issued and provides date issued, check number, name of payee, amount disbursed, and the account to be charged.
9. When the monthly bank statement is received, the register is updated to reflect the checks that have been paid by the bank.
10. Cancelled checks or carbon copies of the checks and bank statements are maintained for audit.
11. Spoiled checks are marked "VOID" and the signature line obliterated or mutilated.
12. Voided checks are filed in numerical sequence with cancelled checks.
13. Receipts for all disbursements accompany the request for reimbursement.
14. Surprise reconciliations of cash box (if applicable) are conducted.
15. Petty cash blank checks are secured and locked with access only available to responsible employee and supervisor.

16. Procedures are in place to ensure that petty cash funds are not used for cashing checks or otherwise advancing funds to any officer or employee (Sec 7-7-59, NM. Code Ann. (1972).

Exhibit 33: Travel

1. Procedures are in place to ensure that all travel is done in accordance with the State Travel Policy Rules and Regulations and manual published by DFA.
2. All employees subject to travel status are provided a copy of the Travel Manual and periodically the agency offers training classes to review the manual with employees.
3. Mileage reimbursement rates are provided and the maximum daily meal reimbursement rates are provided in accordance with the latest DFA directive.
4. Processes are in place whereby a travel waiver form is completed and faxed to DFA/OPT prior to making any reservations or commitments that deviate from standard travel procedures.
5. Procedures are in place to insure that employees understand that they can only rent a vehicle in lieu of a personal automobile for official state business within the State if such rental is less expensive than the current mileage calculation. Employees are also to understand that an intermediate rental car is normally the largest rental that will be reimbursed.
6. Processes are in place whereby the agency utilizes the appropriate state contract vendor for cars rented inside or outside the state.
7. Management understands that they are responsible for ensuring compliance with Section 25-3-41, NM Code of 1972 by providing internal controls over employee travel.
8. Management has designated an employee to serve as a department travel coordinator within the agency for the purpose of monitoring employee compliance with the State Travel Rules and Regulations, serving as a liaison with the State Travel Director's office, booking travel reservations for employees, and other travel related assistance as requested by employees.
9. Procedures are in place to insure travel reimbursement requests are submitted by employees immediately upon their return from the travel and any travel advance settled at that time.
10. Employees are made aware that only one travel advance can be outstanding and that all travel advances must be settled within ten (10) working days after the end of the month in which travel was completed or their paycheck will be held until the advance is settled.
11. Employees are informed that they are to exercise the same care incurring expenses as would a prudent person traveling for personal reasons. Travel for business should be conducted at a minimum cost for achieving the success of the mission.
12. Employees are informed that if they choose to drive in lieu of flying they must compare the total cost of flying with the total cost of driving. They will only be reimbursed for driving if it is less expensive than flying or if the agency head justifies that it is in the best interest of the agency for employee to drive. No justification is required if costs are held to the lowest unrestricted air fare.
13. Employees are informed that any bonus or promotional gratuity received as a result of official state travel shall be used to offset or reduce the cost of subsequent official state travel.
14. Employees are informed that if a member of their family or other non-state employee travels with the officer or employee, the employee shall claim reimbursement at the single hotel/motel rate only.
15. Procedures are in place to cancel corporate American Express cards immediately upon employee termination.
16. Procedures are in place to periodically review the American Express statement sent to the agency reporting corporate card use by employees and to counsel with any employee with outstanding overdue amounts. Procedures are in place to cancel any corporate American Express card misused by an employee.
17. Procedures are in place to ensure that travel reimbursement requests are verified, checked for compliance and approved before submitted to DFA.
18. Procedures are in place to ensure that an employee is not reimbursed for any travel between home and their regular place of work.

19. Procedures are in place to govern the use of state owned vehicles in accordance with 25-1-79 and 25-9-153, NM. Code Ann. (1972) and in the use of Fuelman cards (if applicable).

Exhibit 34: Inter-Agency Transactions

1. Before processing IAT (GP/GTS), the agency ensures that the IAT is properly completed by the originating agency or returns the IAT to that agency.
2. An individual authorized on the agency's signatory form approves interagency transfers.

Exhibit 35: Cash Disbursements – Construction

1. Actual expenditures are compared to planned amounts by project.
2. Capital outlay plans are updated to reflect approved change orders affecting the original budget.
3. The total of the budgeted items at all levels does not exceed the amount fixed for the project plus any change order adjustments.

Exhibit 36: Fixed Asset Overview

1. Access to the Fixed Asset System is limited to those individuals who need the access to perform their job responsibilities.
2. Fixed assets are only acquired for use in furthering the agency's programs and missions.
3. All assets within the required capitalization or control limits are recorded in the Fixed Asset System in a timely manner.
4. Proper stewardship and control over assets is carried out, including periodic inventories.
5. Financial records and reports properly reflect fixed asset balances.
6. Assets are reasonably protected from theft. Any theft of a fixed asset item is immediately reported to proper authorities.
7. Internal procedures are documented in writing.
8. Proper segregation of duties is maintained between recording of fixed assets in the Fixed Asset System and the purchase and disposal of fixed assets.
9. Agency adequately and timely prepares reports required of the State Property Office and abides by all policy and regulations issued by the State Property Office, as well as those included in the MAAPP manual.
10. Agency employees are informed of their fiduciary duty regarding fixed assets provided for their use.
11. Agency employees are informed that state assets cannot become their personal property even if such assets are deemed **obsolete** or not repairable.
12. Fixed Asset purchases are in accordance with NM Code Annotated (1972) Section 31-7-13.
13. Record keeping procedures exist that account for assets not required to be reported (excludable assets) to the State Property Office.
14. Excludable assets are safeguarded against damage or theft.
15. Appropriate detail is maintained to reconcile fixed asset expenditures in SAAS with fixed asset system.
16. Procedures are in place to insure proper recording of donated assets (if applicable).
17. All fixed asset GAAP schedules are completed in accordance with DFA instructions and submitted timely.
18. Clear audit trails from source documents are provided for all agency fixed asset transactions.

Exhibit 37: Fixed Assets - Asset Additions, Renovations, and Repairs

1. All transactions involving additions, renovations, and repairs are evaluated on a case-by-case basis to determine whether costs should or should not be entered in the fixed asset system.
2. Costs to be entered into the fixed asset system are properly referenced against the underlying original asset.
3. A realistic useful life is assigned to all depreciable assets when reporting addition to the State Property Office.

4. Asset acquisition cost, acquisition date and useful life are properly recorded so that accurate depreciation is calculated.

Exhibit 38: Fixed Assets - Disposals/Transfers

1. All assets are periodically reviewed as to proper status of available, unavailable or surplus.
2. All surplus items, which are sold or transferred, are properly recorded as disposals and reported correctly and timely to State Property Office.
3. Obsolete or broken assets are discarded in accordance with directives of the State Property officer.
4. All transfers of assets are adequately documented including signature of receiving party. Transfers are only made to other governmental entities.
5. Adequate segregation of duties exists between asset physical control and disposal approval.
6. Stolen property is reported to security immediately and removed from inventory.

Exhibit 39: Fixed Assets - Federal Fixed Asset Accounting Requirements

1. The agency ensures that assets purchased with federal grant funds conform to state and federal rules and regulations.
2. Cost principles and administrative requirements pertaining to federally funded assets are followed.
3. Controls are in place to exclude the depreciation on capitalized fixed assets purchased with federal grant funds and on surplus property from the indirect cost pool.
4. The grantor is notified (if required) when capitalized assets acquired with grant funds are no longer used in the grant program.

Exhibit 40: Maintenance of Assets

1. Maintenance costs of assets (owned or rented) are periodically reviewed and analyzed.
2. Maintenance contracts are current and cover only assets approved by management.
3. Maintenance costs are not incurred for assets covered under comparable warranties.
4. Warranty expirations are reviewed so maintenance can be continued, when and where necessary.
5. Maintenance contracts are terminated when cost is determined excessive in relation to cost to replace asset.

Exhibit 41: Capital Lessees - Loans Payable

1. Loan application, use, accounting and reporting, and repayment policies and procedures are in accordance with State requirements, clearly stated, and systematically communicated through manuals, handbooks or other media.
2. All loan transactions are properly and accurately recorded and accounted for in SAAS and the agency based accounting system (if applicable).
3. Required reports are accurately prepared and submitted by the due date.
4. All lessee/loan information is properly reported to DFA in the agency GAAP packet process.
5. In preparing agency budget request, amounts needed to pay principal and interest are properly budgeted in subsidies.
6. All lessees are properly classified as either operating or capital.
7. Files of all active lessees are maintained in the agency finance department.

Exhibit 42: Indirect Cost Recovery

1. Unallowable costs are not charged to federal awards either directly or indirectly.
2. The agency's organizational structure has been reviewed to determine the appropriate indirect cost or cost allocation plan proposal methodology.
3. An indirect cost rate proposal or cost allocation plan has been prepared according to requirements set forth in OMB Circular A-87, Cost Principles for State and Local Governments, or OMB Circular A-21, Cost Principles for Educational Institutions.

4. The completed indirect cost rate proposal or cost allocation plan has been submitted negotiated and approved by the cognizant agency in a timely manner.
5. The approved indirect cost rate or amount has been applied against grant awards.

Exhibit 43: Federal Grant Compliance

1. Agency has controls in place to ensure that all purchases made with federal funds are in accordance with OMB Circular 87, as well as, terms and conditions issued related to specific grant.
2. Agency has procedures in place to ensure only appropriate staff has security access to grantor draw down system.
3. Agency has a tracking mechanism (either thru SAAS or internal agency system) to monitor actual expenditures against federal grant award amounts.
4. Agency has procedures in place to ensure that uniform policies, procedures and regulations exist regardless of the funding source of funds.
5. Agency has procedures in place so that cost are not to be included to meet cost sharing or matching requirement, if already included as match on another federal grant except as specifically provided by federal law or regulation.
6. Agency ensures that all cost charged to a federal program are reasonable. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.
7. Agency has procedures in place to ensure accurate and timely reporting to federal grantor agencies and that adequate supporting documentation exists to support reports.
8. Agency has procedures in place to ensure draw down of federal funds are in accordance with award draw down schedule, if appropriate.
9. Agency has procedures in place to ensure that no alcoholic beverages are purchased with federal funds.
10. Agency has procedures in place to ensure that compensation for employees engaged in work on federal awards will be considered reasonable to the extent that it is consistent with that paid for similar activities of the government. In cases where the kinds of employees required for federal awards are not found in the other activities of government, compensation is considered reasonable to the extent that it is comparable to that paid for similar work in the labor market in which the employing government competes for the kind of employees involved.
11. Where employees are expected to work solely on a single federal award or cost objective, charges for their salaries and wages are supported by periodic certifications that the employees worked solely on that program for the period covered by the certification. These certifications are prepared at least semiannually and are signed by the employee or supervisory official having first hand knowledge of the work performed by the employee.
12. Where employees work on multiple grants or activities, a distribution of their salaries or wages is supported by personnel activity reports or equivalent documentation unless a substitute system has been approved by the cognizant federal agencies.
13. Agency has procedures in place to adequately train appropriate staff on federal grant requirements—this includes training updates on changes to federal grant circulars and requirements.
14. Agency has procedures in place to ensure compliance with each federal agency's codification of the grants management common rule for which they are awarded funds.
15. Agency has procedures in place to ensure compliance with appropriate requirements for each grant administered pursuant to grant award document and to requirements applicable to that grant under A-133 Compliance Supplement.

Exhibit 44: SAAS Security

1. The agency has assigned appropriate employee access to SAAS.
2. Access to SAAS is limited to individuals who need the access to perform their job responsibilities.
3. The agency has assigned a SAAS Security Contact.
4. The SAAS Security Contact is responsible for the comprehensive system of internal control over SAAS access.

Exhibit 45: SPAHRS Security

1. The agency has assigned appropriate employee access to SPAHRS.
2. Access to SPAHRS is limited to individuals who need the access to perform their job responsibilities.
3. The agency has assigned a SPAHRS Security Contact.
4. The SPAHRS Security Contact is responsible for the comprehensive system of internal control over SPAHRS access.

Exhibit 46: Agency-Based Automated Accounting Systems (other than MMRS Systems)

1. The agency planned and conducted the design, development, implementation, operation, or modification of automated accounting systems in accordance with the information systems security, development and maintenance policies and regulations of ITS.
2. The agency has procedures in place to reconcile records in agency systems SAAS.

Exhibit 47: SAAS Reconciliation Procedures

1. Agency procedures for reconciliation of internally prepared accounting records, data subNMion logs and other accounting data to reports produced by SAAS are fully documented.
2. A *SAAS Transaction and Batch Control Log* of all SAAS transactions is maintained.
3. Source document detail is reconciled to the agency internal accounting system (if applicable) and to SAAS monthly.
4. Corrections to SAAS via adjusting journal entries are made on a timely basis.
5. The SAAS Suspense File is reviewed on a daily basis.

Exhibit 48: SAAS Quarterly 1099 Report and Certification

1. Fiscal management ensures that all quarterly 1099 reports have been reviewed and audited.
2. Fiscal management ensures that all appropriate adjustments have been made prior to the certification of the final year-to-date totals.

Exhibit 49: SPAHRS Introduction

1. The agency ensures that employees comply with work schedules.
2. Overtime is properly authorized.
3. Proper tax withholdings are based on accurate employee information.
4. The agency has ensured that management and staff are properly trained in the use of SPAHRS and the controls available within the system.
5. The agency has appropriately segregated payroll processing tasks to ensure that no one person has control of a transaction from beginning to end.
6. The agency has policies in place to ensure that only authorized persons have access to essential data and are able to make changes to employee pay records.
7. The agency has policies in place to ensure that paychecks are not distributed prior to payday.

Exhibit 50: SPAHRS Agency Profiles - User Security

1. The agency SPAHRS Security contact verifies the appropriateness of security actions and levels prior to the submission of the SPAHRS Security User Profile Maintenance form to MMRS.
2. The agency has developed procedures governing the levels of security requested.

3. The agency requires the timely submission of requests to delete access for terminated/transferred employees so as to safeguard the assets of the State.
4. All copies of the SPAHRS Security User Profile/Maintenance form and agency Security reports are maintained by the agency for audit purposes.
5. The agency responds timely to the quarterly distribution of the security verification report, noting required changes or acceptance of existing security.
6. The agency has policies in place to ensure that Individuals with salary and time attendance access do not have access to functions in SPAHRS.

Exhibit 51: SPAHRS Data Entry

1. Proper paperwork and authorizations are in place prior to entering payroll data.
2. Payroll and fiscal officers review data entry prior to certification of payroll.
3. All applicable forms/applications used to establish an employee record or to make a change to the current information are maintained by the agency for audit purposes.
4. All funding information is approved and established for agency use in SAAS prior to entry of payroll transactions into SPAHRS.

Exhibit 52: SPAHRS Employee Profiles Hires/Rehires

1. The documentation supporting the hiring and rehiring of employees is properly completed and authorized before processing.
2. Prior to SPAHRS submission for approval to State Personnel Board, a review of all information pertaining to the new hires is performed to ensure the correctness of the data entry.
3. The agency has developed policies and procedures concerning the data entry and review processes.
4. The agency maintains, for audit purposes, all applicable forms/applications used to establish an employee record or to make a change to the current information.

Exhibit 53: SPAHRS Employee Profiles – Terminations

1. The agency verifies that SPAHRS information concerning terminating employees is complete, properly authorized, and entered accurately into SPAHRS.
2. The agency's fiscal officer ensures that all payments have been properly and accurately issued and that any outstanding advances or agency property have been recovered prior to the final payment issued to the employee.
3. The agency ensures that all benefit deductions are adjusted as required prior to final payment to the employee.
4. The agency ensures that all debt-set off amounts have been recovered and processed.

Exhibit 54: SPAHRS Employee Profiles - Employee Specific Tax Record Maintenance

1. The agency ensures that all employees complete both federal and state withholding forms.
2. The agency inputs into SPAHRS the allowances claimed by the employee on Form W-4s and any additional amount requested on both the federal and state withholding forms.
3. The agency ensures that all reciprocal tax agreements with other states are honored and taxes are withheld and reported to those states.
4. The agency requires eligible employees to complete a new W-5, Earned Income Credit form, by certification of the first pay period of the new calendar year.

Exhibit 55: SPAHRS Leave Accounting

1. Supervisors use SPAHRS reports to verify leave entries to determine ending leave balances are correct and inform Human Resources/Payroll if discrepancies are noted.
2. The agency has established appropriate processes governing leave form preparation, authorization, submission, data entry, and reconciliation.

3. The agency retains documentation supporting entries establishing leave balances.
4. The agency ensures that leave transactions are authorized and entered on a timely basis.
5. The agency has ensured that employee leave documents are stored in a secure location to maintain the confidentiality of the data.
6. The agency has appropriately separated tasks related to leave activity to ensure that no one person has control of a transaction from beginning to end.

Exhibit 56: SPAHRS - Unpaid Leaves of Absence and Overpayments

1. Accurate and complete timekeeping is performed to ensure that all periods of LWOP are reported and salary payments docked accordingly.
2. The agency has implemented policies and procedures concerning LWOP and overpayments.
3. All reductions in an employee's salary are properly authorized and entered into SPAHRS correctly and timely.
4. The agency retains supporting payroll documents for audit purposes.
5. The agency has procedures in place to ensure that benefits are adjusted appropriately.

Exhibit 57: SPAHRS - Time and Attendance

1. The agency verifies that all source documents such as timecards, timesheets, or any other authorization used to pay or adjust an employee's pay, have been properly completed, authorized by the appropriate party, and entered accurately into SPAHRS.
2. SPAHRS payroll duties are segregated between the person who collects and processes the source documents and the fiscal manager who oversees the payroll operations to ensure consistent application of internal control procedures.
3. Proper source documentation is maintained and accessible for current or future review.

Exhibit 58: SPAHRS Deductions Plans

1. Proper documentation exists prior to initiating any change to an employee profile regarding deferred comp/annuity withholdings.
2. The agency verifies that employee saving bond information is complete, properly authorized and entered accurately into SPAHRS and that all appropriate files/documentation is sent to the bonding agent.
3. The agency ensures that all employee and agency health insurance premiums due to DFA/Office of Insurance are paid.
4. A monthly reconciliation of health core premiums collected is performed timely.
5. The agency ensures that applicable forms affecting all payroll deductions are maintained for audit.
6. The agency ensures that retirement information is recorded correctly on employee profile and that appropriate payroll deductions are made.
7. The monthly reconciliation of retirement plan contributions is performed timely.
8. The agency ensures that insurance plan deductions are established properly in SPAHRS.
9. A month reconciliation of insurance contributions is performed and any adjustment to.

Exhibit 59: SPAHRS - Direct Deposit

1. Direct deposit payments are made to the correct employee bank account.
2. The agency maintains copies of employee direct deposit enrollment applications.
3. Agency has process in place to timely remove employees from direct deposit when leave balance falls below agency established minimum balance.

Exhibit 60: SPAHRS Changes and Review

1. Documentation and authorization exists for all employee record changes and payroll transactions and is retained for audit purposes.
2. Preliminary payroll entries are reviewed and proper action is taken (finalized or deleted).

Exhibit 61: SPAHRS Payroll Certification

1. The agency has policies and procedures governing the payroll certification process.
2. The person responsible for data entry of the payroll is not the person responsible for final approval of payroll.
3. There is an assigned primary certifier and backup in cases when the primary certifier is not available.
4. There are procedures in place to ensure that unauthorized personnel do not breach the certification security.
5. There are procedures in place to ensure that security is continuously updated.

Exhibit 62: SPAHRS Automated Changes

1. All reports generated from the use of mass transactions and automated interface processes (if applicable) are reviewed to verify accuracy.

Exhibit 63: SPAHRS Exception Pay

1. Before entering an exception in SPAHRS pay, the agency ensures that proper documentation (i.e. memorandums, authorizations) has been received and approved by appropriate parties.
2. The agency verifies exception pay results to ensure the entries are processed as expected.
3. Exception Pay is only used for adjustments that cannot be correctly generated through SPAHRS Adjust Pay or Issue Pay functions or for adjustments necessitated for payment when the earnings and deductions amounts are set by court order and do not follow normal payroll calculations.

Exhibit 64: SPAHRS Employee Pay - Void Payments

1. All voids submitted to DFA/BFC for processing are properly prepared by the agency payroll technician and reviewed by the fiscal manager to ensure validity.
2. The fiscal manager documents evidence of the review of the appropriate documents and reports by providing a signature and date of the review.
3. The agency has procedures in place to ensure that void checks are processed immediately upon notification of need and in accordance with DFA procedures.

Exhibit 65: Davis-Bacon Act

1. Does management understand the requirements to pay wages in accordance with the Davis-Bacon Act?
2. Has management properly communicated the requirements of the Davis-Bacon Act to staff, contractors, and subcontractors?
3. Does management understand its responsibility for monitoring compliance with the Davis-Bacon Act?
4. Are there mechanisms in place to identify contractors or subcontractors most at risk of not paying the prevailing wage rates?
5. Has management identified how compliance with the Davis-Bacon Act will be monitored and the related risks of failure to monitor for compliance?
6. Does the agency obtain the prevailing wage rates from the Federal Register or Department of Labor?
7. Are the prevailing wage rates and provisions of the Davis-Bacon Act posted at job sites?
8. Are contractors informed by procurement documents of the requirements for paying prevailing wage rates?
9. Are both contractors and subcontractors required to submit certifications and copies of payrolls?
10. Does the agency compare the prevailing wage rates with the rates paid by contractors or subcontractors based on payroll information submitted?
11. Do reports provide sufficient information to determine if the requirements of the Davis-Bacon Act are being met?
12. Are Wage Rate Determinations from the Department of Labor reviewed and maintained on file by the agency?

13. Are channels of communication established for staff, contractors, and workers to report misclassifications or failure to pay prevailing wages?
14. Does the agency periodically interview contractors' or subcontractors' workers to verify the wage rates being paid?
15. Are such wage rates then compared to the prevailing wage rates?
16. Is an agency employee, or an outside consultant, assigned the specific responsibility to monitor contractors for compliance with the contract terms, including the Davis-Bacon Act provision?
17. Are on-site visits periodically performed to monitor classifications and wage rates?
18. Are monitoring reports from contractors independently compared or checked against other reports?
19. Are requests periodically made to the Department of Labor for findings regarding the existence of any discriminatory practices by either contractors or subcontractors?
20. Does management conduct reviews to ensure that certified payrolls are properly received?

Exhibit 66: Fraud, Waste & Abuse

1. Management has established performance measures for processes, key performance indicators, and other components that could potentially be high-risk for fraudulent activity.
2. Personnel involved with "cash" are recording receipts in correct manner for proper revenue recognition.
3. Personnel involved with payment/expenditures are processing items in a timely manner.
4. Controls are in place to identify improper reporting of receivables/cash to conceal misappropriation of receivable payments.
5. Controls are in place to identify unauthorized P-card transactions, fictitious vendors, and inflated invoices from vendors.
6. Controls are in place to identify unauthorized payroll adjustments.
7. Management conducts periodic capital asset inventory reviews to account for all departmental assets and identify potential theft by employees.
8. Management periodically reviews work flow processes to identify employees subject to fraud risks.
9. Management has established appropriate segregation of duties, proper review and approval levels of authority, and proactive fraud review procedures.
10. A periodic review process is conducted to evaluate whether the current controls are effective to ensure fraud risk is addressed.
11. Management has conveyed a "zero tolerance" policy for fraudulent activity and provides employees with training and awareness regarding their responsibility to communicate any potential wrong doing.
12. Senior management ensures that the necessary follow-up actions are taken in response to reported control deficiencies.
13. Current audit/compliance reporting procedures are timely and effective.

**City of Santa Fe
Gross Receipts Taxes Collected (less Water 1/4%)**

MONTH	FY Actual 2007/08	% Inc/Dec	FY Actual 2008/09	% Inc/Dec	FY Actual 2009/10	% Inc/Dec	FY Actual 2010/11	% Inc/Dec
JUL	7,375,729	15.39%	7,522,492	1.99%	6,801,875	-9.58%	6,253,785	-8.06%
AUG	8,237,747	-2.16%	8,126,772	-1.35%	7,373,937	-9.26%	7,692,859	4.32%
SEPT	7,534,469	9.30%	7,711,349	2.35%	7,220,436	-6.37%	6,865,871	-4.91%
OCT	7,792,052	4.44%	7,750,530	-0.53%	7,133,369	-7.96%	7,300,775	2.35%
NOV	7,767,989	2.05%	7,590,931	-2.28%	6,887,336	-9.27%	6,788,772	-1.43%
DEC	7,385,740	-2.52%	7,808,652	5.73%	6,665,415	-14.64%	6,492,101	-2.60%
JAN	6,986,767	4.62%	6,511,739	-6.80%	6,118,876	-6.03%	6,284,002	2.70%
FEB	8,725,121	8.61%	7,679,717	-11.98%	7,568,323	-1.45%	7,786,459	2.88%
MAR	6,680,180	-4.15%	6,307,310	-5.58%	5,774,563	-8.45%	5,705,183	-1.20%
APR	5,957,049	-4.68%	6,038,594	1.37%	5,685,314	-5.85%	5,775,585	1.59%
MAY	6,903,178	-34.00%	6,517,131	-5.59%	6,580,129	0.97%	6,821,323	3.67%
JUN	7,201,012	-4.48%	6,123,927	-14.96%	6,212,278	1.44%	6,687,665	7.65%

FY Actual 2011/12	% Inc/Dec	\$ Diff to PY	FY Budget 2011-12	% Actual to Budget	Over/Under Budget
6,868,168	9.82%	614,382.99	6,476,221	6.05%	391,947
7,651,436	-0.54%	(41,423.05)	7,538,849	1.49%	112,587
7,162,003	4.31%	296,132.39	6,734,386	6.35%	427,617
7,456,520	2.13%	155,744.54	6,997,262	6.56%	459,238
7,169,747	5.61%	380,974.91	6,987,395	2.61%	182,352
6,576,396	1.30%	84,296.30	6,501,396	1.15%	75,000
6,653,844	5.89%	369,841.96	6,208,382	7.18%	445,462
8,240,913	5.84%	454,454.15	7,504,576	9.81%	736,337
6,242,865	9.42%	537,682.22	5,741,540	8.73%	501,325
6,318,974	9.41%	543,389.09	5,620,815	12.42%	698,159
			6,260,156		
			6,817,384		

TOTALS \$88,547,033 2.07% \$85,689,145 -3.23% \$80,021,871 -6.61% 80,454,380 0.54%

70,340,867 5.07% 3,395,475 79,388,382 4,030,025

Prior Years' Comparison:
July - Apr \$74,442,844 2.99% \$73,048,087 -1.87% \$67,229,464 -7.97% 66,945,392 -0.42%

Amount over(under) Budget:
70,340,867 5.07% 3,395,475 66,310,842 6.08% 4,030,025
Cumulative year-to-date comparison to prior year-to-date:
Cumulative year-to-date comparison to FY 07-08 year-to-date:
-5.51% (\$4,101,977.18)

July 2005 1/4% GRT Increase: WATER

MONTH	FY Actual 2007/08	% Inc/Dec	FY Actual 2008/09	% Inc/Dec	FY Actual 2009/10	% Inc/Dec	FY Actual 2010/11	% Inc/Dec
JUL	633,957	14.35%	654,025	3.17%	592,723	-9.37%	545,951	-7.89%
AUG	714,599	-95.00%	710,669	-0.55%	641,975	-9.67%	671,821	4.65%
SEPT	653,432	9.04%	670,318	2.58%	629,159	-6.14%	597,858	-4.98%
OCT	676,530	3.87%	679,674	0.46%	622,467	-8.42%	636,744	2.29%
NOV	679,250	4.49%	662,766	-2.43%	596,377	-10.02%	590,905	-0.92%
DEC	647,257	2.30%	683,888	5.66%	580,333	-15.14%	566,931	-2.31%
JAN	612,303	2.59%	570,156	-6.88%	534,889	-6.19%	549,104	2.66%
FEB	766,368	9.23%	672,413	-12.15%	661,900	-1.56%	680,339	2.79%
MAR	585,468	-0.35%	550,145	-6.03%	503,565	-8.46%	499,794	-0.75%
APR	546,057	4.90%	527,862	-3.33%	496,228	-5.99%	499,776	0.71%
MAY	951,790	57.65%	570,683	-40.04%	572,672	0.35%	594,603	3.83%
JUN	631,448	4.36%	534,251	-15.39%	541,828	1.42%	580,691	7.17%

FISCAL YR	% Inc/Decr	\$ Diff to PY	FY Budget 2011-12	% Actual to Budget	Over/Under Budget
598,654	9.65%	52,702.87	565,302	5.90%	33,352
667,629	-0.62%	(4,192.09)	658,058	1.45%	9,571
625,006	4.54%	27,148.07	587,838	6.32%	37,168
648,133	1.79%	11,389.12	610,765	6.11%	37,348
625,532	5.86%	34,627.23	609,922	2.56%	15,610
573,490	1.16%	6,559.16	567,500	1.06%	5,990
580,657	5.75%	31,553.24	541,922	7.15%	38,735
722,984	6.27%	42,644.82	655,065	10.37%	67,918.82
543,902	8.83%	44,107.80	536,068	1.46%	7,813.80
551,043	10.26%	51,267.30	490,635	12.31%	60,408.30
			546,443		
			560,168		

TOTALS \$8,097,459 8.74% \$7,486,850 -7.54% \$6,974,146 -6.85% \$7,014,517 -1.37%

6,137,031 5.10% \$297,808 \$6,929,726 5.39% \$313,916

Prior Years' Comparison:
July - Apr \$6,514,221 4.43% \$6,381,915 -2.03% \$5,859,646 -8.18% \$5,839,223 -0.35%

Budget vs Actual year-to-date comparison:
Current year-to-date comparison to prior year-to-date:
Current year-to-date comparison to FY 07-08 year-to-date:
-5.79% (377,190.82)

Exhibit "12"

City of Santa Fe
Gross Receipts by Category
Fiscal Years 2011-12 vs. 2010-11

APRIL
(February Activity)

Category	April 2011-12	April 2010-11	Dollar Difference	Percent Difference
Agriculture, forestry, hunting	4,423	3,088	1,335	43.25%
Mining	0	0	0	0.00%
Utilities	243,958	266,839	(22,881)	-8.57%
Construction	591,888	490,339	101,550	20.71%
Manufacturing	93,311	89,876	3,435	3.82%
Wholesale	110,059	109,403	656	0.60%
Retail	1,854,122	1,753,998	100,124	5.71%
Transportation & warehousing	13,218	29,942	(16,724)	-55.86%
Information & Cultural Indust.	269,775	268,310	1,465	0.55%
Finance & Insurance	120,824	79,672	41,152	51.65%
Real estate, rental & leasing	119,521	95,484	24,037	25.17%
Prof, Scientific, Technical	669,462	534,628	134,834	25.22%
Management of companies	26,606	15,838	10,769	67.99%
Admin & Support, Waste Mgt	40,120	53,290	(13,170)	-24.71%
Educational Services	49,748	56,051	(6,303)	-11.25%
Health Care & Social Assist	332,210	346,575	(14,365)	-4.14%
Arts, Entertainment & Recr	30,647	27,811	2,836	10.20%
Accommodation & Food	604,115	675,249	(71,134)	-10.53%
Other Services	642,856	617,142	25,715	4.17%
Public Administration	0	0	0	0.00%
Unclassified	17,442	9,174	8,268	90.12%
State reimb-food/med tax	1,010,005	728,372	281,633	38.67%
Muni. Equivalent Distribution	25,709	24,282	1,427	5.88%
Total Distribution	6,870,017.37	6,275,360.81	594,656.56	9.48%

City of Santa Fe
GRT Analysis By Category
Fiscal Years 2011-2012 VS 2010-11

Cumulative 2011-12 vs. Cumulative 2010-11
(May - Feb Activity)

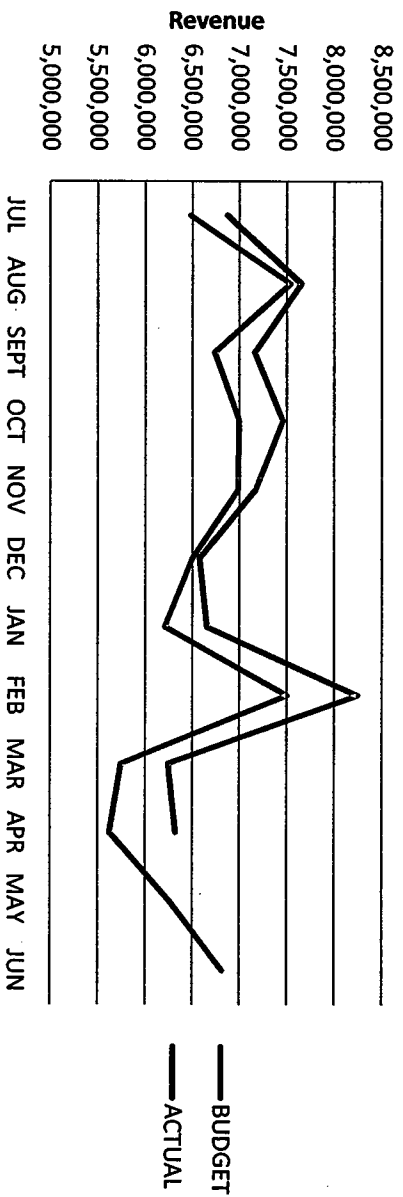
Category	July - Apr 2011-2012	July - Apr 2010-2011	Dollar Difference	Percent Difference
Agriculture, forestry, hunting, fishing	168,981	255,871	(86,890)	-33.96%
Mining	1,043	2,306	(1,263)	0.00%
Utilities	2,085,151	1,727,698	357,453	20.69%
Construction	7,646,830	6,358,567	1,288,263	20.26%
Manufacturing	1,356,720	1,350,328	6,392	0.40%
Wholesale	1,354,504	1,202,388	152,116	12.65%
Retail	22,626,997	22,164,576	462,421	2.09%
Transportation & warehousing	444,591	409,889	34,702	8.47%
Information and Cultural Indust	2,872,287	2,681,776	190,511	7.10%
Finance & Insurance	752,315	745,854	6,461	0.87%
Real estate, rental & leasing	1,396,463	1,178,667	217,796	18.48%
Professional, Scientific, Tech	5,860,358	5,440,770	419,588	7.71%
Management of companies	178,491	186,197	(7,706)	-4.14%
Admin & Support, Waste Mgt	761,846	684,242	77,604	11.34%
Educational Services	438,838	386,413	52,425	13.57%
Health care and social assist	3,638,234	3,614,651	23,582	0.65%
Arts, Entertainment & Recr	363,649	400,643	(36,994)	-9.23%
Accommodation & Food	8,326,751	8,221,513	105,238	1.28%
Other Services	7,005,424	6,885,337	120,087	1.74%
Public Administration	1,168	0	1,168	0.00%
Unclassified	152,685	351,451	(198,766)	-56.56%
State reimb-food/med tax	8,745,046	8,274,040	471,006	5.69%
Muni. Equivalent Distribution	300,527	261,438	39,089	14.95%
Total Distribution	76,477,897	72,784,614	3,693,283	5.07%

City of Santa Fe
GRT Analysis By Category
Fiscal Years 2011-12 vs. 2010-2011 and 2007-2008

Cumulative July-April
(May-February Activity)

Category	July-April 2011-2012	July-April 2010-2011	July-April 2007-2008	Dollar Dif FY 11-12 vs FY 10-11	Percent Dif FY 11-12 vs FY 10-11	Dollar Dif FY 11-12 vs FY 07-08	Percent Dif FY 11-12 vs FY 07-08
Agriculture, forestry, hunting, fishing	168,981	255,871	346,471	(86,890)	-33.96%	(177,490)	-51.23%
Mining	1,043	2,306	112	(1,263)	-54.79%	930	0.00%
Utilities	2,085,151	1,727,698	1,863,655	357,453	20.69%	221,497	11.89%
Construction	7,646,830	6,358,567	11,352,630	1,288,263	20.26%	(3,705,801)	-32.64%
Manufacturing	1,355,720	1,350,328	1,706,011	5,392	0.40%	(350,291)	-20.53%
Wholesale	1,354,504	1,202,388	1,618,480	152,116	12.65%	(263,976)	-16.31%
Retail	22,626,997	22,164,576	24,794,172	462,421	2.09%	(2,167,175)	-8.74%
Transportation & warehousing	444,591	409,889	541,910	34,702	8.47%	(97,319)	-17.96%
Information and Cultural Indust	2,872,287	2,681,776	1,264,422	190,511	7.10%	1,607,864	127.16%
Finance & Insurance	752,315	745,854	972,341	6,461	0.87%	(220,027)	-22.63%
Real estate, rental & leasing	1,396,463	1,178,667	1,835,982	217,796	18.48%	(439,518)	-23.94%
Professional, Scientific, Tech	5,860,358	5,440,770	5,270,753	419,588	7.71%	589,604	11.19%
Management of companies	178,491	186,197	289,489	(7,706)	-4.14%	(110,998)	-38.34%
Admin & Support, Waste Mgt	761,846	684,242	376,085	77,604	11.34%	385,761	102.57%
Educational Services	438,838	386,413	217,354	52,425	13.57%	221,484	101.90%
Health care and social assist	3,638,234	3,614,651	3,205,543	23,582	0.65%	432,690	13.50%
Arts, Entertainment & Recr	363,649	400,643	339,916	(36,994)	-9.23%	23,732	6.98%
Accommodation & Food	8,326,751	8,221,513	8,549,392	105,238	1.28%	(222,641)	-2.60%
Other Services	7,005,424	6,885,337	8,364,199	120,087	1.74%	(1,358,775)	-16.25%
Public Administration	1,168	0	274	1,168	0.00%	893	325.56%
Unclassified	152,685	351,451	1,148,541	(198,766)	-56.56%	(995,856)	-86.71%
State reimb-food/med tax**	8,745,046	8,274,040	6,899,332	471,006	5.69%	1,845,714	26.75%
Muni. Equivalent Distribution	300,527	261,438	0	39,089	14.95%	300,527	100.00%
Total Distribution	76,477,897	72,784,614	80,957,066	3,693,283	5.07%	(4,479,169)	-5.53%

Comparison of Budget vs Actual FY 11-12



Comparison of Actual GRT - 5 Fiscal Years

