CALL TO ORDER:

1. PLEDGE OF ALLEGIANCE
2. MOMENT OF SILENCE
3. ROLL CALL
4. INTRODUCTIONS
5. APPROVAL OF AGENDA
6. APPROVAL OF MINUTES – February 3, 2017
7. PUBLIC COMMENTS

PRESENTATION ITEMS:

A. Recognition of Councilor Pete Sheehy Service to the North Central Regional Transit District
   Sponsor: Daniel Barrone, Chairman and Anthony J. Mortillaro, Executive Director

ACTION ITEMS:

B. Discussion and Consideration of Re-adoption to correct Resolution 2017-06 from the January 13, 2017 Board Meeting to Resolution No. 2017-09 – Adoption of a Policy for Prescription and over the Counter Drugs
   Sponsor: Anthony J. Mortillaro, Executive Director.
   Attachment.

C. Discussion and Consideration of the Sustainability Plan FY16 Goals and Metrics Annual Report
   Sponsor: Anthony J. Mortillaro, Executive Director and Delilah D. Garcia, Transit Operations and Facilities Director
   Attachment.

D. Discussion and Consideration of Resolution No. 2017-10 Amending and Updating the Existing Fare Resolution
   Sponsor: Anthony J. Mortillaro, Executive Director and Stacey McGuire, Planning, Projects and Grants Manager
   Attachment
E. Discussion and Approval of the Award of Annual Audit  
Sponsor: Anthony J. Mortillaro, Executive Director and Troy Bingham, Finance Director.  
Attachment

F. Discussion and Consideration of Resolution No. 2017-11 Authorizing NCRTD Staff to Collaborate with Tesuque Pueblo in Applying for Tribal Transit Program Discretionary Program to Purchase a Replacement Vehicle  
Sponsor: Anthony J. Mortillaro, Executive Director and Stacey McGuire, Planning, Projects and Grants Manager  
Attachment

DISCUSSION ITEMS:

G. Financial Report for January 2017:  
Sponsor: Anthony J. Mortillaro, Executive Director and Troy Bingham, Finance Director.  
Attachment.

H. Finance Subcommittee Report:  
Sponsor: Chair Ed Moreno and Anthony J. Mortillaro, Executive Director.  
Minutes from January 27, 2017.

I. Tribal Subcommittee Report:  
Sponsor: Chair Charles Dorame and Anthony J. Mortillaro, Executive Director.  
None

J. Executive Report and Comments from the Executive Director:  
1.) Executive Report for February 2017  
2.) Performance Measures for January 2017  
3.) Ridership Report for January 2017

MATTERS FROM THE BOARD

MISCELLANEOUS

ADJOURN

NEXT BOARD MEETING:  April 7, 2017 at 9:00 a.m.

If you are an individual with a disability who is in need of a reader, amplifier, qualified Sign Language interpreter or any other form of auxiliary aid or service to attend or participate in the hearing of the meeting, please contact the NCRTD Executive Assistant at 505-629-4702 at least one week prior to the meeting, or as soon as possible. Public documents, including the agenda and minutes, can be provided in various accessible formats.
CALL TO ORDER:

A regular meeting of the North Central Regional Transit District Board was called to order on the above date by Mayor Dan Barrone, Chair, at 9:03 a.m. at the Jim West Regional Transit Center, Española, New Mexico.

1. Pledge of Allegiance
2. Moment of Silence
3. Roll Call

Ms. Trujillo called the roll and it indicated the presence of a quorum as follows:

<table>
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<tr>
<th>Members Present:</th>
<th>Elected Members</th>
<th>Alternate Designees</th>
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<tr>
<td>Los Alamos County</td>
<td>Councilor Pete Sheehy</td>
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<td>Rio Arriba County</td>
<td>Commissioner Alex Naranjo</td>
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<td>Taos County</td>
<td>Commissioner Jim Fambro</td>
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<td>Town of Taos</td>
<td>Mayor Dan Barrone, Chair</td>
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<td>Santa Fe County</td>
<td>Commissioner Ed Moreno</td>
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<td>Nambé Pueblo</td>
<td>Lt. Gov Arnold Garcia</td>
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<td>Ohkay Owingeh</td>
<td>Absent</td>
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<td>Pojoaque Pueblo</td>
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<td>Councilwoman Elizabeth Duran</td>
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<tr>
<td>Santa Clara Pueblo</td>
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<td>Ms. Mary Lou Valério</td>
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<td>City of Santa Fe</td>
<td><em>Councilor Joseph Maestas</em></td>
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<td>San Ildefonso Pueblo</td>
<td><em>Ms. Lillian Garcia</em></td>
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<td>Tesuque Pueblo</td>
<td>Absent</td>
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<tr>
<td>City of Española</td>
<td><em>Councilor Tim Salazar</em></td>
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<td>Town of Edgewood</td>
<td><em>Councilor Chuck Ring</em></td>
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<td>Rio Metro (ex officio)</td>
<td><em>Ms. Elizabeth Carter</em></td>
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**Staff Members Present**

- Mr. Anthony J. Mortillaro, Executive Director
- Ms. Jackie Trujillo, Executive Assistant
- Ms. Stacey McGuire, Projects and Grants Specialist
- Mr. Troy Bingham, Finance Director
- Mr. Peter Dwyer, Legal Counsel
- Ms. Dora Anaya, HR Director
- Ms. Delilah Garcia, Transit and Facilities Operations Director
- Mr. Jim Nagle, Public Information Officer

**Others Present**

- Mr. Carl Boaz, Stenographer
- Mr. Austin Fisher, Rio Grande Sun
- Mr. James Martinez, Santa Fe Trails
- Mr. Ray Matthews, Santa Fe County
- Mr. Marcos López
- Mr. Elmer Padilla

4. **INTRODUCTIONS**

 Those present introduced themselves to the Board. Councilor Sheehy said he would soon be replaced by Councilor Antonio Maggiore.

5. **APPROVAL OF AGENDA**

 Commissioner Fambro moved to approve the Agenda as presented. Councilor Salazar seconded the motion and it passed by unanimous (12-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Town of Edgewood, Pojoaque Pueblo, Rio Arriba County, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against.


 Commissioner Naranjo moved to approve the minutes of January 13, 2016 as submitted.
Councilor Maestas seconded the motion and it passed by unanimous (12-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Town of Edgewood, Pojoaque Pueblo, Rio Arriba County, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against.

7. PUBLIC COMMENTS

There were no public comments.

PRESENTATION ITEMS:

There were no presentation items.

ACTION ITEMS:

A. Discussion and Consideration of Adoption of a Resolution No. 2017-06 Amending the Procurement Regulations

Mr. Mortillaro said the last modification of the procurement regulations was in Dec 2012. This amendment clarifies the exemptions. After a Rail and Transit Division technical review conducted in October, 2016 there were some requested modifications for procurement regulations to align with FTA procurement rules. Mr. Bingham and Mr. Dwyer worked on them.

Mr. Dwyer said the main change is on page 17 of the packet, to indicate the general authority under our own statutes to have our own regulations. This position is that the District is an independent authority for adoption of its own laws but they comply with State and Federal government procurement requirements and best practices. Since the District deals with federal funds it must follow both statutes which don’t always agree, so these regulations are a hybrid.

The additional exemptions placed in this policy are not in state law but believed to be legal. Most are small purchases under State law. The District tries to comply with the state audit. There were a few lingering concerns on processes such as handling protests and concerns to clarify various other processes already in the code.

Mr. Bingham said the biggest change is in the packet, page 33 (page 17 of the policy) to clarify the small purchase thresholds There is some hindrance in doing our duty and state levels would be advantageous. The 12-B federally funded threshold is still $3,500. For any vehicle maintenance cost that is higher, the District must get multiple quotes or have a contract. We follow state contracts where possible. Anything outside of vehicle maintenance and advertising would fall under the small purchase level (under the raised threshold of $20,000). For over that amount, it is up to the chief procurement officer to find the most appropriate way to go out for procurement. For towing, it is the closest tow company - not 3 bids in the state. But anything over $20,000 requires three quotes. That is sometimes difficult but that is what the State requires.

Emergency purchase is sole source. Maintenance of software is the vendor. Sole source purchases are posted 30 days on the web site and emergency procurements are irregular and are posted as soon as
the emergency is known.

Exemptions are shown on page 18 for things like office supplies. The State once put out pricing agreements to avoid bids but decided not to do that any longer. Intergovernmental agreements don’t fall under procurement regulations.

Towing is shown on page 20. The District uses one of three towing companies with big rigs, broken out by community area.

The other issue he pointed out was bid and performance bonds on page 37. On construction, the previous threshold was $50,000 and is proposed now at $250,000. In northern New Mexico, it is not common to get bids so this would allow the District to avoid having to teach them about the bid bond market, the payment bond market and the performance bond market. It does introduce some risk and is up to the chief procurement officer. To do so, requires more money and a search so this would give more leeway.

Commissioner Fambro asked how many contracts the District has under $250,000.

Mr. Bingham said there is only one now - for 9 bus stops, and only 3-4 since he came.

Commissioner Fambro asked what would be done if the District had a contractor who didn’t pay their sub-contractor if the District was not happy with the work.

Mr. Bingham said they would consider performance bonds if that was suspected it might happen.

Mr. Dwyer said the District can do bonding selectively. For the generator, the cost of the bond was too expensive. This change gives us more flexibility and saves money.

Mr. Mortillaro explained the terminology change. A certified chief procurement officer is required by the State for all local governments Mr. Bingham has met the requirements to be one.

Councilor Sheehey said the Finance Committee reviewed these changes and finds them all reasonable.

Councilor Salazar moved to approve Resolution No. 2017-06 Amending the Procurement Regulations. Commissioner Naranjo seconded the motion and it passed by unanimous (12-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Town of Edgewood, Pojoaque Pueblo, Rio Arriba County, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against.

B. Discussion and Approval of North Central Regional Transit District FY 2017 Mid-Year Financial Summary Report

Mr. Mortillaro said the financial polices require a mid-year financial report and it allows identification of possible mid-year adjustments if they are warranted.

Mr. Bingham reviewed the report that began on page 105 with revenues. This gives a prediction and
gets us ready for the budget cycle. We expect less than budgeted for revenues. Certain revenues are better. GRT is about $6,000 to the good and will make up for the need to use fund balance. The federal grants don’t always match the fiscal year so the budget has some from last year and some go into next year. We are using everything to the best of our capacity.

He still expected Los Alamos to fulfill their local contribution but that is not decided yet. The Mountain Trail is the same as last year. The District is using current revenue for current expenses. Insurance proceeds are coming in.

Page 106 shows grant revenue and a spike of expenses in April for the 14 of buses now in Albuquerque waiting the equipment to come in for installation.

GRT actuals are in line with prior years with $7.6 million anticipated on a budget of $7.0 million. He went through the individual counties.

Mr. Bingham reviewed the expenses and highlighted personnel, fleet and facilities. The biggest savings was in capital outlay but did not anticipate any carry over. Capital savings are never used to cover operational shortfall.

In response to a question on state funds reverting, Mr. Bingham said the only amount was for a vehicle which he anticipated would be spent in March.

Councilwoman Durán noted that the Governor has frozen those state funds and asked if that would have any effect on the budget.

Mr. Bingham said the District has already encumbered the money for the vehicle so it will have no effect on the District.

Commissioner Fambro moved to accept the FY 2017 Mid-Year Financial Summary Report as presented. Councilor Maestas seconded the motion and it passed by unanimous (11-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Pojoaque Pueblo, Rio Arriba County, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against. Town of Edgewood was not present for the vote.

C. Discussion and Consideration of Award of Contract – Española Facility Backup Generator Project and Resolution No. 2017-07 Amending the FY 2017 Budget

Mr. Mortillaro said this has been in the capital plan for several years. Power outages are experienced periodically and we want this building to operate during those outages and as a potential emergency facility as well. The District went out for bids three times and were not successful in getting proposals until the third time.

Mr. Bingham said we originally estimated the cost at $90,000 for purchase and installation. On the third try, four bids came in with the lowest at $98,233.87. This is a request to increase the budget by $18,000 ($9,000 for the project and $9,000 for contingency). Wilson & Company will be the project engineer who are knowledgeable with it. They plan to kick it off as soon as the Board approves and have the generator in place for the summer when we get most outages. By not doing other capital projects, we are able to
minimize the increase. It requires Board approval. The match is from unused funds from a Taos project.

Mr. Mortillaro added that Wilson Engineering did the design specs and will do construction management to make sure the contractor constructs to that design. It requires some excavating across the parking lot for connection and a wall around the generator which will be diesel-powered and the generator includes the fuel container.

Chair Barrone asked about possible fuel spills.

Mr. Bingham said the design will provide a double-wall tank to contain any possible spill.

Councilor Maestas moved approve Resolution No. 2017-07 Amending the FY 2017 Budget to increase the capital budget to accommodate the facility backup generator project from $90,000 to $108,000 as presented in the agenda. Councilor Ring seconded the motion and it passed by unanimous (12-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Town of Edgewood, Pojoaque Pueblo, Rio Arriba County, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against.

Councilor Maestas moved to authorize the Executive Director to execute a contract for $98,233.87 to Omega Contractors for the installation and construction of a backup generator for the Española facility. Chair Barrone seconded the motion and it passed by unanimous (12-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Town of Edgewood, Pojoaque Pueblo, Rio Arriba County, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against.

Councilor Maestas moved to authorize the Executive Director, if required, to increase the award to Omega Contractors if there are any unforeseen construction expenses not to exceed the project budget. Commissioner Naranjo seconded the motion and it passed by unanimous (12-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Town of Edgewood, Pojoaque Pueblo, Rio Arriba County, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against.

D. Discussion and Consideration of Budget Resolution No. 2017-08 Approving a Capital Project Funding Allocation for the Operations Area Remodel

Mr. Mortillaro explained that there is an area in back that was originally planned as a customer waiting area and never used for that purpose so it has been available as extra space for future growth. The growth needs are now here with addition of another supervisor and perhaps a space for a third dispatch station and a small conference room for private meetings with employees. So they are planning to remodel that area.

Mr. Bingham said in the 2017 budget, $22,000 was allocated for the project. As contractors saw the 20' ceilings and other problems they would encounter, the cost increased. The construction cost for moving a wall and reconstructing a small conference room is $23,181. Cubicles and conference room chairs are estimated to be around $21,513 and carpeting throughout at actual cost to match existing area. IT services are maxed out so a small IT closet is needed for more capacity on the server at $2,500 and with a 10% contingency, the revised amount would be $54,658. So, $25,000 is needed to cover the shortfall.
budget included funding for bus shelters and bus stop improvement project that will not be done this year will make up the difference so the overall budget change is zero.

Councilor Maestas asked about the nature of bus stop improvements.

Mr. Bingham explained that the District buys two shelters every year and funds to replace one damaged by accident. The District is adding 9 bus stops this year and 4 more next year.

Councilor Maestas wanted to make sure we are not taking money from the ADA retrofits.

Mr. Bingham agreed that it won’t.

Commissioner Naranjo moved to approve Budget Resolution No. 2017-08 Approving a Capital Project Funding Allocation for the Operations Area Remodel. Councilor Maestas seconded the motion and it passed by unanimous (12-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Town of Edgewood, Pojoaque Pueblo, Rio Arriba County, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against.

E. Discussion and Approval of Memorandum of Agreement (MOA) between NCRTD and Jicarilla Apache Nation (JAN) for Federal Fiscal Year (FY) 2016 Tribal Transit Program (TTP) Discretionary §5311(c) Funds

Mr. Mortillaro said some time back the Board authorized submission of a grant application from NCRTD and Jicarilla Apache Nation and it was successful to provide for 5-day service from Dulce to Farmington and Dulce to Chama. We need to have a Memorandum of Agreement to use those funds.

Ms. McGuire said the funds would be used to provide the service and purchase a vehicle for the routes. The proposed MOA was shown on page 308 with a template as reviewed by Mr. Dwyer and Jicarilla Legal Department. If approved, they will meet with them on February 8 and she didn’t expect any change in the draft.

The cost is $234,000 with $211,000 from the federal award and Jicarilla local match of $23,000 plus indirect costs of $23,000, with the caveat that this is contingent on Jicarilla Apache Nation approval. If it changes, she will bring it back.

Lt. Gov Garcia moved to approve the Memorandum of Agreement (MOA) between NCRTD and Jicarilla Apache Nation (JAN) for Federal Fiscal Year (FY) 2016 Tribal Transit Program (TTP) Discretionary §5311(c) Funds. Commissioner Naranjo seconded with contingency of Jicarilla Apache Nation approval, and it passed by unanimous (12-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Town of Edgewood, Pojoaque Pueblo, Rio Arriba County, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against.

F. Discussion and Acceptance of Investment of District Funds Summary

Mr. Bingham reported for the second quarter an increased investment portfolio since capital projects
don’t normally happen until later in FY with eight brokered CDs added and liquidated two large treasuries, as described on page 321. The average return for this portfolio is 50 bps and a maturity of 9 months. He is considering lengthening the maturity to two years. It continues to be a passive portfolio.

Councilor Sheehey said the Finance Committee looked at it and determined that the return is improving. Mr. Bingham is quite aware of managing them and keeping sufficient cash to cover current expenses. It is a good and prudent policy and the Committee approved the report.

Councilor Ring moved to accept the Investment of District Funds Quarterly Summary Report as presented. Councilor Maestas seconded the motion and it passed by unanimous (11-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Town of Edgewood, Pojoaque Pueblo, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against. Rio Arriba County was not present for the vote.

Councilor Sheehey commented that, although Mr. Bingham tries to maximize the return, it moves our funds away from local banks. If they offer a competitive return, the District can put its money there first but cannot subsidize the local banks and not obtain what can be achieved elsewhere.

G. Discussion and Acceptance of Automatic Clearing House (ACH) Payments over $20,000 from July 1, 2016 through December 31, 2016

Mr. Mortillaro explained that this is our first report on electronic payments made that are over $20,00 which are required by the policy approved last month to be reported. In the past, those payments were made by checks with two signatures.

Mr. Bingham commented that they included payments to Rio Metro, Los Alamos County, and City of Santa Fe. Some payroll taxes are over $20,000. $2.9 million of $4 million were done through ACH. This program is a success and it makes sure we are good stewards. More and more vendors are open to that.

There was skepticism in giving out their bank accounts and we have proven their trust. This is typical throughout the country.

Councilor Ring asked what benefit is derived from the ACH payments.

Mr. Bingham said that by law, the District is required to pay within 30 days. With ACH, we typically do it within two weeks now. No rebates are achieved by this but the District could time the payments more precisely.

Councilor Ring moved to accept the report of Automatic Clearing House (ACH) Payments over $20,000 from July 1, 2016 through December 31, 2016 as presented. Commissioner Naranjo seconded the motion and it passed by unanimous (12-0) roll call vote with City of Española, Los Alamos County, Nambé Pueblo, Town of Edgewood, Pojoaque Pueblo, Rio Arriba County, San Ildefonso Pueblo, Santa Clara Pueblo, City of Santa Fe, Santa Fe County, Taos County, and Town of Taos voting in favor and none against.
DISCUSSION ITEMS

H. Financial Report for December 2016:

Mr. Bingham referred to page 326 for the financial report and provided details on county GRT revenues. GRT is down $26,000 for the year but grant revenue is up $53,000. He commented on the expenses which was at 34% half way through the fiscal year. He described the percentages for each of the categories and stood for questions.

There were no questions on the financial report.

I. Finance Subcommittee Report:

Councilor Sheehey said most of this was commented on earlier in the meeting.

Commissioner Fambro said he was shown as absent but he was not a member of the Finance Subcommittee. Leandro Cordova is the member but he missed the phone call.

Mr. Mortillaro agreed. Also, John Bulthuis should not be shown as a member.

J. Tribal Subcommittee Report

Mr. Mortillaro said there was no report. The next meeting is tentatively scheduled for April 17th.

K. Executive Report and Comments from the Executive Director.

Mr. Mortillaro said his report is in the packet.

Ms. Garcia presented the highlights from the performance report in the packet, including the costs per mile for operations, the vehicle ratio, preventative maintenance, accidents, passenger compliments and complaints. She also reported on paratransit statistics.

There were no comments or questions.

Mr. Mortillaro introduced Mr. David Funck new Manager of Fleet and Facilities who came from State DPS maintenance operations and invited him to speak.

Mr. Funck said he was looking forward to working at the RTD which he considered the best transit operation in the State.

Mr. Mortillaro reported on the consolidation study report that the tasks are completed and the final comments submitted to the contractor. The financial conditions draft is awaiting some final data and hopefully will be here by next week for a final review.

All stakeholders completed the survey except for NCRTD Board members and some of those are finished. Once these are done and signed off by City and District, the consultants will draft the options for consolidations and evaluate them. Then the draft will be released to the public and public meetings on the
document scheduled. Once that is done, the consultants will meet with the Board for draft comments and with Santa Fe City Council for their comments. Once that is done, they will finalize the study and submit final recommendations for acceptance by Board and City Council. He is looking at early March for those to be delivered here.

Mr. Mortillaro said the March meeting would have our annual fundraiser for the Employees' Fund. Come hungry.

MATTERS FROM THE BOARD

1. Meeting Rotation Schedule.

Mr. Mortillaro said that at the January meeting a question came up about Board meeting locations rotation. The Board tried rotating every quarter and did four of them and then stopped because it was only for one year.

Chair Barrone asked how hard that is on staff for moving the meeting around to transport everything and make sure it is posted, etc. He felt this is a great place to meet. Councilor Ring probably travels the furthest. We built this building to make it a good meeting place and Española is a good central location.

Mr. Dwyer said it is very important to have good audio capability. Some may wish to participate by phone and that can only happen with good telecommunications facilities so the audience can hear. The AG discourages boards and commissions moving their meeting locations around.

Councilor Maestas felt it was easier on everyone to meet here. This is the main meeting location and he hated to change it.

Councilor Salazar also agreed. There is lots of paper in the packets and a lot of work on staff already.

Mr. Mortillaro announced that this is Councilor Sheehey's last meeting with the Board and thanked him for his participation on this Board. He had diligence and dedication and for the chairing the Finance subcommittee.

Councilor Sheehey said it has been an honor and a pleasure to be on this Board. Councilor Antonio Maggiore will be taking his place. He is younger and a big supporter of transit.

He commented that an important bill they are working on is that next year, the Los Alamos contract will be up for bid and possibly go back to a nonprofit. Ten years ago, it was with the University of California and then went to a for-profit consortium. If it goes back to a nonprofit, Los Alamos stands to possibly lose $20 million and the State about $50 million. and the NCRTD a great amount, too.

DC needs to look at who can do the best job. There is a lot of support for a nonprofit. So, Representative Garcia would simply take away the tax exemption for national laboratories if the contractor is nonprofit. That bill doesn’t change anything right now but it could save a real revenue disaster. And allow the best contractor to do the job. We support that bill and there is good support for it regionally. He would be happy to work with any of the Board members on transit issues. He thanked them for all of their cooperation.
Mr. Mortillaro said NMTA is introducing a funding bill. He would get the numbers for the Board members. It will allow for about $15 million in severance bonds over the next five years for the acquisition of transit vehicles and facilities on a state-wide basis. $2.7 million would go to public transit; $300,000 to senior transit providers. It will be introduced now. Hopefully, the members will be able to support that bill. The sponsor, Bobby Gonzales, chairs the transportation committee.

MISCELLANEOUS

There were no miscellaneous matters.

ADJOURNMENT

Commissioner Naranjo moved to adjourn the meeting. Councilor Maestas seconded the motion and it passed by unanimous voice vote.

The meeting was adjourned at 10:42 a.m.

Approved by:

Daniel R. Barrone, Chair

Attest:

Dennis Tim Salazar, Secretary

Submitted by:

Carl Boaz for Carl G. Boaz, Inc.
Agenda Report
NCRTD Board of Directors Meeting
Meeting Date: March 3, 2017

Agenda Item – B

**Title:** Re-adoption to correct Resolution No. 2017-06 from the January 13, 2017 Board Meeting to Resolution No. 2017-09, Adopting a Policy Establishing a Prescription and Over the Counter Drug Policy.

**Prepared By:** Delilah D. Garcia, Transit Operations and Facilities Director and Peter Dwyer, Legal

**Summary:** This is a re-adoption of the resolution that was adopted by the Board at its January 13 meeting, since the incorrect resolution number was utilized.

**Background:** New Mexico state statute requires adoption.

**Recommended Action:** It is recommended that the Board re-adopt Resolution No. 2017-06 with the new Resolution number “2017-09”.

**Options/Alternatives:** N/A

**Fiscal Impact:** None

**Attachment:**
- Resolution No. 2017-09
- Prescription and over the Counter Drugs Policy
North Central Regional Transit District (NCRTD)

Resolution No. 2017-09

ADOPTION OF A POLICY FOR PRESCRIPTION AND OVER THE COUNTER DRUGS

WHEREAS, the NCRTD was created through legislative enactment (NMSA 1978, Sections 73-25-1 through 73-25-19); and

WHEREAS, the NCRTD is a subdivision of the State of New Mexico with all the authority and duties of the same; and

WHEREAS, the Board has the authority to make and pass resolutions necessary for the execution of the powers vested in the District; and

WHEREAS, the Board has approved a Drug and Alcohol Policy; and

WHEREAS, the NCRTD wishes to adopt a standalone policy Prescription and Over the Counter Drugs.

NOW THEREFORE BE IT RESOLVED THAT: The Board adopts the attached policy regarding Prescription and Over the Counter Drugs.

PASSED, APPROVED AND ADOPTED BY THE GOVERNING BODY OF THE NORTH CENTRAL REGIONAL TRANSIT DISTRICT ON THIS 3rd DAY OF MARCH, 2017.

Daniel R. Barrone, Chairman

Approved as to form:

Peter Dwyer, Counsel
1.0 Objective:

The objective of this policy is to provide guidance to all District employees regarding the District’s handling of over the counter and prescription drugs which may impact the performance of work duties for the District.

2.0 Coverage:

This policy covers all District employees including but not limited to District employees in “safety sensitive” positions that are further regulated by the District’s drug and alcohol policies.

3.0 Oversight Responsibility:

This policy shall be administered by all District supervisors, the Human Resources Director and the Executive Director.

4.0 General Prohibition on Impaired Operation and Maintenance of Vehicles:

It is the Policy of the District to prohibit all impaired driving, operation, maintenance and repair of District vehicles. Any District employee who violates this policy may be subjected to disciplinary action regardless of whether the impairment is due to otherwise legal and permissible use of a over the counter or prescription drug. The following is a list of drugs that employees should be aware may impair driving.

Alcohol
Anticholinergics
Anticonvulsants
Antidepressants
Bupropion
Mirtazapine
Monoamine oxidase (MAO) inhibitors
Selective serotonin reuptake inhibitors (SSRI)
Tricyclic antidepressants (TCA)
Antiemetic’s
Antihistamines
Antihypertensive
Antiparkinsonians
Antipsychotics
Benzodiazepines and other sedatives/anxiolytics
Nonsteroidal anti-inflammatory drugs (NSAID)
Muscle relaxants
Narcotic analgesics
Stimulants

5.0 Medical Conditions that May Impair Operation of Vehicles:

Medical Conditions that may impair the operation of vehicles or performance of District duties include but are not limited to the following. If an employee has one of these conditions or symptoms he or she should seek medical guidance prior to using prescription or over the counter drugs to treat the condition or symptom.

5.1 Vision

Visual Acuity including:
  Cataracts,
  Diabetic retinopathy,
  Keratoconus, Macular degeneration,
  Nystagmus,
  Telescopic lens.
Visual Field including:
  Glaucoma,
  Hemianopia/quadrantanopia,
  Monocular vision,
  Ptosis, Retinitis pigmentosa.
Contrast Sensitivity including:
  Defective color vision,
  Poor night vision.

5.2 Cardiovascular Diseases

Unstable coronary syndrome (unstable angina or myocardial infarction)
Cardiac conditions that may cause a sudden, unpredictable loss of consciousness including:
  Atrial flutter/fibrillation with bradycardia or rapid ventricular response
  Paroxysmal supraventricular tachycardia (PSVT), including Wolf-Parkinson-White (WPW) syndrome
  Prolonged, nonsustained ventricular tachycardia (VT)
  Sustained ventricular tachycardia (VT)
  Cardiac arrest
  High grade atrio-ventricular (AV) block
  Sick sinus syndrome/sinus bradycardia/sinus exit block/sinus arrest
Cardiac disease resulting from structural or functional abnormalities
Congestive heart failure (CHF) with low output syndrome
Hypertrophic obstructive cardiomyopathy
Valvular disease (especially aortic stenosis)

**Time-limited restrictions: cardiac procedures**
- Percutaneous transluminal coronary angioplasty (PTCA)
- Pacemaker insertion or revision
- Cardiac surgery involving median sternotomy
  - Coronary artery bypass graft (CABG)
  - Valve repair or replacement
  - Heart transplant

**Internal cardioverter defibrillator (ICD)**

5.3 **Cerebrovascular Diseases**

- Post intracranial surgery
- Stroke
- Subarachnoid hemorrhage

5.4 **Neurologic Diseases**

- Brain tumor
- Dementia
- Migraine and other recurrent headache syndromes
- Movement disorders
- Multiple sclerosis
- Paraplegia/quadriplegia
- Parkinson’s disease
- Peripheral neuropathy
- Seizure disorder
  - Single unprovoked seizure
  - Withdrawal or change of anti-convulsant drug therapy
- Sleep disorders
  - Narcolepsy
  - Sleep apnea
- Stroke
- Tourette’s syndrome
- Traumatic brain injury
- Vertigo

5.5 **Psychiatric Diseases**

- Affective disorders
  - Depression
  - Bipolar disorder
- Anxiety disorders
- Psychotic illness
  - Acute episodes
  - Chronic illness
Personality disorders
Substance abuse
Attention deficit disorder (ADD)/attention deficit hyperactivity disorder (ADHD)
Tourette’s syndrome

5.6 Metabolic Diseases
Diabetes mellitus
   Insulin dependent diabetes mellitus (IDDM)
   Non-insulin dependent diabetes mellitus (NIDDM)
Hypothyroidism
Hyperthyroidism

5.7 Musculoskeletal Disabilities
Arthritis
Foot abnormalities
Limitation of cervical movement
Limitation of thoracic and lumbar spine
Loss of extremities
Muscle disorders
Orthopedic procedures/surgeries
   Amputation
   Anterior cruciate ligament (ACL) reconstruction
   Limb fractures and treatment involving splints and casts
   Rotator cuff repair—open or arthroscopic
   Shoulder reconstruction
   Total hip replacement
   Total knee arthroplasty (TKA)

5.8 Peripheral Vascular Diseases
Aortic aneurysm
Deep vein thrombosis (DVT)
Peripheral arterial aneurysm

5.9 Renal Disease
   Chronic renal failure
   Renal transplant

5.10 Respiratory Diseases
Asthma
   Chronic obstructive pulmonary disease (COPD)
   Sleep apnea

5.11 Effects of Anesthesia and Surgery
   Abdominal, back, and chest surgery
   Anesthesia
      General
      Local
      Epidural
      Spinal
   Neurosurgery
   Orthopedic surgery
5.12 Miscellaneous Conditions
   Cancer
   Hearing loss

6.0 Employee’s Duties:

6.1 Employee Monitoring

It is the duty of all District employees to ensure that they are aware of the effects and side-effects of all over the counter and prescription drugs they use. Because the district may not have access to employee’s private medical information, the District cannot accept responsibility for employee decisions regarding over the counter and prescription drugs that may impact or impair the employee’s performance of job functions. Therefore, it is imperative that employees seek advice from any medical practitioner prescribing any drug of any sort and any pharmacist recommending or dispensing any medication whether over the counter or prescription drugs to ensure that the use of the drug, whether during working hours or not, will not impair the employee from performing his or her work duties safely and legally. Employees should inform their doctors and pharmacists of the employee’s job duties including all information in the relevant job description. Employee’s should further inform their doctors and pharmacists if they are in a safety sensitive position that is subject to random, post-accident or other mandatory drug testing programs. The District’s Human Resources Director will provide employees with any necessary information regarding the employee’s job description, mandatory minimum physical requirements and the Districts mandatory drug and alcohol testing program. This information may be helpful to doctors and pharmacists who are treating or assisting District employees.

6.1 Employee Fitness for Duty

Employees are responsible for reporting to work fit for duty. If the employee or a supervisor has any reason to believe an employee is not fit for duty the employee should be instructed to receive advice from a medical practitioner and a written indication that the employee is fit for duty.

6.3 Employee Reporting

Employees may elect to not report any prescription or over the counter drug use to Human Resources but are encouraged to do so where there is any potential that the drug use could impair job performance. Failure to report the drug usage followed by any impaired job performance shall be grounds for disciplinary action so employees should weigh and consider their decisions not only to use but also to report or not report use of prescription and over the counter drugs.

7.0 District’s Duties:

7.1 District to Provide Information

The District shall be responsible for providing all relevant information requested by doctors, pharmacists or employees regarding District operations, District policies and the physical requirements of District employees. The District does not retain doctors or pharmacists who are capable of rendering medical advice to employees and shall have no duty to provide specific advice on the use of prescription and over the counter medications, the impact of said use or the potential consequences of said use upon mandatory drug testing.
7.2 District to Refrain from Permitting Impaired Work

Managers and supervisors are responsible for ensuring that no district employee is knowingly permitted to operate a vehicle or perform other safety sensitive functions while impaired. If a manager or supervisor becomes aware that an employee is impaired they shall inform the employee to immediately cease work and refer the matter to the Human Resources director for further action.

7.3 District to Maintain Confidentiality Regarding Employee Drug Use Information

Employees who elect to report their drug usage may provide any relevant information to the Human Resources Director who shall keep said information confidential and divulge the information only to the extent required by law. Information deemed essential for internal use by the District may be shared with district manager as needed with the prior approval of the Executive Director.

8.0 Medical Marijuana:

Noting herein is intended to limit the use by District employees of any prescribed drug. Notwithstanding the preceding, the District will continue to abide by any local, state and federal laws regarding mandatory drug and alcohol testing and employees using any prescription drug, including but not limited to medical marijuana do so at their own risk and without the advice or consent of the District. Employees failing mandatory drug tests will be subjected to disciplinary action under the District’s drug and alcohol policy regardless of whether the medication they are using is prescribed or not.

9.0 Drug Use and Leave:

Nothing in this policy is intended to restrict either an employee’s or the District’s rights to use and grant leave under the District’s Personnel Rules. Employees who elect to use any prescribed or over the counter medication may seek the appropriate leave in order to refrain from working in an impaired condition or in order to allow time for prescription and over the counter drugs to leave their body prior to returning to work and resuming their job duties and any applicable drug testing programs. The District may grant such leave as is authorized under the Personnel Rules but is not required to grant leave other than as required by the Personnel Rules or relevant state and federal laws.

10.0 Additional Guidance:

The use of prescription and over the counter drugs and the impacts upon job performance and compliance with various state and federal laws is an evolving area. Employees and their pharmacists and physicians are encouraged to seek additional information on these topics to ensure that they make informed decisions prior to prescribing or using drugs.

For the most current federal guidance see the United States Department of Transportation “Prescription and Over-the-Counter Medication Tool Kit” at:

Title: Sustainability Plan FY16 Goals and Metrics Annual Report

Prepared By: Delilah D. Garcia, Transit Operations and Facilities Director

Summary: In February 2014, the Board adopted the Sustainability Plan. The plan calls for the establishment of a Sustainability Committee (Committee) that would set goals, measurements and provide reports of progress on sustainability initiatives to the Board. Since then the Board approved a seven (7) member Committee as set forth in the Sustainability Plan.

In January 2015, the Committee met and agreed on goals and metrics that would effectively guide and measure the working of the Sustainability Plan. The goals and metrics address all areas of the Sustainability Plan with the following specific objectives:

- **Alternative Fuels:** Reduce greenhouse gasses and reduce the carbon footprint within the District.
- **Existing Facilities:** Manage facilities in a manner of best practices with green initiatives in the areas of utilities usage, waste reduction/recycling, alternative power source and the maximum benefit of facility use.
- **Field Facilities:** Produce excellent field facilities of bus stops and shelters that maximize customer use, educate the community of the environmental benefits of public transit and the green initiatives of the NCRTD and utilization of alternative energy.
- **Future Facilities/Land Use:** Establish sustainable guidelines for planning and design that will be required for future facilities and/or third party development of District property.

Background: Due to staff changes within the Operations Department the Committee has not had an opportunity to meet recently, and the last meeting was held on October 21, 2015. During that meeting the committee discussed and approved the "Goals and Metrics 10-20-15 update." Highlights from sustainability activities during calendar year 2016 are as follows:
Alternative Fuels:
- In 2015, two (2) 18 Passenger Alternative Fuel buses, one (1) CNG, one (1) LPG, and One (1) 14 passenger one (1) E85 Flex Fuel bus were ordered and delivered in 2016.
- The LPG bus is fueled at Ferrellgas, the average cost per gallon is $3.06 as of 12/31/2016. The average miles per gallon are 5.95.
- The CNG bus is fueled at the Clean Energy commercial fueling facility in Santa Fe, the average cost per gallon was $1.94 as of 12/31/2016. The average miles per gallon were 9.46.
- The E85 Flex Fuel bus can be fueled at any fueling station that sells E85 fuel. The average cost per gallon is $1.90 per gallon. The average miles per gallon is 8.12.
- No analysis of alternative fuel options can be drawn at this time. Once the District has a full years’ worth of operating data and maintenance costs, a recommendation regarding fuels types will be provided at that time.

Existing Facilities:
- The sustainability committee recommended registering the District’s utilities usage in the EPA’s Energy Star program. For FY 16 the District scored 81 on a scale of 1-100. An organization must score at least 75 to rate in the Energy Star program. Please note that this score does not include utility costs for the Taos Facility as the consolidation took effect in July 2016, so we only have 6 months of utility usage for the Taos facilities.
- In 2016, the district recycled a total of 2,245.61 lbs. of material an increase of 224.5% from the previous year. Recycling materials including plastic, card board, aluminum and paper were sent to Los Alamos County recycling.

Field Facilities:
- The first phase of the ADA transition plan was completed in 2016. The plan addressed and improved ADA accessibility for bus stops in the Espanola area.

Additional Activities to date:
- Staff recently submitted an application to the IRS to become an alternative fueler. Alternative fuels used in a manner that the Internal Revenue Service (IRS) deems as nontaxable are exempt from federal fuel taxes.

Recommended Action: None

Options/Alternatives: Presentation and discussion only

Fiscal Impact: None

Attachment:
- Energy Star Annual Report
# ENERGY STAR® Progress & Goals Report

## North Central Regional Transit District

- **Primary Property Type:** Office
- **Gross Floor Area (ft²):** 12,000
- **Built:** 2012

**Property Address:**
North Central Regional Transit District
1327 N. Riverside Drive
Espanola, New Mexico 87532

**Property ID:** 4413423

For Year Ending: December 31, 2016
Date Generated: February 15, 2017

1. The ENERGY STAR score is a 1-100 assessment of a building's energy efficiency as compared with similar buildings nationwide, adjusting for climate and business activity.

### Performance Comparison

<table>
<thead>
<tr>
<th></th>
<th>Progress</th>
<th>Performance Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseline (Ending Date 1/31/2014)</td>
<td>Baseline (Ending Date 12/31/2016)</td>
<td>% Change</td>
</tr>
<tr>
<td><strong>ENERGY STAR Score</strong></td>
<td>84</td>
<td>81</td>
</tr>
</tbody>
</table>

### Energy

- **Site EUI (kBtu/ft²):** 74.2 (72.8) -2.0 80.1 (108.3) 80.1
- **Source EUI (kBtu/ft²):** 135.5 (142.6) 5.2 156.9 (212.2) 156.9
- **Energy Cost ($)**: 17,304.57 (18,788.78) 8.58 20,677.88 (27,957.12) 20,677.88
- **Energy Cost Intensity ($/ft²)**: 1.44 (1.57) 8.58 1.72 (2.33) 1.72

### Greenhouse Gas Emissions

- **Total GHG Emissions (Metric Tons CO2e)**: 80.6 (84.7) 5.09 93.2 (126) 93.2
- **Total GHG Emissions Intensity (kgCO2e/ft²)**: 6.7 (7.1) 5.09 7.8 (10.5) 7.8

### Water

- **All Water Use (kgal)**: 108 (109) 0.93
- **Indoor Water Use (kgal)**: N/A (N/A) N/A
- **Indoor Water Intensity (gal/ft²)**: N/A (N/A) N/A
- **Total Water Cost ($)**: 5,144.71 (4,967.53) -3.44

*Setting and managing water targets is not yet available in Portfolio Manager.*
North Central Regional Transit District

Primary Function: Office
Gross Floor Area (ft²): 12,000
Built: 2012

For Year Ending: December 31, 2016
Date Generated: February 15, 2017

For the year ending in December 2016, this building used 142.6 (kBtu/ft²) on a source energy basis. The Environmental Protection Agency's (EPA's) ENERGY STAR score is a 1-100 assessment of a building's energy efficiency as compared with similar buildings nationwide, adjusting for climate and business activity.

Signature of Verifying Professional

Michelle Jacques (Name) verify that the information regarding energy use and property use details is true and correct to the best of my knowledge.

Signature: Michelle Jacques  Date: 2/15/17
Title: Resolution No. 2017-10 Amending Resolutions 2016-03 and 2015-27 Providing for Adoption of Fare Structure as it Relates to Fixed Route and Flex Requests (Up to 3/4th of a Mile from a Fixed Route) and Restating Previously Adopted Premium Service Fares

Prepared By: Stacey McGuire, Planning, Projects and Grants Manager

Summary: This resolution further clarifies Resolutions 2016-03 and 2015-27 in relation to transit service and fares on flex routing options for ADA-certified and non-ADA passengers. Flex routing is the service type that NCRTD employs to provide complementary paratransit service to most of its fixed routes. It consists of bus services that deviate from an existing fixed route by picking up passengers within a three-quarter mile area of the fixed route. It also serves as a premium service function for passengers that are not ADA-certified. The resolution also restates the existing premium fare service.

Background: Resolution 2015-27 continued a fare-free policy for the NCRTD on weekday non-premium fixed routes and flex paratransit (up to 3/4ths of a mile from fixed routes operated by the NCRTD). The resolution also established premium fare service parameters for the District's various routes. Resolution 2016-03 further clarified which routes are considered to be premium in nature and thus require a passenger to pay a fare.

Recommended Action: As flex routing options begin to be utilized more often, it is necessary to clarify when fares are required. To this point, ADA-certified passengers can request a flex pickup and/or drop off fare-free. Passengers that are not ADA-certified can also request a flex pickup and/or drop off (within the ¾ mile fixed-route buffer zone), but because this is not a standard District service, Staff recommends that it be regarded as a "premium service" and that a fare be charged.

Regardless of mobility level and/or ADA-certification, it is necessary for a flex request to be submitted through NCRTD Dispatch and scheduled at least one day prior. Flex requests are not permitted through the Driver.
In summary, for a passenger that is ADA-certified, there is no fare for the flex. For a passenger that is not ADA-certified, the fare for each flex is $10.

**Options/Alternatives:**
1. Continue to operate all routes, regardless of level and type of service or day of operation, as outlined in prior Resolutions 2016-03 and 2015-27. (Not recommended)
2. Approve Staff’s recommendation to amend the prior resolutions to clarify flex routing, the associated fare with said service, and the procedure for requesting a flex. (Recommended)

**Fiscal Impact:**
The total number of non-ADA-certified flex requests that will be charged a fare is indeterminable at this time. There may be a slight increase in fuel costs depending upon the number of flex requests, but we anticipate it can be absorbed within the existing operating budget.

**Attachments:**
- Resolution No. 2017-10
- Route Flex Fare Overview
North Central Regional Transit District (NCRTD)

Resolution No. 2017-10

Providing for Adoption of Fare Structure as it Relates to Fixed Route and Flex Requests (Up to 3/4th of a Mile from a Fixed Route) and Restates the Existing Fare Structure for Premium Services

WHEREAS, the NCRTD was created through legislative enactment (NMSA 1978, Sections 73-25-1 through 73-25-19); and

WHEREAS, the NCRTD is a subdivision of the State of New Mexico with all the authority and duties of the same; and

WHEREAS, it is lawful for the NCRTD to charge fares for transit services (NMSA 1978. Section 73-25-6 (A) (4)); and

WHEREAS, the NCRTD Board has the non-delegable authority to establish all policies regarding fees, tolls, rates or charges. (NMSA 1978. Section 73-25-5 (A) (4)); and

WHEREAS, non-premium fare-free weekday service will continue to offer an attractive alternative to driving individual and single occupancy vehicles; and,

WHEREAS, the NCRTD intends to provide flex routing options to all passengers, with the flex service functioning as NCRTD’s paratransit service for eligible fixed routes, as well as functioning as a premium service for non-ADA-certified passengers,

WHEREAS, the Board deems it economically reasonable and necessary to requires a fare be charged for premium services such as flex routing options or deviation from fixed routes.

NOW THEREFORE BE IT RESOLVED THAT, the North Central Regional Transit District Board of Directors hereby approves the following policy and fare structure for flex routing and restates the fares for premium services attached hereto as Exhibit “A”:

1. The NCRTD will provide flex routing options (deviation from fixed routes within three-quarters of a mile) if the flex routing is scheduled through Dispatch at least one day in advance.
2. Flex routing for non-ADA certified passengers shall be provided as a premium service for a $10.00 fare per passenger for each scheduled pickup.
3. ADA-certified passengers requiring flex routing shall receive the services fare free.

PASSED, APPROVED AND ADOPTED BY THE GOVERNING BODY OF THE NORTH CENTRAL REGIONAL TRANSIT ON THIS 3RD DAY OF MARCH 2017.

Daniel Barrone, Chair

Approved as to form:

Peter Dwyer, Legal Counsel
## Route Fare Overview

<table>
<thead>
<tr>
<th>ROUTE NAME</th>
<th>ROUTE #</th>
<th>Service Type</th>
<th>Fare*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Riverside</td>
<td>100</td>
<td>Fixed</td>
<td></td>
</tr>
<tr>
<td>Westside-Crosstown</td>
<td>110</td>
<td>Fixed</td>
<td></td>
</tr>
<tr>
<td>Chimayo</td>
<td>150</td>
<td>Flex</td>
<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
<tr>
<td>Santa Clara</td>
<td>160</td>
<td>Flex</td>
<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
<tr>
<td>El Rito</td>
<td>180</td>
<td>Flex</td>
<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
<tr>
<td>Chama</td>
<td>190</td>
<td>Flex</td>
<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
<tr>
<td>Santa Fe</td>
<td>200</td>
<td>Flex</td>
<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
<tr>
<td>Tesuque</td>
<td>220</td>
<td>Flex</td>
<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
<tr>
<td>San Ildefonso</td>
<td>230</td>
<td>Flex</td>
<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
<tr>
<td>Mountain Trail</td>
<td>255</td>
<td>Flex</td>
<td>PREMIUM***Winter: $5/one-way; non-winter: $5 roundtrip. Yearround: ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
<tr>
<td>La Cienega</td>
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<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
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<tr>
<td>Turquoise Trail</td>
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<td>290</td>
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<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
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<tr>
<td>Taos</td>
<td>300</td>
<td>Flex</td>
<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
<tr>
<td>Taos Express</td>
<td>305</td>
<td>Flex</td>
<td>PREMIUM***$5 one-way full trip, $2 one-way partial trip (between Taos/Espanola or Santa Fe/Espanola) ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
<tr>
<td>Red River</td>
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<tr>
<td>Chile Line Red</td>
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<td>Fixed</td>
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<tr>
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<tr>
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<tr>
<td>Los Alamos</td>
<td>400</td>
<td>Flex</td>
<td>ADA flex: fare-free; non-ADA flex: $10/one-way</td>
</tr>
</tbody>
</table>

*Flex requests will be served in areas where infrastructure allows*
**Title:** Discussion and Approval of Award of Contract – Financial Audit Services

**Prepared By:** Troy Bingham, Finance Director

**Summary:**
North Central Regional Transit District is required to perform a financial audit at the end of each fiscal year. This audit is to be performed in accordance with Generally Accepted Auditing Standards (GAAS), the standards set forth for financial audits in the U.S. General Accounting Office’s (GAO) Government Auditing Standards, the provisions of the Federal Single Audit Act, Amendments of 1996, GASB 34/35, and Applicable Federal OMB Circulars. The audit must comply with the New Mexico State Auditor’s Rule 2 NMAC 2.2, Regulations Governing the Audits of Agencies of the State of New Mexico and the terms and conditions of the State Auditor’s contractual agreement.

The District’s financial statements consist of all funds over which it has authority. The District manages one enterprise fund with multiple revenue sources. One of the District’s major financial roles is to manage federal pass-through grants, according to statutory and regulatory criteria. This “flow-through” money constitutes a significant portion of the resources reported and is greater than $750,000 annually, so the District is required to have their auditor perform a single audit of all federal funds in compliance with federal circulars, along with their audited financial statements.

**Background:**
The District started in January 2017 by issuing a Request for Proposal for financial audit services, including pre-proposal hearings for firms to learn more about the District before submitting their responses. The responses were due February 10, 2017 and the District received 2 responses from all State Auditor approved firms.
Deliberation on these proposals occurred February 24, 2017 by 2 elected officials and 2 appointed members of the Finance Subcommittee who were designated to be on the RFP Evaluation Committee. The RFP Evaluation Committee, has recommended that the firm of Ricci and Company be awarded the Audit contract for 3 years due to their understanding of transit and overall ability to show value to the District’s audit process.
**Recommended Action:**
Award the RFP to Ricci and Company for FY2017, FY2018 and FY2019, with the understanding that the Office of State Auditor will only enter into a contract one year at a time.

Authorize the Executive Director to execute a one year only contract approved by the Office of the State Auditor with Ricci and Company for FY2017 Audit for $23,340.

Please note, any action taken by the NCRTD Board regarding the Award of Financial Audit Services is contingent upon the Office of the State Auditor approval.

**Options/Alternatives:**
1. Take no action; or
2. Adopt the recommendations, (recommended); or
3. Not adopt the recommendations and provide further direction to Staff.

**Fiscal Impact:**
To not approve the Evaluation Committee’s recommendation of Ricci and Company for the Financial Audit Services, could jeopardize the completion of the FY2017 Audit. Funding for the audit will be approved during the FY2018 budget process and in subsequent budgets.

**Attachments:**
- Request for Proposal (RFP)
- Submitted Proposal from Ricci and Company for Financial Audit Services
- Cost Proposal from Ricci and Company
- Offeror Listing for RFP#2017-001 Financial Audit Services
NORTH CENTRAL REGIONAL TRANSIT DISTRICT

REQUEST FOR PROPOSALS (RFP)

Financial Audit Services

RFP#2017-001

January 9, 2016

Due back February 10, 2017 at 3:00pm
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E. DEFINITION OF TERMINOLOGY ..................................................................... 2

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I. INTRODUCTION

A. PURPOSE OF THIS REQUEST FOR PROPOSALS

The purpose of the Request for Proposal (RFP) is to solicit sealed proposals to establish a contract through competitive negotiations for the procurement of annual financial and compliance audit services for fiscal years ending 2017, 2018, and 2019 for North Central Regional Transit District (NCRTD or “the District”).

B. BACKGROUND INFORMATION

This audit is to be performed in accordance with Generally Accepted Auditing Standards (GAAS), the standards set forth for financial audits in the U.S. General Accounting Office’s (GAO) Government Auditing Standards, the provisions of the Federal Single Audit Act, Amendments of 1996, GASB 34/35, and Applicable Federal OMB Circulars. Audits must comply with the New Mexico State Auditor’s Rule 2 NMAC 2.2, Regulations Governing the Audits of Agencies of the State of New Mexico and the terms and conditions of the State Auditor’s contractual agreement. The agency financial statements consist of all funds over which the NCRTD has authority. The District manages one enterprise fund with multiple revenue sources. One of the District’s major financial roles is to manage federal pass-through grants, according to statutory and regulatory criteria. This “flow-through” money constitutes a significant portion of the resources reported. Interested Offerors who wish to review prior year’s audit reports and management letters should refer to the NM Office of the State Auditor “Audit Search” www.saonm.org/audit_reports.

PLEASE NOTE: The District wishes to have audit work commence immediately after the contract is signed. It is the District’s intent to make a selection shortly after the opening of proposals (see RFP Timeline, Section II) and submit its selection to the New Mexico State Auditor for approval immediately after selection. It is therefore anticipated that audit work may commence on or about August 2017, at which point the District fully intends to have representative populations available for tests of control with respect to disbursements, payroll and receipts. The District also intends to have the Schedule of Expenditures of Federal Awards prepared during that same time period. Fully adjusted trial balances and other reports will be available within 75 days after the year-end.

C. SCOPE OF PROCUREMENT

The District desires the auditor to perform the Scope of Work specified by the Office of the State Auditors Office each year. Please see Section I.B. for an overview of the scope of the District’s accounting structure and funding. The District will prepare the fully adjusted working trial balances, but desires the audit firm selected to prepare the financial statements, notes, single audit section and all supporting details. After the statements and notes have been created substantially finalized, the District will prepare the Management Discussion and Analysis for submittal to the Office of the State Auditor but the December 1st deadline. The District has taken on the additional task of preparing a Comprehensive Annual Financial Report (CAFR), so the Letter of Transmittal, Statistical Tables, and Final Presentation will be updated by the District. The selected audit firm
shall be required to comply with all Government Finance Officer Association recommendation for all future District CAFR presentations.

D. PROCUREMENT MANAGER

1. The District has assigned a Procurement Manager who is responsible for the conduct of this procurement whose name, address, telephone number and e-mail address are listed below:

   Name: Troy Bingham, Finance Director  
   Address: 1327 N. Riverside Drive  
             Española, NM 87532  
   Telephone: (505)629-4701  
   Fax: (505)747-6647  
   Email: troyb@ncrtd.org

2. All deliveries of responses via express carrier must be addressed as follows:

   Name: Procurement Manager  
   Reference RFP Name: Audit Services RFP#2017-001  
   Address: 1327 N. Riverside Drive  
             Española, NM 87532

3. Any inquiries or requests regarding this procurement should be submitted, in writing, to the Procurement Manager. Offerors may contact ONLY the Procurement Manager regarding this procurement. Other Evaluation Committee members do not have the authority to respond on behalf of the District. Protests of the solicitation or award must be delivered by mail to the Procurement Manager. Emailed protests will not be considered as properly submitted.

E. DEFINITION OF TERMINOLOGY

This section contains definitions of terms used throughout this procurement document, including appropriate abbreviations:

“Authorized Purchaser” means an individual authorized by a Participating Entity to place orders against this contract.

“Award” means the final execution of the contract document.

“Business Hours” means 8:00 AM thru 5:00 PM Mountain Standard or Mountain Daylight Time, whichever is in effect on the date given.

“Close of Business” means 5:00 PM Mountain Standard or Daylight Time, whichever is in use at that time.
“Confidential” means confidential financial information concerning offeror’s organization and data that qualifies as a trade secret in accordance with the Uniform Trade Secrets Act NMSA 1978 57-3-A-1 to 57-3A-7. See NMAC 1.4.1.45. As one example, no information that could be obtained from a source outside this request for proposals can be considered confidential information.

“Contract” means any agreement for the procurement of items of tangible personal property, services or construction.

“Contractor” means any business having a contract with a state agency or local public body.

“Determination” means the written documentation of a decision of a procurement officer including findings of fact required to support a decision. A determination becomes part of the procurement file to which it pertains.

“Desirable” the terms "may", "can", "should", "preferably", or "prefers" identify a desirable or discretionary item or factor.

“Electronic Version/Copy” means a digital form consisting of text, images or both readable on computers or other electronic devices that includes all content that the Original and Hard Copy proposals contain. The digital form may be submitted using a compact disc (cd) or USB flash drive. The electronic version/copy can NOT be emailed.

“Evaluation Committee” means a body appointed to perform the evaluation of Offerors’ proposals.

“Evaluation Committee Report" means a report prepared by the Procurement Manager and the Evaluation Committee for contract award. It will contain written determinations resulting from the procurement.

“Finalist” means an Offeror who meets all the mandatory specifications of this Request for Proposals and whose score on evaluation factors is sufficiently high to merit further consideration by the Evaluation Committee.

“Hourly Rate” means the proposed fully loaded maximum hourly rates that include travel, per diem, fringe benefits and any overhead costs for contractor personnel, as well as subcontractor personnel if appropriate.

“IT” means Information Technology.

“Mandatory” – the terms "must", "shall", "will", "is required", or "are required", identify a mandatory item or factor. Failure to meet a mandatory item or factor will result in the rejection of the Offeror’s proposal.

“Minor Technical Irregularities” means anything in the proposal that does not affect the price quality and quantity or any other mandatory requirement.
“Offeror” is any person, corporation, or partnership who chooses to submit a proposal.

“OSA” the Office of the State Auditor of New Mexico

“Price Agreement” means a definite quantity contract or indefinite quantity contract which requires the contractor to furnish items of tangible personal property, services or construction to a state agency or a local public body which issues a purchase order, if the purchase order is within the quantity limitations of the contract, if any.

“Procurement Manager” means any person or designee authorized by a state agency or local public body to enter into or administer contracts and make written determinations with respect thereto.

“Project” means a temporary process undertaken to solve a well-defined goal or objective with clearly defined start and end times, a set of clearly defined tasks, and a budget. The project terminates once the project scope is achieved and project acceptance is given by the project executive sponsor.

“Redacted” means a version/copy of the proposal with the information considered confidential as defined by NMAC 1.4.1.45 and defined herein and outlined in Section II.C.8 of this RFP blacked out BUT NOT omitted or removed.

“Request for Proposals (RFP)” means all documents, including those attached or incorporated by reference, used for soliciting proposals.

“Responsible Offeror” means an Offeror who submits a responsive proposal and who has furnished, when required, information and data to prove that his financial resources, production or service facilities, personnel, service reputation and experience are adequate to make satisfactory delivery of the services, or items of tangible personal property described in the proposal.

“Responsive Offer” or means an offer which conforms in all material respects to the requirements set forth in the request for proposals. Material respects of a request for proposals include, but are not limited to price, quality, quantity or delivery requirements.

“Sealed” means, in terms of a non-electronic submission, that the proposal is enclosed in a package which is completely fastened in such a way that nothing can be added or removed. Open packages submitted will not be accepted except for packages that may have been damaged by the delivery service itself. The District reserves the right, however, to accept or reject packages where there may have been damage done by the delivery service itself. Whether a package has been damaged by the delivery service or left unfastened and should or should not be accepted is a determination to be made by the Procurement Manager. By submitting a proposal, the Offeror agrees to and concurs with this process and accepts the determination of the Procurement Manager in such cases.
“Staff” means any individual who is a full-time, part-time, or an independently contracted employee with the Offerors’ company.

“State (the State)” means the State of New Mexico.

“Statement of Concurrence” means an affirmative statement from the Offeror to the required specification agreeing to comply and concur with the stated requirement(s). This statement shall be included in Offerors proposal. (E.g. “We concur”, “Understands and Complies”, “Comply”, “Will Comply if Applicable” etc.)

“Unredacted” means a version/copy of the proposal containing all complete information including any that the Offeror would otherwise consider confidential, such copy for use only for the purposes of evaluation.

“Written” means typewritten on standard 8 ½ x 11 inch paper. Larger paper is permissible for charts, spreadsheets, etc.
II. CONDITIONS GOVERNING THE PROCUREMENT

This section of the RFP contains the schedule, description and conditions governing the procurement.

A. SEQUENCE OF EVENTS

The Procurement Manager will make every effort to adhere to the following schedule:

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<tr>
<th>Action</th>
<th>Responsible Party</th>
<th>Due Dates Sample Time Frames</th>
</tr>
</thead>
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<td>January 9, 2017</td>
</tr>
<tr>
<td>2. Pre-Proposal Conference</td>
<td>NCRTD</td>
<td>January 18, 2017</td>
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<tr>
<td>3. Deadline to submit Questions</td>
<td>Potential Offerors</td>
<td>February 3, 2017</td>
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<tr>
<td>4. Response to Written Questions</td>
<td>Procurement Manager</td>
<td>February 6, 2017</td>
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<tr>
<td>5. Submission of Proposal</td>
<td>Potential Offerors</td>
<td>February 10, 2017</td>
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<td>6. Proposal Evaluation</td>
<td>Evaluation Committee</td>
<td>February 10-17, 2017</td>
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<td>7. Selection of Finalists</td>
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<tr>
<td>8. Best and Final Offers</td>
<td>Finalist Offerors</td>
<td>March 3, 2017</td>
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<tr>
<td>9. Oral Presentation(s) (if needed)</td>
<td>Finalist Offerors</td>
<td>March 6-17, 2017</td>
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<td>10. Finalize Contractual Agreements</td>
<td>NCRTD/Finalist Offerors</td>
<td>March 22-29, 2017</td>
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<td>11. Contract Awards and Submission to OSA</td>
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<td>April 7, 2017</td>
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<td>12. Protest Deadline</td>
<td>Offerors</td>
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</tbody>
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B. EXPLANATION OF EVENTS

The following paragraphs describe the activities listed in the sequence of events shown in Section II. A., above.

1. Issuance of RFP

   This RFP is being issued on behalf of NCRTD on January 9, 2017.

2. Pre-Proposal Conference

   A non-mandatory pre-proposal conference will be held on January 18, 2017 at 9:00am Mountain Standard Time/Daylight Time at 1327 N. Riverside Drive, Española, NM 87532. Potential Offeror(s) are encouraged to submit written questions in advance of the conference to the Procurement Manager (see Section I, Paragraph D). The identity of the organization submitting the question(s) will not be revealed. Additional written questions may be
submitted at the conference. All written questions will be addressed in writing on the date listed in the Sequence of Events. Attendance at the pre-proposal conference is not a prerequisite for submission of a proposal.

3. **Deadline to Submit Written Questions**

Potential Offerors may submit written questions to the Procurement Manager as to the intent or clarity of this RFP until close of business the day indicated in the sequence of events. All written questions must be addressed to the Procurement Manager as declared in Section I, Paragraph D. Questions shall be clearly labeled and shall cite the Section(s) in the RFP or other document which form the basis of the question.

4. **Response to Written Questions**

Written responses to written questions (if deemed necessary by the Procurement Manager) will be post on the District’s website located at [www.ncrtd.org/requests.aspx](http://www.ncrtd.org/requests.aspx).

5. **Submission of Proposal**

ALL OFFEROR PROPOSALS MUST BE RECEIVED FOR REVIEW AND EVALUATION BY THE PROCUREMENT MANAGER OR DESIGNEE NO LATER THAN 3:00 PM MOUNTAIN STANDARD TIME/DAYLIGHT TIME ON FEBRUARY 10, 2017. Proposals received after this deadline will not be accepted. The date and time of receipt will be recorded on each proposal.

Proposals must be addressed and delivered to the Procurement Manager at the address listed in Section I, Paragraph D2. Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to the Audit Services RFP#2017-001. Proposals submitted by facsimile, or other electronic means, will not be accepted.

A public log will be kept of the names of all Offeror organizations that submitted proposals. Pursuant to NMSA 1978, § 13-1-116, the contents of proposals shall not be disclosed to competing potential Offerors during the negotiation process. The negotiation process is deemed to be in effect until the contract is awarded pursuant to this Request for Proposals. Awarded in this context means the final required signature on the contracts resulting from the procurement has been obtained.

6. **Proposal Evaluation**

An Evaluation Committee will perform the evaluation of proposals. This process will take place as indicated in the sequence of events, depending upon the number of proposals received. During this time, the Procurement Manager may initiate discussions with Offerors who submit responsive or potentially responsive proposals for the purpose of clarifying aspects of the proposals. However, proposals may be accepted and evaluated without such discussion. Discussions SHALL NOT be initiated by the Offerors.
7. **Selection of Finalists**

The Evaluation Committee will select and the Procurement Manager will notify the finalist Offerors as per schedule Section II. A., Sequence of Events or as soon as possible. A schedule for the oral presentation and demonstration will be determined at this time.

8. **Best and Final Offers**

Finalist may be asked to submit revisions to their proposals for the purpose of obtaining best and final offers by as per schedule Section II. A., Sequence of Events or as soon as possible. Best and final offers may also be clarified and amended at finalist Offeror’s oral presentation and demonstration.

9. **Oral Presentations**

Finalist Offerors may be required to conduct an oral presentation at a location to be determined as per schedule Section II. A., Sequence of Events or as soon as possible. Whether or not oral presentations will be held is at the discretion of the Evaluation Committee.

10. **Finalize Contractual Agreements**

Any contractual agreement(s) resulting from this RFP will be finalized with the most advantageous Offeror(s) as per schedule Section II. A., Sequence of Events or as soon thereafter as possible. This date is subject to change at the discretion of the Procurement Manager. In the event mutually agreeable terms cannot be reached with the apparent most advantageous Offeror in the time specified, the District reserves the right to finalize a contractual agreement with the next most advantageous Offeror(s) without undertaking a new procurement process.

11. **Contract Awards**

After review of the Evaluation Committee Report and the signed contractual agreement, the Procurement Manager will award as per the schedule in Section II. A., Sequence of Events or as soon as possible thereafter. This date is subject to change at the discretion of the Procurement Manager.

The contract shall be awarded to the Offeror (or Offerors) whose proposals are most advantageous to NCRTD, taking into consideration the evaluation factors set forth in this RFP. The most advantageous proposal may or may not have received the most points.

12. **Protest Deadline**

Any protest by an Offeror must be timely and in conformance with NMSA 1978, § 13-1-172 and applicable procurement regulations. ONLY protests delivered directly to the
Procurement Manager in writing and in a timely fashion will be considered to have been submitted properly and in accordance with statute, rule and this Request for Proposals. The 15 calendar day protest period shall begin on the day following the award of contracts and will end at 5:00 pm Mountain Standard Time/Daylight Time on the April 24, 2017. Protests must be written and must include the name and address of the protestor and the request for proposal number. It must also contain a statement of the grounds for protest including appropriate supporting exhibits and it must specify the ruling requested from the party listed below. The protest must be delivered to Procurement Manager. Protests received after the deadline will not be accepted.

C. GENERAL REQUIREMENTS

1. Acceptance of Conditions Governing the Procurement

Potential Offerors must indicate their acceptance of the Conditions Governing the Procurement section in the letter of transmittal. Submission of a proposal constitutes acceptance of the Evaluation Factors contained in Section V of this RFP.

2. Incurring Cost

Any cost incurred by the potential Offeror in preparation, transmittal, and/or presentation of any proposal or material submitted in response to this RFP shall be borne solely by the Offeror. Any cost incurred by the Offeror for set up and demonstration of the proposed equipment and/or system shall be borne solely by the Offeror.

3. Prime Contractor Responsibility

Any contractual agreement that may result from this RFP shall specify that the prime contractor is solely responsible for fulfillment of all requirements of the contractual agreement with the District which may derive from this RFP. The District will enter into a contractual agreement with a vendor will make payments to only the prime contractor.

4. Subcontractors/Consent

The use of subcontractors is allowed. The prime contractor shall be wholly responsible for the entire performance of the contractual agreement whether or not subcontractors are used. Additionally, the prime contractor must receive approval, in writing, from the District, before any subcontractor is used during the term of this agreement.

5. Amended Proposals

An Offeror may submit an amended proposal before the deadline for receipt of proposals. Such amended proposals must be complete replacements for a previously submitted proposal and must be clearly identified as such in the transmittal letter. The District personnel will not merge, collate, or assemble proposal materials.
6. Offeror’s Rights to Withdraw Proposal

Offerors will be allowed to withdraw their proposals at any time prior to the deadline for receipt of proposals. The Offeror must submit a written withdrawal request addressed to the Procurement Manager and signed by the Offeror’s duly authorized representative.

The approval or denial of withdrawal requests received after the deadline for receipt of the proposals is governed by the applicable procurement regulations.

7. Proposal Offer Firm

Responses to this RFP, including proposal prices for services, will be considered firm for one hundred twenty (120) days after the due date for receipt of proposals or ninety (90) days after the due date for the receipt of a best and final offer, if the Offeror is invited or required to submit one.

8. Disclosure of Proposal Contents

A. Proposals will be kept confidential until negotiations and the award are completed by the Agency. At that time, all proposals and documents pertaining to the proposals will be open to the public, except for material that is clearly marked proprietary or confidential. The Procurement Manager will not disclose or make public any pages of a proposal on which the potential Offeror has stamped or imprinted "proprietary" or "confidential" subject to the following requirements:

B. Proprietary or confidential data shall be readily separable from the proposal in order to facilitate eventual public inspection of the non-confidential portion of the proposal.

C. Confidential data is restricted to:

1. confidential financial information concerning the Offeror’s organization;
2. and data that qualifies as a trade secret in accordance with the Uniform Trade Secrets Act, NMSA 1978 § 57-3A-1 to 57-3A-7.
3. PLEASE NOTE: The price of products offered or the cost of services proposed shall not be designated as proprietary or confidential information.

If a request is received for disclosure of data for which an Offeror has made a written request for confidentiality, the Procurement Manager shall examine the Offeror’s request and make a written determination that specifies which portions of the proposal should be disclosed. Unless the Offeror takes legal action to prevent the disclosure, the proposal will be so disclosed. The proposal shall be open to public inspection subject to any continuing prohibition on the disclosure of confidential data.

9. No Obligation

This RFP in no manner obligates NCRTD to the use of any Offeror’s services until a valid written contract is awarded and approved by appropriate authorities.
10. Termination

This RFP may be canceled at any time and any and all proposals may be rejected in whole or in part when the District determines such action to be in the best interest of NCRTD.

11. Sufficient Appropriation

Any contract awarded as a result of this RFP process may be terminated if sufficient appropriations or authorizations do not exist. Such terminations will be effected by sending written notice to the contractor. The District’s decision as to whether sufficient appropriations and authorizations are available will be accepted by the contractor as final.

12. Legal Review

The District requires that all Offerors agree to be bound by the General Requirements contained in this RFP. Any Offeror’s concerns must be promptly submitted in writing to the attention of the Procurement Manager.

13. Governing Law

This RFP and any agreement with an Offeror which may result from this procurement shall be governed by the laws of the State of New Mexico.

14. Basis for Proposal

Only information supplied, in writing, by the District through the Procurement Manager or in this RFP should be used as the basis for the preparation of Offeror proposals.

15. Contract Terms and Conditions

The contract between the District and a contractor will follow the format specified by the Office of the State Auditor of New Mexico. However, the District reserves the right to negotiate provisions in addition to those contained in this RFP with any Offeror. The contents of this RFP, as revised and/or supplemented, and the successful Offeror’s proposal will be incorporated into and become part of any resultant contract.

The District discourages exceptions from the contract terms and conditions as set forth by the Office of the State Auditor of New Mexico. Such exceptions may cause a proposal to be rejected as nonresponsive when, in the sole judgment of the District (and its evaluation team), the proposal appears to be conditioned on the exception, or correction of what is deemed to be a deficiency, or an unacceptable exception is proposed which would require a substantial proposal rewrite to correct.

Should an Offeror object to any of the terms and conditions as set forth by the Office of the State Auditor of New Mexico strongly enough to propose alternate terms and conditions in
spite of the above, the Offeror must propose specific alternative language. The District may or may not accept the alternative language. General references to the Offeror’s terms and conditions or attempts at complete substitutions of Offeror’s contract are not acceptable to the District and will result in disqualification of the Offeror’s proposal.

Offerors must provide a brief discussion of the purpose and impact, if any, of each proposed change followed by the specific proposed alternate wording.

If an Offeror fails to propose any alternate terms and conditions during the procurement process (the RFP process prior to selection as successful Offeror), no proposed alternate terms and conditions will be considered later during the negotiation process. Failure to propose alternate terms and conditions during the procurement process (the RFP process prior to selection as successful Offeror) is an explicit agreement by the Offeror that the contractual terms and conditions contained herein are accepted by the Offeror.

16. Offeror’s Terms and Conditions

Offerors must submit with the proposal a complete set of any additional terms and conditions they expect to have included in a contract negotiated with the District. Please see Section II.C.15 for requirements.

17. Contract Deviations

Any additional terms and conditions, which may be the subject of negotiation (such terms and conditions having been proposed during the procurement process, that is, the RFP process prior to selection as successful Offeror), will be discussed only between the District and the Offeror selected and shall not be deemed an opportunity to amend the Offeror’s proposal.

18. Offeror Qualifications

The Evaluation Committee may make such investigations as necessary to determine the ability of the potential Offeror to adhere to the requirements specified within this RFP. The Evaluation Committee will reject the proposal of any potential Offeror who is not a Responsible Offeror or fails to submit a responsive offer as defined in District Procurement Rules and Regulations.

19. Right to Waive Minor Irregularities

The Evaluation Committee reserves the right to waive minor irregularities. The Evaluation Committee also reserves the right to waive mandatory requirements provided that all of the otherwise responsive proposals failed to meet the same mandatory requirements and the failure to do so does not otherwise materially affect the procurement. This right is at the sole discretion of the Evaluation Committee.
20. Change in Contractor Representatives

The District reserves the right to require a change in contractor representatives if the assigned representative(s) is (are) not, in the opinion of the District, adequately meeting the needs of the District.

21. Notice of Penalties

The Procurement Code, NMSA 1978, § 13-1-28 through 13-1-199, imposes civil, misdemeanor and felony criminal penalties for its violation. In addition, the New Mexico criminal statutes impose felony penalties for bribes, gratuities and kickbacks.

22. Agency Rights

The District in agreement with the Evaluation Committee reserves the right to accept all or a portion of a potential Offeror’s proposal.

23. Right to Publish

Throughout the duration of this procurement process and contract term, Offerors and contractors must secure from the agency written approval prior to the release of any information that pertains to the potential work or activities covered by this procurement and/or agency contracts deriving from this procurement. Failure to adhere to this requirement may result in disqualification of the Offeror’s proposal or removal from the contract.

24. Ownership of Proposals

All documents submitted in response to the RFP shall become property of NCRTD.

25. Confidentiality

Any confidential information provided to, or developed by, the contractor in the performance of the contract resulting from this RFP shall be kept confidential and shall not be made available to any individual or organization by the contractor without the prior written approval of the District.

The Contractor(s) agrees to protect the confidentiality of all confidential information and not to publish or disclose such information to any third party without the procuring District's written permission.

26. Electronic mail address required
A large part of the communication regarding this procurement will be conducted by electronic mail (e-mail). Offeror must have a valid e-mail address to receive this correspondence. (See also Section II.B.5, Response to Written Questions).

27. Use of Electronic Versions of this RFP

This RFP is being advertised by electronic means. In the event of conflict between a version of the RFP in the Offeror’s possession and the version maintained by the District’s website, the Offeror acknowledges that the version maintained by the District’s website shall govern.

28. New Mexico Employees Health Coverage

A. If the Offeror has, or grows to, six (6) or more employees who work, or who are expected to work, an average of at least 20 hours per week over a six (6) month period during the term of the contract, Offeror must agree to have in place, and agree to maintain for the term of the contract, health insurance for those employees if the expected annual value in the aggregate of any and all contracts between Contractor and the District exceed $250,000 dollars.

B. Offeror must agree to maintain a record of the number of employees who have (a) accepted health insurance; (b) decline health insurance due to other health insurance coverage already in place; or (c) decline health insurance for other reasons. These records are subject to review and audit by a representative of the District.

C. Offeror must agree to advise all employees of the availability of State publicly financed health care coverage programs by providing each employee with, as a minimum, the following web site link to additional information http://www.insurenewmexico.state.nm.us/.

29. Campaign Contribution Disclosure Form

Offeror must complete, sign, and return the Campaign Contribution Disclosure Form, APPENDIX A, as a part of their proposal. This requirement applies regardless whether a covered contribution was made or not made for the positions of Governor and Lieutenant Governor or other identified official. Failure to complete and return the signed unaltered form will result in disqualification.

30. Letter of Transmittal

Offeror’s proposal must be accompanied by the Letter of Transmittal Form located in APPENDIX C which must be completed and signed by an individual person authorized to obligate the company. The letter of transmittal MUST:
1. Identify the submitting business entity.
2. Identify the name, title, telephone, and e-mail address of the person authorized by the
Offeror organization to contractually obligate the business entity providing the Offer.
3. Identify the name, title, telephone, and e-mail address of the person authorized to
negotiate the contract on behalf of the organization (if different than (2) above).
4. Identify the names, titles, telephone, and e-mail addresses of persons to be contacted for
clarification/questions regarding proposal content.
5. Identify sub-contractors (if any) anticipated to be utilized in the performance of any
resultant contract award.
6. Describe the relationship with any other entity which will be used in the performance of
this awarded contract.
7. Identify the following with a check mark and signature where required:
   a. Explicitly indicate acceptance of the Conditions Governing the Procurement stated
      in Section II. C.1;
   b. Explicitly indicate acceptance of Section V of this RFP; and
   c. Acknowledge receipt of any and all amendments to this RFP.
8. Be signed by the person identified in #2 above.

31. Disclosure Regarding Responsibility

A. Any prospective Contractor and any of its Principals who enter into a contract greater
than sixty thousand dollars ($60,000.00) with any state agency or local public body for
professional services, tangible personal property, services or construction agrees to
disclose whether the Contractor, or any principal of the Contractor’s company:

1. is presently debarred, suspended, proposed for debarment, or declared ineligible for
   award of contract by any federal entity, state agency or local public body;

2. has within a three-year period preceding this offer, been convicted in a criminal
   matter or had a civil judgment rendered against them for:
   a. the commission of fraud or a criminal offense in connection with obtaining,
      attempting to obtain, or performing a public (federal, state or local) contract or
      subcontract;
   b. violation of Federal or state antitrust statutes related to the submission of offers;
   or
   c. the commission in any federal or state jurisdiction of embezzlement, theft, forgery,
      bribery, falsification or destruction of records, making false statements, tax
      evasion, violation of Federal criminal tax law, or receiving stolen property;

3. is presently indicted for, or otherwise criminally or civilly charged by any (federal
   state or local) government entity with the commission of any of the offenses
   enumerated in paragraph A of this disclosure;
4. has, preceding this offer, been notified of any delinquent Federal or state taxes in an amount that exceeds $3,000.00 of which the liability remains unsatisfied. Taxes are considered delinquent if the following criteria apply.
   a. The tax liability is finally determined. The liability is finally determined if it has been assessed. A liability is not finally determined if there is a pending administrative or judicial challenge. In the case of a judicial challenge of the liability, the liability is not finally determined until all judicial appeal rights have been exhausted.
   b. The taxpayer is delinquent in making payment. A taxpayer is delinquent if the taxpayer has failed to pay the tax liability when full payment was due and required. A taxpayer is not delinquent in cases where enforced collection action is precluded.
   c. Have within a three year period preceding this offer, had one or more contracts terminated for default by any federal or state agency or local public body.

B. Principal, for the purpose of this disclosure, means an officer, director, owner, partner, or a person having primary management or supervisory responsibilities within a business entity or related entities.

C. The Contractor shall provide immediate written notice to the Procurement Manager or other party to this Agreement if, at any time during the term of this Agreement, the Contractor learns that the Contractor's disclosure was at any time erroneous or became erroneous by reason of changed circumstances.

D. A disclosure that any of the items in this requirement exist will not necessarily result in termination of this Agreement. However, the disclosure will be considered in the determination of the Contractor's responsibility and ability to perform under this Agreement. Failure of the Contractor to furnish a disclosure or provide additional information as requested will render the Offeror nonresponsive.

E. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the disclosure required by this document. The knowledge and information of a Contractor is not required to exceed that which is the normally possessed by a prudent person in the ordinary course of business dealings.

F. The disclosure requirement provided is a material representation of fact upon which reliance was placed when making an award and is a continuing material representation of the facts during the term of this Agreement. If during the performance of the contract, the Contractor is indicted for or otherwise criminally or civilly charged by any government entity (federal, state or local) with commission of any offenses named in this document the Contractor must provide immediate written notice to the Procurement Manager or other party to this Agreement. If it is later determined that the Contractor knowingly rendered an erroneous disclosure, in addition to other remedies available to the Government, the Procurement Manager may terminate the involved contract for cause. Still further the Procurement Manager may suspend or debar the Contractor from
eligibility for future solicitations until such time as the matter is resolved to the satisfaction of the Procurement Manager.

III. RESPONSE FORMAT AND ORGANIZATION

A. NUMBER OF RESPONSES

Offerors shall submit only one proposal in response to this RFP.

B. NUMBER OF COPIES

1. Hard Copy Responses

Offeror’s proposal must be clearly labeled and numbered and indexed as outlined in Section III.C. Proposal Format. Proposals must be submitted as outlined below. The original copy shall be clearly marked as such on the front of the binder. Each portion of the proposal (technical/cost) must be submitted in separate binders and must be prominently displayed on the front cover. Envelopes, packages or boxes containing the original and the copies must be clearly labeled and submitted in a sealed envelope, package, or box bearing the following information:

Offerors should deliver:

1. Technical Proposals – One (1) ORIGINAL, five (5) HARD COPIES of the proposal containing ONLY the Technical Proposal; ORIGINAL and COPY shall be in separate labeled binders.

   ➢ Proposals containing confidential information must be submitted as two separate binders:
     • Unredacted version for evaluation purposes
     • Redacted version (information blacked out and not omitted or removed) for the public file

2. Cost Proposals – One (1) ORIGINAL, one (1) HARD COPY of the proposal containing ONLY the Cost Proposal; ORIGINAL and COPY of Cost Proposal shall be in separate labeled binders from the Technical Proposals.

3. The original and hard copy information must be identical. In the event of a conflict between versions of the submitted proposal, the Original hard copy shall govern.

Any proposal that does not adhere to the requirements of this Section and Section III.C.1 Response Format and Organization, may be deemed non-responsive and rejected on that basis.
C. PROPOSAL FORMAT

All proposals must be submitted as follows:

Hard copies must be typewritten on standard 8 ½ x 11 inch paper (larger paper is permissible for charts, spreadsheets, etc.) and placed within binders with tabs delineating each section.

Organization of folders/envelopes for hard copy proposals:

1. Proposal Content and Organization

   **Technical Proposal** (Binder 1):
   - A. Signed Letter of Transmittal
   - B. Table of Contents
   - C. Proposal Summary (Optional)
   - D. Response to Contract Terms and Conditions
   - E. Offeror’s Additional Terms and Conditions
   - F. Response to Specifications (except cost information which shall be included in Cost Proposal/Binder 2 only)
     - 1. Organizational Experience
     - 2. Organizational References
     - 3. Financial Stability - Financial information considered confidential should be placed in the Confidential Information binder.
     - 4. Signed Campaign Contribution Form
   - G. Other Supporting Material (If applicable)

   **Cost Proposal** (Binder 2):
   - 1. Completed Cost Response Form

Within each section of the proposal, Offerors should address the items in the order indicated above. All forms provided in this RFP must be thoroughly completed and included in the appropriate section of the proposal. All discussion of proposed costs, rates or expenses must occur only in Binder #2 on the cost response form.

The proposal summary may be included by potential Offerors to provide the Evaluation Committee with an overview of the proposal; however, this material will not be used in the evaluation process unless specifically referenced from other portions of the Offeror’s proposal.
IV. SPECIFICATIONS

Offerors should respond in the form of a thorough narrative to each specification, unless otherwise instructed. The narratives, including required supporting materials will be evaluated and awarded points accordingly.

A. DETAILED SCOPE OF WORK

The audit firm selected will conduct an audit entrance conference preferably in person to the Finance Committee of the District that meets typically the 4th Friday in August every fiscal year.

The District staff will prepare the fully adjusted working trial balances and Schedule of Federal Awards (SEFA) 75 days after the fiscal year end.

The audit firm selected will prepare the financial statements, notes, required supplementary material, single audit section and all supporting details by the 15th day of October of every fiscal year end. The auditor will present the findings and management report to the Finance Committee of the District that meets typically the 3rd Friday in November every fiscal year.

After the 15th day in October, the District will prepare the Management Discussion and Analysis based on the financials for inclusion in the submittal to the Office of the State Auditor by the December 1st deadline. The District staff will also prepare and submit documents for the Comprehensive Annual Financial Report (CAFR), including the Letter of Transmittal, Statistical Tables, and final presentation of the financials to conform to the CAFR requirements by the 2nd Friday in November every fiscal year.

The selected audit firm shall be required to comply with all Government Finance Officer Association (GFOA) recommendation for all future District CAFR presentations or imperially defend their position to not change to the GFOA.

The audit firm selected will present the finalized CAFR preferably in person at the December/January full Board meeting after the Office of the State Auditor of New Mexico has released the document to the public.

The audit firm selected will prepare all necessary submissions of the Single Audit to the Federal Audit Clearinghouse in a timely manner to avoid negative impact to the District that receives federal funding.

B. TECHNICAL SPECIFICATIONS

1. Organizational Experience

Offerors must:
a) provide a description of relevant corporate experience with state government and private sector. The experience of all proposed subcontractors must be described. The narrative must thoroughly describe how the Offeror has supplied expertise for similar contracts and must include the extent of their experience, expertise and knowledge as a provider of financial audit and compliance services. All financial audit and compliance services provided to public and private sector will also be considered;

b) indicate how many public and private sector audits have been performed in the last two years and what percentage of business revenue is derived from public and private audit engagements;

c) describe at least two project successes and/or failures of financial audit and compliance services engagements. Include how each experience improved the Offeror’s services.

2. Oral Presentation
If selected as a finalist, Offerors agree to provide the Evaluation Committee the opportunity to interview proposed staff members identified by the Evaluation Committee, at the option of the District. The Evaluation Committee may request a finalist to provide an oral presentation of the proposal as an opportunity for the Evaluation Committee to ask questions and seek clarifications.

C. BUSINESS SPECIFICATIONS

1. Letter of Transmittal Form

The Offeror’s proposal must be accompanied by the Letter of Transmittal Form located in APPENDIX C. The form must be completed and must be signed by the person authorized to obligate the company.

2. Campaign Contribution Disclosure Form

The Offeror must complete an unaltered Campaign Contribution Disclosure Form and submit a signed copy with the Offeror’s proposal. This must be accomplished whether or not an applicable contribution has been made. (See APPENDIX A)

3. Cost
Offerors must complete the Cost Response Form in APPENDIX B.

All charges listed on APPENDIX B must be justified and evidence of need documented in the proposal.
V. EVALUATION

A. EVALUATION POINT SUMMARY

The following is a summary of evaluation factors with point values assigned to each. These weighted factors will be used in the evaluation of individual potential Offeror proposals by sub-category.

<table>
<thead>
<tr>
<th>Factors – correspond to section IV.B and IV C</th>
<th>Points Available</th>
</tr>
</thead>
<tbody>
<tr>
<td>B. Technical Specifications</td>
<td></td>
</tr>
<tr>
<td>B. 1. Organizational Experience</td>
<td>70%</td>
</tr>
<tr>
<td>C. Business Specifications</td>
<td></td>
</tr>
<tr>
<td>C.1. Financial Stability</td>
<td>Pass/Fail</td>
</tr>
<tr>
<td>C.2. Letter of Transmittal</td>
<td>Pass/Fail</td>
</tr>
<tr>
<td>C.3. Signed Campaign Contribution Disclosure Form</td>
<td>Pass/Fail</td>
</tr>
<tr>
<td>C.4. Cost</td>
<td>30%</td>
</tr>
<tr>
<td>TOTAL</td>
<td>100%</td>
</tr>
</tbody>
</table>

Table 1: Evaluation Point Summary

B. EVALUATION FACTORS

1. B.1 Organizational Experience (See Table 1)
   Points will be awarded based on the thoroughness and clarity of the response of the engagements cited and the perceived validity of the response.

2. C.1 Financial Stability (See Table 1)
   Pass/Fail only. No points assigned.

3. C.2 Letter of Transmittal (See Table 1)
   Pass/Fail only. No points assigned.

4. C.3 Campaign Contribution Disclosure Form (See Table 1)
   Pass/Fail only. No points assigned.

5. C.5 Cost (See Table 1)

The evaluation of each Offeror’s cost proposal will be conducted using the following formula:

\[
\frac{\text{Lowest Responsive Offer Bid}}{\text{This Offeror’s Bid}} \times \text{X Available Award Points}
\]
C. EVALUATION PROCESS

1. All Offeror proposals will be reviewed for compliance with the requirements and specifications stated within the RFP. Proposals deemed non-responsive will be eliminated from further consideration.

2. The Procurement Manager may contact the Offeror for clarification of the response as specified in Section II. B.7.

3. The Evaluation Committee may use other sources of to perform the evaluation as specified in Section II. C.18.

4. Responsive proposals will be evaluated on the factors in Section IV, which have been assigned a point value. The responsible Offerors with the highest scores will be selected as finalist Offerors, based upon the proposals submitted. The responsible Offerors whose proposals are most advantageous to the District, taking into consideration the evaluation factors in Section IV will be recommended for award (as specified in Section II. B.8). Please note, however, that a serious deficiency in the response to any one factor may be grounds for rejection regardless of overall score.
APPENDIX A

Campaign Contribution Disclosure Form

Pursuant to NMSA 1978, § 13-1-191.1 (2006), any person seeking to enter into a contract with any state agency or local public body for professional services, a design and build project delivery system, or the design and installation of measures the primary purpose of which is to conserve natural resources must file this form with that state agency or local public body. This form must be filed even if the contract qualifies as a small purchase or a sole source contract. The prospective contractor must disclose whether they, a family member or a representative of the prospective contractor has made a campaign contribution to an applicable public official of the state or a local public body during the two years prior to the date on which the contractor submits a proposal or, in the case of a sole source or small purchase contract, the two years prior to the date the contractor signs the contract, if the aggregate total of contributions given by the prospective contractor, a family member or a representative of the prospective contractor to the public official exceeds two hundred and fifty dollars ($250) over the two year period.

Furthermore, the state agency or local public body shall void an executed contract or cancel a solicitation or proposed award for a proposed contract if: 1) a prospective contractor, a family member of the prospective contractor, or a representative of the prospective contractor gives a campaign contribution or other thing of value to an applicable public official or the applicable public official’s employees during the pendency of the procurement process or 2) a prospective contractor fails to submit a fully completed disclosure statement pursuant to the law.

THIS FORM MUST BE FILED BY ANY PROSPECTIVE CONTRACTOR WHETHER OR NOT THEY, THEIR FAMILY MEMBER, OR THEIR REPRESENTATIVE HAS MADE ANY CONTRIBUTIONS SUBJECT TO DISCLOSURE.

The following definitions apply:

“Applicable public official” means a person elected to an office or a person appointed to complete a term of an elected office, who has the authority to award or influence the award of the contract for which the prospective contractor is submitting a competitive sealed proposal or who has the authority to negotiate a sole source or small purchase contract that may be awarded without submission of a sealed competitive proposal.

“Campaign Contribution” means a gift, subscription, loan, advance or deposit of money or other thing of value, including the estimated value of an in-kind contribution, that is made to or received by an applicable public official or any person authorized to raise, collect or expend contributions on that official’s behalf for the purpose of electing the official to either statewide or local office. “Campaign Contribution” includes the payment of a debt incurred in an election campaign, but does not include the value of services provided without compensation or unreimbursed travel or other personal expenses of individuals who volunteer a portion or all of their time on behalf of a candidate or political committee, nor does it include the administrative or
solicitation expenses of a political committee that are paid by an organization that sponsors the committee.

“Family member” means spouse, father, mother, child, father-in-law, mother-in-law, daughter-in-law or son-in-law.

“Pendency of the procurement process” means the time period commencing with the public notice of the request for proposals and ending with the award of the contract or the cancellation of the request for proposals.

“Person” means any corporation, partnership, individual, joint venture, association or any other private legal entity.

“Prospective contractor” means a person who is subject to the competitive sealed proposal process set forth in the Procurement Code or is not required to submit a competitive sealed proposal because that person qualifies for a sole source or a small purchase contract.

“Representative of a prospective contractor” means an officer or director of a corporation, a member or manager of a limited liability corporation, a partner of a partnership or a trustee of a trust of the prospective contractor.

DISCLOSURE OF CONTRIBUTIONS:

Contribution Made By: ________________________________

Relation to Prospective Contractor: ________________________________

Name of Applicable Public Official: ________________________________

Date Contribution(s) Made: ________________________________

Amount(s) of Contribution(s) ________________________________

Nature of Contribution(s) ________________________________

Purpose of Contribution(s) ________________________________

(Attach extra pages if necessary)

_________________________  ____________________________
Signature Date
Title (position)

—OR—

NO CONTRIBUTIONS IN THE AGGREGATE TOTAL OVER TWO HUNDRED FIFTY DOLLARS ($250) WERE MADE to an applicable public official by me, a family member or representative.

______________________________________________________________
Signature

______________________________________________________________
Date

______________________________________________________________
Title (Position)
APPENDIX B

COST RESPONSE FORM

<table>
<thead>
<tr>
<th>Category</th>
<th>Year 1 Hours</th>
<th>Year 1 Cost</th>
<th>Year 2 Hours</th>
<th>Year 2 Cost</th>
<th>Year 3 Hours</th>
<th>Year 3 Cost</th>
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<td>Financial Statement Preparation</td>
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<td>Federal Single Audit</td>
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<td>Other allowed non-audit services</td>
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<td>Component Units</td>
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<td><strong>SUBTOTAL</strong></td>
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<td>Gross Receipts Tax</td>
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<tr>
<td><strong>TOTAL</strong></td>
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<td><strong>$ 0.00</strong></td>
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<td><strong>$ 0.00</strong></td>
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<td><strong>$ 0.00</strong></td>
</tr>
</tbody>
</table>
APPENDIX C

Letter of Transmittal Form

RFP#2017-001 Financial Audit Services

Offeror Name: _____________________ FED ID# ______________________________

Items #1 to #7 EACH MUST BE COMPLETED IN FULL Failure to respond to all seven items WILL
RESULT IN THE DISQUALIFICATION OF THE PROPOSAL!

1. **Identity (Name) and Mailing Address** of the submitting organization:

   ______________________________________________________________________________
   ______________________________________________________________________________
   ______________________________________________________________________________

2. For the person authorized by the organization to contractually obligate on behalf of this Offer:
   Name ____________________________________________________________
   Title ____________________________________________________________
   E-Mail Address ______________________________________________________
   Telephone Number _________________________________________________

3. For the person authorized by the organization to negotiate on behalf of this Offer:
   Name ____________________________________________________________
   Title ____________________________________________________________
   E-Mail Address ______________________________________________________
   Telephone Number _________________________________________________

4. For the person authorized by the organization to clarify/respond to queries regarding this Offer:
   Name ____________________________________________________________
   Title ____________________________________________________________
   E-Mail Address ______________________________________________________
   Telephone Number _________________________________________________

5. Use of Sub-Contractors (Select one)
   ____ No sub-contractors will be used in the performance of any resultant contract OR
   ____ The following sub-contractors will be used in the performance of any resultant contract:

   ________________________________________________________________
   (Attach extra sheets, as needed)

6. Please describe any relationship with any entity (other than Subcontractors listed in (5) above) which
   will be used in the performance of any resultant contract.

   ________________________________________________________________
   (Attach extra sheets, as needed)

7. ____ On behalf of the submitting organization named in item #1, above, I accept the Conditions
   Governing the Procurement as required in Section II. C.1.
   ____ I concur that submission of our proposal constitutes acceptance of the Evaluation Factors contained
   in Section V of this RFP.
   ____ I acknowledge receipt of any and all amendments to this RFP.

   ____________________________ ____________________________, 2017

Authorized Signature and Date (Must be signed by the person identified in item #2, above.)
Technical Proposal for Audit Services
# Table of Contents

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<th>Page</th>
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<tr>
<td>Executive Summary</td>
<td>3</td>
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<td>4</td>
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<td>6</td>
</tr>
<tr>
<td>RSM Governmental Practice</td>
<td>7</td>
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<td>Audit Approach</td>
<td>8</td>
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<td>Timeline</td>
<td>11</td>
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<td>On-site Manager and Other Resumes</td>
<td>12</td>
</tr>
<tr>
<td>Client References</td>
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<td><strong>Other Supporting Materials and Forms:</strong></td>
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<td>Events and Webcasts</td>
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<tr>
<td>Peer Review</td>
<td></td>
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<tr>
<td>Campaign Contribution Disclosure</td>
<td></td>
</tr>
<tr>
<td>Letter of Transmittal</td>
<td></td>
</tr>
</tbody>
</table>
January 27, 2017

Mr. Troy Bingham, Finance Director
North Central Regional Transit District
1327 N. Riverside Drive
Española, NM 87532

Dear Mr. Bingham:

We appreciate the opportunity to propose on providing audit services to the North Central Regional Transit District, (NCRTD). The following proposal reflects our understanding of your needs and illustrates the approach we will take in providing these services.

We have proposed a specialized engagement team very knowledgeable in transit operations. This team is specifically tailored to meet your needs and provide high quality services.

With our team’s past experience serving transit and many other governmental entities, the transition to our firm will be smooth. By engaging Ricci & Company LLC (Ricci), you benefit from our distinct advantages:

- **Knowledge and experience.**
  The individuals selected to lead your engagement team, Wayne Brown, leader of our firm's assurance practice, and Larry Carmony, assurance director and Lee Baldwin, Assurance Manager, have together served governmental entities for more than 60 years. Collectively, the individuals in our firm have served over 100 governmental clients. All personnel assigned to your engagement work on a number of such engagements and annually attend governmental specific training. We believe having this level of experience within the engagement team sets us apart from other firms.

- **Personalized service by a substantial New Mexico firm.**
  Wayne, Larry and Lee will consistently be in the field personally working with your staff. Ricci provides assurance, tax, accounting and consulting services to over 1,000 clients in the Southwest.

- **Credibility and reputation of a large national firm.**
  RSM is the fifth largest accounting and consulting firm in the United States and a leader in serving governmental and benefit plan entities. Ricci is the exclusive New Mexico member of the RSM Alliance.

- **Customized audit approach with a strong emphasis on early planning and efficient execution of procedures.**
  We don’t utilize a “one-size-fits-all” audit approach. Our team will work closely with NCRTD to develop a coordinated plan and, more importantly, execute such plan as agreed. We have put together a proposed calendar that we believe is both efficient and achievable. When you work with us, your reporting commitments become our reporting commitments.

- **Services tailored to fit your unique needs and operations.**
  To ensure you receive the maximum benefit from your investment in working with us, we will:
  - Have a service team that thoroughly understands the needs, challenges and dynamics of NCRTD.
  - Provide proactive, hands-on involvement from the partners, managers and other seasoned practitioners on our team — you will get the attention you deserve from our top people.
  - Build a long-term relationship with you and recognize NCRTD as an important client of our practice.
  - Provide loyalty and stability through key personnel who will be there year after year.
We believe we are the firm best suited to serve NCRTD’s audit needs now and into the future. We trust our genuine interest in developing an effective business relationship with your team is evident as you review our proposal. The following persons may be contacted for clarification and are authorized to negotiate the contract on behalf of Ricci & Company, LLC.

Wayne Brown  
Leader of the Assurance Practice

Larry Carey  
Assurance Director

Lee Baldwin  
Assurance Manager
# Executive Summary

## Your Priorities
Based on our understanding of your expectations, we are confident that we have the right capabilities, qualifications and client-service culture to serve as your auditor.

To illustrate this alignment, we would like to highlight the following:

<table>
<thead>
<tr>
<th>Your priorities</th>
<th>Our response</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Confidence that your current and future audit needs will be fully supported</td>
<td>Deploy a delivery model, supported by cutting-edge technology, through which we have successfully served many governmental and benefit plan entities</td>
<td>Coordination and efficiency in serving you, points of contact for questions and updates, transparency into progress</td>
</tr>
<tr>
<td>Seasoned team with the appropriate skills</td>
<td>Our team has significant governmental and Single Audit skills</td>
<td>An experienced team that understands your mission, goals and needs</td>
</tr>
<tr>
<td>Sufficient resources to meet your needs and render consultation during the year</td>
<td>Provide the full skills of over 50 local professionals and that of a national firm with offices in neighboring states</td>
<td>Local and national specialists fully capable of addressing matters before they arise</td>
</tr>
<tr>
<td>Consistent service from the same professionals</td>
<td>Our average historical employee turnover rate is less than 5%</td>
<td>Maximum efficiency and a deep historical perspective for your benefit</td>
</tr>
<tr>
<td>Excellent client service based on communication and responsiveness</td>
<td>Open and ongoing dialogue to address your questions and concerns, learn about changes in the organization, and support your continual improvement</td>
<td>Wayne, Larry, and Lee will communicate throughout the year</td>
</tr>
<tr>
<td>Competitive fees and consistently high-quality results</td>
<td>Highly experienced professionals will plan the engagement and oversee all work phases in the field</td>
<td>On-time delivery of all services, results that fully align with your expectations, and reasonable fees that reflect an optimized staffing approach</td>
</tr>
</tbody>
</table>
Why Ricci is the Right Choice

Our responsibility to you is twofold: (1) to provide NCRTD with audit services from which you receive value and (2) to develop a relationship with management and the board so that we can become valued business advisers to your organization. By bringing together the collective talents, scale and power of our firm, and support from RSM, we make a commitment to consistently seek and deliver a deeper understanding of your needs, desires and challenges through every interaction. We believe Ricci is the best choice to serve you for the following compelling reasons:

Ricci provides a wide range of services to clients in the Southwest, including audit and accounting, tax planning and preparation, business valuation, litigation support, forensic services, merger and acquisition consulting, cost segregation, business operations enhancements and other consulting services. Our personnel are experienced in serving clients such as:

- Healthcare
- Construction
- Nonprofit
- Tribal and gaming
- Professional services firms
- Real Estate
- Government
- Financial institutions
- Hospitality
- Education
- Manufacturing
- Oil and gas

RSM Alliance
Ricci is the exclusive New Mexico member of the RSM Alliance. RSM is the fifth largest accounting and consulting firm in the United States. Alliance firms exist where RSM offices are not nearby. RSM is a leader in serving thousands of governmental entities nationally. You will have the full resources of RSM at any time.

Constant Communication
As you know, audits are more than just financial exercises; they are also important opportunities for positive change and improvement. Therefore, in addition to the audit, we will provide you with valuable feedback on your internal financial operations. This type and timing of feedback may help you locate inefficiencies in those operations, saving you time and money.

In addition, we will keep you fully informed on issues and areas that are of particular importance to you. We monitor the healthcare environment to learn about new and developing issues that might affect you. Using the latest electronic technology, including Web-based presentations, teleconferences, e-mail news updates, and in-person presentations, we communicate with you regularly about the issues affecting your institution and provide you with in-depth expert analysis and commentary. We devote our time and energy to helping our clients excel.

Client Retention
Our historical average annual client retention rate is above 99%.

Independence
Ricci and its personnel are independent of NCRTD as defined by generally accepted auditing standards and the Single Audit Act. There is no relationship with existing clients that might jeopardize our objectivity or independence.

Professional Development of Employees
We are dedicated to providing our professionals both personal development and career advancement opportunities.

We have in place multiple programs and initiatives to enhance their knowledge and skills, including general and industry-specific continuing professional education and professional development activities within the firm and McGladrey. In addition, our partners are evaluated, in part, on their effectiveness in training and developing subordinates. All personnel working on Single Audit and government engagements are required to attend our annual conference which is comprised of 16 to 24 hours of specific training.

To encourage self-development, our professionals have online access to professional standards promulgated by the Financial Accounting Standards Board, Governmental Accounting Standards Board, the AICPA (including Auditing Standards Board pronouncements and Industry Audit Guides), U.S. Government Accountability Office, and the Public Company Accounting Oversight Board.
McGladrey manuals are revised and updated on a periodic basis and made available to all Alliance personnel through electronic databases. Each professional receives a newsletter of professional developments on a bi-weekly basis.

**The Best Value**
Controlling costs is an important part of every business, and we deliver. This doesn't mean underbidding the competition and then underserving the client. Rather, it means providing the highest quality of service by very effective personnel at a fair price. Our extensive experience combined with our lean structure and very reasonable rates, allow us to deliver a great value that clients can see.

**Staff Continuity**
The staff serving you will be consistent and long-term. Our average turnover rate of 5% over the past 10 years is much lower than other accounting firms. It is expected that all members will continue on the team over the course of the three-year proposal.

**Early Completion**
We address issues before the audit, review our work as we go along, and prepare the financial statements in the field. You will be able to monitor our progress, and we will interact with you consistently.

**Continuous Improvement**
Each year, we meet with you at the end of the engagement to discuss our service approach and incorporate improvements you desire.

**Peer Review Report**
Our most recent peer review report is an "unqualified" report. There was no letter of comments.

**Audit Engagements**
We have performed approximately 200 public and private audits in the last 2 years. About 40% of our annual revenue is derived from assurance services. You may contact our references about team member's success in the past.
Government Experience

Team members have audited governmental entities similar to NCRTD up to over 30 years. Our Single Audit experience is significant.

TRANSIT
- Rio Metro
- City of Albuquerque Transit Department
- Regional Transportation Authority of Southern Nevada, Las Vegas

CAFR REPORTING AND CERTIFICATE OF ACHIEVEMENT
- State of New Mexico
- City of Albuquerque
- Bernalillo County
- City of Las Cruces
- City of Santa Fe
- Pinal County of Arizona
- San Juan County
- City of Farmington

HIGHER EDUCATION
- CNM and Foundation
- Arizona Government Loan Association
- Eastern New Mexico University and Foundation
- Luna Community College
- New Mexico Educational Assistance Foundation
- New Mexico Highlands University and Foundation
- New Mexico State University and Foundation
- Mohave Community College (Arizona)
- Dine' College
- New Mexico Junior College
- New Mexico Military Institute
- New Mexico Student Loan Guarantee Corporation
- Northern New Mexico College and Foundation
- University of New Mexico and Foundations
- New Mexico Institute of Mining and Technology and Foundation
- Western New Mexico University and Foundation
- El Paso Community College
- New Mexico Student Loan Guarantee Corporation
- UNM Hospital and Medical School

PUBLIC AND PRIVATE SCHOOLS
- Albuquerque Public Schools and 36 Charter Schools
- Los Lunas Public Schools
- New Mexico Public Education Department and 39 Charter Schools
- Roswell Public Schools
- Santa Fe Public Schools
- Hobbs Municipal Schools

SOUTHWEST STATE GOVERNMENT
- Administrative Office of the Courts
- Arizona Department of Education
- New Mexico Human Services Department
- New Mexico Department of Health
- New Mexico Workforce Solutions Department
- New Mexico Self-Insurers Fund
- New Mexico State Fair
- New Mexico Public Education Department
- New Mexico Public Employees Retirement Association
- New Mexico Board of Veterinary Medicine
- New Mexico Workforce Solutions Department
- New Mexico Workers Compensation Administration
- New Mexico Crime Victims Reparation Commission
- New Mexico Department of Public Safety
- Arizona Lottery
- New Mexico Department of Transportation
- New Mexico General Services Department
- Arizona Water Infrastructure Finance Authority
- New Mexico Aging and Long-Term Care Department
- New Mexico Hospital Equipment Loan Council
- New Mexico State Investment Council
- New Mexico Commission for the Blind
- New Mexico Lottery
- New Mexico Mortgage Finance Authority-internal audit
- New Mexico State Land Office
- New Mexico Statewide CAFR
- New Mexico Department of Cultural Affairs
- New Mexico Taxation and Revenue Department
- New Mexico Department of Energy, Minerals, and Natural Resources

MUNICIPAL AND OTHER
- Mid-Region Council of Governments
- New Mexico Workforce Connection
- Rio Metro Regional Transit District
- Bernalillo County Metro Court
- Albuquerque International Sunport
- City of Las Cruces
- Albuquerque Water Authority
- Arizona Electric Power Cooperatives
- Bernalillo County
- City of Albuquerque
- City of Farmington
- City of Raton
- City of Santa Fe
- Los Alamos County
- San Juan County
- Santa Fe County
- San Miguel County
- Village of Los Lunas
- Pinal County (Arizona)
- Town of Estancia
- Torrance County
- Cibola County
- Village of Capitan
- Village of Pecos
- Village of Cuba
- Town of Cochiti Lake
- Albuquerque Metropolitan Arroyo and Flood Control Authority
- Santa Fe Civic Housing Authority
- Pecos Housing Authority
- Pecos River Commission
- City of Gallup
- City of Grants
- Middle Rio Grande Conservancy District
- Second Judicial District Court
RSM Governmental Practice

Government Industry Practice
RSM has a significant governmental audit practice that serves over 2,000 public sector clients nationally, or approximately 17 percent of our total audit and accounting services nationally. We serve a variety of state departments and agencies, including commerce, corrections, housing, labor, tollway and pensions. Our government audit clients' budgets range in size from $150 million to over $5.0 billion, and they have assets in excess of $30 billion. The depth and breadth of our audit practice enables us to maintain a large complement of trained and experienced staff.

Number of government staff firmwide
Our skilled advisors have a thorough understanding of the public sector. Because we have offices in many cities and several state capitals, we have always worked closely with city, state and local government clients; in the process, we have acquired considerable expertise in this industry. Within RSM's public sector practice, we offer approximately 140 partners and principals.

Relationships with regulatory and professional standards organizations
Auditing and accounting is one of the most dynamic aspects of public accounting. The needs of clients regarding the expectations of financial statement and audit report users change rapidly. As a result, it is necessary that both our firm and our clients have a means to keep current on changing requirements, have access to decision makers when laws, regulations, standards and principles are being considered and established, and have an avenue to appeal, if necessary. To that end, we have established extensive formal and informal relationships with government officials, industry associations, standard-setting bodies, and professional organizations at the national, regional and state levels.

Formally, we participated as an advisor to the President's Council on Integrity and Efficiency through the Quality of Audit Roundtable. We maintain numerous relationships with officials in the Office of Inspector General at most federal service capabilities departments and agencies, as well as with key officials at the General Accounting Office and the U.S. Office of Management and Budget.

As our commitment to the profession, RSM is well represented on committees, task forces and councils of various industry standard-setting bodies. This participation gives us input into the development and first-hand knowledge of the current standards, statements and positions that affect our clients. Our partners currently serve the audit and accounting industry as members of the following:

- Auditing Standards Board Technical Audit Advisors Task Force
- AICPA Accounting Standards Executive Committee
- AICPA Auditing Standards Board
- AICPA State and Local Government Expert Panel
- AICPA Joint Task Force on Independence and Quality Control
- AICPA Practice Section Executive Committee
- AICPA Professional Ethics Executive Committee
- AICPA SEC Practice Section Peer Review Committee
- AICPA SEC Regulations Committee
- Assurance Services Executive Committee
- Audit Issues Task Force
- Financial Accounting Standards Advisory Council (FASAC) to the Financial Accounting Standards Board (FASB)
- FASB Emerging Issues Task Force
- SEC Practice Section Executive Committee

Publications and Webcasts

Please consult the section on Events and Webcasts for recent and upcoming events that may be of interest.
Audit Approach

We will audit the financial statements of each organization under GAGAS, GAAP, OMB Circular A-133, AICPA Audit Guides, NM State Auditor’s Rule, 2CFR 200 (Uniform Guidance) and applicable GASB and other pronouncements.

Our audit approach places a heavy emphasis on early planning and a deep understanding of how a specific organization functions. This will enable us to identify critical audit components, provide your staff with a better understanding of what assistance is expected of them, and tailor our procedures to the unique aspects of NCRTD. The benefit to you is a more efficient audit approach, performed within your time requirements while minimizing disruptions to your staff’s daily work schedule.

*The next few pages describe the teamwork and innovation that has received praise from many clients:*

- **Understand the client.** We will update our knowledge of the 3 organizations up front in order to properly understand the account balances, processing of transactions, and internal controls relevant to your activities. We will utilize available system and procedures documentation and interview personnel.

  *This process begins upon the approval by OSA for our selection. We will arrange to meet with management and the Board to learn of your concerns and any special areas of interest.*

- **Risk assessment.** We assess the risk that errors or fraud may cause a material misstatement of financial statements. We next decide whether the identified risks relate to specific relevant assertions about significant account balances, classes of transactions, or disclosures, or whether they relate to the financial statements taken as a whole and potentially affect other assertions. We then determine which of the identified risks of material misstatement significant enough to require special audit consideration are. We also identify internal control deficiencies as part of our risk assessment process. We next determine the nature, timing and extent of tests of controls and substantive procedures necessary to address the risks identified.

  *This process is somewhat intricate as we carefully weigh your processes and controls. Special attention is made to the Federal grant procedures necessary for Single Audit testing on major programs. Please see more details in the related following sections. We congratulate you on having no findings last year.*

  At this stage, we develop a preliminary listing of audit schedule requests in priority order and expected dates of completion. This is reviewed and modified by management. Also see Involving Management in Audit Planning and Execution section later. Together with management, we will determine the exact dates of interim testing and anticipated final field work.

- **Further audit procedures.** We select transactions for testing using various approaches, which may include specific identification of transactions or may involve sampling. When audit evidence obtained from the audit procedures results in identification of previously unidentified risks of material misstatement or contradicts planned risk assessment procedures, we revise the assessment and plan and perform additional audit procedures to reduce risk of material misstatement to an acceptably low level.
Audit procedures would likely be conducted at an interim date for State Auditor compliance tests, revenue, purchasing and cash disbursements, compensation and capital assets.

Final field work would focus on balance sheet accounts, GASB 68 information, analytical reviews on all accounts and footnote information. Throughout the process, our regular status meetings with management will enable all of us to solve problems together and stay on schedule.

**Evaluation.** As the audit progresses and at the conclusion of the audit, we evaluate the sufficiency and appropriateness of the audit evidence obtained and whether the assessments of the risks of material misstatement remain appropriate. We may redesign planned audit procedures based on our evaluation. We also evaluate the effects, both individually and in the aggregate, of factual, judgmental, and projected misstatements that are not corrected by the organization. We communicate all misstatements identified during the audit to management and the board on a timely basis.

*We will prepare the audit report draft and present to management BEFORE we leave the field so that you may review, make changes and complete Management’s Discussion and Analysis.*

**Delivery.** Our audit culminates with the review of the report on the financial statements with the Board and report draft to the State Auditor.

**Uniform Guidance Compliance Audit**

The process begins with a review of your schedule of expenditures of federal awards and consideration of the requirements of OMB Circular A-133, your grants and contract agreements, and Government Auditing Standards. This is followed by:

- An assessment of each federal program and the associated audit risks to determine which major programs to be audited are.
- Further assessments of:
  - Technology and your organization
  - Materiality
  - Internal controls in place for each program
  - State and local compliance requirements
  - Results of desk reviews and on-site reviews by regulatory agencies
  - Design of an audit approach specifically fitted to the circumstances that allows for a high-quality and efficient audit

Determining Applicable Laws and Regulations for the A-133 Audit

- Review of the OMB Circular A-133 Compliance Supplement, grant agreements, contracts, and related publications to determine the applicable compliance requirements for each major program
- Analysis of instructions from pass-through agencies and existing regulatory guidance Management inquiries
- Review of communications from regulators and relevant national and state accounting

Drawing Audit Samples for the A-133 Audit

- Specific tests of internal control and of compliance are designed and include the use of audit samples
- Appropriate sampling techniques are determined and tailored to the particular test
- Possible use of data extraction software

**Reporting Non-compliance and Findings**

- We use a tiered approach that assesses the significance of an observed error, potential lack of effective control mechanism, or instance of non-compliance
- We use an assessment that includes the materiality of the issue to each major program and an analysis of the pervasiveness of the issue
- We identify and report only those major systemic problems that put the organization at risk or constitute significant noncompliance as required by professional standards. Isolated instances and administrative errors not required to be reported more broadly are usually reported only to management

**Quality Control Reviews on Our Work**

All work and financial statements are reviewed in the field. Reviews occur at the senior auditor, manager, and partner level as the team conducts the work. This allows the greatest efficiency and timely client interaction.
Use of Audit Technology
Computerized audit tools we use are summarized below:

CaseWare. Ricci uses an audit automation tool that streamlines audit work. Use of this software reduces work for your accounting staff and allows for a more efficient audit effort. Audit program sheets are integrated with electronic workpapers and inserted into a comprehensive engagement file. This tool facilitates our documentation of your financial processes and internal control procedures, as well as testing for an understanding of the actual operation of these processes and controls.

Data Mining and Extraction. We use IDEA® as our data mining and extraction tool. In addition to some of the more common audit retrieval tools, IDEA® improves audit efficiency by allowing us to perform fewer manual procedures. Functions include: (a) sampling, including selection and evaluation for systematic, random, stratified random, monetary unit and attribute sampling; (b) field manipulation that allows fields to be appended for calculations and recomputations, facilitates account reconciliations and analyzes the population for major or unusual transactions; and (c) field statistics that display and print statistics about transactions.

Secure Portal. To facilitate effective communication and simplify work-flow process, we will deploy our portal—a secure, internet-based platform designed to optimize engagement management and accountability. You can leverage the portal to stay in touch with your engagement team from any location.

Joint use of this portal by the NCRTD and Ricci will support efficient exchange of files while reducing risk of unauthorized access to information. Additional features of the tool include:

- Engagement calendars to track milestones
- Functionality to assign tasks and due dates and track related progress
- Protocols to manage document iterations, assisting with version control
- Array of safeguards to enable secure transfer of files, centralization of data, and protection of confidential and sensitive information
- Ability to control information access with respect to distinct tasks
- Capability to issue updates, alerts and notifications of pending deadlines

Smooth Transition to Us
TOGETHER, we will develop strategies for information-gathering, identifying key areas of operations and navigating potential problem areas. We will then put in place an audit road map that includes an audit calendar and agreed-upon milestones and deadlines for successful, on-time completion of the audit. All members of our engagement team will be fully knowledgeable of your operations, our audit approach, milestones and deadlines BEFORE we begin performing the audit procedures.

Involving Management in the Audit Planning and Execution
We recognize the importance of regularly communicating with management during the audit process. From the preliminary audit planning through delivery of the reports and presentation of communications to the Board, we will maintain a timely exchange of information by the status meeting and other means. To minimize disruptions to your internal work schedules, it is important for us to provide an understanding of what is expected from management and other NCRTD personnel early in the audit process. This includes meeting with your management and staff to discuss the audit approach and schedules requested to be prepared by you.

The assistance requested from your personnel will be described in a client participation list, which outlines the specific activities, schedules and analyses from your personnel, including the dates when the information should be available to us. We use information and workpapers you already have to help avoid extra work for your staff.

Since it is only natural to focus on the “easy” schedules first, we will prioritize the receipt of information. Management’s timely completion of schedules and other information is important in achieving an effective and efficient audit.

When the audit procedures begin, we will meet twice weekly with management at an appointed time to discuss:

- Progress on milestones chart of performance
- Any foreseen delays and what actions are needed to solve
- Additional auditing staff, as needed
- Potential findings and audit adjustments

Consultation During the Year
All of our engagement team are available to NCRTD throughout the year. Wayne, Larry and Lee will consult or discuss matters with you consistently.
Timeline
The following is a preliminary timeline for your review and modification:

<table>
<thead>
<tr>
<th>Task</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meet with management</td>
<td>Upon appointment</td>
</tr>
<tr>
<td>Risk assessment and detail audit planning</td>
<td>Upon appointment</td>
</tr>
<tr>
<td>Interim testing</td>
<td>May or June</td>
</tr>
<tr>
<td>Status meetings</td>
<td>Twice Weekly</td>
</tr>
<tr>
<td>Final fieldwork</td>
<td>September</td>
</tr>
<tr>
<td>Final audited financials</td>
<td>October 15th</td>
</tr>
<tr>
<td>Exit conference and reports to OSA</td>
<td>November</td>
</tr>
<tr>
<td>Performance evaluation</td>
<td>December</td>
</tr>
</tbody>
</table>

We will maintain the timing on page 19 of the RFP.

Findings or Adjustments
Should any findings or audit adjustments arise, we will apprise you immediately so you may research the matter and clear up any misunderstandings on our part. We will NOT wait until the end of the engagement. Please be aware that we will provide suggestions contemporaneously or at the weekly status meetings to improve efficiency or effectiveness of your staff.

Performance Evaluation and Multi-Year Approach
When we complete the audit services, our personnel and yours meet to review what went well and what should be improved. We will modify our approach to improve efficiency, quality, and your satisfaction. We will send satisfaction surveys as well.

Consulting Services
Ricci and RSM provide a full range of consulting services to help address your operational challenges. The margin for error when running an organization is often very small, and you require a partner with specialized experience to allow you to focus on pursuing your mission. Our in-depth industry knowledge allows us to provide strategic guidance related to optimizing your technology, protecting your organization against internal and external threats, and developing advantageous financial strategies.

We offer recommendations that focus on your immediate and long-term goals. We can quickly address problems that currently exist, while maintaining a proper perspective to envision potential concerns and deliver future benefits. Services we provide to government organizations include:

- Technology and management consulting
- Compensation studies
- Productivity improvement and work flow
- Cost segregation studies to reduce cost of building projects
- Internal auditing
- Data breach preparedness
- Penetration testing
- Forensic auditing and control strengthening

Such services are subject to independence rules as your auditor.
Resume

Wayne Brown, CPA
Partner and Leader of the Assurance Practice

Wayne has practiced public accounting and served government institutions for over 30 years. Previously, he was Managing Partner of the Albuquerque Moss Adams Office (originally Neff & Ricci) and a partner with Ernst and Young, an international firm.

He has audited most of our governmental clients and CAFRs receiving the Certificate of Achievement listed in this proposal. He exceeds the industry-specific and audit continuing professional education requirements (85.5 hours). Wayne may be the most experienced government auditor currently practicing in the state.

Clients include:

- Rio Metro
- City of Albuquerque Transit Department
- Educational Retirement Board
- New Mexico Public Employees Retirement Association
- New Mexico State Investment Council
- New Mexico Department of Health
- New Mexico Self-Insurers Fund
- New Mexico State Fair
- New Mexico Workforce Solutions Department
- New Mexico Department of Public Safety
- New Mexico Human Services Department
- New Mexico Department of Transportation
- New Mexico General Services Department
- New Mexico Aging and Long-Term Care Department
- New Mexico Hospital Equipment Loan Council
- New Mexico Commission for the Blind
- New Mexico Lottery
- New Mexico Mortgage Finance Authority-internal audit
- New Mexico State Land Office
- New Mexico Department of Cultural Affairs
- New Mexico Taxation and Revenue Department
- New Mexico Department of Energy, Minerals, and Natural Resources
- Cities of Albuquerque, Santa Fe, Las Cruces, Roswell, Farmington, Raton, Las Vegas, Grants
- Bernalillo and 5 other counties
- APS and 36 Charter Schools
- Santa Fe Public Schools
- University of New Mexico and Foundation
- Mid-Region Council of Governments
- New Mexico State University and Foundation
- New Mexico Tech and Foundation
- Arizona Department of Education

*Our team understands your industry. You won't have to show us the ropes... we are ready know them.*

-Wayne
Resume

Larry Carmony, CPA
Assurance Director

Larry has over 25 years of experience serving governmental organizations and possesses substantial Single Audit expertise. He was previously a partner and the head of the Moss Adams Albuquerque office assurance department. Larry has significant knowledge and experience in auditing and producing CAFRs receiving the GFOA Certificate of Excellence such as the State of New Mexico for 5 years, City of Albuquerque, Bernalillo County, Pinal County of Arizona and 6 others. He exceeds the industry specific and audit CPE requirements.

Some of the clients he has served include:

- Rio Metro
- City of Albuquerque Transit Department
- Regional Transportation Authority of Southern Nevada
- New Mexico Public Education Department
- New Mexico Human Services Department
- New Mexico Department of Health
- New Mexico Taxation and Revenue Department
- New Mexico Department of Transportation
- New Mexico Commission for the Blind
- New Mexico Department of Energy, Minerals and Natural Resources
- City of Albuquerque
- City of Las Cruces
- City of Santa Fe
- Bernalillo and 5 other counties
- University of New Mexico
- 31 other governmental entities

How often do you meet with or receive communications from your auditors? Frequent communication is a prime part of our service package.

-Larry
Resume

Lee Baldwin, CPA  
Assurance Manager

Lee is a manager in our audit department and has over 6 years of experience auditing governmental organizations. He exceeds the audit and industry-specific CPE requirements.

Some of the clients served are:

- State Agencies
  - Public Regulation Commission
  - Aging and Long-Term Services
  - Office of the Attorney General
  - Public Schools Facilities Authority
  - Commission for the Deaf
- Cities and Counties
  - Santa Fe
  - Gallup
  - Tucumcari
  - Corrales
  - Sandoval County
  - Guadalupe County
- Other
  - Rio Metro
  - New Mexico Tech
  - AMAFCA
  - Northwest Regional Solid Waste Authority
  - Santa Fe Public Schools
  - Las Cruces Public Schools
  - Clovis Municipal Schools
  - Los Lunas Schools
  - Espanola Schools
  - 8 other school districts
  - Clovis Housing Authority
  - 4 judicial district courts

*Partners and managers will provide over 30% of our service to NCRTD. You will receive great attention from our most experienced professionals.*

-Lee

Staff

Staff members with 1-4 years of government experience will also serve you. There will be consistent staffing throughout the 3 years.

RSM

Mark Waterman, Government Practice Leader, will serve as technical advisor.
Client References

A crucial measure of an accounting firm's capability to deliver on its promises lies not in what is said in its proposal but in the testimony of those the firm has already served. We encourage you to contact the following clients to discuss our capabilities:

Contact Information

University of New Mexico
Elizabeth Metzger, Controller
(505)277-3389

Ava Lovell, Health Sciences
CFO
(505)277-5113

City of Albuquerque
Pam Fanelli, Accounting Officer
(505)768-3508

Mid-Region Council of Governments and Rio Metro
Amy Myer, CFO
(505)247.1750

Scope of work

Wayne Brown and Larry Carmony audited the University for over 20 years. Included was Single Audit compliance tests on very large federal awards. Our report was filed with the New Mexico State Auditor approximately one month before the deadline every year. Various consulting projects were also performed.

Wayne and Larry audited the City for multiple 6 year periods.

Audit and Single Audit services

We would be pleased to provide more references.
EVENTS & WEBCASTS
State and local government entities

State and local governments are being challenged by a broader range of constituencies to deliver more transparency, efficiency and accountability than ever before. Leaders are under considerable pressure to ensure that government entities function like a business – delivering quality services, implementing efficient processes, and setting new standards that can withstand examination. At the same time, in the face of ever-changing economic and political conditions, state and local governments must function productively and show results, all while focused on achieving a higher mission: to preserve and protect the public interest.

At RSM, we work together with you to address a variety of challenges, including:

- Reporting and compliance requirements
- Risk and internal controls
- Business process re-engineering and operational transformation
- Technology consulting

MOST POPULAR INSIGHTS

INSIGHT ARTICLE

NCSL signals support for federal remote seller and digital goods bills
NCSL resolutions encourage enactment of federal legislation addressing remote sales tax collection and digital goods and services taxation.

Brad Hershberger, Steve Riddle, Steve Parish | August 19, 2016

WHITE PAPER

Your case management system may require a speedier, real-time solution
Discover how unsupported legacy solutions, like Microsoft’s FoxPro, could be preventing optimal case management.

Phillip Haase | July 28, 2015

CASE STUDY

Social services board pioneers solution to serve those most in need
Learn how Camden County, New Jersey, Board of Social Services’ implementation of Microsoft Dynamics CRM helped meet demand spike for services

July 24, 2015

CASE STUDY

Award-winning project enables enhanced case management for the disabled
Ohio Department of Developmental Disabilities (DODD) implements Microsoft Dynamics CRM as the platform to develop the imagine system.
November 06, 2014

CASE STUDY

New scorecard process helps validate grants of nearly $5 million annually
A state housing agency improves grant decision-making process by implementing a new scorecard process.
April 11, 2014

INSIGHT ARTICLE

Using technology to your advantage: Three government trends for 2014
Big data, transparency and mobility are technology buzz terms, but you must understand what they mean to you and how they can improve your operations.
Michele Juliana, Ron Beck  |  March 17, 2014

INSIGHT ARTICLE

Overcoming hidden risks within construction contracts
As construction fraud increases, know warning signs and implement measures to protect your organization and ensure projects deliver expected results.
John Croy  |  March 14, 2014

INSIGHT ARTICLE

Alleviate cloud computing risks with effective vendor management
Learn to manage vendor agreements proactively to adequately address security needs and implement effective controls with favorable contract terms.
Jermaine Stanley  |  March 14, 2014

INSIGHT ARTICLE

Unknown PCI DSS risks and the importance of compliance
A data breach can be very damaging for both government entities and constituents. Learn how to protect your organization and remain PCI DSS compliant.
/content/mcgladrey/en_US/about/profiles/DelCarlo–Corbin  |  March 14, 2014

INSIGHT ARTICLE

Implementing cash controls to discourage theft and fraud

Any government organization that handles cash must implement strong controls to avoid becoming a victim of fraud and misappropriation of funds.

March 14, 2014

See more State and Local Government insights →

HOW CAN WE HELP YOU?

To discuss how our team can help your organization, contact us by phone 800.274.3978 or

EMAIL US

THE POWER OF BEING UNDERSTOOD

AUDIT | TAX | CONSULTING

RSM US LLP is a limited liability partnership and the U.S. member firm of RSM International, a global network of independent audit, tax and consulting firms. The member firms of RSM International collaborate to provide services to global clients, but are separate and distinct legal entities that cannot obligate each other. Each member firm is responsible only for its own acts and omissions, and not those of any other party. Visit rsmus.com/aboutus for more information regarding RSM US LLP and RSM International.

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PEER REVIEW
System Review Report

June 12, 2014

To the Owners,
Ricci and Company, LLC
and the New Mexico Society of CPA’s Peer Review Committee

We have reviewed the system of quality control for the accounting and auditing practice of Ricci and Company, LLC (the firm) in effect for the year ended December 31, 2013. Our peer review was conducted in accordance with the Standards for Performing and Reporting on Peer Reviews established by the Peer Review Board of the American Institute of Certified Public Accountants. As a part of our peer review, we considered reviews by regulatory entities, if applicable, in determining the nature and extent of our procedures. The firm is responsible for designing a system of quality control and complying with it to provide the firm with reasonable assurance of performing and reporting in conformity with applicable professional standards in all material respects. Our responsibility is to express an opinion on the design of the system of quality control and the firm’s compliance therewith based on our review. The nature, objectives, scope, limitations of, and the procedures performed in a System Review are described in the standards at www.aicpa.org/prsummary.

As required by the standards, engagements selected for review included engagements performed under the Government Auditing Standards and audits of employee benefit plans.

In our opinion, the system of quality control for the accounting and auditing practice of Ricci and Company, LLC in effect for the year ended December 31, 2013, has been suitably designed and complied with to provide the firm with reasonable assurance of performing and reporting in conformity with applicable professional standards in all material respects. Firms can receive a rating of pass, pass with deficiency (ies) or fail. Ricci and Company, LLC has received a peer review rating of pass.

Bolinger, Segars, Gilbert & Moss LLP
Certified Public Accountants
APPENDIX A

Campaign Contribution Disclosure Form

Pursuant to NMSA 1978, § 13-1-191.1 (2006), any person seeking to enter into a contract with any state agency or local public body for professional services, a design and build project delivery system, or the design and installation of measures the primary purpose of which is to conserve natural resources must file this form with that state agency or local public body. This form must be filed even if the contract qualifies as a small purchase or a sole source contract. The prospective contractor must disclose whether they, a family member or a representative of the prospective contractor has made a campaign contribution to an applicable public official of the state or a local public body during the two years prior to the date on which the contractor submits a proposal or, in the case of a sole source or small purchase contract, the two years prior to the date the contractor signs the contract, if the aggregate total of contributions given by the prospective contractor, a family member or a representative of the prospective contractor to the public official exceeds two hundred and fifty dollars ($250) over the two year period.

Furthermore, the state agency or local public body shall void an executed contract or cancel a solicitation or proposed award for a proposed contract if: 1) a prospective contractor, a family member of the prospective contractor, or a representative of the prospective contractor gives a campaign contribution or other thing of value to an applicable public official or the applicable public official’s employees during the pendency of the procurement process or 2) a prospective contractor fails to submit a fully completed disclosure statement pursuant to the law.

THIS FORM MUST BE FILED BY ANY PROSPECTIVE CONTRACTOR WHETHER OR NOT THEY, THEIR FAMILY MEMBER, OR THEIR REPRESENTATIVE HAS MADE ANY CONTRIBUTIONS SUBJECT TO DISCLOSURE.

The following definitions apply:

“Applicable public official” means a person elected to an office or a person appointed to complete a term of an elected office, who has the authority to award or influence the award of the contract for which the prospective contractor is submitting a competitive sealed proposal or who has the authority to negotiate a sole source or small purchase contract that may be awarded without submission of a sealed competitive proposal.

“Campaign Contribution” means a gift, subscription, loan, advance or deposit of money or other thing of value, including the estimated value of an in-kind contribution, that is made to or received by an applicable public official or any person authorized to raise, collect or expend contributions on that official’s behalf for the purpose of electing the official to either statewide or local office. “Campaign Contribution” includes the payment of a debt incurred in an election campaign, but does not include the value of services provided without compensation or unreimbursed travel or other personal expenses of individuals who volunteer a portion or all of their time on behalf of a candidate or political committee, nor does it include the administrative or
solicitation expenses of a political committee that are paid by an organization that sponsors the committee.

“Family member” means spouse, father, mother, child, father-in-law, mother-in-law, daughter-in-law or son-in-law.

“Pendency of the procurement process” means the time period commencing with the public notice of the request for proposals and ending with the award of the contract or the cancellation of the request for proposals.

“Person” means any corporation, partnership, individual, joint venture, association or any other private legal entity.

“Prospective contractor” means a person who is subject to the competitive sealed proposal process set forth in the Procurement Code or is not required to submit a competitive sealed proposal because that person qualifies for a sole source or a small purchase contract.

“Representative of a prospective contractor” means an officer or director of a corporation, a member or manager of a limited liability corporation, a partner of a partnership or a trustee of a trust of the prospective contractor.

DISCLOSURE OF CONTRIBUTIONS:

Contribution Made By: __________________________________________

Relation to Prospective Contractor: ________________________________

Name of Applicable Public Official: ________________________________

Date Contribution(s) Made: _______________________________________

Amount(s) of Contribution(s) _____________________________________

Nature of Contribution(s) _________________________________________

Purpose of Contribution(s) _________________________________________

(Attach extra pages if necessary)

Signature ____________________________ Date ________________________
Title (position)

—OR—

NO CONTRIBUTIONS IN THE AGGREGATE TOTAL OVER TWO HUNDRED FIFTY DOLLARS ($250) WERE MADE to an applicable public official by me, a family member or representative.

Wayne Brown
Signature

2/1/17
Date

Partner

Title (Position)
APPENDIX C

Letter of Transmittal Form

RFP#2017-001 Financial Audit Services

Offeror Name: Ricci
FED ID# 20-5949532

Items #1 to #7 EACH MUST BE COMPLETED IN FULL. Failure to respond to all seven items WILL RESULT IN THE DISQUALIFICATION OF THE PROPOSAL!

1. Identify (Name) and Mailing Address of the submitting organization:
   Ricci & Company, LLC
   6200 Uptown Blvd. Ste 400
   Albuquerque, NM 87110

2. For the person authorized by the organization to contractually obligate on behalf of this Offer:
   Name  Wayne Brown
   Title  Partner
   E-Mail Address  wayne.brown@ricciicpa.com
   Telephone Number  505.338.0800

3. For the person authorized by the organization to negotiate on behalf of this Offer:
   Name  Wayne Brown
   Title  Partner
   E-Mail Address  wayne.brown@ricciicpa.com
   Telephone Number  505.338.0800

4. For the person authorized by the organization to clarify/respond to queries regarding this Offer:
   Name  Wayne Brown
   Title  Partner
   E-Mail Address  wayne.brown@ricciicpa.com
   Telephone Number  505.338.0800

5. Use of Sub-Contractors (Select one)
   X  No sub-contractors will be used in the performance of any resultant contract OR
   The following sub-contractors will be used in the performance of any resultant contract:

   (Attach extra sheets, as needed)

6. Please describe any relationship with any entity (other than Subcontractors listed in (5) above) which will be used in the performance of any resultant contract.
   None

   (Attach extra sheets, as needed)

7. X  On behalf of the submitting organization named in item #1, above, I accept the Conditions
   Governing the Procurement as required in Section II. C.1.
   X  I concur that submission of our proposal constitutes acceptance of the Evaluation Factors contained
   in Section V of this RFP.
   X  I acknowledge receipt of any and all amendments to this RFP.

   [Signature]

Authorized Signature and Date (Must be signed by the person identified in item #2, above.)

2017
Cost Proposal for Audit Services
Professional Fees

Our estimate is based on a presumption that your books and records will be in good condition and that your accounting and finance staff will provide the requested assistance when needed.

We are Your Best Value...Just What Does This Mean?

Our team utilizes time-tested techniques which have provided superior client service to many organizations:

- Wayne, Larry and Lee will be in the field consistently directing our efforts for maximum effectiveness. Partners and managers provide more effort to our clients than competing firms.
- These are highly experienced experts who complete the work quicker and better. Accordingly, we spend less time in your offices than other firms.
- You will receive timely communication from us. You will not be guessing as to the status of any matter.
- Compare our team's depth and experience serving many diverse governmental and Single Audit clients with that of other proposers. You have needs for technical proficiency, diverse skills, speed and engagement management that our team and RSM easily provide... but others cannot.
- You will receive the audit report draft BEFORE we leave the field.
- We hold a performance evaluation with your team shortly after completion each year to constantly improve the process.

Our reasonable rates for seasoned personnel provide real value in fees, service and knowledge.

Sufficient Size
Some firms have only a few permanent staff members and use temporary staff who often lack the technical skills to serve you well. We have over 50 personnel to assist you. You will not be dependent upon the available time and skill of a small group. In addition, the full resources of RSM are always there for you whenever needed.

Additional Assistance
We do not charge for telephone calls seeking miscellaneous advice, meeting, or other assistance unless they require significant additional work or research. If a matter requires further follow-up, we will discuss a fee estimate with you before incurring additional time and receive written authorization.

Training and Education
In addition to the Webcasts and Events available to you through RSM, we are available to develop and present training for the specific needs of the Board, management, or the accounting department.

We will not be underbid by other firms. Please contact us before your final decision if fees are an issue.
## APPENDIX B

### COST RESPONSE FORM

#### VI. Fee and Hour Breakdown

<table>
<thead>
<tr>
<th>Category</th>
<th>Year 1 Hours</th>
<th>Year 1 Cost</th>
<th>Year 2 Hours</th>
<th>Year 2 Cost</th>
<th>Year 3 Hours</th>
<th>Year 3 Cost</th>
</tr>
</thead>
<tbody>
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<td>Financial Statement Audit</td>
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<td>135</td>
<td>$16,000</td>
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<td>$16,500</td>
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<td>22</td>
<td>$2,500</td>
<td>22</td>
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<td>Federal Single Audit</td>
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<td>33</td>
<td>$3,750</td>
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<td>$3,750</td>
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<td>Other allowed non-audit services</td>
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<tr>
<td>Competent Units</td>
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<td>Other</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>SUBTOTAL</strong></td>
<td></td>
<td><strong>$21,750</strong></td>
<td></td>
<td><strong>$22,250</strong></td>
<td></td>
<td><strong>$22,750</strong></td>
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<tr>
<td>Gross Receipts Tax</td>
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<td>$1,590</td>
<td></td>
<td>$1,627</td>
<td></td>
<td>$1,664</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>190</td>
<td><strong>$23,340</strong></td>
<td>190</td>
<td><strong>$23,877</strong></td>
<td>190</td>
<td><strong>$24,414</strong></td>
</tr>
</tbody>
</table>
February 10, 2017

List of Respondents to RFP#2017-001 Financial Audit Services

Ricci and Company
6200 Uptown Blvd NE
Suite 400
Albuquerque, NM 87110

Kubiak, Melton and Associates, LLC
6747 Academy Road NE
Suite A
Albuquerque, NM 87109

NCRTD *
1327 N. Riverside Drive, Española, NM 87532
Phone: 866-206-0754
Title: Discussion and Consideration of Resolution No. 2017-11 Authorizing NCRTD Staff to Collaborate with Tesuque Pueblo in Applying for Tribal Transit Program Discretionary Program to Purchase a Replacement Vehicle

Prepared By: Stacey McGuire, Planning, Projects & Grants Manager

Summary: Federal Transit Administration (FTA) recently came out with its current round of funding through its Tribal Transit Program (TTP) Discretionary program. The program provides funding opportunities for a variety of transit initiatives including new operations, planning and capital.

Background: Annually, FTA provides two funding opportunities specific to Tribal entities and transit: TTP Formula and TTP Discretionary. Formula funds are allocated as a result of NTD reporting, are formula-based, and are employed predominately to fund ongoing transit operations. Eligible projects through the TTP Discretionary source are new transit services, planning for future services and capital purchase. TTP Discretionary awards are entirely subjective and FTA determines the allocation.

Assessment: Replacement vehicle purchase is an eligible project for which to submit; it is anticipated that the vehicle that is currently allocated to the Tesuque route will have fulfilled its useful life and will be up for replacement by the time of award. In the event that TTP Discretionary funds are awarded and a replacement vehicle is purchased with said award, the vehicle would be used by NCRTD to provide service until its useful life is expended, at which time the vehicle would then be returned to the Pueblo as the actual owner.

Recommended Action: Staff recommends collaboration with Tesuque Pueblo to submit for vehicle replacement through TTP Discretionary funding. As Tesuque Pueblo is the eligible applicant (and therefore will be the official submitter) through this particular funding source, it is necessary and beneficial to collaborate on the submittal of an application. Utilizing TTP Discretionary funds will further diversify NCRTD’s funding sources and will provide an alternate capital replacement option.
Upon award, NCRTD and Tesuque Pueblo would enter into an MOA that outlines the vehicle purchase.

**Options/Alternatives:**
- Take no action, (not recommended);
- Direct Staff to collaborate with Tesuque Pueblo to create and submit an application to fund a replacement vehicle purchase (recommended);
- Direct Staff to not collaborate with Tesuque Pueblo on an application for Tribal Transit Discretionary funds for a replacement vehicle (not recommended).

**Fiscal Impact:**
It is anticipated that the replacement vehicle will be an 14-passenger vehicle equipped with standard NCRTD equipment including a wheelchair lift and a bike rack. The cost is estimated to be approximately $100,000.

TTP Discretionary program does require a 10% local match. NCRTD, on behalf of its member, Tesuque Pueblo, is committed to providing the 10% local match in the event that TTP is awarded. The 10% match is estimated to be $10,000.

**Attachments:**
- Resolution No. 2017-11
- FFY2017 TTP NOFO (Notice of Funding Opportunity)
North Central Regional Transit District (NCRTD)
Resolution No. 2017-11

A RESOLUTION AUTHORIZING THE NORTH CENTRAL REGIONAL TRANSIT DISTRICT TO APPLY FOR FEDERAL FUNDING THROUGH THE FEDERAL FISCAL YEAR (FFY) 2017 TRIBAL TRANSIT PROGRAM FOR CAPITAL TO PURCHASE A REPLACEMENT VEHICLE

WHEREAS, the USDOT issued a notice for funding availability for the FFY2017 Tribal Transit Program on January 19, 2017; and

WHEREAS, final applications are due March 20, 2017; and

WHEREAS, NCRTD and Tesuque Pueblo Staffs agree to collaborate on a Tribal Transit Program application submittal; and

WHEREAS, upon selection to receive Tribal Transit Program FFY2017 discretionary funds, the NCRTD will purchase a vehicle on behalf of Tesuque Pueblo and utilize the vehicle to provide transit services; and

WHEREAS, upon selection to receive Tribal Transit Program FFY2017 funds, NCRTD is committed to provide on behalf of Tesuque Pueblo the required 10% local match; and

WHEREAS, the NCRTD was created through legislative enactment (NMSA 1978, Section 73-25-1 et seq.); and

WHEREAS, the NCRTD is a sub-division of the State of New Mexico; and

WHEREAS, the NCRTD was approved and certified by the New Mexico Department of Transportation on the 14th day of September 2004.

NOW, THEREFORE, BE IT RESOLVED by the NCRTD Board that the request for authorization and support of NCRTD Staff is approved and Staff is to collaborate with Tesuque Pueblo Staff to request capital funds to purchase a replacement vehicle through a FFY2017 Tribal Transit Program discretionary grant application submittal.

PASSED, APPROVED AND ADOPTED BY THE GOVERNING BODY OF THE NORTH CENTRAL REGIONAL TRANSIT DISTRICT ON THIS 3rd DAY OF MARCH, 2017.

Daniel Barrone, Chairman

Approved as to form:

Peter Dwyer, Counsel
areas of procurement, financial management, and civil rights; and identifying grantees with recurring or systemic issues.

4. Technical Assistance

As noted throughout the notice, FTA continues to rely on several of the existing program circulars for general program guidance. FTA is continuing to update the program circulars, with an opportunity for notice and comment (where warranted), to reflect amendments to chapter 53 of title 49, U.S.C. made by the FAST Act. In the meantime, if you have any questions, please do not hesitate to contact FTA. FTA headquarters and regional staff will be pleased to answer your questions and provide any technical assistance you may need to apply for FTA program funds and manage the grants you receive. At its discretion, FTA may also use program oversight consultants to provide technical assistance to grantees on a case by case basis. This notice and the program guidance circulars previously identified in this document may be accessed via the FTA Web site at www.fta.dot.gov

G. Grant Management

1. Grant Reporting

Recipients of FTA funds are reminded that all FTA grantees are required to report on their grants and it is critical to ensure grants demonstrate that reasonable progress is being made on the project. At a minimum, all awards require a Federal Financial Report (FFR) and a Milestone Progress Report (MPR) on an annual basis, with some reports required quarterly depending on the recipient and the type of projects funded under the grant. The requirements for these reports and other reporting requirements can be found in the latest version of FTA Circular 5010. FTA staff, auditors, and contractors rely on the information provided in the FFR and MPR to review and report on the status of both financial and project-level activities contained in the grant. It is critical that recipients provide accurate and complete information in these reports and submit them by the required due date. Failure to report and/or demonstrate reasonable progress on projects can result in suspension or premature close-out of a grant.

2. Inactive Grants and Grant Closeout

In FY 2017, FTA will continue to focus on identifying and working with recipients to close inactive grants. If appropriate, FTA will take action to close out and deobligate funds from these grants if reasonable progress is not made. The efficient use of funds will further FTA’s fulfillment of its mission to provide efficient and effective public transportation systems for the nation. As inactive grants continue to be an audit finding within the DOT, FTA must take action to ensure its grants do not impact the DOT from receiving a “clean audit” opinion on its annual financial statements.

In October 2016, FTA identified a list of grants that were awarded on or prior to September 30, 2013 and have had no funds disbursed since September 30, 2015 or have never had a disbursement. FTA Regional Offices will be contacting grant recipients with grants that meet this criteria to notify them that FTA intends to close the grant and deobligate any remaining funds unless the grantee can provide information that demonstrates that the projects funded by the grant remain active and the grantee has a realistic schedule to expedite completion of the projects funded in the grant.

Matthew Welbes,
Executive Director.
[FR Doc. 2017–01194 Filed 1–18–17; 8:45 am]
BILLING CODE P

DEPARTMENT OF TRANSPORTATION
Federal Transit Administration

FY 2017 Competitive Funding Opportunity: Public Transportation on Indian Reservations Program; Tribal Transit Program

AGENCY: Federal Transit Administration (FTA), DOT.

ACTION: Notice of Funding Opportunity (NOFO).

SUMMARY: The Federal Transit Administration (FTA) announces the availability of approximately $5 million in funding provided by the Public Transportation on Indian Reservations Program (Tribal Transit Program), as authorized by Federal Transit law 49 U.S.C. 5311(c)(1)(A), as amended by the Fixing America’s Surface Transportation (FAST) Act, Public Law 114–94 (December 4, 2015), contingent on full appropriations. This notice is a national solicitation for project proposals and includes the selection criteria and program eligibility information for FY 2017 projects. FTA may fund the program for more or less than the full year appropriation when made available, and may include other funding toward project proposals received in response to this Notice of Funding Opportunity (NOFO).


DATES: Complete proposals for the Tribal Transit Program announced in this Notice must be submitted by 11:59 p.m. EDT on March 20, 2017. All proposals must be submitted electronically through the GRANTS.GOV APPLY function. Any applicant intending to apply should initiate the process of registering on the GRANTS.GOV site immediately to ensure completion of registration before the submission deadline. Instructions for applying can be found on FTA’s Web site at www.transit.dot.gov/funding/grants/notices and in the “FIND” module of GRANTS.GOV. Mail and fax submissions will not be accepted.

FOR FURTHER INFORMATION CONTACT: Contact the appropriate FTA Regional Office at www.transit.dot.gov/about/regional-offices/regional-offices for proposal-specific information and issues. For general program information, contact Elan Flippin, Office of Program Management, (202) 366–3800, email: elan.flippin@dot.gov. A TDD is available at 1–800–877–8339 (TDD/FIRS).

SUPPLEMENTARY INFORMATION:

Table of Contents

A. Program Description
B. Federal Award Information
C. Eligibility Information
D. Application and Submission Information
E. Application Review
F. Federal Award Administration
G. Federal Awarding Agency Contacts
Appendix A: Registering in SAM and Grants.gov

A. Program Description

The Tribal Transit Program (TTP) was established by the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA–LU) as a competitive program from FY 2006 & FY 2012. The Moving Ahead for Progress in the 21st Century (MAP–21) Act modified the program to include a $25 million formula component and a $5 million competitive program, totaling $30 million. The FAST Act increased the Tribal Transit Formula Program to $30 million and continued the $5 million competitive program found at
49 U.S.C. 5311(c)(1). The program authorizes grants “under such terms and conditions as may be established by the Secretary” to Indian tribes for any purpose eligible under FTA’s Formula Grants for Rural Areas Program. 49 U.S.C. 5311. Tribes may apply for this funding directly.

The primary purpose of these competitively selected grants is to support planning, capital, and, in limited circumstances, operating assistance for tribal public transit services. Funds distributed to Indian tribes under the TTP should NOT replace or reduce funds that Indian tribes receive from States through FTA’s Formula Grants for Rural Areas Program. Specific project eligibility under this competitive allocation is described in Section C below.

B. Federal Award Information

Five million dollars is authorized for the Tribal Transit competitive allocation in FY 2017 subject to enactment of funds to projects selected pursuant to the process described in the following sections. Federal awards under this competitive program will be in the form of grants. Additionally, there is a cap on planning grant awards at $25,000, and FTA has the discretion to cap capital and operating awards as well.

C. Eligibility Information

1. Eligible Applicants

Eligible applicants include federally recognized Indian tribes or Alaska Native villages, groups, or communities as identified by the U.S. Department of Interior (DOI) Bureau of Indian Affairs (BIA). As evidence of Federal recognition, an Indian tribe may submit a copy of the most up-to-date Federal Register Notice published by BIA: Entities Recognized and Eligible to Receive Service from the United States Bureau of Indian Affairs (81 FR 5019, January 29, 2016). To be an eligible recipient, an Indian tribe must have the requisite legal, financial, and technical capabilities to receive and administer Federal funds under this program. Additionally, applicants must be located and provide service in a rural area with a population of 50,000 or less. A service area can include some portions of urban areas, as long as the tribal transit service begins in and serves rural areas. Any applicant must be registered in the System for Award Management (SAM) database and maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by FTA.

2. Cost Sharing or Matching

There is a 90 percent federal share for projects selected under the TTP competitive program, unless the Indian tribe can demonstrate a financial hardship in its application. FTA is interested in the Indian tribe’s financial commitment to the proposed project, thus the proposal should include a description of the Indian tribe’s financial commitment. Tribes may use any eligible local match under Chapter 53.

3. Eligible Projects

Eligible projects include public transportation planning and capital expenses. Operating projects are eligible in limited circumstances as, in FY 2017, FTA will only consider operating assistance requests from tribes without existing transit service, or those tribes who received a TTP formula allocation of less than $20,000.

Public transportation includes regular, continuing shared-ride surface transportation services open to the public or open to a segment of the public defined by age, disability, or low income. Projects exclusive to an urbanized area, as defined by the Census Bureau, are not eligible. FTA will award grants to eligible Indian tribes located in rural areas. Applicants may submit one proposal for each project or one proposal containing multiple projects. Specific types of projects include: Capital projects for start-ups, replacement or expansion needs; operating assistance for start-ups; and planning projects up to $25,000. Indian tribes applying for capital replacement or expansion needs must demonstrate a sustainable source of operating funds for existing or expanded services.

D. Application and Submission Information

1. Address To Request Application Package

A complete proposal submission will consist of at least two files: (1) The SF 424 Mandatory form (downloaded from GRANTS.GOV); and (2) the Tribal Transit supplemental form found on the FTA Web site at www.transit.dot.gov/funding/grants/tribal-transit-2017-supplemental-form. The Tribal Transit supplemental form provides guidance and a consistent format for applicants to respond to the criteria outlined in this NOFO.

2. Content and Form of Application Submission

(i) Proposal Submission

A complete proposal submission will consist of at least two files: (1) The SF 424 Mandatory form (downloaded from GRANTS.GOV); and (2) the Tribal Transit supplemental form found on the FTA Web site at www.transit.dot.gov/funding/grants/tribal-transit-2017-supplemental-form. The applicant must place the supplemental form in the attachments section of the SF-424 Mandatory form. Applicants must use the supplemental form designated for TTP and attach the form to their submission in GRANTS.GOV to complete the application process. A proposal submission may contain additional supporting documentation as attachments. Within 24 to 48 hours after submitting an electronic application, the applicant should receive three email messages from GRANTS.GOV: (1) Confirmation of successful transmission to GRANTS.GOV; (2) confirmation of successful validation by GRANTS.GOV; and (3) confirmation of successful validation by FTA. If the applicant does not receive confirmations of successful validation or instead receives a notice of failed validation or incomplete materials, the applicant must address the reason for the failed validation or incomplete materials, as described in the notice, and resubmit the proposal before the submission deadline. If making a resubmission for any reason, the applicant must include all original attachments regardless of which attachments were updated and check the box on the supplemental form indicating this is a resubmission. Complete instructions on the application process can be found at https://www.transit.dot.gov/funding/grants/notices.

Important: FTA urges applicants to submit their project proposals at least 72 hours prior to the due date to allow time to receive the validation message and to correct any problems that may have caused a rejection notification. FTA will not accept submissions after the stated submission deadline. GRANTS.GOV scheduled maintenance and outage times are announced on the GRANTS.GOV Web site http://www.GRANTS.GOV. The deadline will not be extended due to scheduled maintenance or outages.

Applicants are encouraged to begin the process of registration on the GRANTS.GOV site well in advance of the submission deadline. Registration is a multi-step process that may take several weeks to complete before an application can be submitted. Registered
Federal Register / Vol. 82, No. 12 / Thursday, January 19, 2017 / Notices

proposers may still be required to take steps to keep their registration up to date before submissions can be made successfully: (1) Registration in the SAM is renewed annually; and (2) persons making submissions on behalf of the Authorized Organization Representative (AOR) must be authorized in GRANTS.GOV by the AOR to make submissions. Instructions on the GRANTS.GOV registration process are provided in the Appendix. Applicants may submit one proposal for each project or one proposal containing multiple projects. Applicants submitting multiple projects in one proposal must be sure to clearly define each project by completing a supplemental form for each project. Additional supplemental forms must be added within the proposal by clicking the “add project” button in Section II of the supplemental form.

Information such as applicant name, Federal amount requested, description of areas served, and other information may be requested in varying degrees of detail on both the SF 424 form and supplemental form. Applicants must fill in all fields unless stated otherwise on the forms. Applicants should use both the “Check Package for Errors” and the “Validate Form” validation buttons on both forms to check all required fields on the forms, and ensure that the Federal and local amounts specified are consistent.

(ii) Application Content

The SF424 Mandatory Form and the Supplemental Form will prompt applicants for the required information, including:

a. Name of federally recognized tribe and, if appropriate, the specific tribal agency submitting the application.

b. Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number if available. (Note: If selected, applicant will be required to provide DUNS number prior to grant award).

c. Contact information including: Contact name, title, address, fax and phone number, email address if available.

d. Description of existing public transportation services including areas currently served by the tribe, if any.

e. Name of person(s) authorized to apply on applicant’s behalf must accompany the proposal (attach a signed transmittal letter).

f. Complete Project Description:

Indicate the category for which funding is requested (i.e., project type: Capital, operating or planning), and then indicate the project purpose (i.e., start-up, expansion or replacement).

Describe the proposed project and what it will accomplish (e.g., number and type of vehicles, routes, service area, schedules, type of services, fixed route or demand responsive, safety aspects), route miles (if fixed route), ridership numbers expected (actual if an existing system, estimated if a new system), major origins and destinations, population served, and whether the tribe provides the service directly, contracts for services, and note vehicle maintenance plans.

g. Project Timeline:

Include significant milestones such as date of contract for purchase of vehicle(s), actual or expected delivery date of vehicles; facility project phases (e.g., NEPA compliance, design, construction); or dates for completion of planning studies. If applying for operational funding for new services, indicate the period of time funds are used to operate the system (e.g. one year). This section should also include any needed timelines for tribal council project approvals, if applicable.

h. Budget:

Provide a detailed budget for each proposed purpose noting the Federal amount requested and any additional funds that will be used. An Indian tribe may use up to fifteen percent of a grant award for capital projects for specific project-related planning and administration, and the indirect costs rate may not exceed ten percent (if necessary add as an attachment) of the total amount requested/awarded. Indian tribes must also provide their annual operating budget as an attachment or under the Financial Commitment and Operating Capacity of the supplemental form.

i. Technical, Legal, Financial Capacity:

Applicants must be able to demonstrate adequate technical, legal and financial capacity to be considered for funding. Every proposal MUST describe this capacity to implement the proposed project.

1. Technical Capacity:

Provide examples of management of other Federal projects, including previously funded FTA projects and/or similar types of projects for which funding is being requested. Describe the resources available to implement the proposed transit project.

2. Legal Capacity:

Provide documentation or other evidence to demonstrate status as a federally recognized Indian tribe. Further, demonstrate evidence of an authorized representative with authority bind the applicant and execute legal agreements with FTA. If applying for capital or operating funds, identify whether appropriate Federal or State operating authority exists.

3. Financial Capacity:

Provide documentation or other evidence demonstrating current adequate financial systems to receive and manage a Federal grant. Fully describe: (1) All financial systems and controls; 2) other sources of funds currently managed; and (3) the long-term financial capacity to maintain the proposed or existing transit services.

3. Unique Entity Identifier and System for Award Management (SAM)

Each applicant is required to: (1) Be registered in SAM before submitting an application; (2) provide a valid unique entity identifier in its application; and (3) continue to maintain an active SAM registration with current information at all times during which the applicant has an active Federal Award or an application or plan under consideration by FTA. These requirements do not apply if the applicant: (1) Is an individual; (2) is excepted from the requirements under 2 CFR 25.110(b) or (c); or (3) has an exception approved by FTA under 2 CFR 25.110(d). FTA may not make an Award until the applicant has complied with all applicable unique entity identifier and SAM requirements. If an applicant has not fully complied with the requirements by the time FTA is ready to make an Award, FTA may determine that the applicant is not qualified to receive an Award and use that determination as a basis for making a Federal award to another applicant.

SAM registration takes approximately three to five business days, but FTA recommends allowing ample time, up to several weeks, for completion of all steps.

Step 1: Obtain DUNS Number

Same day. If requested by phone (1–866–705–5711) DUNS is provided immediately. If your organization does not have one, you will need to go to the Dun & Bradstreet Web site at http://fedgov.dnb.com/webform to obtain the number.

Step 2: Register With SAM

Three to five business days or up to two weeks. If you already have a Taxpayer Identification Number (TIN), your SAM registration will take three to five business days to process. If you are applying for an Employer Identification Number (EIN) please allow up to two weeks. Ensure that your organization is registered with the System for Award Management (SAM) at https://www.sam.gov. If your organization is not, an authorizing official of your organization must register.
Step 3: Establish an Account in Grants.gov—Username & Password

Same day. Complete your Authorized Organization Representative (AOR) profile on Grants.gov and create your username and password. You will need to use your organization’s DUNS Number to complete this step. https://apply07.grants.gov/apply/OrcRegister.

Step 4: Grants.gov—AOR Authorization

* Same day. The E-Business Point of Contact (E-Biz POC) at your organization must login to Grants.gov to confirm an Authorized Organization Representative (AOR). Please note that there can be more than one AOR for your organization. In some cases the E-Biz POC is also the AOR for an organization. *Time depends on responsiveness of your E-Biz POC.

Step 5: Track AOR Status

At any time, you can track your AOR status by logging in with your username and password. Login as an Applicant (enter your username & password you obtained in Step 3) using the following link: applicant_profile.jsp.

4. Submission Dates and Times

Project proposals must be submitted electronically through GRANTS.GOV by March 20, 2017. Mail and fax submissions will not be accepted. Proposals submitted after the deadline will not be considered under any circumstance. Applications are time and date stamped by the Discretionary Grants System (DGS) upon successful submission.

5. Funding Restrictions

Funds must be used only for the specific purposes requested in the application. Funds under this NOFO cannot be used to reimburse projects for otherwise eligible expenses incurred prior to FTA award.

6. Other Submission Requirements

FTA requires that all project proposals be submitted electronically through http://www.GRANTS.GOV by 11:59 p.m. EDT on March 20, 2017. Mail and fax submissions will not be accepted.

E. Application Review

1. Selection Criteria

FTA will use the following primary selection criteria when evaluating competing capital and operating assistance projects eligible under this program. Applications will be evaluated based on the quality and extent to which the following evaluation criteria are addressed.

i. Planning and Local/Regional Prioritization

Applications will be evaluated based on the degree to which the applicant: (1) Describes how the proposed project was developed; (2) demonstrates that a sound basis for the project exists; and (3) demonstrates that the applicant is ready to implement the project if funded. Information may vary depending upon how the planning process for the project was conducted and what is being requested. Planning and local/regional prioritization should:

a. Describe the planning document and/or the planning process conducted to identify the proposed project;

b. Provide a detailed project description including the proposed service, vehicle and facility needs, and other pertinent characteristics of the proposed or existing service implementation;

c. Identify existing transportation services in and near the proposed service area, and document in detail whether the proposed project will provide opportunities to coordinate service with existing transit services, including human service agencies, intercity bus services, or other public transit providers;

d. Discuss the level of support by the community and/or tribal government for the proposed project;

e. Describe how the mobility and client-access needs of tribal human service agencies were considered in the planning process;

f. Describe what opportunities for public participation were provided in the planning process and how the proposed transit service or existing service has been coordinated with transportation provided for the clients of human service agencies, with intercity bus transportation in the area, or with any other rural public transit providers;

g. Describe how the proposed service complements rather than duplicates any currently available services;

h. Describe the implementation schedule for the proposed project, including time period, staffing, and procurement; and

i. Describe any other planning or coordination efforts not mentioned above.

ii. Project Readiness: Applications will be evaluated on the degree to which the applicant describes readiness to implement the project. The project readiness factor involves assessing whether:

a. Project is a Categorical Exclusion (CE) or the required environmental work has been initiated or completed for construction projects requiring an Environmental Assessment (EA) or Environmental Impact Statement (EIS) under, among others, the National Environmental Policy Act of 1969, as Amended;

b. Project implementation plans are complete, including initial design of facilities Projects;

c. Project funds can be obligated and the project can be implemented quickly, if selected; and

d. Applicant demonstrates the ability to carry out the proposed project successfully.

iii. Demonstration of Need

Applications will be evaluated based on the degree to which the applicant identifies the need for transit for resources. In addition to project-specific criteria, FTA will consider the project’s impact on service delivery and whether the project represents a one-time or periodic need that cannot reasonably be funded from the FTA program formula allocations or State and/or local resources. FTA will evaluate how the proposal demonstrates the transit needs of the Indian tribe as well as how the proposed transit improvements or the new service will address identified transit needs. Proposals should include information such as destinations and services not currently accessible by transit, needs for access to jobs or health care, safety enhancements or special needs of elders, individuals with disabilities, behavioral health care needs of youth, income-based community needs, or other mobility needs. If an applicant received a planning grant in previous fiscal years, it should indicate the status of the planning study and how the proposed project relates to that study.

Applicants applying for capital expansion or replacement projects should also address the following factors in their proposal. If the proposal is for capital funding associated with an expansion or expanded service, the applicant should describe how current or growing demand for the service necessitates the expansion (and therefore, more capital) and/or the degree to how the project is addressing a current capacity constraint. Capital replacement projects should include information about the age, condition, and performance of the asset to be replaced by the proposed project and/or how the replacement may be necessary to maintain the transit system in a state of good repair.

iv. Demonstration of Benefits

Applications will be evaluated based on the degree to which the applicant...
identifies expected or, in the case of existing service, achieved/project benefits. FTA is particularly interested in how these investments will improve the quality of life for the tribe and surrounding communities in which it is located. Applicants should describe how the transportation service or capital investment will provide greater access to employment opportunities, educational centers, healthcare, or other needs that profoundly impact the quality of life for the community, as described in the program purpose above. Possible examples include increased or sustained ridership and daily trips, improved service, elimination of gaps in service, improved operations and coordination, increased reliability, health care, education, and economic benefits to the community. Benefits can be demonstrated by identifying the population of tribal members and non-tribal members in the proposed project service area and estimating the number of daily one-way trips the proposed transit service will provide or the actual number of individual riders served. Applicants are encouraged to consider qualitative and quantitative benefits to the Indian tribe and to the surrounding communities that are meaningful to them.

Based on the information provided under the demonstration of benefits, FTA will rate proposals rated based on the quality and extent to which they discuss the following four factors:

a. The project’s ability to improve transit efficiency or increase ridership;
b. Whether the project will improve or maintain mobility, or eliminate gaps in service for the Indian tribe;
c. Whether the project will improve or maintain access to important destinations and services;
d. Any other qualitative benefits, such as greater access to jobs, education and health care.

v. Financial Commitment and Operating Capacity

Applications must identify the source of local match (ten percent is required for all operating and capital projects), any other funding sources used by the Indian tribe to support proposed transit services, including human service transportation funding, FHWA’s Tribal Transportation Program funding, or other FTA programs. If requesting that FTA waive the local match based on financial hardship, the applicant must submit budgets and sources of other revenue to demonstrate hardship. FTA will review this information and notify tribes at the time of award if the waiver is approved. If applicable, the applicant also should describe how prior year TTP funds were spent to date to support the service. Additionally, Indian tribes applying for operating of new services should provide a sustainable funding plan that demonstrates how it intends to maintain operations.

In evaluating proposals, FTA will consider any other resources the Indian tribe will contribute to the project, including in-kind contributions, commitments of support from local businesses, donations of land or equipment, and human resources. The proposal should describe to what extent the new project or funding for existing service leverages other funding. Based upon the information provided, the proposals will be rated on the extent to which the proposal demonstrates that:

a. TTP Funding does not replace existing funding;
b. The Indian tribe will provide non-financial support to the project;
c. The Indian tribe is able to demonstrate a sustainable funding plan; and
d. Project funds are used in coordination with other services for efficient utilization of funds.

vi. Evaluation Criteria for Planning Proposals

For planning grants, the proposal must describe the need for and a general scope of the proposed study. Applications will be evaluated based on the degree to which the applicant addresses the following:

1. The tribes’ long-term commitment to transit; and
2. The method used to implement the proposed study and/or further tribal transit.

2. Review and Selection Process

A technical evaluation committee will review proposals under the project evaluation criteria. Members of the technical evaluation committee and other involved FTA staff reserve the right to screen, rate the applications, and seek clarification about any statement in an application. After consideration of the findings of the technical evaluation committee, the FTA Administrator will determine the final selection and amount of funding for each project. Geographic diversity and the applicant’s receipt and management of other Federal transit funds may be considered in FTA’s award decisions. FTA expects to announce the selected projects and notify successful applicants in the spring of 2017.

F. Federal Award Administration

1. Federal Award Notice

Subsequent to an announcement by the FTA Administrator of the final project selections posted on the FTA Web site, FTA will publish a list of the selected projects, including Federal dollar amounts and recipients in the Federal Register. Project recipients should contact their FTA Regional Offices and tribal liaison for information about setting up grants in FTA’s Transit Award Management System (TrAMS).

2. Award Administration

Successful proposals will be awarded through TrAMS as Grant Agreements. The appropriate FTA Regional Office and tribal liaison will manage project agreements.

3. Administrative and National Policy Requirements

Except as otherwise provided in this NOFO, TTP grants are subject to the requirements of 49 U.S.C. 5311(c)(1) as described in the latest FTA Circular 9040.1G for the Formula Grants for Rural Areas Program.

4. Reporting

The post award reporting requirements include submission of the Federal Financial Report (FFR) and Milestone Progress Report in TrAMS, and National Transit Database (NTD) reporting as appropriate (see FTA Circular 9040.1G). Reports to TrAMS and NTD are due annually.

G. Federal Awarding Agency Contacts

For further information concerning this notice, please contact Elan Flippin, Office of Program Management, (202) 366–3800, email: elan.flippin@dot.gov. A TDD is available at 1–800–877–8339 (TDD/FIRS).

H. Other Information

This program is not subject to Executive Order 12372, “Intergovernmental Review of Federal Programs.” FTA will consider applications for funding only from eligible recipients for eligible projects listed in Section C–2. Due to funding limitations, applicants that are selected for funding may receive less than the amount requested.

Additionally, to assist tribes with understanding requirements under the TTP, FTA has conducted Tribal Transit Technical Assistance Workshops, and will continue those efforts in FY2017. FTA also has expanded its technical assistance to tribes receiving funds under this program. Additionally, through the Tribal Transit Technical
Assistant Assessments Initiative, FTA collaborates with Tribal Transit Leaders to review processes and identify areas in need of improvement and then assists to offer solutions to address these needs—all in a supportive and mutually beneficial manner that results in technical assistance. FTA has completed thirty assessments to date, and expects to do fifteen assessments in FY17. These assessments include discussions of compliance areas pursuant to the Master Agreement, a site visit, promising practices reviews, and technical assistance from FTA and its contractors. These workshops and assessments have received exemplary feedback from Tribal Transit Leaders and provided FTA with invaluable opportunities to learn more about Tribal Transit Leaders’ perspectives so to better honor the sovereignty of tribal nations.

FTA will post information about upcoming workshops to its Web site and will disseminate information about the assessments through its regional offices. Contact information for FTA’s regional offices can be found on FTA’s Web site at www.transit.dot.gov/about/regional-offices. Applicants may also receive technical assistance by contacting their FTA regional Tribal Liaison. A list of Tribal Liaisons is available on FTA’s Web site at www.transit.dot.gov/funding/grants/grant-programs/public-transportation-indian-reservations-program-tribal-transit.

Carolyn Flowers, Acting Administrator.

Appendix A

Registering in SAM and Grants.Gov

Registration in Brief

Registration takes approximately three to five business days, please allow four weeks for completion of all steps.

In order to apply for a grant, you and/or your organization must first complete the registration process in Grants.gov. The registration process for an Organization or an Individual can take between three to five business days or as long as four weeks if all steps are not completed in a timely manner. So please register in Grants.gov early.

The Grants.gov registration process ensures that applicants for Federal Funds have the basic prerequisites to apply for and to receive federal funds. Applicants for FTA competitive funds must:

- Have a valid DUNS number
- Have a current registration in SAM (formerly CCR)
- Register and apply in Grants.gov

The required registration steps are described in greater detail on Grants.gov Web site. The following is a link to a helpful checklist and explanations published by Grants.gov to assist applicants: Organization Registration Checklist. If you have not recently applied for federal funds, we recommend that you initiate your search, registration, and application process with Grants.gov. Visiting the Grants.gov site will inform you of how to apply for grant opportunities, as well as assist you in linking to the other required registrations, i.e., Dun & Bradstreet to obtain a DUNS Number, and System for Award Management (SAM).

Summary of steps (these steps are available in Grants.gov during registration):

Step 1: Obtain DUNS Number

Same day. If requested by phone (1–866–705–5711) DUNS is provided immediately. If your organization does not have one, you will need to go to the Dun & Bradstreet Web site at http://fedgov.dnb.com/webform to obtain the number.

Step 2: Register With SAM

Three to five business days or up to two weeks. If you already have a Taxpayer Identification Number (TIN), your SAM registration will take three to five business days to process. If you are applying for an Employer Identification Number (EIN) please allow up to two weeks. Ensure that your organization is registered with the System for Award Management (SAM) at https://www.sam.gov. If your organization is not, an authorizing official of your organization must register.

Step 3: Establish an Account in Grants.gov—Username & Password

Same day. Complete your Authorized Organization Representative (AOR) profile on Grants.gov and create your username and password. You will need to use your organization’s DUNS Number to complete this step. https://apply07.grants.gov/apply/OrcRegister.

Step 4: Grants.gov—AOR Authorization

* Same day. The E-Business Point of Contact (E-Biz POC) at your organization must login to Grants.gov to confirm you as an Authorized Organization Representative (AOR). Please note that there can be more than one AOR for your organization. In some cases the E-Biz POC is also the AOR for an organization. *Time depends on responsiveness of your E-Biz POC.

* Please Note: Grants.gov goes by the option of registering as an “individual” or an “organization.” If you register in Grants.gov as an an “Individual,” your “Organization” will not be allowed to use the Grants.gov username and password. To apply for grants as an Organization you must register as an Organization and use that specific username and password issued during the “organization” registration process.

[FR Doc. 2017–01171 Filed 1–18–17; 8:45 am]

BILLING CODE P

DEPARTMENT OF TRANSPORTATION

Maritime Administration

[Docket No. MARAD–2017–0004]

Requested Administrative Waiver of the Coastwise Trade Laws: Vessel MIRA MAR; Invitation for Public Comments

AGENCY: Maritime Administration

ACTION: Notice.

SUMMARY: The Secretary of Transportation, as represented by the Maritime Administration (MARAD), is authorized to grant waivers of the U.S.-build requirement of the coastwise laws under certain circumstances. A request for such a waiver has been received by MARAD. The vessel, and a brief description of the proposed service, is listed below.

DATES: Submit comments on or before February 21, 2017.

ADDRESSES: Comments should refer to docket number MARAD–2017–0004. Written comments may be submitted by hand or by mail to the Docket Clerk, U.S. Department of Transportation, Docket Operations, M–30, West Building Ground Floor, Room W12–140, 1200 New Jersey Avenue SE., Washington, DC 20590. You may also send comments electronically via the Internet at http://www.regulations.gov. All comments will become part of this docket and will be available for inspection and copying at the above address between 10:00 a.m. and 5:00 p.m., Monday through Friday, except federal holidays. An electronic version of this document and all documents entered into this docket is available at http://www.regulations.gov.


SUPPLEMENTARY INFORMATION: As described by the applicant the intended service of the vessel MIRA MAR is:

—Intended Commercial Use of Vessel: Vessel will be used for captained charters and sailing instruction with a heavy emphasis on recreational boating safety knowledge and skills, and for the promotion of the National ON-Water Standards (NOWS) program and the American National Standards (ANS) adoption by individuals and organizations.

Geographic Region: “Delaware, Florida, Georgia, Maryland, North Carolina, South Carolina, Virginia”
North Central Regional Transit District
Financial Summary
As of January 31, 2017

Summary:

The North Central Regional Transit District (NCRTD) is currently reporting the seven month of FY2017 financial activity. The expenses/revenues that should be reported for the period through January 31, 2017, which represents 58.33% of the budget.

The GRT monthly revenue budget figures are allocated utilizing trends from the last five fiscal years (excluding FY2016 because it is not complete).

The monthly budget figures for the federal grant revenues from the charts/tables have been derived from dividing administration and operation yearly allocations using a straight-line method (1/12 increments) and allocating capital revenue allocations using a straight-line method (1/4 increments) over the last 4 month of the fiscal year.

The monthly budget figures for the expenditures from the charts/tables have been derived from utilizing trends from the last three fiscal years and mirror FTA reporting categories.

Financial Highlights

Revenue:

As of January 31, 2017, total revenue of $5,270,702 has been recognized, which is 41.8% of budgeted revenues. NCRTD has received six months of GRT and seven months of federal revenues as of January 2017. There is a two-month lag in receiving gross receipts tax revenue (GRT) and federal funds are recognized after the funds are spent which is typically a one-month lag. The use of Fund Balance can cover shortfalls when expenses exceed revenues during the given month. The use of Fund Balance is budgeted as a revenue for the fiscal year and can represent operating and capital funding sources as described in Financial Policy #1.

Expenditures:

As of January 31, 2017, NCRTD recognized expenditures totaling $5,583,514 which is 44.3% of total budgeted expenditures.

Of the $5,583,514 spent, $716,622 was in Administration, $4,351,395 in Operations and $515,497 in Capital Outlay. Administration has spent 45.6%, Operations 52.1% and Capital Outlay 19.1% of its budgets.

Other Matters:

N/A
### Overall Revenue/Expenses FY 17

<table>
<thead>
<tr>
<th>Month</th>
<th>Budget Revenue FY17</th>
<th>Current Year FY17 Actuals Revenue</th>
<th>Current Year FY17 Actuals Expense</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>1,051,028</td>
<td>446,362</td>
<td>1,051,028</td>
</tr>
<tr>
<td>August</td>
<td>1,051,028</td>
<td>1,051,028</td>
<td>533,545</td>
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<tr>
<td>September</td>
<td>1,051,028</td>
<td>1,051,028</td>
<td>779,824</td>
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<td>October</td>
<td>1,051,028</td>
<td>1,051,028</td>
<td>1,166,540</td>
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<tr>
<td>November</td>
<td>1,051,028</td>
<td>1,051,028</td>
<td>792,880</td>
</tr>
<tr>
<td>December</td>
<td>1,051,028</td>
<td>1,051,028</td>
<td>672,313</td>
</tr>
<tr>
<td>January</td>
<td>1,051,028</td>
<td>1,051,028</td>
<td>879,238</td>
</tr>
<tr>
<td>February</td>
<td>1,051,028</td>
<td>1,051,028</td>
<td>1,051,028</td>
</tr>
<tr>
<td>March</td>
<td>1,051,028</td>
<td>1,051,028</td>
<td>1,051,028</td>
</tr>
<tr>
<td>April</td>
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<td>1,051,028</td>
</tr>
<tr>
<td>May</td>
<td>1,051,028</td>
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<tr>
<td>June</td>
<td>1,051,028</td>
<td>1,051,028</td>
<td>1,051,028</td>
</tr>
</tbody>
</table>

**Totals**  
$12,612,333 $5,270,702 $12,612,333 $5,583,514

*Use of Fund Balance can cover shortfalls when expenses exceed revenues during the given month. The use of Fund Balance is budgeted as a revenue for the fiscal year and can represent operating and capital funding sources as described in Financial Policy #1.*
### MONTHLY BOARD REPORT
FY2017 (July 1, 2016 to June 30, 2017)
NCRTD Revenue by Sources
As of January 31, 2017

#### NCRTD Revenue by Sources

<table>
<thead>
<tr>
<th></th>
<th>2014 Actual</th>
<th>2015 Actual</th>
<th>2016 Actual</th>
<th>2017 Budget</th>
<th>2017 Actual</th>
<th>% of Actual vs budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gross Receipt</td>
<td>$6,941,122</td>
<td>$7,247,360</td>
<td>$6,987,287</td>
<td>$7,095,000</td>
<td>$7,095,000</td>
<td>53.8%</td>
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<tr>
<td>Fed Grant</td>
<td>$1,902,036</td>
<td>$2,839,376</td>
<td>$2,839,376</td>
<td>$3,945,852</td>
<td>$3,945,852</td>
<td>30.8%</td>
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<tr>
<td>State Capital/Outlay</td>
<td>$161,188</td>
<td>-</td>
<td>$301,312</td>
<td>$93,000</td>
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<tr>
<td>Local Match</td>
<td>$450,000</td>
<td>$400,000</td>
<td>$350,000</td>
<td>$350,000</td>
<td>-</td>
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<tr>
<td>Member Contributions</td>
<td>-</td>
<td>$156,154</td>
<td>$88,000</td>
<td>$143,449</td>
<td>$143,449</td>
<td>163.0%</td>
</tr>
<tr>
<td>Use of Fund Balance</td>
<td>$53,637</td>
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<td>$157,011</td>
<td>$101,500</td>
<td>$97,187</td>
<td>95.8%</td>
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TOTAL: $9,507,983

2/23/2017 Unaudited financials-For Board and Management purposes/review
MONTHLY BOARD REPORT
FY2017 (July 1, 2016 to June 30, 2017)
Gross Receipts Revenue By County

LOS ALAMOS COUNTY

<table>
<thead>
<tr>
<th>Date</th>
<th>Actual</th>
<th>Budget</th>
<th>of Monthly Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul-16</td>
<td>$220,824</td>
<td>$116,157</td>
<td>190%</td>
</tr>
<tr>
<td>Aug-16</td>
<td>$32,608</td>
<td>$114,524</td>
<td>28%</td>
</tr>
<tr>
<td>Sep-16</td>
<td>$293,661</td>
<td>$233,942</td>
<td>126%</td>
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<tr>
<td>Oct-16</td>
<td>$31,785</td>
<td>$22,859</td>
<td>139%</td>
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<tr>
<td>Nov-16</td>
<td>$43,208</td>
<td>$84,971</td>
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<tr>
<td>Dec-16</td>
<td>$41,650</td>
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<td>Jan-17</td>
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<tr>
<td>Feb-17</td>
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<tr>
<td>Mar-17</td>
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<tr>
<td>Apr-17</td>
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<tr>
<td>May-17</td>
<td>$111,822</td>
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<td></td>
</tr>
<tr>
<td>Jun-17</td>
<td>$92,769</td>
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</tr>
<tr>
<td>YTD Total</td>
<td>$663,736</td>
<td>$1,310,000</td>
<td>51%</td>
</tr>
</tbody>
</table>
## MONTHLY BOARD REPORT
FY2017 (July 1, 2016 to June 30, 2017)
Gross Receipts Revenue By County

**RIO ARRIBA COUNTY**

<table>
<thead>
<tr>
<th>Date</th>
<th>Actual</th>
<th>Budget</th>
<th>Actual Revenue % of Monthly Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul-16</td>
<td>$44,103</td>
<td>$50,886</td>
<td>87%</td>
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<tr>
<td>Aug-16</td>
<td>$44,684</td>
<td>$52,520</td>
<td>85%</td>
</tr>
<tr>
<td>Sep-16</td>
<td>$47,195</td>
<td>$51,873</td>
<td>91%</td>
</tr>
<tr>
<td>Oct-16</td>
<td>$37,290</td>
<td>$52,793</td>
<td>71%</td>
</tr>
<tr>
<td>Nov-16</td>
<td>$41,779</td>
<td>$47,329</td>
<td>88%</td>
</tr>
<tr>
<td>Dec-16</td>
<td>$50,002</td>
<td>$53,535</td>
<td>93%</td>
</tr>
<tr>
<td>Jan-17</td>
<td>$43,354</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Feb-17</td>
<td>$39,848</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Mar-17</td>
<td>$43,368</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Apr-17</td>
<td>$42,334</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>May-17</td>
<td>$45,855</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Jun-17</td>
<td>$51,305</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>YTD Total</td>
<td>$265,053</td>
<td>$575,000</td>
<td>46%</td>
</tr>
</tbody>
</table>
MONTHLY BOARD REPORT
FY2017 (July 1, 2016 to June 30, 2017)
Gross Receipts Revenue By County

SANTA FE COUNTY

<table>
<thead>
<tr>
<th>Date Received</th>
<th>Actual</th>
<th>Budget</th>
<th>Actual Revenue % of Monthly Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul-16</td>
<td>$386,389</td>
<td>$376,620</td>
<td>103%</td>
</tr>
<tr>
<td>Aug-16</td>
<td>$399,955</td>
<td>$390,366</td>
<td>102%</td>
</tr>
<tr>
<td>Sep-16</td>
<td>$400,606</td>
<td>$372,915</td>
<td>107%</td>
</tr>
<tr>
<td>Oct-16</td>
<td>$383,221</td>
<td>$360,981</td>
<td>106%</td>
</tr>
<tr>
<td>Nov-16</td>
<td>$362,157</td>
<td>$336,965</td>
<td>107%</td>
</tr>
<tr>
<td>Dec-16</td>
<td>$434,403</td>
<td>$418,706</td>
<td>104%</td>
</tr>
<tr>
<td>Jan-17</td>
<td>$314,671</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Feb-17</td>
<td>$314,505</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Mar-17</td>
<td>$361,487</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Apr-17</td>
<td>$342,066</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>May-17</td>
<td>$359,779</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Jun-17</td>
<td>$400,939</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>YTD Total</td>
<td>$2,366,731</td>
<td>$4,350,000</td>
<td>54%</td>
</tr>
</tbody>
</table>

** Note one-half of the SF County GRT is allocated to Rio Metro
**Monthly Board Report**

FY2017 (July 1, 2016 to June 30, 2017)

Gross Receipts Revenue By County

**Taos County**

<table>
<thead>
<tr>
<th>Date</th>
<th>Actual</th>
<th>Budget</th>
<th>% of Monthly Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul-16</td>
<td>$86,779</td>
<td>$78,745</td>
<td>110%</td>
</tr>
<tr>
<td>Aug-16</td>
<td>$92,384</td>
<td>$74,537</td>
<td>124%</td>
</tr>
<tr>
<td>Sep-16</td>
<td>$80,684</td>
<td>$71,991</td>
<td>112%</td>
</tr>
<tr>
<td>Oct-16</td>
<td>$83,414</td>
<td>$69,635</td>
<td>120%</td>
</tr>
<tr>
<td>Nov-16</td>
<td>$81,200</td>
<td>$61,388</td>
<td>132%</td>
</tr>
<tr>
<td>Dec-16</td>
<td>$93,819</td>
<td>$93,328</td>
<td>101%</td>
</tr>
<tr>
<td>Jan-17</td>
<td>$63,377</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Feb-17</td>
<td>$66,591</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Mar-17</td>
<td>$77,988</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Apr-17</td>
<td>$62,096</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>May-17</td>
<td>$64,919</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>Jun-17</td>
<td>$75,405</td>
<td></td>
<td>0%</td>
</tr>
<tr>
<td>YTD Total</td>
<td>$518,280</td>
<td>$860,000</td>
<td>60%</td>
</tr>
</tbody>
</table>
MONTHLY BOARD REPORT
FY2017 (July 1, 2016 to June 30, 2017)
Gross Receipts Revenue

Budget to Actual FY2017

<table>
<thead>
<tr>
<th>Month</th>
<th>Budget</th>
<th>Actual</th>
<th>Actual Revenue % of Monthly Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>$622,408</td>
<td>$738,095</td>
<td>119%</td>
</tr>
<tr>
<td>August</td>
<td>$631,947</td>
<td>$569,631</td>
<td>90%</td>
</tr>
<tr>
<td>September</td>
<td>$730,721</td>
<td>$822,146</td>
<td>113%</td>
</tr>
<tr>
<td>October</td>
<td>$506,268</td>
<td>$535,710</td>
<td>106%</td>
</tr>
<tr>
<td>November</td>
<td>$530,653</td>
<td>$528,344</td>
<td>100%</td>
</tr>
<tr>
<td>December</td>
<td>$651,484</td>
<td>$619,874</td>
<td>95%</td>
</tr>
<tr>
<td>January</td>
<td>$532,156</td>
<td>-</td>
<td>0%</td>
</tr>
<tr>
<td>February</td>
<td>$476,453</td>
<td>-</td>
<td>0%</td>
</tr>
<tr>
<td>March</td>
<td>$577,269</td>
<td>-</td>
<td>0%</td>
</tr>
<tr>
<td>April</td>
<td>$632,848</td>
<td>-</td>
<td>0%</td>
</tr>
<tr>
<td>May</td>
<td>$582,375</td>
<td>-</td>
<td>0%</td>
</tr>
<tr>
<td>June</td>
<td>$620,418</td>
<td>-</td>
<td>0%</td>
</tr>
</tbody>
</table>

Prior Year vs. Current Year

<table>
<thead>
<tr>
<th>Month</th>
<th>Prior Year FY2016</th>
<th>Current Year FY2017</th>
<th>Inc/Dec from Prior Year to Current</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>$666,453</td>
<td>$738,095</td>
<td>$71,642</td>
</tr>
<tr>
<td>August</td>
<td>$637,587</td>
<td>$569,631</td>
<td>$(67,956)</td>
</tr>
<tr>
<td>September</td>
<td>$812,130</td>
<td>$822,146</td>
<td>10,016</td>
</tr>
<tr>
<td>October</td>
<td>$532,939</td>
<td>$535,710</td>
<td>2,771</td>
</tr>
<tr>
<td>November</td>
<td>$571,419</td>
<td>$528,344</td>
<td>$(43,075)</td>
</tr>
<tr>
<td>December</td>
<td>$653,420</td>
<td>$619,874</td>
<td>$(33,546)</td>
</tr>
<tr>
<td>January</td>
<td>$638,952</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>February</td>
<td>$541,493</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>March</td>
<td>$640,114</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>April</td>
<td>$712,795</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>May</td>
<td>$579,985</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>June</td>
<td>$686,367</td>
<td>-</td>
<td></td>
</tr>
</tbody>
</table>

$7,673,654 $3,813,800 $(60,148)
MONTHLY BOARD REPORT
FY2017 (July 1, 2016 to June 30, 2017)

Grant Revenue

<table>
<thead>
<tr>
<th>Month</th>
<th>Actual FY16</th>
<th>Budget FY17</th>
<th>Actual FY17</th>
<th>Inc/(Dec) from Prior Year to Current Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>$128,685</td>
<td>$171,678</td>
<td>$139,339</td>
<td>$10,654</td>
</tr>
<tr>
<td>August</td>
<td>$145,446</td>
<td>$171,678</td>
<td>$230,674</td>
<td>85,228</td>
</tr>
<tr>
<td>September</td>
<td>$223,878</td>
<td>$171,678</td>
<td>$181,682</td>
<td>(42,196)</td>
</tr>
<tr>
<td>October</td>
<td>$203,353</td>
<td>$171,678</td>
<td>$143,530</td>
<td>(59,823)</td>
</tr>
<tr>
<td>November</td>
<td>$134,896</td>
<td>$211,678</td>
<td>$194,959</td>
<td>60,063</td>
</tr>
<tr>
<td>December</td>
<td>$235,833</td>
<td>$312,654</td>
<td>$163,722</td>
<td>(72,111)</td>
</tr>
<tr>
<td>January</td>
<td>$390,639</td>
<td>$171,678</td>
<td>$162,360</td>
<td>(228,279)</td>
</tr>
<tr>
<td>February</td>
<td>$141,554</td>
<td>$211,678</td>
<td>$0</td>
<td>-</td>
</tr>
<tr>
<td>March</td>
<td>$373,815</td>
<td>$636,268</td>
<td>$0</td>
<td>-</td>
</tr>
<tr>
<td>April</td>
<td>$188,166</td>
<td>$541,268</td>
<td>$0</td>
<td>-</td>
</tr>
<tr>
<td>May</td>
<td>$162,963</td>
<td>$541,268</td>
<td>$0</td>
<td>-</td>
</tr>
<tr>
<td>June</td>
<td>$510,148</td>
<td>$632,646</td>
<td>$0</td>
<td>-</td>
</tr>
</tbody>
</table>

|| $2,839,376 | $3,945,852 | $1,216,266 | 31%                                      |

**Budget to Actual FY2017**

**Prior Year vs. Current Year**

<table>
<thead>
<tr>
<th>Month</th>
<th>Actual FY2015</th>
<th>Actual FY2016</th>
<th>Actual FY2017</th>
<th>Inc/(Dec) from Prior Year to Current Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>$98,061</td>
<td>$128,685</td>
<td>$139,339</td>
<td>$10,654</td>
</tr>
<tr>
<td>August</td>
<td>$96,946</td>
<td>$145,446</td>
<td>$230,674</td>
<td>85,228</td>
</tr>
<tr>
<td>September</td>
<td>$160,962</td>
<td>$223,878</td>
<td>$181,682</td>
<td>(42,196)</td>
</tr>
<tr>
<td>October</td>
<td>$167,516</td>
<td>$203,353</td>
<td>$143,530</td>
<td>(59,823)</td>
</tr>
<tr>
<td>November</td>
<td>$126,083</td>
<td>$134,896</td>
<td>$194,959</td>
<td>60,063</td>
</tr>
<tr>
<td>December</td>
<td>$123,492</td>
<td>$235,833</td>
<td>$163,722</td>
<td>(72,111)</td>
</tr>
<tr>
<td>January</td>
<td>$101,591</td>
<td>$390,639</td>
<td>$162,360</td>
<td>(228,279)</td>
</tr>
<tr>
<td>February</td>
<td>$106,716</td>
<td>$141,554</td>
<td>$0</td>
<td>-</td>
</tr>
<tr>
<td>March</td>
<td>$67,879</td>
<td>$373,815</td>
<td>$0</td>
<td>-</td>
</tr>
<tr>
<td>April</td>
<td>$124,015</td>
<td>$188,166</td>
<td>$0</td>
<td>-</td>
</tr>
<tr>
<td>May</td>
<td>$133,931</td>
<td>$162,963</td>
<td>$0</td>
<td>-</td>
</tr>
<tr>
<td>June</td>
<td>$455,192</td>
<td>$510,148</td>
<td>$0</td>
<td>-</td>
</tr>
</tbody>
</table>

|| $1,762,384 | $2,839,376 | $1,216,266 | $(246,464) |
## Comparative Expenses by Type

<table>
<thead>
<tr>
<th>Category</th>
<th>FY14 Actual</th>
<th>FY15 Actual</th>
<th>FY16 Actual</th>
<th>Budget FY17</th>
<th>Actual FY17</th>
<th>Year to Date Budget Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>$1,764,308</td>
<td>$1,831,697</td>
<td>$2,563,915</td>
<td>$2,347,371</td>
<td>$1,243,570</td>
<td>53.0%</td>
</tr>
<tr>
<td>Overtime</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>112.3%</td>
</tr>
<tr>
<td>Employee Benefits</td>
<td>709,864</td>
<td>830,082</td>
<td>1,055,797</td>
<td>1,138,722</td>
<td>625,414</td>
<td>54.9%</td>
</tr>
<tr>
<td>Railrunner, SF Trails and Atomic City Transit</td>
<td>4,387,272</td>
<td>4,118,232</td>
<td>4,092,619</td>
<td>4,587,300</td>
<td>2,151,171</td>
<td>46.9%</td>
</tr>
<tr>
<td>Office Expenses</td>
<td>36,948</td>
<td>37,336</td>
<td>62,039</td>
<td>46,251</td>
<td>23,302</td>
<td>50.4%</td>
</tr>
<tr>
<td>Utilities (phone, gas, electric, internet)</td>
<td>38,486</td>
<td>33,084</td>
<td>40,873</td>
<td>77,396</td>
<td>43,913</td>
<td>56.7%</td>
</tr>
<tr>
<td>Audit</td>
<td>23,219</td>
<td>23,433</td>
<td>23,581</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contractual Services</td>
<td>333,948</td>
<td>352,779</td>
<td>236,532</td>
<td>493,566</td>
<td>204,103</td>
<td>41.4%</td>
</tr>
<tr>
<td>Advertising</td>
<td>61,715</td>
<td>82,687</td>
<td>87,181</td>
<td>95,040</td>
<td>50,183</td>
<td>52.8%</td>
</tr>
<tr>
<td>Equipment &amp; Building Expense</td>
<td>22,181</td>
<td>36,443</td>
<td>94,244</td>
<td>46,997</td>
<td>47,704</td>
<td>101.5%</td>
</tr>
<tr>
<td>Insurance (property, WC ins, gen liab, vehicle, civil rj)</td>
<td>87,589</td>
<td>95,406</td>
<td>119,953</td>
<td>111,191</td>
<td>101,835</td>
<td>91.6%</td>
</tr>
<tr>
<td>Health &amp; Wellness/Promotions</td>
<td></td>
<td></td>
<td></td>
<td>-</td>
<td>2,918</td>
<td></td>
</tr>
<tr>
<td>Employee Related Expenses</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>21,700</td>
<td>20.1%</td>
</tr>
<tr>
<td>Dues, Licenses and Fees</td>
<td>5,826</td>
<td>15,961</td>
<td>19,634</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training &amp; Registration fees</td>
<td>8,825</td>
<td>9,087</td>
<td>7,590</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Travel, meetings, lodging and per diem</td>
<td>30,111</td>
<td>34,092</td>
<td>29,305</td>
<td>85,642</td>
<td>34,273</td>
<td>40.0%</td>
</tr>
<tr>
<td>Fuel</td>
<td>410,199</td>
<td>352,857</td>
<td>334,796</td>
<td>416,160</td>
<td>199,142</td>
<td>47.9%</td>
</tr>
<tr>
<td>Vehicle Maintenance, Repairs</td>
<td>209,623</td>
<td>281,344</td>
<td>311,125</td>
<td>329,900</td>
<td>201,791</td>
<td>61.2%</td>
</tr>
<tr>
<td>Operating Expenses</td>
<td>15,024</td>
<td>22,812</td>
<td>21,144</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital Expenses</td>
<td>709,563</td>
<td>374,409</td>
<td>1,458,967</td>
<td>2,602,915</td>
<td>515,497</td>
<td>19.1%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>$8,854,701</td>
<td>$8,534,297</td>
<td>$10,562,213</td>
<td>$12,612,333</td>
<td>$5,583,514</td>
<td>44.3%</td>
</tr>
</tbody>
</table>

---

Monthly Board Report
NCRTD Budget Expenses by Type
As of January 31, 2017
Year to Date Budget Variance 58.33%
### MONTHLY BOARD REPORT
**FY2017 (July 1, 2016 to June 30, 2017)**
**NCRTD BUDGET EXPENDITURES OVERALL**
**As of January 31, 2017**

<table>
<thead>
<tr>
<th>Month</th>
<th>FY14 Actual</th>
<th>FY15 Actual</th>
<th>FY16 Actual</th>
<th>Budget FY17</th>
<th>Actual FY17</th>
<th>Inc/Dec of Budget vs Actual</th>
<th>Budget Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>$546,007</td>
<td>$226,528</td>
<td>$273,848</td>
<td>$428,633</td>
<td>$446,362</td>
<td>($17,729)</td>
<td>104.1%</td>
</tr>
<tr>
<td>August</td>
<td>464,828</td>
<td>524,839</td>
<td>607,663</td>
<td>657,578</td>
<td>482,640</td>
<td>174,938</td>
<td>73.4%</td>
</tr>
<tr>
<td>September</td>
<td>313,124</td>
<td>543,236</td>
<td>249,172</td>
<td>493,613</td>
<td>830,729</td>
<td>(337,116)</td>
<td>168.3%</td>
</tr>
<tr>
<td>October</td>
<td>294,912</td>
<td>1,331,392</td>
<td>966,567</td>
<td>1,085,232</td>
<td>691,669</td>
<td>393,563</td>
<td>63.7%</td>
</tr>
<tr>
<td>November</td>
<td>783,580</td>
<td>370,513</td>
<td>709,030</td>
<td>1,006,622</td>
<td>1,142,422</td>
<td>(135,800)</td>
<td>113.5%</td>
</tr>
<tr>
<td>December</td>
<td>625,552</td>
<td>275,029</td>
<td>913,619</td>
<td>761,174</td>
<td>797,642</td>
<td>(16,468)</td>
<td>102.1%</td>
</tr>
<tr>
<td>January</td>
<td>1,534,559</td>
<td>551,091</td>
<td>1,026,524</td>
<td>1,377,079</td>
<td>1,192,050</td>
<td>185,029</td>
<td>86.6%</td>
</tr>
<tr>
<td>February</td>
<td>287,772</td>
<td>922,081</td>
<td>673,640</td>
<td>1,017,638</td>
<td>-</td>
<td>1,017,638</td>
<td>0.0%</td>
</tr>
<tr>
<td>March</td>
<td>429,154</td>
<td>921,872</td>
<td>727,303</td>
<td>904,635</td>
<td>-</td>
<td>904,635</td>
<td>0.0%</td>
</tr>
<tr>
<td>April</td>
<td>1,339,437</td>
<td>931,267</td>
<td>1,023,724</td>
<td>1,434,987</td>
<td>-</td>
<td>1,434,987</td>
<td>0.0%</td>
</tr>
<tr>
<td>May</td>
<td>934,795</td>
<td>588,018</td>
<td>2,039,566</td>
<td>1,496,070</td>
<td>-</td>
<td>1,496,070</td>
<td>0.0%</td>
</tr>
<tr>
<td>June</td>
<td>1,300,982</td>
<td>1,348,431</td>
<td>1,351,557</td>
<td>1,929,071</td>
<td>-</td>
<td>1,929,071</td>
<td>0.0%</td>
</tr>
</tbody>
</table>

**$8,854,701** $8,534,297 $10,562,213 $12,612,333 $5,583,514 $7,028,819 44.3%
# MONTHLY BOARD REPORT

**FY2017 (July 1, 2016 to June 30, 2017)**

**Administration Expense Summary**

**As of January 31, 2017**

<table>
<thead>
<tr>
<th>Month</th>
<th>Actual FY14</th>
<th>Actual FY15</th>
<th>Actual FY16</th>
<th>Budget FY17</th>
<th>Actual FY17</th>
<th>Inc/Dec of Budget vs Actual</th>
<th>Budget Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>$99,342</td>
<td>$36,996</td>
<td>$76,354</td>
<td>$100,397</td>
<td>$98,869</td>
<td>$1,528</td>
<td>98.5%</td>
</tr>
<tr>
<td>August</td>
<td>$56,248</td>
<td>$65,796</td>
<td>$154,434</td>
<td>$130,506</td>
<td>$85,687</td>
<td>$44,819</td>
<td>65.7%</td>
</tr>
<tr>
<td>September</td>
<td>$77,618</td>
<td>$79,531</td>
<td>$75,888</td>
<td>$110,001</td>
<td>$124,202</td>
<td>$(14,201)</td>
<td>112.9%</td>
</tr>
<tr>
<td>October</td>
<td>$77,447</td>
<td>$107,450</td>
<td>$114,095</td>
<td>$141,133</td>
<td>$104,670</td>
<td>$36,463</td>
<td>74.2%</td>
</tr>
<tr>
<td>November</td>
<td>$84,993</td>
<td>$92,871</td>
<td>$72,212</td>
<td>$118,043</td>
<td>$88,556</td>
<td>$29,487</td>
<td>75.0%</td>
</tr>
<tr>
<td>December</td>
<td>$63,622</td>
<td>$69,805</td>
<td>$88,349</td>
<td>$116,300</td>
<td>$(11,615)</td>
<td>$(11,615)</td>
<td>111.1%</td>
</tr>
<tr>
<td>January</td>
<td>$110,423</td>
<td>$82,409</td>
<td>$113,515</td>
<td>$98,338</td>
<td>$46,267</td>
<td>$135,666</td>
<td>68.0%</td>
</tr>
<tr>
<td>February</td>
<td>$76,028</td>
<td>$114,696</td>
<td>$96,686</td>
<td>$135,666</td>
<td>$(135,666)</td>
<td>$(135,666)</td>
<td>0.0%</td>
</tr>
<tr>
<td>March</td>
<td>$72,862</td>
<td>$110,596</td>
<td>$100,000</td>
<td>$133,801</td>
<td>$133,801</td>
<td>$133,801</td>
<td>0.0%</td>
</tr>
<tr>
<td>April</td>
<td>$83,438</td>
<td>$93,933</td>
<td>$97,006</td>
<td>$129,514</td>
<td>$129,514</td>
<td>$129,514</td>
<td>0.0%</td>
</tr>
<tr>
<td>May</td>
<td>$102,701</td>
<td>$107,700</td>
<td>$101,400</td>
<td>$147,180</td>
<td>$147,180</td>
<td>$147,180</td>
<td>0.0%</td>
</tr>
<tr>
<td>June</td>
<td>$74,894</td>
<td>$161,099</td>
<td>$129,705</td>
<td>$174,509</td>
<td>$174,509</td>
<td>$174,509</td>
<td>0.0%</td>
</tr>
</tbody>
</table>

| Total     | $979,616    | $1,126,883  | $1,219,644  | $1,570,041  | $716,622    | $853,419                   | 45.6%           |
## MONTHLY BOARD REPORT

**FY2017 (July 1, 2016 to June 30, 2017)**

**Operating Expense Summary**

As of January 31, 2017

<table>
<thead>
<tr>
<th>Month</th>
<th>Actual FY14</th>
<th>Actual FY15</th>
<th>Actual FY16</th>
<th>Budget FY17</th>
<th>Actual FY17</th>
<th>Inc/Dec of Budget vs Actual</th>
<th>Budget Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>$446,665</td>
<td>$165,544</td>
<td>$197,494</td>
<td>$307,932</td>
<td>$344,546</td>
<td>$(36,614)</td>
<td>111.9%</td>
</tr>
<tr>
<td>August</td>
<td>$408,580</td>
<td>$411,069</td>
<td>$448,110</td>
<td>$482,131</td>
<td>$277,454</td>
<td>$204,677</td>
<td>57.5%</td>
</tr>
<tr>
<td>September</td>
<td>$204,531</td>
<td>$415,730</td>
<td>$173,284</td>
<td>$301,787</td>
<td>$554,568</td>
<td>$(252,781)</td>
<td>183.8%</td>
</tr>
<tr>
<td>October</td>
<td>$217,465</td>
<td>$1,168,758</td>
<td>$785,951</td>
<td>$826,083</td>
<td>$545,424</td>
<td>$280,659</td>
<td>66.0%</td>
</tr>
<tr>
<td>November</td>
<td>$602,638</td>
<td>$275,448</td>
<td>$579,144</td>
<td>$554,188</td>
<td>$1,031,722</td>
<td>$(477,534)</td>
<td>186.2%</td>
</tr>
<tr>
<td>December</td>
<td>$561,929</td>
<td>$205,224</td>
<td>$705,378</td>
<td>$560,007</td>
<td>$530,833</td>
<td>$29,174</td>
<td>94.8%</td>
</tr>
<tr>
<td>January</td>
<td>$1,304,199</td>
<td>$393,437</td>
<td>$785,516</td>
<td>$944,348</td>
<td>$1,066,848</td>
<td>$(122,500)</td>
<td>113.0%</td>
</tr>
<tr>
<td>February</td>
<td>$211,744</td>
<td>$753,200</td>
<td>$277,216</td>
<td>$472,396</td>
<td>$472,396</td>
<td>0.0%</td>
<td></td>
</tr>
<tr>
<td>March</td>
<td>$350,376</td>
<td>$811,276</td>
<td>$476,098</td>
<td>$622,840</td>
<td>$622,840</td>
<td>0.0%</td>
<td></td>
</tr>
<tr>
<td>April</td>
<td>$1,094,811</td>
<td>$819,256</td>
<td>$801,484</td>
<td>$1,032,730</td>
<td>$1,032,730</td>
<td>0.0%</td>
<td></td>
</tr>
<tr>
<td>May</td>
<td>$736,145</td>
<td>$432,325</td>
<td>$1,872,541</td>
<td>$1,156,503</td>
<td>$1,156,503</td>
<td>0.0%</td>
<td></td>
</tr>
<tr>
<td>June</td>
<td>$1,022,562</td>
<td>$1,181,739</td>
<td>$657,716</td>
<td>$1,088,432</td>
<td>$1,088,432</td>
<td>0.0%</td>
<td></td>
</tr>
</tbody>
</table>

$7,161,646   $7,033,005   $7,759,932   $8,349,377   $4,351,395   $3,997,982  52.1%

2/23/2017  Unaudited financials-For Board and Management purposes/review
MONTHLY BOARD REPORT
FY2017 (July 1, 2016 to June 30, 2017)
Capital Expense Summary
As of January 31, 2017

<table>
<thead>
<tr>
<th>Month</th>
<th>Actual FY14</th>
<th>Actual FY15</th>
<th>Actual FY16</th>
<th>Budget FY17</th>
<th>Actual FY17</th>
<th>Inc/Dec of Budget vs Actual</th>
<th>Budget Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>$ -</td>
<td>$ 23,987</td>
<td>$ -</td>
<td>$ 20,304</td>
<td>$ 2,947</td>
<td>$ 17,357</td>
<td>15%</td>
</tr>
<tr>
<td>August</td>
<td>$ -</td>
<td>$ 47,975</td>
<td>$ 5,119</td>
<td>$ 44,941</td>
<td>$ 119,499</td>
<td>($74,558)</td>
<td>266%</td>
</tr>
<tr>
<td>September</td>
<td>30,974</td>
<td>47,975</td>
<td>-</td>
<td>81,826</td>
<td>151,959</td>
<td>(70,133)</td>
<td>186%</td>
</tr>
<tr>
<td>October</td>
<td>-</td>
<td>55,184</td>
<td>66,521</td>
<td>118,016</td>
<td>41,575</td>
<td>76,441</td>
<td>35%</td>
</tr>
<tr>
<td>November</td>
<td>95,949</td>
<td>2,194</td>
<td>57,674</td>
<td>334,391</td>
<td>22,144</td>
<td>312,247</td>
<td>7%</td>
</tr>
<tr>
<td>December</td>
<td>-</td>
<td>-</td>
<td>119,892</td>
<td>116,482</td>
<td>150,509</td>
<td>(34,027)</td>
<td>129%</td>
</tr>
<tr>
<td>January</td>
<td>119,937</td>
<td>75,245</td>
<td>127,493</td>
<td>288,126</td>
<td>26,864</td>
<td>261,262</td>
<td>9%</td>
</tr>
<tr>
<td>February</td>
<td>-</td>
<td>54,185</td>
<td>299,738</td>
<td>409,576</td>
<td>409,576</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>March</td>
<td>5,916</td>
<td>-</td>
<td>151,205</td>
<td>147,994</td>
<td>147,994</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>April</td>
<td>161,188</td>
<td>18,078</td>
<td>125,234</td>
<td>272,742</td>
<td>272,742</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>May</td>
<td>95,949</td>
<td>47,993</td>
<td>65,625</td>
<td>192,387</td>
<td>192,387</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>June</td>
<td>203,526</td>
<td>1,593</td>
<td>564,136</td>
<td>666,131</td>
<td>666,131</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

| Total   | $ 713,439   | $ 374,409   | $ 1,582,637 | $ 2,692,915 | $ 515,497 | $ 2,177,418 | 19.1% |

2/23/2017  Unaudited financials-For Board and Management purposes/review
NORTH CENTRAL REGIONAL TRANSIT DISTRICT
FINANCE SUBCOMMITTEE

January 27, 2017
9:00 AM - 11:00 PM

Executive Conference Room
1237 N. Riverside Drive
Espanola, NM 87532

CALL TO ORDER: Councilor Pete Shehehey, Chair

Roll Call:

ITEMS FOR DISCUSSION/RECOMMENDATION

A. **Amended Procurement Regulations**
   Sponsor: Anthony Mortillaro, Executive Director, Troy Bingham, Finance Director and Peter Dwyer, Legal Counsel
   Attachment

B. **Mid-Year Budget Review**
   Sponsor: Anthony Mortillaro, Executive Director and Troy Bingham, Finance Director.
   Attachment

C. **Proposed Budget Amendment for Operations Area Remodel Project**
   Sponsor: Anthony Mortillaro, Executive Director and Troy Bingham, Finance Director.
   Attachment

D. **Quarterly Investment Report**
   Sponsor: Anthony Mortillaro, Executive Director and Troy Bingham, Finance Director.
   Attachment

E. **Quarterly Electronic Payment Report**
   Sponsor: Anthony Mortillaro, Executive Director and Troy Bingham, Finance Director
   Attachment

F. **Minutes**
   November 18, 2016

MATTERS FROM THE SUBCOMMITTEE

ADJOURN

If you are an individual with a disability who is in need of a reader, amplifier, qualified Sign Language interpreter or any other form of auxiliary aid or service to attend or participate in the hearing of the meeting, please contact the NCRTD Executive Assistant at 505-629-4702 at least one week prior to the meeting, or as soon as possible. Public documents, including the agenda and minutes, can be provided in various accessible formats.
Finance Subcommittee

Meeting January 27, 2017

9:00 a.m.

Board Members Present: Pete Sheehy–Los Alamos County, Christy Van Buren–Ohkay Owingeh

Staff Present: Anthony Mortillaro, Troy Bingham

Guest(s) Present: Antonio Maggiore–Los Alamos County

Absent: Alex Naranjo–Rio Arriba County, Ed Moreno–Santa Fe County, Leandro Cordova–Taos County

Transcribed By: Jackie Trujillo–Executive Assistant

ROLL CALL

APPROVAL OF AGENDA

CALL TO ORDER

A regular Finance Subcommittee meeting was called to order on the above date by Councilor Sheehy.

ITEMS FOR DISCUSSION/RECOMMENDATION

A. Amended Procurement Regulations

Mr. Mortillaro noted that the Procurement Regulations were last modified in 2014; since then the District had a technical review by New Mexico Department of Transportation; it was recommended some modifications be made to the Procurement Regulations. He stated as per the Procurement Regulations he appointed Mr. Bingham as the District’s Chief Procurement Officer and asked that he work with the District’s Attorney Peter Dwyer to address issues the State of New Mexico Transit Rail Division brought up during the review and any other modifications that may be necessary based on Mr. Bingham’s experience related to procurement and any issues or concerns that may arise on the state-wide level that he may be aware of. He then turned it over to Mr. Bingham.

Mr. Bingham referenced page 3 on packet, explained the legal aspects of the document; in the State of New Mexico the is an overarching law that states the procurement code for the state of New Mexico. He noted the District is using option H. Option H is referred to, if there are extenuating circumstances in our district when established by code, it identifies the District the ability for us to define our own procurement regulations; the District will be mirroring the states purchasing adding we may be more stringent in some areas although will be almost the same procurement code as the state.

He moved on to page four to clarify a few items, the District added a P-card program which has been established since before the last procurement code went thru and Bond payments, which are all exceptions. He clarified how we do Bonds and if we are able to remove the sunset clause in the GRT or do some other types of debt to get through the short term or build our facility behind the RTD building and would like to clarify what requires procurement when it comes to Bonds.

Ms. Van Buren asked what is a P-card.
Mr. Bingham responded it is a procurement card, all managers use to pay for purchases less than $1000.00, paid monthly, mainly used for travel and small purchases and vendors who want to get paid directly with a credit card.

He moved on to office supplies, adding we had been dependent on the state procurement office to put out a general office supply contract with the state, this year they have not clarified why they have not put out a contract which leaves us in limbo as to how to purchase office supplies as our old purchasing regulations had a limit of $3000.00. He noted we are trying to exempt ourselves from office supplies and don’t believe we will run into problems as we are raising the overall threshold to the state purchasing level which will be $20,000.00; by doing that it will allow the Chief Procurement Officer to decide how we will procure supplies.

Mr. Bingham moved on to Intergovernmental agreement; clarifying we can purchase goods from other governments without going thru the procurement code; going out for bid, such as maintenance on a bus we would not have to go out to bid in multiple counties to get a price.

He referenced page 6, District vehicle towing was added; three companies in the district, if we need a tow we will call the company that is in that county where the service is needed.

Mr. Bingham moved on to clarify Chief Procurement Officer was added.

Mr. Mortillaro asked Mr. Bingham to talk about what is happening on a state level when talking about the Chief Procurement Officer organization on the state level and that one cannot make purchases unless they have gone to training and need a Chief Procurement Officer in the organization.

Mr. Bingham went on the explain he had attended a purchasing conference; a new state legislation was introduced which requires every locality to have a Chief Procurement Officer designated and trained by the state. In our code, we are calling out a Chief Procurement Officer and what the position does for us; he received his certification and has gotten recertified, adding the District is in compliance with the state.

He moved on to page 13, the addition of signatures of supplemental and procurement regulations forms, with our new legal being in house we are able to review contracts and ensure verification and other controls required to insure District contracts received have proper review and approval.

He explained that this is to clarify that our language is concurrent with current purchasing practices; the terminology used matches with the documents used.

Ms. Van Buren made a motion to present the amended Procurement Regulations to the Board, Councilor Sheehey seconded the motion and it passed by voice vote.

B. Mid-Year Budget Review

Mr. Mortillaro noted our financial policies require that we provide the Board with a mid-year review of actuals, projected vs. budget, this review which is brought to the Subcommittee to address any question and then presented to the Board upon recommendation from the Subcommittee. He then asked Mr. Bingham to go over the findings.

Mr. Bingham asked the Finance Subcommittee members to turn over to page 87 of the packet noting the financial narrative for the review. He then referenced page 89 of the document by which he proceeded to go over revenues.

Mr. Bingham stated revenues came in less than budgeted; he is reporting 6 month of financial activity ending December 31, 2016. This report’s projection is based off expenditure patterns and probable revenue flows that are derived from the expenses and revenues data available from 50% of FY2017 completed; GRT is 70% of our revenues with
actuals ending up to be 54%, a major source of revenue; should bring in $600,000 more than projected in the budget; overages in the GRT revenue will be used to cover the Use of Fund Balance.

Federal Grants were less; the ITS project in Taos was budgeted more than needed, part of the money is Grant funding received in FY16; the money was budgeted on FY17, not knowing when the project was to be completed or when work will be done.

Mr. Bingham moved on to Miscellaneous Revenues, noting we have two routes we charge fares; Mountain Trail and the weekend service from Taos to Santa Fe (Taos Express); it is anticipated to receive $101,500 in proceeds from transit fares, bank interest, insurance proceeds, and non-cash activities. This amount is less than last year, but equal to what was budgeted for collection of fare.

Mr. Mortillaro noted the District is projected to using $938,000 of Fund Balance; most of the Fund Balance goes towards Capital acquisition operations other than new routes, approved in advanced by the Board; use of Fund Balance in FY2017 is projected to be $107,000.

Mr. Bingham stated the District would not be using the Fund Balance this year, will be building up the balance throughout the year.

Ms. Van Buren asked if it is used for capital purchases.

Mr. Bingham replied for the most part 80% is used.

Further discussion continued this topic.

Mr. Bingham then referenced page 90 of the packet by which he proceeded to go over the federal grant revenue. Referenced the chart, noting most of the vehicles are in Albuquerque awaiting a piece of equipment which will arrive in March.

He then proceeded to gross receipts revenue on page 91, noting the projected overall revenue surplus for FY17 GRT is anticipated to be $600,000. He proceeded to discuss Los Alamos County. The revenues are projected to be at a 22% increase, which will translate into a revenue surplus of $286,000.

Further discussion continued this topic.

Mr. Bingham continued to page 93 of the packet to discuss Rio Arriba County. Noting due to the Walmart constructions the District has not seen any increases. Revenues are at a 2% short fall below the budget of $575,000 hoping to bring in $564,000.

He proceeded to Santa Fe County noting it is the Districts largest GRT contributor; revenues are projected to be 4% above the budget for FY17, which will translate into a revenue surplus of $155,000 because the District receives half of what is collected from Santa Fe County the other half goes to the Rail Runner and Rio Metro; actual revenue surplus for the first four months is 5% above budget.

Mr. Mortillaro noted 50% collected in Santa Fe County goes to the Rail Runner per their Intergovernmental Agreement; in the Districts financial policy we have a formula allocation for Los Alamos County and Santa Fe Trails; Los Alamos County is 20% of the GRT we collect, it goes for specific services in Los Alamos County that are approved by the Board on a year to year bases. Santa Fe Trails is similar they get 14% which is approved on a year to year bases for regional services.

Mr. Mortillaro continued, stating the RTD keeps 40% of the GRT that is collected for our own services and 60% of the GRT, $4.5 million goes back to fund regional services that we contract for, through these formulas and Intergovernmental agreements.

Mr. Bingham moved on, stating that Taos County has the Taos Ski Valley TIDD and Questa mine clean-up they are doing well and will continue, although the District would not like to budget off that, do to it being a one-
time activity over 8-year; don’t want to plan on those funds and the mine gets clean and TSV gets built then the money gets dropped. He noted we are conservative with $860,000, although they are exceeding their budget and believe 19% is a conservative low number and may exceed that number at an extra of $163,000.

Mr. Bingham proceeded to go over Expenditures; the District budgeted $12.6 million in expenditures; seeing difficulties on salary and overtime; in the past, we had large surpluses in the budget, budgeting $12 million but only spending $10 million due to it’s hard to configure where the Capital or Operations are going to land. He noted we are trying to give enough leeway in the budget to do what needs to be done and at the same time trying to bring the projection closer to actuals at the end of the year.

Further discussion continued this topic.

**Ms. Van Buren made a motion to recommend the year-end review to the Board. Councilor Sheehy seconded the motion and it passed by voice vote.**

**C. Proposed Budget Amendment for Operations Area Remodel Project**

Mr. Bingham stated the District is seeking a Budget Amendment to transfer capital project budgets in the FY17 Budget from completed capital projects with project savings to the Operations Area Remodel project. He noted construction would expand the operation’s management area into the area previously designated for the rider waiting area. The rider waiting area was never utilized as originally planned for because it is located at the back of the building and none of the current routes drop off or pick up passengers in that area. This construction would expand the operation’s management area to increase the supervisor area, bigger dispatch space, and conference room for operations. He noted we were projecting a $22,000 estimate based on prior talks with contractors; Blue Sky Builders came in with the lowest bid at $23,181. New Cubicles and Additional Conference Chairs will cost $21,513; Carpet in the passenger Waiting Area to match the rest of the building at $2,495; new IT office, router and associated wiring at $2,500. He noted the District added a 10% project contingency in the case any complications that may arise. It is anticipated project cost will be sort of $55,000 leaving $32,000 short.

Mr. Bingham continued, stating that the FY2017 has the following projects that are currently funded through fund balance annually that have no spending currently this fiscal year: Shelter and Stops with Solar Lighting and Bus Stop Service Improvements; the District could transfer these capital project budget to the Back of Building Remodel project for this fiscal year and re-budget these projects in FY18. It is anticipated that the net effect of our actions would not increase or decrease the budget and would only reallocate capital project budgets into FY18.

**Ms. Van Buren made a motion to recommend budget reallocations to the Board. Councilor Sheehy seconded the motion and it passed by voice vote.**

**D. Quarterly Investment Report**

Councilor Sheehy gave a brief back ground of the Districts investment pool, stating the District has a fair amount of cash on hand, originally it was kept in the State investment pools whom were paying close to nothing. He noted by getting out of the state investment pool and looking at local banks and credit unions we found that they give higher interest in money for certificates. The District now goes with broker CD’s which the return is at a better interest.
Mr. Bingham referenced page 102 of the packet, stating the graph shows the various types of investments the District has; we have CD’s, checking accounts where we get five bases points at .05% from Los Alamos Bank; LGIP is at 40 bases points; Los Alamos Bank and First National Bank of Santa Fe hold their rates at 40 bases points. He noted the Districts Brokerage CD’s are from out of state banks through Los Alamos Bank, the Districts broker and they have a financial investment wing called LPL financial they go out and buy Cd’s, looking for 80 bases points or higher. He noted the District tries to stay below FDIC limits.

Mr. Bingham continued, stating that this quarter the District added more money to the investment pool because we had more money on hand and this happens because our spending wraps up on the third and fourth quarter of the year, investment will go down once we pay for buses. He was able to put down half a million dollars in investments rather than keeping it in the checking account; we try to keep the checking account balance at 1.2 million dollars; he noted he could of bought another CD, there just aren’t enough out there available. The District went up half a million dollars in investments from the last investment report. He noted we have money in the Money Market, Los Alamos Bank is the collateral agent and LPL is holding the money. Over all the District earned $16,000 for half a year, projections for the year were at $20,000 exceeding our budgeted estimated revenues. By having an Investment Portfolio, we were able to fund a driver position for the organization.

Councilor Sheehey asked would it be possible for the District to directly buy Treasury Securities.

Mr. Bingham replied we do. Noting the auditors have questioned about categorizing Treasury Securities, to avoid their miss-interpretation of state law, it was best to go through brokerage CD’s at 80 bases points securely without fluctuation.

It was recommended that the Finance Subcommittee discuss and review the information and recommend to the board of Directors a budget reallocation to the FY2017 NCRTD’s budget.

Ms. Van Buren made a motion to recommend Staff’s recommendation as presented to the Board. Councilor Sheehey seconded the motion and it passed by voice vote.

E. Quarterly Electronic Payment Report

Councilor Sheehey noted the board recently authorized electronic payments.

Mr. Bingham stated the NCRTD Board passed a resolution in November 2013 to allow for ACH payments to vendors. Since that time, staff has been establishing the District’s ability to pay vendors through the Automatic Clearing House (ACH) system that withdrawals funds from the District’s account and deposits into vendor’s checking accounts with their permission. As of July 2016, the program was able to commence after months of working out the details with the District’s bank, LANB, about internal controls and assurances to the vendor community. To date, the District has 58 vendors signed up for ACH payments. Changes to Finance Policy #1 in November 2016 and January 2017 incorporated a quarterly reporting requirement to the Finance Subcommittee and Board to provide oversight and governance of the program. He noted, 868 vendor payment were made totaling 4 million dollars, 442 of those have gone to venders in the last 6 months.

Further discussion continued this topic.

Ms. Van Buren motioned to recommend the report to the full Board for review. Councilor Sheehey second the motion and it passed by voice vote.
F. Minutes from November 18, 2016

Ms. Van Buren motioned to approve Financial Subcommittee November 18, 2016 minutes. Councilor second the motion and it passed by voice vote.

MATTERS FROM THE SUBCOMMITTEE

There were none.

ADJOURN

Ms. Van Buren made a motion to adjourn the meeting. Councilor Sheehy seconded the motion and it passed by voice vote.

Next Finance Subcommittee will be held February 24, 2017 at 9:00 AM.
EXECUTIVE REPORT
For February 2017

EXECUTIVE

- Continued discussion and run cutting for Taos services.
- Attended APTA CEO’s conference.
- Meet with representatives from Work Force Innovation and Opportunity Act funding for possible training funds.
- Conducted orientation of new Board Members.
- Engaged in discussions with Taos County Attorney and County Manager regarding GRT election.
- Participated in interviews for ITS/GIS Specialist.
- Participated in interviews for Marketing Coordinator.
- Attended legislative hearings on various legislative issues.
- Continued review and discussion of outstanding site property issues with Attorney and staff.
- Generated ongoing information and responses for Consultants regarding consolidation study.
- Participated in discussions regarding a proposal for long term TSV service operations.
- Met with engineering firm regarding updating of the Facilities Master Plan.
- Continued discussions on employee staffing issues.
- Participated in new employee orientations.
- Attended monthly NMTA Board meeting.
- Attended monthly MPO TCC meeting.
- Attended via conference call APTA Small Operations Committee.
- Attended via conference call APTA State Affairs Committee.
- Met with Attorney and Staff regarding various legal issues and associated documents.
- Prepared Board and Finance Subcommittee meeting materials.
- Met weekly (telephonically) with Board Chair Barrone on various issues.
- Continued review, revision and creation of various NCRTD policies.
- Maintained continuous communication with board members, subcommittee members, and Chair.
- Attendance at various NCRTD staff and subcommittee meetings, including Board, Finance and Tribal subcommittees meeting.
- Addressed a variety of employee human resources issues and prepared memorandums to document district actions.

LEGAL

- Updated Draft Bylaw Amendments
- Review/Discuss Consolidation Study Issues
- Various Personnel Matters
- Prepare Legal Updates for Staff Meetings
- Review Bid Documents on Advertising Contract
- Select Arbitrator for CBA Dispute Resolution
- Research and Discuss Labor Management Issues
- Review Staff Reports and Draft Agendas
- Review and Archive Legal Files
- Research on Annual Certification and Assurance Issues
- Research on Quorums and Abstentions
- Meet with Taos County Re: GRT Issues
- Preliminary Work on Jicarilla Agreements and New Dulce Routes
- Preliminary Work on Taos Ski Valley Shuttle Services
- Research on Potential Options for Security Services
- Research on Records Retention Policy Revisions

MARKETING/PUBLIC INFORMATION OFFICE

- Completed with procurement officer an RFP for Transit Advertising to be issued late
February as our current contract for Transit Advertising with Templeton Marketing will expire in June of this year

- Conducted a series of interviews and follow-up interviews to fill the marketing and communication specialist job vacancy
- Attended the APTA Marketing and Communication Workshop in Tampa, Florida February 26 through March 1
- Issued a series of rider alerts throughout the month including those pertaining to our President’s Day schedule
- Ordered a quantity of RTD insulated lunch boxes as premium marketing promotional items
- Provided a series of updates to the NCRTD website throughout the month
- Provided near daily posts and tweets on our Facebook and Twitter pages
- Installed a wrap on behalf of Zia Credit Union on the Westside bus
- KDCE – 950 AM radio in Espanola, :30 sec radio spot and sponsorship of the 7:30 AM news ran 17 days in February excluding Saturdays and Sundays
- KSWV 810-AM in Santa Fe, :30 sec Mountain Trail spots ran 20 times in February as well as 30 :20 sec promos announcing RTD sponsorship during the 7:30 AM ½ hour
- KTAOS 101.9 FM in Taos, 14 :30 sec radio spots ran each week in February. Continued running a new 30-second spot promoting TSV Green
- One banner ad ran in the Taos News and one in Los Alamos Monitor. One 1/8-page ad ran in the Rio Grande Sun. Also, committed to a ½ page ad and submitted artwork for a Taos News special section titled “Taos Women” which will run in March
- A series of digital ads ran on SantaFe.com, Santa Fe Hometown News, Valley Daily Post and Los Alamos Daily Post
- A quarter page ad ran in the Round the Roundhouse Legislative edition
- Committed to a ¼ page ad in the Santa Fe Reporter’s Annual Manual which has a shelf/newsstand life of six months
- Ads also continued running on the Taos News website as well as Facebook pages in the Taos County area

- Ads ran in the Chama Valley Times and in the Green Fire Times this month

**SERVICE DEVELOPMENT**

- January 2017 5311 Ridership Report
- ITS AVL/CAD project work including:
  - Continued data entry input, review and oversight, emphasis on google transit
  - Ongoing troubleshooting facilitation related to operations and soft/hardware
  - Route ride checks performed in Taos area
  - Periodic discussions with Avail Staff regarding data entry and
- TAP FY15- project final closeout underway, awaiting NMDOT reimbursement and official closeout
- TAP FY16- planning and design work continuing for next phase of construction with Wilson & Company; environmental certification process initiated
- Presented to Jicarilla Apache Nation Tribal Council on recent Tribal Transportation Program (TTP) allocation on which we collaborated in application process
- Continued hiring process for GIS/ITS Specialist, further review of applicants and first round of interviews; 2nd and 3rd interviews completed with candidates; worked with Executive Director and Human Resources Director to select candidate for position
- Tribal NTD reports completion for FY16 ongoing; original reports submitted to NTD for report review, awaiting report year closeout; ongoing efforts with NCRTD Tribal reps to update NTD access
- Exploring options to collaborate with member Tribes to submit for TTP Discretionary funds for future capital purchase
- Ongoing discussions with Adept and StrataGen regarding training for new Staff; additional discussion regarding zone boundaries, ADA buffer zone in Taos, current
operational issues; concall set to further discuss with Staffs on Feb. 28

- Performed review and provided feedback on consolidation study draft documents
- Contributed to discussion and participated in run-cutting review
- Participated in FHWA Independent Analysis webinar, FTA TTP webinar
- Represented NPRTPO at quarterly RTPO Planner meeting in Los Alamos

**OPERATIONS**

- Continue TMD Runcutting
- Interviews for Transit Drivers
- Sustainability Report
- Develop Curriculum for Driver Trainee Program
- Work with Kit Carson on Fiber Optic Installation in Taos
- Review of Annual Fuel Consumption Report
- Participate in Customer Service Excellence Training
- Worked with Ferrell Gas to be set up as a Tax Exempt fueler
- Worked on NTD Vehicle report submission
- Worked on Drug & Alcohol MIS report submission
- Set up Employee Safety Training with NMML
- Conducted Interviews for Custodian
- Continued working with Apollo on Video Surveillance issues for buses and facility in Taos
- Charter Service Requests from Roots and Wings, Mesa Prieta Petroglyphs
- Participate in TAM webinar
- Deal with various Personnel Issue
- Deal with various passenger complaints
- Hired Geographic Information System / Transit Information System Specialist
- Conducted interviews for Marketing and Communication Specialist Position;
- Hired in-house custodian;
- Job advertisement through Taos News;
- Two Transit Driver II employees submitted their resignations and went through separation process;
- Hired one Seasonal Driver II
- Conducted New Employee Orientation on Monday, Monday, February 20, 2017;
- Sent updated Union List;
- Ordered Driver Appreciation Gifts for March;
- Started to create Position Files;
- Distributed “Over the Counter and Prescription Drug Policy” and collected Acknowledgement Forms;
- March Calendar;
- Continued audit of personnel files;
- One probationary dismissal;
- Three Discipline Actions;
- Two Pre-Determination Discipline Meetings;
- Arranged two mediations requests;
- Meet with Operations Director and Supervisors to discuss Family Medical Leave Process during Operations Supervisor meeting;
- Ordered employee Badges;
- Worked with Operations Director on new Driver Academy;
- Worked on Employee Evaluation Policy;
- Started processing for hire, six (6) new hires (Driver I & II);
- Processed two Family Medical Leave actions;
- Set up interviews for Driver I & Driver II positions.

**HUMAN RESOURCES**

- Celebrated Birthdays and Anniversaries on Wednesday, February 8, 2017;
- Coordinated Above and Beyond Drawings winners for February;
Performance Measures
for
Fiscal Year 2017
January 2017
The performance measures that were developed are designed to provide data that can be evaluated in a logical manner. It allows the District to identify areas in which its performance may need to be improved and to understand the characteristics and factors that impact that performance. In addition, to the extent feasible a peer comparison or a benchmark has been included as available or appropriate. This performance data is important since many times the District’s costs, efficiencies and productivity is not measured against any benchmark or standard or attempts are made to compare it against systems that bear no similarities in mission, complexity or service area. Therefore, the data presented should provide some context in which to assess the District and its efforts to deliver services based upon its mission, goals and objectives.”

The report data collected is grouped into 3 areas: Administrative, Fleet and Customer Related:

1. Administrative:
   A. Ridership, All Funded Routes
   B. Ridership, NCRTD Operated Routes
   C. Monthly Expenditures
   D. Cost Per Mile
   E. Cost Per Trip

2. Fleet:
   A. Vehicle Back Up Ratio
   B. Average Vehicle Age
   C. Percentage of “On-Time” PM / Inspections
   C. Accidents, Major/Minor Tracking

3. Customer Relations:
   A. Complaints
   B. Incidents

The In-state/local comparable is Sandoval/Valencia Counties which are operated by the Rio Metro Regional Transit District. This benchmark/peer entity was chosen since they are within New Mexico and somewhat similar to rural transit service. The FTA benchmarking data used originates from the Rural Transit Fact Book 2014. The data is for 2012 in FTA Region 6, rural providers which includes New Mexico, Texas, Oklahoma, Arkansas and Louisiana.
Performance Measure - Administrative:

Ridership Tracking of All NCRTD Funded Routes

Tracking ridership is the #1 way a public transportation agency can gauge its effectiveness of the service it provides. Ridership data for all routes funded by the NCRTD are collected by City of Santa Fe and Los Alamos County. This data is forwarded and combined with the data from the District’s operated routes. These numbers are then compiled into a monthly ridership report. This measurement tracks the number of one way trips taken on all the routes within the district. This graph shows the NCRTD combined total ridership numbers, and compares them each month, identifying any increases or decreases in the number of monthly trips. This also indicates how well the regional district is continuing to address the issue of accessible mobility by routes that are in areas where there is public demand. Sandoval/Valencia counties are used local/in-state comparison benchmark, as they are similar in service but smaller in size: a two county service of the Rio Metro Transit District.

Ridership All Funded Routes

<table>
<thead>
<tr>
<th>Month</th>
<th>FY 12-13</th>
<th>FY 13-14</th>
<th>FY 14-15</th>
<th>FY 15-16</th>
<th>FY 16-17</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>41,135</td>
<td>48,552</td>
<td>46,374</td>
<td>45,966</td>
<td>40,932</td>
</tr>
<tr>
<td>Aug</td>
<td>43,836</td>
<td>49,624</td>
<td>50,295</td>
<td>42,682</td>
<td>45,202</td>
</tr>
<tr>
<td>Sept</td>
<td>36,784</td>
<td>49,034</td>
<td>46,680</td>
<td>52,575</td>
<td>46,154</td>
</tr>
<tr>
<td>Oct</td>
<td>44,537</td>
<td>46,976</td>
<td>47,152</td>
<td>52,528</td>
<td>45,373</td>
</tr>
<tr>
<td>Nov</td>
<td>35,825</td>
<td>37,369</td>
<td>34,702</td>
<td>40,393</td>
<td>36,527</td>
</tr>
<tr>
<td>Dec</td>
<td>30,576</td>
<td>36,320</td>
<td>35,509</td>
<td>40,393</td>
<td>37,142</td>
</tr>
<tr>
<td>Jan</td>
<td>35,877</td>
<td>40,271</td>
<td>37,422</td>
<td>41,584</td>
<td>36,527</td>
</tr>
<tr>
<td>Feb</td>
<td>33,352</td>
<td>40,871</td>
<td>40,320</td>
<td>40,794</td>
<td>37,142</td>
</tr>
<tr>
<td>Mar</td>
<td>36,135</td>
<td>44,627</td>
<td>43,164</td>
<td>39,780</td>
<td>39,603</td>
</tr>
<tr>
<td>Apr</td>
<td>38,724</td>
<td>44,335</td>
<td>39,195</td>
<td>40,830</td>
<td>39,603</td>
</tr>
<tr>
<td>May</td>
<td>43,060</td>
<td>43,930</td>
<td>37,447</td>
<td>37,248</td>
<td>39,882</td>
</tr>
<tr>
<td>June</td>
<td>42,332</td>
<td>39,934</td>
<td>43,676</td>
<td>39,422</td>
<td>43,422</td>
</tr>
</tbody>
</table>

FY12/13 = 462,173  FY13/14 = 521,843  FY14/15 = 501,936  FY15/16 = 517,684  FY16/17 = 290,933
This ridership data is collected by the NCRTD drivers for all routes operated by the District. This includes 27 flex and commuter routes as well as the demand response and paratransit routes. Totaling the number of one way trips on NCRTD routes, allows staff to evaluate effectiveness and to ensure that the service is reaching areas in the district that have high demand for accessible mobility. Sandoval/Valencia counties were selected as a local/in-state comparison benchmark.

FY12/13 = 193,027  FY13/14 = 209,750  FY14/15 = 184,320  FY15/16 = 267,870  FY16/17 = 164,980
The NCRTD’s Finance Department provides the administrative and operating expenses in a monthly budget status report. It is important to measure the expenditures to maintain a balanced budget, as well as tracking the administrative and operating margins. This data is used in determining the cost per trip and the cost per mile. Tracking the budget and monitoring operational costs allows management to target specific dollar amounts when creating future budgets and requesting federal funding from the NM Department of Transportation.

### Monthly Expenditures FY 16-17

<table>
<thead>
<tr>
<th></th>
<th>July</th>
<th>Aug</th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admin</td>
<td>$96,031</td>
<td>$85,397</td>
<td>$121,278</td>
<td>$94,111</td>
<td>$88,557</td>
<td>$109,979</td>
<td>$103,112</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operating</td>
<td>$291,021</td>
<td>$274,745</td>
<td>$362,197</td>
<td>$351,334</td>
<td>$254,442</td>
<td>$329,506</td>
<td>$308,086</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>$387,052</td>
<td>$360,142</td>
<td>$483,475</td>
<td>$445,445</td>
<td>$342,998</td>
<td>$439,485</td>
<td>$411,198</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>
Cost per vehicle mile is the total operating costs per month in relation to the total vehicle miles per month traveled on NCRTD routes. The mileage data is logged daily for each route and compiled into a monthly report. Monthly operating costs are obtained from the Monthly Expenditures (chart above) and the number of miles travelled for NCRTD operated routes. As a cost efficiency measure, operating costs per vehicle mile assesses the financial resources needed for the District’s route operations. This measurement is a beneficial tool for the planning and operation’s departments. The NM Department of Transportation uses this as one of their performance measures in the state-wide transit guide published annually. Additionally this is used when NMDOT evaluates a transit system for the state-wide awards of 5311 funding. This is a management tool to track our cost per mile vs. the amount of budget being spent to operate a particular route as well as collectively for all routes. Sandoval and Valencia counties’ annual average are used as a local/in state comparable benchmark, even though their system is smaller than NCRTD. Data from the 2015 Rural Transit Data Fact Book, specifically FTA’s District 6 (our district) annual cost per mile is included as a benchmark. *This Data from 2015 Rural Transit Data Fact Book has been revised for the FY17 year.

### Operating Cost Per Vehicle Mile

<table>
<thead>
<tr>
<th>Month</th>
<th>Monthly Cost per Mile</th>
<th>Sandoval/Valencia</th>
<th>Region 6 Total Cost Per Mile</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$2.87</td>
<td>$4.07</td>
<td>$2.21</td>
</tr>
<tr>
<td>2</td>
<td>$2.23</td>
<td>$4.07</td>
<td>$2.21</td>
</tr>
<tr>
<td>3</td>
<td>$3.13</td>
<td>$3.99</td>
<td>$2.21</td>
</tr>
<tr>
<td>4</td>
<td>$3.31</td>
<td>$3.99</td>
<td>$2.21</td>
</tr>
<tr>
<td>5</td>
<td>$2.56</td>
<td>$3.99</td>
<td>$2.21</td>
</tr>
<tr>
<td>6</td>
<td>$2.88</td>
<td>$3.99</td>
<td>$2.21</td>
</tr>
<tr>
<td>7</td>
<td>$2.67</td>
<td>$3.99</td>
<td>$2.21</td>
</tr>
<tr>
<td>8</td>
<td>$0.00</td>
<td>$3.99</td>
<td>$2.25</td>
</tr>
<tr>
<td>9</td>
<td>$0.00</td>
<td>$3.99</td>
<td>$2.25</td>
</tr>
<tr>
<td>10</td>
<td>$0.00</td>
<td>$3.99</td>
<td>$2.25</td>
</tr>
<tr>
<td>11</td>
<td>$0.00</td>
<td>$3.99</td>
<td>$2.25</td>
</tr>
<tr>
<td>12</td>
<td>$0.00</td>
<td>$3.99</td>
<td>$2.25</td>
</tr>
</tbody>
</table>

*Data Update to reflect the 2013 National Transit Data Base beginning January 2017*
Performance Measure - Administrative: Operating Cost per Trip

When transit data is collected, passengers, riders and rides are counted and referred to as “trips.” One passenger can generate several trips in a day, and these are counted individually. Example, a particular rider may board in Questa (1 trip) and transfer to the Taos to Española bus (1 trip) and again transfer to the Santa Fe bus in Española (1 trip) for a total of three trips. The cost per trip is computed on a monthly basis by dividing the monthly operating costs from the Monthly Expenditures (chart above), by the total monthly number of trips (ridership). NM Department of Transportation uses this as one of their performance measures to the state-wide transit guide published annually. Additionally this is used when NMDOT evaluates a transit system for the state-wide awards of 5311 funding. This is a management tool to track our cost per trip vs. the amount of budget being spent to operate a particular route as well as collectively for all routes. Sandoval and Valencia counties’ annual average are used as a local/in state comparable benchmark, even though their system is smaller than the NCRTD. Data from the 2015 Rural Transit Data Fact Book, specifically FTA’s District 6 (our district) annual cost per trip is included as a benchmark. *This Data from 2015 Rural Transit Data Fact Book has been revised for the FY17 year (data is from 2013).

*Data Update to reflect the 2013 National Transit Database (NTD) beginning January 2017
Spare Vehicle Ratio/Combined all Vehicles

FTA defines the spare ratio as the percentage of spare vehicles in comparison to the number of vehicles required for annual maximum service. Recommended FTA spare vehicle ratio is 20% for fleets over 51 vehicles. NCRTD’s fleet totals 55 and is exempt from this guideline but it is a good benchmark to keep in place. With an annual maximum service of now 35 and a backup fleet of 20, the backup ratio is 58.82%. This higher number is needed and reasonable due to the variety of passenger seating requirements for specific routes throughout the District. These backup vehicles ensure consistent coverage of all routes when vehicles are off line due to routine maintenance or unexpected breakdowns.

Spare Vehicle Ratio/Combined All Vehicles

<table>
<thead>
<tr>
<th></th>
<th>July</th>
<th>Aug</th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spare Vehicles</td>
<td>20</td>
<td>23</td>
<td>26</td>
<td>20</td>
<td>20</td>
<td>20</td>
<td>20</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td># Needed to run</td>
<td>36</td>
<td>36</td>
<td>36</td>
<td>34</td>
<td>34</td>
<td>34</td>
<td>34</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Spare Ratio</td>
<td>55.56%</td>
<td>63.89%</td>
<td>72.22%</td>
<td>58.82%</td>
<td>58.82%</td>
<td>58.82%</td>
<td>58.82%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
<tr>
<td>Recommended</td>
<td>20.00%</td>
<td>20.00%</td>
<td>20.00%</td>
<td>20.00%</td>
<td>20.00%</td>
<td>20.00%</td>
<td>20.00%</td>
<td>20.00%</td>
<td>20.00%</td>
<td>20.00%</td>
<td>20.00%</td>
<td>20.00%</td>
</tr>
</tbody>
</table>
Average Fleet Age

The FTA allows the use of years or mileage to attain usable life. The District uses mileage rather than the year of manufacture because of the large area of the district and the high number of miles traveled on an annual basis. This compares the age of specific kind of vehicles by mileage in accordance to the FTA guidelines. This is useful in fleet replacement planning. The numbers will vary month to month as mileages increase and old vehicles are replaced by new.

Average Fleet Age in Miles by FTA Category
Percentage of “On-Time” PM / Inspections

The federal benchmark for the percentage of “on-time” preventative maintenance (PMs) and inspections for the fleet is 87%. Inspections are required to be conducted within certain mileage timeframe by vehicle manufacturers for the various sizes of vehicles. Manufacturer’s recommended maintenance schedules may range in mileage due to the component makeup of a particular vehicle. The FTA recommends they be conducted within the manufacturer’s recommended maintenance schedule. However, as a sub recipient of NMDOT we are allowed varied standards as approved by NMDOT. With the variety of sizes and component makeup of District vehicles, we have determined and hold to a standard of 6000 mile intervals for the light and medium gasoline powered fleet and 7000 miles for the diesel powered medium-heavy fleet. This ensures frequent safety inspections and PM services at reasonable intervals that result in a more dependable and safer fleet. This data is collected and tracked by the Fleet Maintenance Manager.
Accidents per Month

This measurement shows us how many accidents occur within a month and to what frequency they occur. These are logged as minor or major accidents. A minor accident for example, is one where a driver hits a stationary object while backing but there is minimal damage. A major accident is one where there may be significant damage and/or injury, and a FTA Post accident drug screen is required. All accidents are reported to the Operations and Maintenance Manager to decide on what corrective action needs to be taken. There are established internal reporting and follow up procedures. All accidents, major or minor, are investigated and documented, and dealt with accordingly by the operations management team. As a result, disciplinary measures and/or driver re-training may be required by the outcome of the investigation.

Number of Major/Minor Accidents per 113,033 Miles Avg. Driven Monthly

<table>
<thead>
<tr>
<th>Month</th>
<th>Major Accidents</th>
<th>Minor Accidents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Aug</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Sep</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Oct</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Nov</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>Dec</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Jan</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Feb</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Mar</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Apr</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>May</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Jun</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

MINOR ACCIDENT DETAIL
*Mountain Trails bus was backed into by another vehicle at a gas station 1/23/17*

*MAJOR ACCIDENT DETAIL
Driver drove off the road in Taos, NM. 1/23/17

Last Minor Accident - January 23, 2017
Miles Driven since last Minor Accident - 29,168

Last Major Accident - January 23, 2017
Miles Driven since last Major Accident - 29,168
Performance Measure – Customer Relations:
Compliments per Month

This performance tracks monthly the compliments received by the Operations Division of the NCRTD. The compliments are received by Operations and Admin staff. These are categorized by the different positions within Operations, and are recognized with an incentive in the “Above and Beyond” recognition program at the NCRTD. Driver’s may use recognition at the time of their evaluation.

No Compliments for January 2017

<table>
<thead>
<tr>
<th>FY 16-17 Number of Compliments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
</tr>
<tr>
<td>-------</td>
</tr>
<tr>
<td>July</td>
</tr>
<tr>
<td>August</td>
</tr>
<tr>
<td>Sept</td>
</tr>
<tr>
<td>Oct</td>
</tr>
<tr>
<td>Nov</td>
</tr>
<tr>
<td>Dec</td>
</tr>
<tr>
<td>January</td>
</tr>
<tr>
<td>Feb</td>
</tr>
<tr>
<td>March</td>
</tr>
<tr>
<td>April</td>
</tr>
<tr>
<td>May</td>
</tr>
<tr>
<td>June</td>
</tr>
<tr>
<td>Total</td>
</tr>
</tbody>
</table>
Performance Measure – Customer Relations:

Complaints per Month

This performance tracks monthly the number and type of complaints received by the Operations Division of the NCRTD. The complaints are received by the Operations and Maintenance Manager. These are categorized by the type of complaint, and evaluated as to the seriousness of the complaint and whether or not a course of action needs to be taken, i.e. driver reprimand, driver retraining, vehicle maintenance, etc. This measure is intended to measure the percentage of complaints versus the total ridership for the month. Driver performance can be graded and we can see if more drivers training needs to be scheduled for particular drivers. Customers also have complained about routes, stops, dispatch, bus cleanliness and other various categories.

1. Westside – A caller stated the driver was being very rude and told her to get off the bus because she was talking on the phone. The passenger also stated the driver was playing the radio very loud. 
Supervisor pulled the video. After reviewing the footage, the supervisor didn’t find the driver was rude to the passenger. The supervisor felt the driver handled the situation in a professional manner.

2. Riverside – A caller left a message stated the driver passed by her and her husband at the Chili’s stop. 
Supervisor and dispatch reviewed the video. Caller did not leave a contact number, supervisor was not able to get in touch with the caller.

3. Taos / Santa Fe – A caller stated the bus had passed him by at the Dollar Store. 
The Supervisor talked with the driver regarding the complaint, the driver stated he did not see anyone standing at the stop. Another Supervisor pulled the video, nothing was found.


<table>
<thead>
<tr>
<th></th>
<th>Total</th>
<th>Schedule Issues</th>
<th>Driver Performance</th>
<th>Against other Passengers</th>
<th>Miscellaneous*</th>
<th>Percent VS Ridership</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>5</td>
<td>0</td>
<td>4</td>
<td>1</td>
<td>0</td>
<td>0.024%</td>
</tr>
<tr>
<td>August</td>
<td>3</td>
<td>0</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>0.012%</td>
</tr>
<tr>
<td>Sept</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0.004%</td>
</tr>
<tr>
<td>Oct</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0.004%</td>
</tr>
<tr>
<td>Nov</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0.005%</td>
</tr>
<tr>
<td>Dec</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0.000%</td>
</tr>
<tr>
<td>January</td>
<td>3</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>0.011%</td>
</tr>
<tr>
<td>Feb</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.000%</td>
</tr>
<tr>
<td>March</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.000%</td>
</tr>
<tr>
<td>April</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.000%</td>
</tr>
<tr>
<td>May</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.000%</td>
</tr>
<tr>
<td>June</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.000%</td>
</tr>
<tr>
<td>Total</td>
<td>14</td>
<td>0</td>
<td>10</td>
<td>2</td>
<td>2</td>
<td>0.060%</td>
</tr>
</tbody>
</table>
**Performance Measure – Customer Relations:**

**Customer Incidents**

This performance measure calculates the number of customer incidents reported to the Operations and Maintenance Manager on a monthly basis. Customer incidents are any serious occurrence that may have an outcome that could be potentially hazardous to the driver or other passengers. These situations could be anything such as two passengers arguing over something, or a rider threatening a driver, or a non-rider harassing a driver for not being on time. It could also be a passenger falling down on the bus, or a passenger stepping in front of the bus as it pulls away from the curb to stop it to get on the bus. This data is collected by the driver writing an incident report and turning it in to the Operations and Maintenance Manager. This is intended to measure the types of situations that arise and how frequently they arise on the various routes of service provided by the NCRTD. This measurement tells us the frequency of incidents versus the number of monthly riders. We can then see if additional training needs to be implemented for the driver to avoid or control incidents that may occur on his route.

<table>
<thead>
<tr>
<th>Incident</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>A driver called over the radio notifying dispatch they had a rider who was upset because he did not drop them off at their requested stop. The passenger became very irate with the driver and dispatcher. The dispatcher tried to calm the passenger down, apologized for the infraction, and made arrangements to have another bus standby to pick her and her children up to be taken to their requested stop.</td>
</tr>
<tr>
<td>2.</td>
<td>While at a designated stop a passenger was on her cell phone talking very loudly and using profanity. The driver asked her if she needed to get off the bus to continue her conversation and the passenger declined and continued to talk very loud, using profanity. Again the driver asked her if she needed to get off the bus to continue her conversation in which the rider declined the need of getting off the bus. The passenger then finished her phone call but continued to use profanity while on the bus. The driver then asked the passenger if she was referring to her and the rider said she was. The driver asked her to get off the bus. When the passenger was getting off of the bus she threatened the driver stating she would find her.</td>
</tr>
<tr>
<td>3.</td>
<td>As the last passenger (male) was exiting the bus for the evening, he reached over touching the driver on her shoulder/chest area. The driver rose her arm stating to him the passengers were not allowed to touch the drivers.</td>
</tr>
<tr>
<td>4.</td>
<td>A passenger coming down on the last bus from the Ski Valley did not want the driver to provide service for some children she stated were “not in line waiting for the bus”. The driver explained to her that he would need to provide them with a ride, there was plenty of room on the bus and it was the last bus going down for the day.</td>
</tr>
<tr>
<td>5.</td>
<td>Passengers were upset they had to wait longer to come down on the Mountain Trail route due to the previous bus not showing up at the scheduled time.</td>
</tr>
<tr>
<td>6.</td>
<td>Driver was confused on the times of departure for the route she was on, causing confusion for the riders and the other driver on the route.</td>
</tr>
<tr>
<td>7.</td>
<td>A passenger boarded the Riverside bus thinking the bus would take her to her destination on the Westside. The driver dropped her off at the nearest stop to get the Westside bus. When coming back around on the route the driver noticed the passenger was still at the same stop he dropped her off.</td>
</tr>
<tr>
<td>8.</td>
<td>A driver stopped at a designated stop, stated that she was being blocked in by a vehicle. A woman got out of the vehicle, approached the driver yelling at her asking why she had not stopped to pick up the woman’s boyfriend at the previous stop. The driver explained to her there was no one at the stop and she only stopped at the designated stop.</td>
</tr>
<tr>
<td>9.</td>
<td>A driver while on a layover went to Wal-Mart in Taos. When leaving she backed up hitting a light pole in the parking lot.</td>
</tr>
<tr>
<td>10.</td>
<td>A woman attempted to board the bus with a puppy. The driver explained to her pets were not allowed on the bus. She claimed the puppy was a service animal, and again the driver explained it was a puppy, and puppies were not allowed on the bus.</td>
</tr>
</tbody>
</table>
## FY 16-17 Number of Customer Incidents

<table>
<thead>
<tr>
<th></th>
<th>Total</th>
<th>Driver-Non Rider</th>
<th>Rider-Rider</th>
<th>Driver-Rider</th>
<th>Non- Rider</th>
<th>Rider</th>
<th>% of Ridership</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>8</td>
<td>2</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>0.038%</td>
</tr>
<tr>
<td>Aug</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0.008%</td>
</tr>
<tr>
<td>Sept</td>
<td>8</td>
<td>2</td>
<td>0</td>
<td>5</td>
<td>0</td>
<td>1</td>
<td>0.033%</td>
</tr>
<tr>
<td>Oct</td>
<td>4</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>0.017%</td>
</tr>
<tr>
<td>Nov</td>
<td>5</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0.02%</td>
</tr>
<tr>
<td>Dec</td>
<td>5</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>3</td>
<td>0</td>
<td>0.02%</td>
</tr>
<tr>
<td>Jan</td>
<td>10</td>
<td>3</td>
<td>0</td>
<td>5</td>
<td>0</td>
<td>2</td>
<td>0.04%</td>
</tr>
<tr>
<td>Feb</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>March</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>April</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>May</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>June</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Total</td>
<td>42</td>
<td>9</td>
<td>5</td>
<td>15</td>
<td>10</td>
<td></td>
<td>0.025%</td>
</tr>
</tbody>
</table>
PARATRANSIT
Performance Measures
for
Fiscal Year 2017
January 2017
The performance measures that were developed are designed to provide data that can be evaluated in a logical manner. It allows the District to identify areas in which its performance may need to be improved and to understand the characteristics and factors that impact that performance. In addition, to the extent feasible a peer comparison or a benchmark has been included as available or appropriate. This performance data is important since many times the District’s costs, efficiencies and productivity is not measured against any benchmark or standard or attempts are made to compare it against systems that bear no similarities in mission, complexity or service area. Therefore, the data presented should provide some context in which to assess the District and its efforts to deliver services based upon its mission, goals and objectives.”

The report data collected is grouped into 3 areas: Demand Response Administrative, Paratransit Operations and Customer Relations:

1. Demand Response Administrative:
   A. Ridership, All Demand Response Routes
   B. Ridership, Demand Response Paratransit
   C. Demand Response Operational Cost
   D. Cost Per Mile
   E. Cost Per Trip

2. Paratransit Operations
   A. Cancellations
   B. Late Cancellations
   C. No-Shows
   D. On-Time Performance
   E. Trip Length

3. Customer Relations:
   A. Complaints
   B. Incidents

The closest peer comparison is Rio Metro Regional Transit District-Sandoval/Valencia County for 2014. Theirs covers a large area as does NCRTD giving a close comparable to cost per mile. Their percentage of Demand Response trips are 46% of their total ridership, higher than NCRTD’s at 4.7%, showing a considerable spread on the cost per trip. The FTA benchmarking data used originates from the Rural Transit Fact Book 2014. The data is for 2012 in FTA Region 6, rural providers which includes New Mexico, Texas, Oklahoma, Arkansas and Louisiana.
Performance Measure - Administrative:

Ridership Tracking of All Demand Response Routes

This measurement tracks the number of rides (trips) taken each month on all the demand response routes within the district. This graph shows the NCRTD demand response ridership numbers, and compares them each month, identifying any increases or decreases in the number of monthly trips. This also indicates how well the regional district is continuing to address the issue of accessible mobility by routes that are in areas where there is public demand.

FY12/13 = 11,374  FY13/14 = 11,941  FY14/15 = 10,164  FY15/16 = 11,937  FY16/17 = 6,744
Ridership Tracking of Demand Response / ADA Paratransit Trips

This ridership data represents the number of ADA paratransit trips that occurred each month within the demand response routes. This also includes any ADA eligible trips that occurred on the fixed/flex routes. Please note that this an incomplete chart at this time will be updated as ADA Paratransit ridership can be mined from the historical data.

**Performance Measure - Administrative:**

FY 12/13 = 899  FY13/14 = 1,539  FY 14/15 = 2,247  FY 15/16 = 3,230  FY 16/17 = 1,978
The NCRTD’s Finance Department provides the administrative and operating expenses in a monthly budget status report. It is important to measure the operational costs to maintain a balanced budget, as well as tracking the administrative and operating margins. This data is used in determining the cost per trip and the cost per mile. The operating budget for demand response is 6.97% of the overall operating budget. Each month’s operating expenditures are calculated at 6.97% to acquire a crude demand response share. That share is then calculated to a percentage of the actual ADA trips for the month to determine a cost for paratransit. This number will be used to calculate cost per mile and cost per trip.

**Monthly Demand Response & ADA Paratransit Operational Costs**

The following table shows the total operations, demand operations, and paratransit costs for each month from July to June for FY 16-17. The year-to-date total for FY 15-16 is $46,269.

<table>
<thead>
<tr>
<th>Month</th>
<th>Total Operations</th>
<th>Demand Ops</th>
<th>Paratransit Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>$291,021</td>
<td>$20,285</td>
<td>$10,143</td>
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<tr>
<td>Aug</td>
<td>$274,745</td>
<td>$19,150</td>
<td>$6,511</td>
</tr>
<tr>
<td>Sept</td>
<td>$362,197</td>
<td>$25,245</td>
<td>$6,564</td>
</tr>
<tr>
<td>Oct</td>
<td>$351,334</td>
<td>$24,488</td>
<td>$6,122</td>
</tr>
<tr>
<td>Nov</td>
<td>$254,442</td>
<td>$17,735</td>
<td>$4,256</td>
</tr>
<tr>
<td>Dec</td>
<td>$329,506</td>
<td>$22,967</td>
<td>$6,660</td>
</tr>
<tr>
<td>Jan</td>
<td>$308,086</td>
<td>$21,474</td>
<td>$6,013</td>
</tr>
<tr>
<td>Feb</td>
<td>$308,086</td>
<td>$21,474</td>
<td>$6,013</td>
</tr>
<tr>
<td>March</td>
<td>$351,334</td>
<td>$24,488</td>
<td>$6,122</td>
</tr>
<tr>
<td>April</td>
<td>$254,442</td>
<td>$17,735</td>
<td>$4,256</td>
</tr>
<tr>
<td>May</td>
<td>$329,506</td>
<td>$22,967</td>
<td>$6,660</td>
</tr>
<tr>
<td>June</td>
<td>$308,086</td>
<td>$21,474</td>
<td>$6,013</td>
</tr>
</tbody>
</table>

YEAR TO DATE: FY 15-16 $46,269
The Paratransit Cost per vehicle mile is the total operating costs per month in relation to the percentage of ADA vehicle miles per month traveled. The mileage data is logged daily for each route and compiled into a monthly report. As a cost efficiency measure, operating costs per vehicle mile assesses the financial resources needed for the District’s demand response paratransit route operations. This measurement is a beneficial tool for the planning and operation’s departments. The NM Department of Transportation uses this as one of their performance measures in the state-wide transit guide published annually. Additionally this is used when NMDOT evaluates a transit system for the state-wide awards of 5311 and 5310 funding. The peer comparison is Rio Metro Regional Transit District-Sandoval/Valencia County for 2014. Theirs covers a large area as does NCRTD giving a close comparable. Data from the 2015 Rural Transit Data Fact Book with data from 2013 (NTD), specifically FTA’s District 6 (our district) annual cost per trip is included as a benchmark.

### Paratransit Operating Cost Per Vehicle Mile

<table>
<thead>
<tr>
<th></th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
<th>9</th>
<th>10</th>
<th>11</th>
<th>12</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monthly Cost per Mile</td>
<td>$4.43</td>
<td>$2.06</td>
<td>$2.99</td>
<td>$3.68</td>
<td>$1.82</td>
<td>$2.92</td>
<td>$2.65</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>Region 6 Total Cost Per Mile</td>
<td>$2.14</td>
<td>$2.14</td>
<td>$2.14</td>
<td>$2.14</td>
<td>$2.14</td>
<td>$2.14</td>
<td>$2.11</td>
<td>$2.11</td>
<td>$2.11</td>
<td>$2.11</td>
<td>$2.11</td>
<td>$2.11</td>
</tr>
</tbody>
</table>
Performance Measure - Administrative:

Paratransit Operating Cost per Trip

The paratransit cost per trip is computed on a monthly basis by dividing the paratransit monthly operating costs from the paratransit cost (chart above), by the total monthly number of trips (ridership). NM Department of Transportation uses this as one of their performance measures to the state-wide transit guide published annually. Additionally this is used when NMDOT evaluates a transit system for the state-wide awards of 5311 and 5310 funding. This is a management tool to track our cost per trip vs. the amount of budget being spent to operate a particular route as well as collectively for all routes. The peer comparison is Rio Metro Regional Transit District-Sandoval/Valencia County for 2014. Theirs covers a large area as does NCRTD giving a close comparable. Data from the 2015 Rural Transit Data Fact Book with data from 2013 (NTD), specifically FTA’s District 6 (our district) annual cost per trip is included as a benchmark.

*Data Update to reflect the 2013 National Transit Data Base beginning January 2017*
Cancellations, Late Cancellations and No-Shows

Cancellations, Late Cancellations and No-shows by the paratransit rider are tracked as a performance measure. A late cancellation (cancelled within 2 hours of the scheduled trip) is counted as a No-Show. When a rider has accumulated 3 No-Shows in a 30 day period, he/she may be subject to a 30 day suspension of service.

Cancellations = 30  Late Cancellations = 23  No-shows = 6

On Time Performance and Trip Length tracked for scheduling and driver performance. On-Time performance is considered on-time from 10 minutes before to 20 minutes after the scheduled pickup time for the scheduled ride. This is reflected in the percentages of total trips that were early, late and on time. The performance goal for this measure is to attain 90% On-time.

Early = 36.18%  On Time = 63.39%  Late = .32%

Trip length is measured to determine the average trip length riders are on the bus during their trip as the rides are shared with other rider’s pick up and drop offs. This is considered acceptable when ride time is not longer than twice the time it would take to make the ride on a fixed route bus. The average trip time on comparable fixed routes is 15 minutes.

Average Trip Length Per Client = 22.24 Minutes,  8.3 Miles On Board
Performance Measure – Customer Relations:

Complaints per Month

This performance tracks monthly the number and type of complaints received by the Operations Division of the NCRTD. The complaints are received by the Operations and Maintenance Manager. These are categorize by the type of complaint, and evaluated as to the seriousness of the complaint and whether or not a course of action needs to be taken, i.e. driver reprimand, driver retraining, vehicle maintenance, etc. This measure is intended to measure the percentage of complaints versus the total ridership for the month. Driver performance can be graded and we can see if more drivers training needs to be scheduled for particular drivers. Customers also have complained about routes, stops, dispatch, bus cleanliness and other various categories.

No ADA complaints in January 2017

<table>
<thead>
<tr>
<th>FY 16-17 Number of Complaints</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
</tr>
<tr>
<td>July</td>
</tr>
<tr>
<td>August</td>
</tr>
<tr>
<td>Sept</td>
</tr>
<tr>
<td>Oct</td>
</tr>
<tr>
<td>Nov</td>
</tr>
<tr>
<td>Dec</td>
</tr>
<tr>
<td>January</td>
</tr>
<tr>
<td>Feb</td>
</tr>
<tr>
<td>March</td>
</tr>
<tr>
<td>April</td>
</tr>
<tr>
<td>May</td>
</tr>
<tr>
<td>June</td>
</tr>
<tr>
<td>Total</td>
</tr>
</tbody>
</table>
Customer Incidents

This performance measure calculates the number of customer incidents reported to the Operations and Maintenance Manager on a monthly basis. Customer incidents are any serious occurrence that may have an outcome that could be potentially hazardous to the driver or other passengers. These situations could be anything such as two passengers arguing over something, or a rider threatening a driver, or a non rider harassing a driver for not being on time. It could also be a passenger falling down on the bus, or a passenger stepping in front of the bus as it pulls away from the curb to stop it to get on the bus. This data is collected by the driver writing an incident report and turning it in to the Operations and Maintenance Manager. This is intended to measure the types of situations that arise and how frequently they arise on the various routes of service provided by the NCRTD. This measurement tells us the frequency of incidents versus the number of monthly riders. We can then see if additional training needs to be implemented for the driver to avoid or control incidents that may occur on his route.

1. While in traffic a driver had to step on the brakes when the vehicle in front of him slowed down causing a passenger to slide off the seat. She was not wearing her seatbelt. Passenger was not injured.
<table>
<thead>
<tr>
<th>Month</th>
<th>Total</th>
<th>Driver-Non Rider</th>
<th>Rider-Rider</th>
<th>Driver-Rider</th>
<th>Rider</th>
<th>% of Ridership</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>3</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>0.98%</td>
</tr>
<tr>
<td>Aug</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td>Sept</td>
<td>4</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>0.99%</td>
</tr>
<tr>
<td>Oct</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0.39%</td>
</tr>
<tr>
<td>Nov</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td>Dec</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0.83%</td>
</tr>
<tr>
<td>Jan</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0.34%</td>
</tr>
<tr>
<td>Feb</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>March</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>April</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>May</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>June</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>11</td>
<td>1</td>
<td>4</td>
<td>1</td>
<td>5</td>
<td>0.51%</td>
</tr>
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**NCRTD Monthly Ridership Summary**

January 1 through January 31, 2016

### Calendar Operating Days

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Jul-16</td>
<td>20</td>
</tr>
<tr>
<td>Aug-16</td>
<td>31</td>
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<tr>
<td>Sep-16</td>
<td>30</td>
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<tr>
<td>Oct-16</td>
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<td>Nov-16</td>
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<td>Feb-17</td>
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<td>Mar-17</td>
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<tr>
<td>Apr-17</td>
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<tr>
<td>May-17</td>
<td></td>
</tr>
<tr>
<td>Jun-17</td>
<td></td>
</tr>
</tbody>
</table>

### Monthly System Totals & Year to Date Totals

<table>
<thead>
<tr>
<th></th>
<th>This Year</th>
<th>Last Year</th>
<th>%Change</th>
<th></th>
<th>This Year</th>
<th>Last Year</th>
<th>Difference</th>
<th>%Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>NCRTD Operated</td>
<td>26,341</td>
<td>22,425</td>
<td>17.46%</td>
<td>NCRTD Operated</td>
<td>164,980</td>
<td>152,409</td>
<td>12,571</td>
<td>8.25%</td>
</tr>
<tr>
<td>NCRTD Funded</td>
<td>13,262</td>
<td>18,369</td>
<td>-27.80%</td>
<td>NCRTD Funded</td>
<td>134,369</td>
<td>164,113</td>
<td>-29,744</td>
<td>-18.12%</td>
</tr>
<tr>
<td>All Systems Funded</td>
<td></td>
<td></td>
<td></td>
<td>Total</td>
<td>39,603</td>
<td>40,794</td>
<td>-17,173</td>
<td>-5.43%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Systems Total</td>
<td>39,603</td>
<td>40,794</td>
<td>-2.92%</td>
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</table>

### System Daily Averages

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<th>This Year</th>
<th>Last Year</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>NCRTD Operated</td>
<td>850</td>
<td>1180</td>
<td>-27.97%</td>
</tr>
<tr>
<td>NCRTD Funded</td>
<td>428</td>
<td>967</td>
<td>-55.74%</td>
</tr>
<tr>
<td>Systems Total</td>
<td>1278</td>
<td>2147</td>
<td>-40.48%</td>
</tr>
</tbody>
</table>

### Total Ridership YTD % Change

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Jul-16</td>
<td>10.95%</td>
</tr>
<tr>
<td>Aug-16</td>
<td>-2.84%</td>
</tr>
<tr>
<td>Sep-16</td>
<td>-5.43%</td>
</tr>
<tr>
<td>Oct-16</td>
<td>-3.96%</td>
</tr>
<tr>
<td>Nov-16</td>
<td>-4.93%</td>
</tr>
<tr>
<td>Dec-16</td>
<td>-5.80%</td>
</tr>
<tr>
<td>Jan-17</td>
<td>-5.43%</td>
</tr>
<tr>
<td>Feb-17</td>
<td></td>
</tr>
<tr>
<td>Mar-17</td>
<td></td>
</tr>
<tr>
<td>Apr-17</td>
<td></td>
</tr>
<tr>
<td>May-17</td>
<td></td>
</tr>
<tr>
<td>Jun-17</td>
<td></td>
</tr>
</tbody>
</table>
Ridership Report

Jan-2017

Comparative Ridership NCRTD Funded Routes

FY12-13 = 269,146 / FY13-14 = 312,093 / FY14-15 = 317,616 / FY15/16 = 249,641 / FY16/17 = 134,369
### Comparative Ridership NCRTD Operated Routes Only

**FY12-13**
- July: 17,504
- August: 17,934
- September: 18,033
- October: 19,205
- November: 15,069
- December: 17,102
- January: 17,380
- February: 18,719
- March: 19,804
- April: 18,021
- May: 14,792
- June: 15,069

**FY13-14**
- July: 17,415
- August: 17,419
- September: 17,781
- October: 17,843
- November: 13,155
- December: 14,933
- January: 14,545
- February: 15,134
- March: 14,578
- April: 13,983
- May: 13,087
- June: 14,447

**FY14-15**
- July: 21,241
- August: 25,654
- September: 24,227
- October: 23,487
- November: 21,364
- December: 22,666
- January: 26,341

**FY13/14 Total:** 193,027
**FY14/15 Total:** 209,750
**FY14/15 Total:** 184,320
**FY15/16 Total:** 268,050
**FY16/17 Total:** 164,980

### Questa to Taos Route

**FY12-13**
- July: 552
- August: 665
- September: 1116
- October: 1371
- November: 787
- December: 833
- January: 1125
- February: 1151
- March: 830
- April: 962
- May: 824
- June: 576

**FY13/14**
- July: 443
- August: 608
- September: 1158
- October: 1230
- November: 775
- December: 870
- January: 915
- February: 878
- March: 856
- April: 1004
- May: 657
- June: 400

**FY14/15**
- July: 574
- August: 960
- September: 1338
- October: 1358
- November: 863
- December: 965
- January: 938
- February: 1106
- March: 1016
- April: 1325
- May: 867
- June: 725

**FY15/16**
- July: 509
- August: 1021
- September: 1506
- October: 1625
- November: 1383
- December: 1303
- January: 1323

**FY16/17**
- July: 509
- August: 1021
- September: 1506
- October: 1625
- November: 1383
- December: 1303
- January: 1323

**FY12-13 Total:** 12,913
**FY13-14 Total:** 10,792
**FY14/15 Total:** 9,794
**FY15/16 Total:** 12,035
**FY16/17 Total:** 8,670
Taos to Espanola Route

FY12-13 = 10,500 / FY13-14 = 10,243 / FY14/15= 9,862 / FY15/16= 12,983 / FY16/17= 7,272

Penasco to Taos Route

FY12-13= 9,189 / FY13-14= 7,707 / FY14/15= 6,567 / FY15/16= 7,368 / FY16/17= 2,741
**Riverside Drive Route**

<table>
<thead>
<tr>
<th>Month</th>
<th>FY12-13</th>
<th>FY13-14</th>
<th>FY14-15</th>
<th>FY15-16</th>
<th>FY16-17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul</td>
<td>4382</td>
<td>4145</td>
<td>4479</td>
<td>3785</td>
<td>4511</td>
</tr>
<tr>
<td>Aug</td>
<td>4145</td>
<td>4001</td>
<td>4405</td>
<td>3748</td>
<td>5255</td>
</tr>
<tr>
<td>Sept</td>
<td>4001</td>
<td>4213</td>
<td>4422</td>
<td>3891</td>
<td>4570</td>
</tr>
<tr>
<td>Oct</td>
<td>4213</td>
<td>3220</td>
<td>4146</td>
<td>3902</td>
<td>4487</td>
</tr>
<tr>
<td>Nov</td>
<td>3220</td>
<td>3548</td>
<td>2902</td>
<td>3613</td>
<td>3986</td>
</tr>
<tr>
<td>Dec</td>
<td>3548</td>
<td>3687</td>
<td>3572</td>
<td>3649</td>
<td>3589</td>
</tr>
<tr>
<td>Jan</td>
<td>3687</td>
<td>3890</td>
<td>3509</td>
<td>3392</td>
<td>4308</td>
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<tr>
<td>Feb</td>
<td>3890</td>
<td>4716</td>
<td>3190</td>
<td>3957</td>
<td></td>
</tr>
<tr>
<td>Mar</td>
<td>4716</td>
<td>4962</td>
<td>3783</td>
<td>4596</td>
<td></td>
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<tr>
<td>Apr</td>
<td>4962</td>
<td>4354</td>
<td>3700</td>
<td>4008</td>
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<tr>
<td>May</td>
<td>4354</td>
<td>3825</td>
<td>3164</td>
<td>4479</td>
<td></td>
</tr>
<tr>
<td>Jun</td>
<td>3825</td>
<td></td>
<td>3735</td>
<td>5259</td>
<td></td>
</tr>
</tbody>
</table>

**FY12-13** = 41,470 / **FY13-14** = 48,943 / **FY14-15** = 45,007 / **FY15-16** = 48,279 / **FY16-17** = 30,706

---

**Espanola to Chimayo Route**

<table>
<thead>
<tr>
<th>Month</th>
<th>FY12-13</th>
<th>FY13-14</th>
<th>FY14-15</th>
<th>FY15-16</th>
<th>FY16-17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul</td>
<td>538</td>
<td>550</td>
<td>814</td>
<td>717</td>
<td>863</td>
</tr>
<tr>
<td>Aug</td>
<td>550</td>
<td>498</td>
<td>892</td>
<td>748</td>
<td>917</td>
</tr>
<tr>
<td>Sept</td>
<td>498</td>
<td>580</td>
<td>833</td>
<td>748</td>
<td>809</td>
</tr>
<tr>
<td>Oct</td>
<td>580</td>
<td>622</td>
<td>782</td>
<td>790</td>
<td>789</td>
</tr>
<tr>
<td>Nov</td>
<td>622</td>
<td>750</td>
<td>528</td>
<td>732</td>
<td>721</td>
</tr>
<tr>
<td>Dec</td>
<td>750</td>
<td>690</td>
<td>596</td>
<td>732</td>
<td>557</td>
</tr>
<tr>
<td>Jan</td>
<td>690</td>
<td>718</td>
<td>603</td>
<td>502</td>
<td></td>
</tr>
<tr>
<td>Feb</td>
<td>718</td>
<td>677</td>
<td>642</td>
<td>601</td>
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</tr>
<tr>
<td>Mar</td>
<td>677</td>
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<tr>
<td>Apr</td>
<td>835</td>
<td>676</td>
<td>732</td>
<td>643</td>
<td></td>
</tr>
<tr>
<td>May</td>
<td>676</td>
<td>651</td>
<td>651</td>
<td>705</td>
<td></td>
</tr>
<tr>
<td>Jun</td>
<td>684</td>
<td>840</td>
<td>840</td>
<td>868</td>
<td></td>
</tr>
</tbody>
</table>

**FY12-13** = 6,645 / **FY13-14** = 7,818 / **FY14-15** = 8,633 / **FY15-16** = 8,261 / **FY16-17** = 5,319
Chama Route

El Rito to Espanola Route

FY12-13 = 3,292 / FY13-14 = 3,834 / FY14/15 = 2,902 / FY15/16 = 4,376 / FY16/17 = 3,084

FY12-13 = 4,876 / FY13-14 = 4,980 / FY14/15 = 3,229 / FY15/16 = 1,777 / FY16/17 = 613
FY12-13 = 13,359 / FY13-14 = 15,393 / FY14-15 = 12,864 / FY15-16 = 12,664 / FY16/17 = 8,392

### Santa Clara to Espanola/Santa Fe Route

<table>
<thead>
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<th>Jul</th>
<th>Aug</th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY-13/14</td>
<td>655</td>
<td>737</td>
<td>663</td>
<td>691</td>
<td>549</td>
<td>596</td>
<td>690</td>
<td>586</td>
<td>781</td>
<td>864</td>
<td>713</td>
<td>502</td>
</tr>
<tr>
<td>FY14/15</td>
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<td>424</td>
<td>534</td>
<td>369</td>
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<td>531</td>
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<td>596</td>
<td>700</td>
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<td>550</td>
<td>502</td>
<td>499</td>
<td>604</td>
<td>585</td>
<td>689</td>
<td>742</td>
<td>627</td>
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<tr>
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<td>631</td>
<td>552</td>
<td>516</td>
<td>446</td>
<td>543</td>
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</table>


### Espanola to Los Alamos Route

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<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
</tr>
</thead>
<tbody>
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<td>FY-13/14</td>
<td>174</td>
<td>147</td>
<td>142</td>
<td>135</td>
<td>96</td>
<td>105</td>
<td>133</td>
<td>100</td>
<td>153</td>
<td>164</td>
<td>167</td>
<td>169</td>
</tr>
<tr>
<td>FY14-15</td>
<td>178</td>
<td>217</td>
<td>179</td>
<td>210</td>
<td>170</td>
<td>158</td>
<td>133</td>
<td>176</td>
<td>113</td>
<td>71</td>
<td>74</td>
<td>141</td>
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<tr>
<td>FY15-16</td>
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<td>89</td>
<td>84</td>
<td>128</td>
</tr>
<tr>
<td>FY16-17</td>
<td>113</td>
<td>115</td>
<td>104</td>
<td>87</td>
<td>73</td>
<td>53</td>
<td>60</td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

**FY12-13 = 1,461 / FY13-14 = 1,685 / FY14-15 = 1,820 / FY15-16 = 1,318 / FY16/17 = 605**
**Tesuque Santa Fe Route**

FY12-13 = 7,524 / FY13-14 = 10,448 / FY14-15 = 9,322  FY15-16 = 8,950  / FY16/17 = 4,493

**San Ildefonso Pueblo Route**


Pojoaque Route has been changed to Pojoaque Dial A Ride effective 03/16/2015.


Pojoaque Route has been changed to Pojoaque Dial A Ride effective 03/16/2015.

FY12-13= 2,035 / FY13-14= 1,389 / FY 14-15= 1,251 / FY15-16= 1,093 / FY16/17= 625

Edgewood Route

<table>
<thead>
<tr>
<th>Month</th>
<th>FY12-13</th>
<th>FY13-14</th>
<th>FY14-15</th>
<th>FY15-16</th>
<th>FY16-17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul</td>
<td>933</td>
<td>894</td>
<td>794</td>
<td>648</td>
<td>720</td>
</tr>
<tr>
<td>Aug</td>
<td>733</td>
<td>750</td>
<td>606</td>
<td>533</td>
<td>532</td>
</tr>
<tr>
<td>Sept</td>
<td>783</td>
<td>691</td>
<td>496</td>
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<td>547</td>
</tr>
<tr>
<td>Oct</td>
<td>648</td>
<td>738</td>
<td>533</td>
<td>547</td>
<td>628</td>
</tr>
<tr>
<td>Nov</td>
<td>720</td>
<td>777</td>
<td>592</td>
<td>628</td>
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<td>592</td>
<td>628</td>
<td>612</td>
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<tr>
<td>Jan</td>
<td>693</td>
<td>814</td>
<td>592</td>
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<td>669</td>
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<tr>
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<td>779</td>
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<td>Mar</td>
<td>817</td>
<td>631</td>
<td>592</td>
<td>628</td>
<td>669</td>
</tr>
<tr>
<td>Apr</td>
<td>888</td>
<td>560</td>
<td>592</td>
<td>628</td>
<td>669</td>
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<tr>
<td>May</td>
<td>930</td>
<td>652</td>
<td>592</td>
<td>628</td>
<td>669</td>
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<tr>
<td>Jun</td>
<td></td>
<td></td>
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Total:
- FY12-13 = 7,568
- FY13-14 = 9,612
- FY14-15 = 8,822
- FY15-16 = 7,003
- FY16-17 = 4,112

Tres Piedras - Services began on March 18, 2015

<table>
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<tr>
<th>Month</th>
<th>FY14-15</th>
<th>FY15-16</th>
<th>FY16-17</th>
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<tbody>
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<td>0</td>
<td>75</td>
<td>61</td>
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<tr>
<td>Aug</td>
<td>0</td>
<td>27</td>
<td>68</td>
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<tr>
<td>Sept</td>
<td>0</td>
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<td>58</td>
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<tr>
<td>Oct</td>
<td>0</td>
<td>46</td>
<td>53</td>
</tr>
<tr>
<td>Nov</td>
<td>0</td>
<td>31</td>
<td>70</td>
</tr>
<tr>
<td>Dec</td>
<td>0</td>
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<td>49</td>
<td>77</td>
</tr>
<tr>
<td>Feb</td>
<td>47</td>
<td>40</td>
<td></td>
</tr>
<tr>
<td>Mar</td>
<td>84</td>
<td>60</td>
<td></td>
</tr>
<tr>
<td>Apr</td>
<td>55</td>
<td>60</td>
<td></td>
</tr>
<tr>
<td>May</td>
<td>50</td>
<td>58</td>
<td></td>
</tr>
<tr>
<td>Jun</td>
<td></td>
<td>92</td>
<td></td>
</tr>
</tbody>
</table>

Total:
- FY14/15 = 236
- FY15/16 = 625
- FY16/17 = 466
**UNM Klauer Route - Services resumed on August 17, 2015**

<table>
<thead>
<tr>
<th>Month</th>
<th>Jul</th>
<th>Aug</th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY-13/14</td>
<td>270</td>
<td>316</td>
<td>378</td>
<td>422</td>
<td>284</td>
<td>194</td>
<td>259</td>
<td>331</td>
<td>292</td>
<td>408</td>
<td>235</td>
<td>190</td>
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<tr>
<td>FY-14/15</td>
<td>238</td>
<td>334</td>
<td>461</td>
<td>391</td>
<td>295</td>
<td>189</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>FY 15/16</td>
<td>0</td>
<td>146</td>
<td>229</td>
<td>161</td>
<td>112</td>
<td>62</td>
<td>137</td>
<td>276</td>
<td>182</td>
<td>247</td>
<td>139</td>
<td>0</td>
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<tr>
<td>FY16-17</td>
<td>0</td>
<td>146</td>
<td>281</td>
<td>261</td>
<td>268</td>
<td>127</td>
<td>110</td>
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<td></td>
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</tbody>
</table>

FY12-13= 4,504 / FY13-14= 3,579 / FY14/15= 1,908 / FY15/16= 1,691 / FY16/17= 1,193

---

**Taos Express - Services began on January 2, 2015**

<table>
<thead>
<tr>
<th>Month</th>
<th>Jul</th>
<th>Aug</th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY14/15</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>139</td>
<td>143</td>
<td>121</td>
<td>104</td>
<td>92</td>
<td>132</td>
</tr>
<tr>
<td>FY15-16</td>
<td>99</td>
<td>155</td>
<td>144</td>
<td>136</td>
<td>138</td>
<td>101</td>
<td>107</td>
<td>82</td>
<td>85</td>
<td>77</td>
<td>151</td>
<td>167</td>
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<tr>
<td>FY16-17</td>
<td>159</td>
<td>93</td>
<td>145</td>
<td>182</td>
<td>126</td>
<td>117</td>
<td>95</td>
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</table>

FY14/15= 731 FY15/16= 1,442 / FY16/17= 917
Special Events

FY14/15 = 105  FY15/16 = 384  /  FY16/17 = 426

Chile Red Line (Taos)

FY15/16 = 67,049  /  FY16/17 = 41,023

Deadhead

FY15/16 = 1,030  /  FY16/17 = 841
### Chile RIDE - ADA (Taos)

<table>
<thead>
<tr>
<th></th>
<th>FY15/16</th>
<th>FY16-17</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>110</td>
<td>147</td>
</tr>
<tr>
<td>Aug</td>
<td>94</td>
<td>160</td>
</tr>
<tr>
<td>Sept</td>
<td>94</td>
<td>152</td>
</tr>
<tr>
<td>Oct</td>
<td>87</td>
<td>151</td>
</tr>
<tr>
<td>Nov</td>
<td>102</td>
<td>142</td>
</tr>
<tr>
<td>Dec</td>
<td>90</td>
<td>151</td>
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<tr>
<td>May</td>
<td>139</td>
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<tr>
<td>Jun</td>
<td>147</td>
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</table>

**FY15/16 = 1,230 / FY16/17 = 1,051**

### Mountain Trial

<table>
<thead>
<tr>
<th></th>
<th>FY15/16</th>
<th>FY16/17</th>
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<tbody>
<tr>
<td>July</td>
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<td>124</td>
</tr>
<tr>
<td>Aug</td>
<td>0</td>
<td>115</td>
</tr>
<tr>
<td>Sept</td>
<td>23</td>
<td>208</td>
</tr>
<tr>
<td>Oct</td>
<td>67</td>
<td>289</td>
</tr>
<tr>
<td>Nov</td>
<td>112</td>
<td>99</td>
</tr>
<tr>
<td>Dec</td>
<td>1529</td>
<td>1523</td>
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<td>Jan</td>
<td>1251</td>
<td>889</td>
</tr>
<tr>
<td>Feb</td>
<td>677</td>
<td>49</td>
</tr>
<tr>
<td>Mar</td>
<td>1251</td>
<td>1445</td>
</tr>
<tr>
<td>Apr</td>
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<td>May</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>June</td>
<td>0</td>
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</tbody>
</table>

**FY15/16 = 4,597 / FY16/17 = 3,803**

### Taos Ski Valley

<table>
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<tr>
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<th>FY15/16</th>
<th>FY-16/17</th>
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<tbody>
<tr>
<td>July</td>
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<td>0</td>
</tr>
<tr>
<td>Aug</td>
<td>1992</td>
<td>0</td>
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<tr>
<td>Sept</td>
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<td>Oct</td>
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<tr>
<td>Nov</td>
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</tr>
<tr>
<td>Dec</td>
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<td>0</td>
</tr>
<tr>
<td>Jan</td>
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<td>0</td>
</tr>
<tr>
<td>Feb</td>
<td>1956</td>
<td>0</td>
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<tr>
<td>Mar</td>
<td>3301</td>
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<tr>
<td>Apr</td>
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<td>0</td>
</tr>
<tr>
<td>May</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>June</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

**FY15/16 = 6,200 / FY16/17 = 5,257**
### La Cienega (Route began March 28, 2016)

<table>
<thead>
<tr>
<th>Month</th>
<th>FY-15/16</th>
<th>FY-16/17</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>7</td>
<td>83</td>
</tr>
<tr>
<td>August</td>
<td>27</td>
<td>116</td>
</tr>
<tr>
<td>September</td>
<td>45</td>
<td>99</td>
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<td>October</td>
<td>45</td>
<td>122</td>
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<tr>
<td>November</td>
<td>80</td>
<td>131</td>
</tr>
<tr>
<td>December</td>
<td>89</td>
<td></td>
</tr>
<tr>
<td>January</td>
<td></td>
<td>7</td>
</tr>
<tr>
<td>February</td>
<td></td>
<td>27</td>
</tr>
<tr>
<td>March</td>
<td></td>
<td>45</td>
</tr>
<tr>
<td>April</td>
<td></td>
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<td>May</td>
<td></td>
<td></td>
</tr>
<tr>
<td>June</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

FY15/16= 124 / FY16/17= 720

---

### Service Counts:

- **Santa Fe County**: 5076 (19%)
- **Espanola**: 5578 (21%)
- **Los Alamos**: 60 (0%)
- **Rio Arriba**: 1574 (6%)
- **DeadHead**: 81 (1%)
- **Taos**: 12439 (47%)
- **Tribal**: 1533 (6%)

FY12-13 = 6,792 / FY13-14 = 6,230 / FY14-15 = 6,873 / FY15-16 = 7,117 / FY16/17 = 3,800
Los Alamos Route 2

FY12-13 = 46,008 / FY13-14 = 106,671 / FY14-15 = 98,779 / FY15-16 = 73,954 / FY16/17 = 26,417

Santa Fe Route 2

Santa Fe Route 4

FY12-13= 10,015 / FY13-14= 11,543 / FY14-15= 9,626 / FY15-16= 8,928 / FY16/17= 4,648

Santa Fe Route 22

FY12-13= 10,925 / FY13-14= 10,318 / FY14-15= 7,739 / FY15-16= 6,323 / FY16/17= 4,072
FY12-13= 80,318 / FY13-14= 76,413 / FY14-15= 86,790 / FY15-16= 76,305 / FY16/17= 49,585