

**State of New Mexico  
Drinking Water State Revolving Fund**

**State Fiscal Year 2020**  
July 1, 2019 through June 30, 2020

**Annual Report**  
Submitted to EPA R6: September 30, 2020



Prepared and submitted by:

New Mexico Environment Department  
Drinking Water Bureau  
1190 St. Francis Drive, Suite S2051  
Santa Fe, New Mexico 87505

And

New Mexico Finance Authority  
207 Shelby Street  
Santa Fe, New Mexico 87501



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## I. INTRODUCTION

The Safe Drinking Water Act (SDWA), as amended in 1996, established the Drinking Water State Revolving Fund (DWSRF) to make funds available to drinking water systems to finance infrastructure improvements and to provide assistance to public water systems (PWSs) to ensure the protection of public health. States operate DWSRF programs and receive annual capitalization grants from the Environmental Protection Agency (EPA) to be used to support low-interest loans and provide assistance to PWSs. The State of New Mexico (the State) enacted the Drinking Water State Revolving Loan Fund (DWSRLF) Act (Section 6-21A-4, NMSA, the “Act”) to support these efforts and implement the State’s DWSRLF program. DWSRLF funds are used to ensure public health protection, compliance with drinking water standards, and affordable access to safe drinking water.

The State, through the New Mexico Finance Authority (NMFA) and the New Mexico Environment Department’s (NMED) Drinking Water Bureau (DWB), utilizes the resources of the DWSRF to cooperatively administer the DWSRLF program. Pursuant to the Act, the NMFA administers the DWSRLF and the Administration Set-Aside, and the DWB administers the Technical Set-Aside funds. The DWSRLF offers below-market rate loans and other financial assistance as authorized to PWSs to install, upgrade, or replace infrastructure to continue to ensure the provision of safe drinking water and to protect public health. Technical Set-Aside funds are used to provide technical assistance directed toward small PWSs, program management support for PWS supervision, and local assistance such as capacity development and source water protection activities. As the State’s primacy agency, the DWB is required by the SDWA to carry out regulatory supervision of PWSs and to enforce SDWA violations. The DWB and the NMFA collaboratively establish assistance priorities, carry out oversight and related activities of the DWSRLF program.

Annually, in accordance with federal and State requirements, the State prepares a publicly reviewed Intended Use Plan (IUP) that identifies the intended uses of the capitalization grant funds awarded to the State. The IUP includes a description of the short and long-term goals of the State’s DWSRLF program. It also provides a description of the activities to be conducted under the Technical Set-Asides, which provide assistance to PWSs to maintain compliance, and therefore receive funding. The IUP describes the financial status of the loan fund, the criteria and methods of distributing the funds, and provides a prioritized list of projects which are to be funded with a specified capitalization grant award. At the end of each State fiscal year (SFY) the State prepares a DWSRLF Annual Report as a follow-up to the IUP.

This SFY 2020 Annual Report covers the period of July 1, 2019 through June 30, 2020 and it:

- describes the program’s progress toward short and long-term goals described in the SFY 2020 IUP;
- provides a summary of the use of funds, binding commitments, and loans executed;
- describes assistance activities conducted with the funds;
- addresses progress toward established outcomes as defined in the 2020 DWB DWSRF Set-

- Aside Work Plan<sup>1</sup>; and  
evaluates and assesses how to improve programmatic performance.

The NMFA and the DWB provide this report to the public and the EPA Region 6 Office to describe the activities undertaken which help us to achieve the goals and objectives set forth in the SFY 2020 IUP.

NEW MEXICO DWSRLF CUMULATIVE OVERVIEW THROUGH JUNE 30, 2020	
Cumulative Assistance Provided <sup>2</sup>	\$ 221,217,772
Cumulative Federal Capitalization Grants <sup>3</sup>	\$ 219,919,500
Cumulative State Matches <sup>4</sup>	\$ 43,196,100
Cumulative Loan and Interest Repayments	\$ 77,724,860
Cumulative Investment Earnings	\$ 7,441.798

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<sup>1</sup> The SFY 2020 Work Plan was submitted by the required deadline on November 4, 2019 and was approved by EPA R6 on November 6, 2019.

<sup>2</sup> Contains actual loans closed through SFY 2020.

<sup>3</sup> Includes the FFY 2019 Capitalization Grant and ARRA.

<sup>4</sup> Includes the State match for FFY 2020 Capitalization Grant.

## II. DWSRLF GOALS AND ACCOMPLISHMENTS

The State-developed goals discussed in the following sections are part of the SFY 2020 IUP. The long-term goals provide the framework to guide DWSRLF program decisions, and the short-term goals support implementation of the program's long-term goals. This report provides the accomplishments of the drinking water programs supported by the DWSRF and Set-Aside funds. Please note that the information provided in this report is a selected sample of activities and focuses on readily quantifiable activities.

### *Progress Toward Long-Term Goals: DWB Long-Term Goals*

**Long-Term Goal 1:** The DWB will regulate and assist PWSs in NM to provide safe, clean, affordable drinking water to the citizens and visitors of NM. The DWB will support PWSs using the set-aside funds to maximize SDWA compliance, promote public health protection, affordable drinking water, PWSs' sustainability, and PWSs' capacity with a focus on PWSs serving populations of 10,000 or fewer and emphasis on those serving 3,300 or fewer.

**Progress:** The DWB provides oversight and assistance to work toward this goal on an on-going basis. The DWB continued its progress towards SDWA compliance and ensured public health protection by conducting one-hundred eighty-six (186) Sanitary Surveys. Due to COVID-19 and the mandatory stay-home and telework orders for state workers, no Sanitary Surveys were conducted from March 13, 2020 through June 30, 2020. The Technical Services Team provided assistance to forty-one (41) small water systems to return to compliance. Assistance was a mix of on-site and virtual in part due to the nature of the assistance needed and in part due to COVID-19 after March 13, 2020.

**Long-Term Goal 2:** DWB provides classroom training and individual assistance to PWS board members and operators through internal staff and contractors. This training serves to increase the technical, managerial, and financial (TMF) capacity of the PWS, preparing them to handle the demands of operating a new and more efficient water system, as well as planning to protect quantity and quality of source water, and assistance to meet funding requirements for capital improvements.

**Progress:** The DWB Sustainable Water Infrastructure Group (SWIG) assistance staff spent a significant amount of its time in SFY 2020 providing direct assistance to systems based on requests for help returning to compliance, providing individual assistance to boards and operators and water infrastructure project funding requests for TMF capacity assistance. Specifically, DWB reported three-thousand six-hundred seventy-two (3,672) assistance actions overall in SFY 2020 to support affordable drinking water and PWS capacity and sustainability. SWIG staff and contractors provided twenty-one (21) free board, operator and SWP trainings throughout the fiscal year. The Group did not have a training contract in place until early 2020 and the onset of COVID eliminated classroom trainings. The SWIG contractors were able to provide 10 well-attended online trainings March-June 2020. In addition to providing trainings through SWIG staff and contractors, the Bureau utilizes the

website and GovDelivery listserv to advertise over 50 additional free trainings for board and operators.

**Long-Term Goal 3:** The DWB and its partners work with community PWSs throughout the State to encourage and assist systems to have a rate structure in place which supports normal operation, maintenance, emergency replacements, and planned infrastructure replacement costs. The DWB will collaborate with other agencies and assist PWSs in need of funding for infrastructure improvements with funding requirements, building the capacity to manage the new infrastructure project, becoming ready to proceed to construction, and gaining the debt capacity to be fundable for a project.

**Progress:** SWIG has coordinated with other agencies at many levels throughout SFY 2020 to address this issue with a combination of building more managerial and financial capacity and working to find the best opportunities for disadvantaged systems. There has been increasing participation in the Community Services Team's annual rate and water loss survey, the 2020 Rate Survey was completed in SFY20 with 426 total surveys received. SWIG has continued to successfully utilize the capacity assessment process, where systems are assisted with any out-of-compliance issues as a priority and requirement to providing assistance to complete a rate study. This method has been successful so far in increasing the capacity of smaller water systems by helping them focus on completing tasks in a priority order.

**Long-Term Goal 4:** The DWB will collaborate with organizations, agencies, and individuals to develop sustainable supplies of healthy drinking water for the PWSs of the State through Source Water Protection Program (SWPP) planning activities.

**Progress:** Throughout FY 2020 the SWIG Source Water team collaborated with various State and federal funding agencies, regulatory agencies, assistance providers, and technical experts across the state, as well as state universities. Collaborative projects include: working with USGS on source water assessments and a state-wide PFAS sampling study; participating in a multi-state agency Climate Change Task Force; collaboration with NM Rural Water Association on source water protection plans and strategies; consulting with Natural Resources Conservation Service (NRCS) on their source water protection projects; participation on the NM Forest and Watershed Health Coordinating group.

**Long-Term Goal 5:** DWB will continue working with the NM Department of Health to maintain a long-term project to provide ongoing education and assistance on lead contamination in drinking water for schools and daycare facilities.

**Progress:** Since the NM Department of Health took the lead for the state on the lead testing program, the program has not been fully developed or implemented. COVID-19 also impacted further development of the program in addition to closing schools. As a result, DWB was not involved in any lead projects during SFY20.



*Progress Towards Short-Term Goals: DWB Short Term Goals*

**Short-Term Goal 1:** DWB will provide targeted assistance through the Capacity Development Program to systems that are on the DWSRLF Comprehensive Priority List but are unable to qualify for the Fundable Priority List because of capacity deficiencies. DWB will always target systems that are out of compliance for assistance and training.

**Progress:** DWB successfully provided assistance to systems needing to return to compliance and demonstrate minimum Technical, Managerial and Financial Capacity to qualify for DWSRLF funding. Successes in SFY20 include Big Mesa Water MDWCA moving from the comprehensive to the fundable list after providing financial assistance to help them structure their finances to qualify for a \$358,785 DWSRLF loan and Mountain Orchard MDWCA who corrected a significant deficiency by hiring a water operator to qualify for funding. The number of projects on the comprehensive list has decreased from 21 to 12 projects in SFY20 due to removal of projects that had been on the list over three years or systems that don't qualify for funding due to limited debt capacity and requiring either more subsidy or some other grant/loan combination.

**Short-Term Goal 2:** The DWB will submit reimbursement invoices within 30 calendar days following the end of each quarter, except for the 4th quarter billing which will be submitted within 45 calendar days following the end of the 4th quarter due to various end-of-year processes and requirements.

**Progress:** This short-term goal has not yet been met and is in progress. Due to the date of the closing of the monthly general ledger, the last month of the quarter cannot be reconciled and receive internal review within 30 days following the end of the quarter. DWB will work with NMFA to see if an adjustment to the billing SOP is necessary to meet this short-term goal.

**Short-Term Goal 3:** DWB will work in FY20 to improve the overall board and operator training programs by developing and implementing training curriculum and standardizing the approval processes for educational credits and training classes.

**Progress:** Community Services Program continues to make improvements to the Board Training Database. Data clean-up and work on a draft internal manual to help document challenges and solutions to entering information continued throughout the year. In response to COVID, 19 Community Service Team (CST) focused on collaboration with Utility Operator Certification Program (UOCP) to post free on-line training to the DWB Training Opportunity Webpage and sending out monthly email blasts to inform system operators and board members.

**Short-Term Goal 4:** DWB will work in SFY20 to finalize the Standard Operating Procedure for the development of the DWSRLF Annual Project Priority Lists.

**Progress:** Community Services Program made very good headway in spring 2020 on updating and improving the SOP for DWSRLF Annual Project Priority Lists. A final SOP is expected in SFY21.

*Progress Towards DWB/NMFA Collaborative Long-Term Goal:*

**Collaborative Long-Term Goal 1:** The NMFA and DWB will strive to complete 100% of all reports on time, accurately, and in accordance with the EPA timeline, to maintain complete administrative functions and sustain the DWSRLF. NMFA and DWB will submit to the EPA the Intended Use Plan, Capitalization Grant application, DWB Work Plan, quarterly Fundable Priority Lists, and the Annual Report.

The NMFA will report on the following: Federal Funding Accountability and Transparency Act (Sub award reporting system “FFATA”), projects & benefits reporting (PBR), Single Audit Report, Federal Financial Reports, Drinking Water National Information Management System (DWNIMS) and Minority Business Enterprise/Women’s Business Enterprise (MBE/WBE).

**Progress:** NMFA and NMED submitted all reports and applications, the chart below tracks the reports, due dates, submission dates and approval dates (if applicable).

Collaborative Long-Term Goal 1 Progress				
EPA DWSRLF Submission and Reporting Requirements	Due Date	Date Submitted to EPA	Date Approved by EPA	FY20 Reporting Requirement Met
FFY 2020 Capitalization Grant Application	30-Sep-20	13-May-20	25-Aug-20	Yes
SFY 20 DWSRF Intended Use Plan	1-Jul-20	11-May-20	pending	Yes
SFY19 Annual NIMS Report:	30-Aug-19	31-Aug-20	9/10/2020	Yes
SFY19 DWSRF Annual Report:	28-Sep-19	30-Sep-19	pending	Yes
SFY20 DWSRF Annual Work plan:	25-Dec-19	4-Nov-19	6-Nov-19	Yes
SFY20 Fall Project Priority List Update	1-Oct-19	1-Oct-19	NA	Yes
SFY20 Spring Project Priority List Update	1-Mar-20	4-Mar-20	NA	No
SFY19 MBE/WBE Report	31-Oct-19	30-Oct-19	N/A	Yes
SFY19 Federal Funding Accountability and Transparency Act Reporting	on going	Reports submitted within the first week of the month's end	N/A	Yes
SFY19 Projects & Benefits Reporting (PBR)	on going	submitted within five (5) days of loan closing	N/A	Yes
SFY19 Single Audit Report	When released by State1 Auditor	16-Dec-19	N/A	Yes
Federal Financial Reports (FS 996255-17 through 21)	12/31/2019 6/30/20	12/31/2019 6/30/20	N/A	Yes

**Collaborative Long-Term Goal 2:** The DWB and NMFA will review and update the Memorandum of Understanding (MOU) to clarify roles and responsibilities and ensure efficient program implementation and collaboration.

**Progress:** NMFA has submitted the MOU to DWB and has been reviewed by SWIG staff. A review is still needed by NMED Office of General Council.

*Progress Towards DWB/NMFA Collaborative Short-Term Goals:*

**Collaborative Short-Term Goal 1:** NMFA and DWB will work to find ways to process quarterly invoices with first-in first-out (fifo) billing methods.

**Progress:** DWB has been working to expend the oldest funds wherever possible within the agency's budgeting and allocation constraints by moving expenditures to the oldest grant for invoicing wherever allowable and moving funds to the loan fund that are not allocated to be spent in a timely manner.

**Collaborative Short-Term Goal 2:** The DWB and NMFA will provide an opportunity for public participation by posting the IUP for public comment on the NMFA and the DWB websites from May 15, 2020 through June 14, 2020 and will accept comments throughout this period.

**Progress:** The SFY 2021 IUP was posted for public comment on May 29, 2020, submitted to EPA June 1, 2020, and is still pending EPA comment.

**Collaborative Short-Term Goal 3:** The DWB and NMFA will complete and submit the SFY 2019 Annual Report by September 30, 2019.

**Progress:** The SFY 2019 Annual Report was submitted on September 30, 2019

**Collaborative Short-Term Goal 4:** The DWB and NMFA will ensure supplemental conditions are up to date with the annual appropriation guidance.

**Progress:** NMFA and NMED have updated all materials to have up-to-date supplemental conditions. See section V below for more detail.

*Progress Towards Long-Term Goals: NMFA Long-Term Goals*

**Long-Term Goal 1:** NMFA will monitor its loans to mitigate any loan defaults.

**Progress:** NMFA ensures fiscal integrity of its funding programs through the controls, policies and procedures governing the application process and loan monitoring. NMFA requires financial capacity which is initially determined by DWB in its role of generating the quarterly fundable priority list. Ahead of the NMFA Board of Directors consideration, an NMFA Lending Officer analyzes the applicant's ability to repay the proposed loan as guided through established procedures and policies.

Additional oversight and monitoring are supported by technical oversight contractors during the project development followed by monthly loan servicing activities ensuring the terms of the loan are satisfied. Payments are monitored for timely submission by the NMFA accounting staff. Finally, the NMFA accounting team reviews the single audits of all entities for type of opinion and findings. To date, NMFA has not experienced a DWSRLF default.

**Long-Term Goal 2:** NMFA will work with projects to complete installation or construction within two years of closing the loan.

**Progress:** In SFY 2020, a total of eight projects completed construction. The average construction time was 18.94 months, and six projects completed the construction period within the allotted two-year period, the remain two projects exceeded the two years by 10 days and 65 days. To meet this goal, NMFA requires entities to submit readiness-to-proceed items early in the application approval process. In addition, NMFA continues to engage its environmental contractors in reviewing the environmental documents consistent with the SERP in the application approval process. NMFA requires all applications be reviewed and approved prior to NMFA Board approval. NMFA and NMED updated the SFY 20 priority ranking to include readiness-to-proceed points to push the shovel-ready projects higher on the list.

**Long-Term Goal 3:** NMFA will ensure the DWSRLF will be a perpetual funding source with fiscal integrity to support PWSs in the State as shown by the cash flow model.

**Progress:** The DWSRLF is a perpetual funding source. Please see Attachment A for the complete cash flow perpetuity model. The model shows that the DWSRLF will continue in perpetuity with a Program Balance of approximately \$2.974 million available to loan in 2039 (with assuming no additional capitalization grants after SFY 2024 allocations and a flat 6% rate of return after 2023).

*Progress Towards Short-Term Goals: NMFA Short-Term Goals*

**Short-Term Goal 1:** NMFA will provide at least 20% of all loans (contingent on Fundable Priority List) in SFY 2020 from the FFY 2019 Capitalization Grant as low-cost loans to PWSs in Disadvantaged Communities for eligible projects, as allowed by the Safe Water Drinking Act (SDWA)..

**Progress:** NMFA made six out of seven low-cost loans to disadvantaged communities for eligible projects as prioritized on the Fundable Priority Lists. These loans represent 86% of all loans in SFY 2020 and total \$6,096,040. Cumulatively, disadvantaged loans represent 34.96% of the loans closed.

**Short-Term Goal 2:** NMFA will provide at least 20% of all loans to small PWSs in the State and in SFY 2020, dependent on Fundable List.

**Progress:** NMFA made six out of seven low-cost loans to PWSs in small communities for eligible projects as prioritized on the Fundable Priority Lists. These loans represent 72.67% of all loans in SFY 2020 and total \$5,371,900 cumulatively. Small systems represent 32.66% of the loans closed.

**Short-Term Goal 3:** NMFA will execute three binding commitments during SFY 2020, dependent on Fundable List.

**Progress:** NMFA executed ten binding commitments in SFY 2018, out of 10 total projects on the fundable lists. The total amount of the binding commitments is equal to \$24,477,019.

**Short-Term Goal 4:** NMFA will close loans on at least three binding commitments during SFY 2020.

**Progress:** NMFA closed seven loans, in SFY 2020 totaling \$8,116,040. Four loans originated with the SFY 2020 IUP.

**Short-Term Goal 5:** NMFA will approve drawdowns for a minimum of \$8.5 million on planning, design, and construction projects during SFY 2020.

**Progress:** In SFY 2020, NMFA approved a total of \$9,719,690 in drawdowns to loans in the construction phase of their projects; In the first quarter of SFY 20, NMFA has already approved over \$3.8 million in draws.

**Short-Term Goal 6:** NMFA will approve requisitions from borrowers within 10 calendar days of completed submission to both NMED Construction Programs Bureau and NMFA.

**Progress:** NMFA, with the support of its construction oversight technical partner, NMED Construction Programs Bureau, approved 123 requisitions totaling over \$9.7 million, with 62 of these being processed within the State goal. CPB approved 90 draws in 10 days or less and NMFA has approved 115 draws in under 10 days from CPB approval. CPB averaged 21 days to approve requisitions and NMFA averaged five days to approve from CPB's approval. The remaining draws were missing documentation to NMED CPB at the original submission date or NMFA required additional clarification after CPB approval.

**Short-Term Goal 7:** NMFA will allocate the loan portion of the 2019 Federal Capitalization Grant of \$6,714,060 and State Match of \$2,200,800 for a combined loan fund allocation of \$8,914,860.

**Progress:** In SFY 2020, NMFA allocated \$24.5 million, exceeding this goal.

**Short-Term Goal 8:** NMFA will ensure that all appropriate federal requirements are addressed in each loan agreement (ex: Suspension and Debarment, Buy American, etc.).

**Progress:** This language is in Section 7.4 subsections (a) – (n) of the loan agreement.

**Short-Term Goal 9:** NMFA will continue to keep the EPA current on the status of its audit findings including at the SFY Annual Program Evaluation Review.

**Progress:** NMFA submitted its SFY 2019 audit to EPA on December 16, 2019, after its release by the New Mexico Office of the State Auditor. The accounting firm Moss Adams is working on the SFY 2020 single audit and the NMFA full audit; it will be submitted to EPA after it is released from the NM State Auditor.

**Short-Term Goal 10:** NMFA will review the Operating Agreement with EPA and submit the proposed revisions to the EPA this State Fiscal Year, dependent on the MOU with NMED DWB.

**Progress:** NMFA has reviewed the Operating Agreement and is in conversations with EPA R6 for required improvements. NMFA has been re-sent the MOU after staff changes halted the progress on this goal.

**Short-Term Goal 11:** NMFA will enter into binding commitments with entities equal to 120% of the Capitalization Grant (equivalent of the Federal and State funds in the Capitalization Grant) for SFY 2019.

**Progress:** NMFA has entered into binding commitments over the 120% goal. For SFY 2020, the binding commitments are equal to \$24.5 Million and cumulative percentages are equal to 128.44-131.63%. Please see attachment C for more information.

**Short-Term Goal 12:** NMFA will review and update the Tier II State Environmental Review Process (SERP) and continue to review ways to increase Tier II usage.

**Progress:** The Tier I environmental review was updated with a final version submitted to the EPA on June 15, 2018 and approved by the EPA on August 20, 2018. NMFA also updated the loan management policies to help make the fund more accessible to NM entities. The lowering of the interest rate has made the program more desirable to NM communities. New Mexico will use the Tier I environmental review process for Tier II projects.

**Short-Term Goal 13:** NMFA will report on the following: Federal Funding Accountability and Transparency Act (Sub award reporting system “FFATA”), Projects & Benefits Reporting (PBR), Fund Utilization Rate (FUR), Single Audit Report, Federal Financial Reports, Drinking Water National Information Management System (DWNIMS) and Minority Business Enterprise/Women’s Business Enterprise (MBE/WBE).

**Progress:** NMFA has submitted all reports within the acceptable timelines. The FFATA was entered within five days of the end of the month, the PBR are done at the time of loan closing, DWNIMS

was entered on August 28, 2020 and the FFY 19 (SFY 20) MBE/WBE report was submitted on October 30, 2019.

### III. SOURCES AND USES OF DWSRLF FUNDS

This section provides a detailed discussion of the DWSRLF assistance activities during SFY 2020. Details are provided on sources of funding for the program (by FFY capitalization grant), in addition to the uses of DWSRLF and Set-Aside funds, by SFY.

#### *Sources of DWSRLF and Set-Aside Funds*

The total DWSRLF funds available through June 30, 2020 were \$348.3 million and are broken down by source in the Funds Available chart below. To date, the federal capitalization grants and their required State matches are the primary sources of funding for the DWSRLF. Funds Available reflects the primary sources of DWSRLF funding through SFY 2020. Table 2 provides the DWSRLF Sources and Uses Statement and reflects all DWSRLF sources and disbursements through SFY 2020.

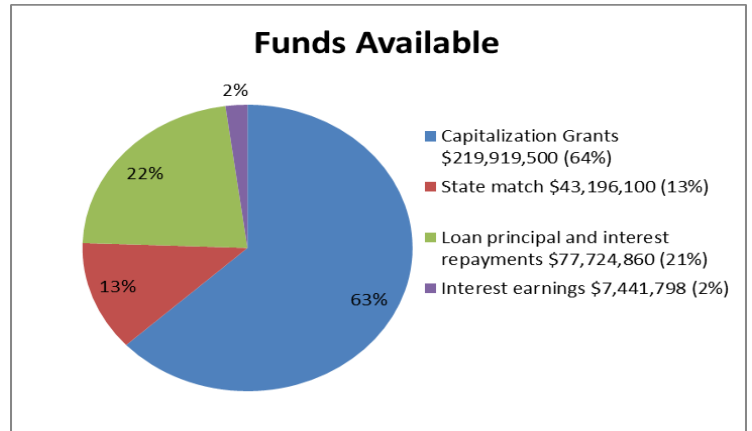
Note: disbursed funds reflect cash outlays of all DWSRLF funds regardless of the year in which they were committed. Individual funding sources are described below in the following sections.

#### Capitalization Grants

The 2019 Capitalization Grant was awarded on August 26, 2019, NM was awarded \$11,104,000, excluding the State match. The 2020 Capitalization Grant was awarded on August 25, 2020, NM was awarded \$11,011,000.

#### State Match

The SDWA requires states to provide a 20% match to the Capitalization Grants received from the federal government. The required State match is \$2,202,200 for the FFY 2020 Capitalization Grant. The FFY 2020 State match was secured prior to the Capitalization grant from the State Legislature Senate bill 43 signed on March 27, 2019. This award was returned to the State’s general fund. NMFA has excess State match from prior years’ allocations that will be used to comply with the 20% State’s match. The chart below illustrates the State match appropriations.



The State match funds for all capitalization grants are being held in an account outside of the DWSRLF awaiting the first draw from these grants. To date, NMFA has secured its required State

match funds from appropriation of Public Project Revolving Fund and State General Fund Appropriations. These funds are deposited into the DW account when the Governor signs the bill into law after the legislative session, which occurs before the Capitalization Grant is awarded.

FFY Cap Grant	Amount	Required State Match	Match Source	Appropriation	Source of Appropriation	Excess/(under) cumulative balance
1997	\$12,759,800	\$2,551,960	HB 1277 (1997)	\$2,600,000	PPRF	\$48,040
1998/99	\$14,585,100	\$2,917,020	HB 224 (1998) & HB 84 (1999)	\$3,267,798	PPRF	\$398,818
2000	\$7,757,000	\$1,551,400	HB 139 (2000)	\$1,540,000	General Fund	\$387,418
2001	\$7,789,100	\$1,557,820	SB 34 (2002)	\$1,557,820	PPRF	\$387,418
2002	\$8,052,500	\$1,610,500	SB 109 (2003)	\$1,610,500	PPRF	\$387,418
2003	\$8,004,100	\$1,600,820	HB 100 (2004)	\$1,600,820	PPRF	\$387,418
2004	\$8,303,100	\$1,660,620	HB 2 (2005)	\$2,000,000	General Fund	\$726,798
2005	\$8,285,500	\$1,657,100	HB 123 (2005)	\$2,000,000	PPRF	\$1,069,698
2006	\$8,229,300	\$1,645,860	SB 105 (2007)*	\$2,000,000	PPRF	\$1,423,838
2007	\$8,229,000	\$1,645,800	SB 105 (2007)*	\$2,000,000	PPRF	\$1,778,038
2008	\$8,146,000	\$1,629,200	HB 2 (2008)	\$1,000,000	General Fund	\$1,148,838
2009	\$8,146,000	\$1,629,200	HB 77 (2009)	\$2,000,000	PPRF	\$1,519,638
2010	\$13,573,000	\$2,714,600	HB 108 (2010)	\$2,714,600	PPRF	\$1,519,638
2011	\$9,418,000	\$1,883,600	HB 13 (2011)	\$2,000,000	PPRF	\$1,636,038
2012	\$8,975,000	\$1,795,000	HB 39 (2012)	\$2,000,000	PPRF	\$1,841,038
2013	\$8,421,000	\$1,684,200	HB 18 (2013)	\$2,000,000	PPRF	\$2,156,838
2014	\$8,845,000	\$1,769,000	Excess Appropriation Balances	\$0		\$387,838
2015	\$8,787,000	\$1,757,400	SB 522 (2015)	\$1,800,000	PPRF	\$430,438
2016	\$8,312,000	\$1,662,400	HB 19 (2016)	\$1,800,000	PPRF	\$568,038
2017	\$8,241,000	\$1,648,200	HB 256 (2017)	\$1,800,000	PPRF	\$719,838
2018	\$11,107,000	\$2,221,400	HB 93 (2018) and Excess Appropriation Balances	\$1,800,000	PPRF and excess	\$298,438
2019	\$11,104,000	\$2,220,800	SB 43 (2019)	\$2,500,000	PPRF	\$577,638
2020	\$11,011,000	\$2,202,200	Excess account interest	\$2,202,200	excess	\$577,638
<b>Total</b>	<b>\$216,080,500</b>	<b>\$43,216,100</b>		<b>\$43,793,738</b>		

### Investment Earnings

In SFY 2020, the total DWSRLF interest earned was \$1,719,478, which brings the total DWSRLF interest earned to \$7.9 million. The interest earnings will be used to award additional DWSRLF assistance under the Tier II funding.

### Loan Repayments

As of June 30, 2020, the program has received \$85.3 million in total loan and interest repayments; it includes \$69 million in recaptured principal and \$16.3 million in earned interest. All recaptured principal and earned interest payments are deposited into the DWSRLF and will be used to award additional DWSRLF assistance.

### Administrative Fees

The program received \$82,598.76 in administrative fees, of which \$289,463 was used in SFY 2020. As of June 30, 2020, the available balance is \$33,734.33. All administrative fees received are held outside of the DWSRLF and are used to pay for NMFA overhead and program administration costs that are not already funded by the four percent (4%) of Administrative Set-Aside. Costs are related to,



but are not limited to, sub-contractor for legal closings, environmental review, and the creation of operating procedures manuals.

**TABLE 1**  
**Primary Sources of DWSRLF Funding**  
**FFY Capitalization Grant**  
**(Part 1 of 2)**

	FFY98-99 (Awarded SFY 00)	FFY00 (Awarded SFY 02)	FFY01 (Awarded SYF 03)	FFY02 (Awarded SFY 04)	FFY03 (Awarded SFY 05)	FFY04 (Awarded SFY 06)	FFY05 (Awarded SFY 07)	FFY06 (Awarded SFY 08)	FFY07 (Awarded SFY 09)	FFY08 (Awarded SFY 10)	ARRA FFY09 (Awarded SFY 10) [1]
<b>Capitalization Grant Amount</b>	14,585,100	7,757,000	7,789,100	8,052,500	8,004,100	8,303,100	8,285,500	8,229,300	8,229,000	8,146,000	14,950,000
<b>State Match</b>	2,917,020	1,551,400	1,557,820	1,610,500	1,600,820	1,660,620	1,657,100	1,645,860	1,645,800	1,629,200	0
<b>TOTAL</b>	<b>17,502,120</b>	<b>9,308,400</b>	<b>9,346,920</b>	<b>9,663,000</b>	<b>9,604,920</b>	<b>9,963,720</b>	<b>9,942,600</b>	<b>9,875,160</b>	<b>9,874,800</b>	<b>9,775,200</b>	<b>14,950,000</b>
<b>Set-Asides</b>											
Administration (Max 4%) 1452(g)(2)	583,404	310,280	311,564	322,100	320,164	332,124	331,420	329,172	329,160	325,840	780,000
Small Systems Technical Assistance (Max 2%) 1452(g)2	291,702	155,140	155,782	161,050	160,082	166,062	165,710	164,586	164,580	162,920	390,000
State Programs Management (Max 10%) 1452(g)(2)	1,458,510	775,700	778,910	805,250	800,410	830,310	828,550	822,930	822,900	814,600	1,950,000
Local Assistance (Max 15%) 1452(k)	2,187,765	1,163,550	1,168,365	1,207,875	1,200,615	1,245,465	1,242,825	1,234,395	1,234,350	1,019,719	0
Capacity Development	1,312,659	698,130	778,910	805,205	800,410	830,310	828,550	822,930	822,900	776,847	0
Wellhead Protection	875,106	465,420	389,455	402,670	400,205	415,155	414,275	411,465	411,450	242,872	0
<b>TOTAL</b>	<b>4,521,381</b>	<b>2,404,670</b>	<b>2,414,621</b>	<b>2,496,275</b>	<b>2,481,271</b>	<b>2,573,961</b>	<b>2,568,505</b>	<b>2,551,083</b>	<b>2,550,990</b>	<b>2,323,079</b>	<b>3,680,851</b>

**TABLE 1**  
**Primary Sources of DWSRLF Funding**  
**BY FFY CAPITALIZATION GRANT**  
**(Part 2 of 2)**

	BASE FFY 09 (Awarded SFY 11)	FFY10 (Awarded SFY 11)	FFY11 (Awarded SFY 13)	FFY12 (Awarded SFY 13)	FFY 13 (Awarded SFY 14)	FFY 14 (Awarded SFY 15)	FFY 15 (Award SFY 16)	FFY 16 (Awarded SFY 17)	FFY 17 (Awarded SFY 18)	FFY 18 (Awarded SFY 19)	FFY 19 (Awarded SFY 20)	FFY 20 (Awarded SFY 21)	CUMULATIVE
<b>Capitalization Grant Amount</b>	8,146,000	13,573,000	9,418,000	8,975,000	8,421,000	8,845,000	8,787,000	8,312,000	8,241,000	11,107,000	11,104,000	11,011,000	<b>231,030,500</b>
<b>State Match</b>	1,629,200	2,714,600	1,883,600	1,795,000	1,684,200	1,769,000	1,757,400	1,662,400	1,648,200	2,221,400	2,200,800	2,202,200	<b>43,196,100</b>
<b>TOTAL</b>	<b>9,775,200</b>	<b>16,287,600</b>	<b>11,301,600</b>	<b>10,770,000</b>	<b>10,105,200</b>	<b>10,614,000</b>	<b>10,544,400</b>	<b>9,974,400</b>	<b>9,889,200</b>	<b>13,328,400</b>	<b>13,304,800</b>	<b>13,213,200</b>	<b>247,708,600</b>
<b>Set-Asides</b>													
Administration (Max 4%) 1452(g)(2)	325,840	542,920	376,720	359,000	336,840	353,800	351,480	332,480	329,640	444,280	440,160	440,440	<b>9,419,220</b>
Small Systems Technical Assistance (Max 2%) 1452(g)2	162,920	271,460	188,360	179,500	168,420	176,900	0	166,240	164,820	222,140	220,080	220,220	<b>4,313,650</b>
State Programs Management (Max 10%) 1452(g)(2)	814,600	1,357,300	941,800	897,500	842,100	884,500	0	831,200	824,100	1,110,700	1,979,100	1,101,100	<b>22,446,950</b>
Local Assistance (Max 15%) 1452(k)	1,221,900	2,035,950	1,412,700	1,346,250	1,263,150	1,326,750	1,318,050	1,246,800	1,324,100	1,666,050	1,505,600	1,601,650	<b>30,486,194</b>
Capacity Development	814,600	1,357,300	941,800	897,500	842,100	884,500	878,700	431,200	431,200	555,350	1,100,400	1,016,349	<b>18,149,491</b>
Wellhead Protection	407,300	678,650	470,900	448,750	421,050	442,250	439,350	415,600	415,600	1,110,700	550,200	585,301	<b>11,604,403</b>
<b>TOTAL</b>	<b>2,525,260</b>	<b>4,207,630</b>	<b>2,919,580</b>	<b>2,782,250</b>	<b>2,610,510</b>	<b>2,741,950</b>	<b>1,669,530</b>	<b>2,576,720</b>	<b>2,642,660</b>	<b>3,443,170</b>	<b>4,144,940</b>	<b>3,363,410</b>	<b>119,725,373</b>

[1] The original amount of the State of New Mexico’s ARRA funding was \$19,500,000; \$4,550,000 was transferred to NMED CPB which operates the Clean Water State Revolving Loan Fund to comply with the spending deadlines for ARRA. The set-aside amounts are based on the original ARRA amount. NMFA transferred \$219,049 from the Administrative set-aside to the DWSRLF to comply with spending deadlines for ARRA.

<b>Table 2 DWSRLF SOURCES AND USES SFY 2020</b>			
<b>SOURCES</b>	Cumulative Total through 6/30/19	7/1/2019 - 6/30/2020 (This SFY)	Cumulative Total through 6/30/20
Federal Capitalization Grants	\$208,915,500	\$11,004,000	\$219,919,500
20% Capitalization Grant Match	\$40,993,900	\$2,202,200	\$43,196,100
Investment Interest	\$6,234,534	\$1,719,478	\$7,954,012
Loan Repayments – Principal	\$62,841,234	\$6,169,119	\$69,010,353
Loan Repayments - Interest	\$15,076,383	\$1,207,264	\$16,283,647
<b>Total Sources</b>	<b>\$334,061,551</b>	<b>\$22,302,061</b>	<b>\$356,363,612</b>
<b>Uses of Funds</b>			
<u>Assistance Activity</u>			
Large System Commitments	\$150,649,946	\$2,020,000	\$151,161,087
Small System Commitments	\$66,867,641	\$5,371,900	\$72,239,541
<b>Total Assistance</b>	<b>\$217,517,587</b>	<b>\$7,391,900</b>	<b>\$223,400,628</b>
<u>Set-Aside Activity</u>			
Administration	\$8,538,620	\$444,280	\$8,982,900
Small System Technical Assistance	\$3,454,841	\$126,871	\$3,581,712
State Programs Management	\$20,426,506	\$1,979,100	\$22,405,606
Local Assistance	\$27,670,282	\$1,505,600	\$29,175,882
<b>Total Set-Asides</b>	<b>\$60,090,249</b>	<b>\$4,055,851</b>	<b>\$64,146,100</b>
<b>Total Uses</b>	<b>\$277,607,836</b>	<b>\$11,447,751</b>	<b>\$287,546,728</b>
<b>Carryover</b>	<b>\$56,453,715</b>	<b>\$10,854,310</b>	<b>\$68,816,884</b>

### *Uses of DWSRLF and Set-Aside Funds*

As of June 30, 2020, the DWSRLF program has received \$219.9 million from EPA Capitalization Grants; \$43.2 million in State matches; \$85.3 million from principal and interest repayments; and \$7.9 million from investment earnings. This is a total capitalization of \$356.4 million.

Of this \$356.4 million, \$193.9 million has been deposited into the DWSRLF and \$66.3 million has been committed to Set-Aside activities. From the \$193.9 million available to projects, a total of \$221.2 million in project assistance awards have been made.

Of the \$66.3 million committed to Set-Aside activities, \$8.8 million has been committed to Administration Set-Aside activities carried out by the NMFA and \$57.5 million has been committed to Technical Set-Aside activities carried out by the DWB to provide assistance to water systems throughout the State (see Figure 2). The draws from the FFY 20 Capitalization Grant are prorated to 77.52% from Federal Funds and 22.48% originating from the State's match funds.

### Future Uses of the DWSRLF

Five projects included in the SFY 2020 fundable list are expected to close in the following six months totaling almost \$22.5 million. With the Annual SFY 2021 fundable list projects, NM will allocate \$7.1 million of the \$11.0 million FFY 2021 Capitalization Grant Funding. NMFA anticipates fully allocating the funds this SFY. The NMFA updated its policies in SFY 19 to be considered a competitive lending source without subsidy. These changes were done to increase both the number of loans and the amount of loans to lower the carryover \$66.8 million balance.

### Status of Assistance Agreements

In SFY 2020, the NMFA closed seven DWSRLF assistance agreements totaling approximately \$8.1

million (see attachment E). NMFA also entered into ten binding commitments to provide funding in the future totaling \$24.5 million (see Table 3.)

Binding Commitments

Table 3 is a list of the SFY 2020 binding commitment letters. These letters are provided to PWSs that have been ranked on the Priority Fundable List, completed an application, and have gone through the consideration and approval of the NMFA Board of Directors.

TABLE 3						
Binding Commitment SFY 20						
Project #	Entity	Amount Approved	Date Last Approved by Board	Binding Commitment to Entity	Binding Commitment Quarter	County
DW-5028	ABCWUA	\$ 2,020,000.00	September 26, 2019	October 1, 2018	SFY 20, Q2	Bernalillo
DW-5029	Big Mesa MDWCA	\$ 1,444,140.00	September 26, 2019	October 1, 2018	SFY 20, Q2	San Miguel
DW-5027	Taos Pueblo Utility Service	\$ 400,000.00	September 26, 2019	October 1, 2018	SFY 20, Q2	Taos
DW-5025	Clayton, Town of	\$ 150,000.00	September 26, 2019	October 1, 2018	SFY 20, Q2	Union
DW-5029	Big Mesa MDWCA	\$ 500,000.00	December 19, 2019	December 20, 2019	SFY 20, Q2	San Miguel
DW-5026	Mountain Orchard	\$ 120,000.00	December 19, 2019	December 20, 2019	SFY 20, Q2	Otero
DW-5130	Los Lunas, Village of	\$ 625,000.00	December 19, 2019	December 20, 2019	SFY 20, Q2	Valencia
DW-4798	Magdalena, Village of	\$ 1,000,000.00	February 27, 2020	March 2, 2020	SFY 20, Q3	Socorro
DW-4732	Valley Estates-Amendment	\$ 72,500.00	February 27, 2020	March 2, 2020	SFY 20, Q3	Rio Arriba
DW-5025	Clayton, Town of	\$ 1,076,379.00	May 28, 2020	June 1, 2020	SFY 20 Q 4	Union
DW-5238	Eldorado W&SD	\$ 1,919,000.00	May 28,2020	June 1, 2020	SFY 20 Q4	Santa Fe
DW-5270	Rio Rancho, City of	\$ 15,150,000.00	June 25,2020		SFY 20 Q 4	Sandoval
<b>Total for 10 Binding Commitments</b>		<b>\$ 24,477,019.00</b>				

Water System Assessment

All DWSRF assistance recipients use publicly owned sources of water and are not required to submit a self-certification required by the WIIN act §2108 (Water Infrastructure Improvements for the Nation act).

Small System Assistance

The State is in compliance with (40 CFR 35.3525(a)(5) and 40 CFR 35.3525(b), providing a minimum of fifteen percent (15%) of available loan funds to small PWSs, which are defined as systems serving populations of 10,000 or fewer, based on the most recent U.S. census. As of June 30, 2020, a cumulative total of \$72,239,541 in assistance has been provided to small systems, including \$5,371,900 that was awarded to small systems in SFY 2020. In SFY 2020, \$7.391 million total loans closed with \$5.4 million defined as small systems, representing 73.06% of all SFY 2020 project awards. Table 4 includes the list of small systems receiving DWSRLF assistance. Please note the projects listed in Table 4 are amounts

at the time of award, the Sources and Uses table shows the adjustments at the end of the construction period.

TABLE 4 . Financial Assistance to Small Systems					
Closing Date	SFY	DWRLF Base Loans Closed	Amount (\$)	Population Served	Small (15%)
12/21/2000	SFY01	Clayton, Town of	\$ 100,000	2,400	\$ 100,000
12/9/1999	SFY00	Angel Fire, Village of	\$ 180,001	3,500	\$ 180,001
11/17/2000	SFY01	French Mutual Domestic Water Association	\$ 12,654	150	\$ 12,654
5/24/2001	SFY01	Tucumcari, City of	\$ 475,200	7,150	\$ 475,200
8/24/2001	SFY02	Malaga MDWC&SWA	\$ 171,718	1,200	\$ 171,718
10/19/2001	SFY02	High Sierra Estates Water Association	\$ 119,706	60	\$ 119,706
10/31/2001	SFY02	Truth or Consequences, City of	\$ 1,841,089	8,520	\$ 1,841,089
1/25/2002	SFY02	Cottonwood Rural Water Co-Op	\$ 703,586	1,150	\$ 703,586
6/14/2002	SFY02	El Prado Water and Sanitation	\$ 75,750	750	\$ 75,750
8/2/2002	SFY03	West Hammond Domestic Water Association	\$ 995,753	3,538	\$ 995,753
8/16/2002	SFY03	Pendaries Village Community Association	\$ 1,295,269	400	\$ 1,295,269
8/15/2003	SFY04	North Star DWC & MSWC, Inc.	\$ 1,779,798	2,505	\$ 1,779,798
1/28/2005	SFY05	Roosevelt County Water Coop.	\$ 297,710	3,500	\$ 297,710
5/20/2005	SFY05	Espanola, City of	\$ 808,000	9,688	\$ 808,000
8/18/2006	SFY07	Bloomfield, City of	\$ 3,737,000	7,500	\$ 3,737,000
6/29/2007	SFY08	Lovington, City of	\$ 3,535,000	3,716	\$ 3,535,000
8/17/2007	SFY08	Placitas Trails	\$ 29,443	31	\$ 29,443
3/31/2008	SFY08	Alto Lakes WSD	\$ 4,090,500	1,180	\$ 4,090,500
4/18/2008	SFY08	Silver City, Town of	\$ 1,313,000	5,800	\$ 1,313,000
2/27/2009	SFY09	Eunice, City of	\$ 5,050,000	2,501	\$ 5,050,000
12/3/2010	SFY11	Elephant Butte, City of	\$ 303,000	481	\$ 303,000
3/25/2011	SFY11	Placitas West Water Cooperative	\$ 89,890	39	\$ 89,890
12/4/2009	SFY10	Floyd, Village of	\$ 250,000	350	\$ 250,000
12/18/2009	SFY10	Canjilon MDWCA	\$ 680,000	330	\$ 680,000
12/18/2009	SFY10	Carlsbad, City of	\$ 1,957,070	2,700	\$ 1,957,070
12/18/2009	SFY10	Taos Ski Valley, Village of	\$ 42,500	5,301	\$ 42,500
12/21/2009	SFY10	Southwestern College	\$ 117,797	25	\$ 117,797
1/15/2010	SFY10	Cloudfroft, Village of	\$ 197,980	1,475	\$ 197,980
12/21/2012	SFY13	Socorro, City of	\$ 366,630	9,800	\$ 366,630
12/21/2012	SFY13	Lower Rio Grande PWWA	\$ 595,000	3,355	\$ 595,000
12/21/2012	SFY13	Anthony WSD	\$ 850,000	7,125	\$ 850,000
4/19/2013	SFY13	Tucumcari, City of	\$ 1,579,000	6,000	\$ 1,579,000
4/19/2013	SFY13	Tucumcari, City of	\$ 902,573	6,000	\$ 902,573
5/3/2013	SFY13	Dona Ana MDWCA	\$ 2,059,390	8,929	\$ 2,059,390
6/9/2013	SFY13	Lordsburg, City of	\$ 744,472	3,100	\$ 744,472
6/22/2013	SFY13	Estancia, Town of	\$ 550,000	1,800	\$ 550,000
6/26/2013	SFY13	Socorro, City of	\$ 969,600	9,800	\$ 969,600
6/26/2013	SFY13	Bosque Farms Water Supply	\$ 755,480	4,000	\$ 755,480

TABLE 4 . Financial Assistance to Small Systems					
Closing Date	SFY	DWRLF Base Loans Closed	Amount (\$)	Population Served	Small (15%)
7/19/2013	SFY14	Southside MDWA	\$ 797,900	1,428	\$ 797,900
7/26/2013	SFY14	Moriarty, City of	\$ 613,000	1,900	\$ 613,000
9/20/2013	SFY14	Deming, City of	\$ 2,412,284	5,250	\$ 2,412,284
6/27/2014	SFY14	Pecos, City of	\$ 463,000	2,930	\$ 463,000
6/27/2014	SFY14	Valley Estates MDWCA	\$ 65,650	185	\$ 65,650
7/25/2014	SFY 15	Ojo Caliente MDWCA	\$ 744,370	415	\$ 744,370
7/25/2014	SFY 15	Clayton, Town of	\$ 621,150	2,400	\$ 621,150
9/26/2014	SFY 15	El Valle Water Alliance (San Miguel del Bado)	\$ 220,000	100	\$ 220,000
10/24/2014	SFY 15	San Jon, Village of	\$ 50,500	269	\$ 50,500
12/5/2014	SFY 15	Lee Acres Water Users Cooperative Assoc	\$ 1,492,050	5,078	\$ 1,492,050
12/19/2014	SFY 15	Upper Arroyo Hondo MDWCA	\$ 96,455	195	\$ 96,455
4/17/2015	SFY 15	Santa Clara, Village of	\$ 731,912	2,694	\$ 731,912
8/21/2015	SFY 16	Lower Des Montes MDWUA	\$ 318,890	350	\$ 318,890
2/26/2016	SFY 16	Lower Rio Grande PWWA	\$ 1,197,708	9,972	\$ 1,197,708
3/25/2016	SFY 16	Bluewater W&SD	\$ 1,206,979	450	\$ 1,206,979
3/25/2016	SFY 16	Upper La Plata MDWUA	\$ 1,414,000	2,265	\$ 1,414,000
4/29/2016	SFY 16	Tucumcari, City of	\$ 1,453,886	5,400	\$ 1,453,886
3/25/2016	SFY 16	Belen, City of	\$ 1,310,980	9,780	\$ 1,310,980
5/27/2016	SFY 16	Eldorado AW&SD	\$ 90,900	7,350	\$ 90,900
8/19/2016	SFY 17	Estancia	\$ 537,320	2,600	\$ 537,320
11/4/2016	SFY 17	Clayton Amend-increased amt	\$ 232,750	2,400	\$ 232,750
11/23/2016	SFY 17	Upper Arroyo Hondo- Amend	\$ 23,546	195	\$ 23,546
11/18/2016	SFY 17	Rainsville	\$ 254,997	250	\$ 254,997
2/24/2017	SFY 17	Eldorado	\$ 357,035	7,350	\$ 357,035
4/21/2017	SFY 17	San Cristobal	\$ 148,687	200	\$ 148,687
3/31/2017	SFY 17	Red River	\$ 1,740,000	679	\$ 1,740,000
4/14/2017	SFY 17	Angel Fire	\$ 431,270	6,000	\$ 431,270
6/2/2017	SFY 17	Eldorado	\$ 505,000	7,350	\$ 505,000
2/23/2018	SFY 18	Lower Rio Grande PWWA	\$ 151,500	9,972	\$ 151,500
3/23/2018	SFY 18	North Star DWC & MSWC, INC	\$ 228,978	3,492	\$ 228,978
6/1/2018	SFY 18	Tucumcari, City of	\$ 909,963	5,400	\$ 909,963
6/8/2018	SFY 18	Eldorado Area W&SD	\$ 1,315,020	7,350	\$ 1,315,020
6/8/2018	SFY 18	Eldorado Area W&SD	\$ 565,600	7,350	\$ 565,600
6/8/2018	SFY 18	Magdalena, Village	\$ 409,000	900	\$ 409,000
6/29/2018	SFY 18	Lower Des Montes MDWUA	\$ 303,000	350	\$ 303,000
7/27/2018	SFY 19	Galisteo MDWCA	\$ 433,500	172	\$ 433,500
10/26/2018	SFY 19	Lower Rio Grande PWWA	\$ 3,285,288	9,972	\$ 3,285,288
2/22/2019	SFY 19	Cimarron, Village of	\$ 358,550	987	\$ 358,550
2/22/2019	SFY 19	Lower Rio Grande PWWA	\$ 1,729,692	9,972	\$ 1,729,692
3/1/2019	SFY 19	Eagle Nest, Village of	\$ 1,414,000	568	\$ 1,414,000
3/22/2019	SFY 19	Valley Estates MDWCA	\$ 204,749	185	\$ 204,749
4/5/2019	SFY 19	Eldorado AW&SD	\$ 252,500	7,350	\$ 252,500
5/31/2019	SFY 19	Eldorado AW&SD	\$ 1,515,000	7,350	\$ 1,515,000
6/7/2019	SFY 19	Rodarte	\$ 62,632	75	\$ 62,632
6/28/2019	SFY 19	Truth or Consequences	\$ 1,241,023	9,000	\$ 1,241,023
7/19/2019	SFY 20	Miami MD	\$ 21,000	135	\$ 21,000
7/12/2019	SFY 20	Red River	\$ 2,110,900	679	\$ 2,110,900
5/1/2020	SFY 20	Tucumcari, City of	\$ 1,500,000	3113	\$ 1,500,000
5/29/2020	SFY 20	Mountain Orchard	\$ 120,000	39	\$ 120,000
6/26/2020	SFY 20	Big Mesa	\$ 1,944,140	563	\$ 1,944,140
6/26/2020	SFY 20	Taos Pueblo	\$ 400,000	444	\$ 400,000
<b>89 Total Loans</b>		<b>Total Closed Loans to Small Systems</b>	<b>\$ 87,541,479</b>	<b>326,376</b>	<b>\$ 79,629,813</b>



The DWB and NMFA expect to fund the projects on the DWSRLF Fundable Priority List in rank order but reserve the right to by-pass projects that are not ready to proceed with a DWSRLF loan. Under the current by-pass procedure, the State reserves the right to fund a lower priority project over one or more higher priority projects if either the DWB or NMFA determines that the higher priority projects do not meet the DWSRLF readiness-to-proceed criteria.

The steps, in order of application, for using the DWSRLF Fundable Priority List are as follows. First, the PWS must be willing to take a loan and be ready to proceed within six months of being placed on the Fundable List. The PWS must have taken the necessary steps to expeditiously prepare funding documentation and initiation of construction. If the system does not agree to undertake a loan component as part of an assistance agreement, or if they have not proceeded expeditiously to complete all funding documentation and move toward construction, then the project will be by-passed to allow other systems to take advantage of the DWSRLF. If a PWS has been notified in writing of its eligibility for the DWSRLF by the DWB and NMFA, and the PWS fails to provide a loan application to NMFA regarding the DWSRLF funding within 45 days, the project will be by-passed. Updates to the IUP process may result in a reprioritized Fundable Priority List in any given year; however, projects with binding commitments will take priority over any additions to the Fundable Priority List that may be made during the State fiscal year of the IUP.

Even if a project were to be added to the Fundable Priority List via one of the quarterly updates during an IUP year, the project may still be by-passed if it is not ready to proceed, if there are insufficient funds in the DWSRLF to finance the new project, or if the PWS is found not to be credit-worthy.

In SFY 2020, two projects were bypassed on the annual list: Rio Rancho and Mountain Orchard. Mountain Orchard moved forward with the Fall Priority List and Rio Rancho moved forward with the Spring Priority List. Please see attachment F for more details.

#### IV. SET-ASIDE ACTIVITY STATUS

NMFA is assigned all tasks performed under the Administration Set-Aside and, in accordance with 40 CFR Subpart L §35.3510(b)(1), the NMED is assigned all activities associated with the Small Systems Technical Assistance, State Programs Management, and Local Assistance Set-Asides.

##### *Administration 4% Set-Aside*

The NMFA uses four percent (4%) of each capitalization grant to administer the DWSRLF, which includes expenditures for legal counsel, environmental and engineering reviews, construction oversight, and technical reviews related to project completion. Under the DWSRLF program and EPA guidelines, all Preliminary Engineering Reports (PER) and Environmental Information Documents (EID) are required to be reviewed and approved prior to project construction. Table 5 below lists the environmental reviews that were completed during SFY 2020. Please note, NMFA updated its SERP

procedure with EPA R 6 approving on August 20, 1018. In SFY 19, NMFA updated its loan management policies to make more communities eligible as disadvantaged and severely disadvantaged and lowered the base interest rate. In addition, EPA requires that all phases of the construction process be monitored. NMFA uses the Administration Set-Aside to pay for technical reviews and the monitoring of construction of all DWSRLF infrastructure projects.

<b>TABLE 5</b>			
<b>SFY 2020 Environmental Reviews</b>			
<b>BORROWER</b>	<b>PROJECT NO.</b>	<b>SERP OUTCOME</b>	<b>FINAL DETERMINATION</b>
Red River, Village of	DW-4792	CE- Statement of Finding	7/15/2019
Miami MDWUA	DW-4799	CE- Statement of Finding	7/19/2019
Magdalena	DW-4798	project withdrawn	7/1/2019
Tucumari, City of	DW-4801	CE- Statement of Finding	11/6/2019
Clayton, City of	DW-5025	CE- Statement of Finding	1/30/2020
Mountain Orchard	DW-5026	CE- Statement of Finding	2/14/2020
Taos Pueblo	DW-5027	CE- Statement of Finding	2/3/2020
ABCWUA- Carnuel	DW-5028	CE- Statement of Finding	10/18/2019
Big Mesa	DW-5029	CE- Statement of Finding	4/6/2020
Eldorado (pre review	N/A	CE Eeligilbe	TBD
Las Vegas, City of (per-review)	N/A	CE Eeligilbe	TBD
Camino Real RUA Pre review)	N/A	Existing environmental determination will hold	TBD
Alamogordo (pre review)	N/A	EPA waiver and will use existing environmental determination.	TBD

Staff and Agency Resources in SFY 2020

The Administration Set-Aside is utilized by the NMFA. As allowed by the SDWA, the State reserved and specified an amount equal to four percent (4%) of the FFY 2018 (\$444,280) and FFY 19 (\$440,160) capitalization grants for administration of the DWSRLF program. In SFY 2020, NMFA utilized \$662,530 in Administration Set-Aside funds.

Funds available for the administration of the DWSRLF program during SFY 2020 included unexpended Administration Set-Aside funds from previous years. Approximately, 31 NMFA employees worked directly and indirectly on the DWSRLF program for an equivalent of approximately 4.23 full-time employees. The NMFA charges its staff time based on actual hours worked on the DWSRLF program. Engineering, construction oversight, and other technical services are provided through contracts with CPB and other contractors.

Activities Performed in SFY 2020

In SFY 2020, the NMFA provided ten binding commitments, and closed eight loans. The Administration Set-Aside was also used to assist systems with the application process, including

production of documents required as part of the funding process.

The NMFA used the Administration Set-Aside to operate the DWSRLF, which has experienced no defaults to date. The goal of the NMFA is to maintain the DWSRLF as a perpetual funding source with fiscal integrity as demonstrated in Attachment B – SFY 2020 Financial Statements and the Cash Flow model attachment A.

In SFY 2020, the State drew down about \$11.6 million from federal capitalization grants between set asides and loan reimbursements.

#### Progress in Meeting Targeted Accomplishments Established for SFY 2020

During SFY 2020, the NMFA continued its efforts to make the DWSRLF a perpetual source of funding in the State. Cumulatively, through June 30, 2020, the NMFA has closed 147 loans totaling \$221.2 million (amount adjusted after the construction phase), of which 130 were funded exclusively from Base capitalization grants and 17 of which were funded either entirely or principally from the ARRA capitalization grant. See Attachment E –DWSRLF Assistance Agreements Closed through SFY 2020. Related to the loan fund, both EPA set goals were successfully accomplished in SFY 2020

#### *Small Systems Technical Assistance (SSTA) 2% Set-Aside*

The SDWA Section 1452(g)(2)(C) authorizes states to use 2% of the FFY2019 Capitalization Grant Set-Aside in an amount totaling \$220,080 to provide technical assistance to small PWS serving a population of 10,000 or fewer. This set aside will be used to pay for staff salaries to provide direct assistance and training to small water systems to enable such systems to achieve and maintain compliance with SDWA and State drinking water regulations. DWB staff target small water systems for assistance with a technical assessment for those that have administrative orders, at the request of the compliance officer, or have remained on the list of non-compliant water systems generated by EPA's Enforcement Tracking Tool (ETT).

#### SSTA Staff and Agency Resources in SFY 2020

The DWB expended \$96,471.41 collectively from the FFY17 and FFY18 Small Systems Technical Assistance Set-Aside funds for SFY 2019 activity expenses expenditures, which is reported by quarter in Table 6-A below. Expenses and invoices for SFY Quarter 1 and Quarter 2 were combined and reported under Q2. The DWB staff recorded the actual time spent conducting the eligible activities under this set-aside for reimbursement purposes. Less staff time was spent in this grant category in SFY20 than in previous years due to vacancies in the Technical Services Team which at one point in fall 2020 left only one out of four positions filled. The team now has three of four positions filled and worked has picked back up. The Engineering Program staff have also been charging to this account as appropriate. An accounting of specified expenditures from SFY 1998 through June 30, 2020 can be

found in table 6-B.

<b>TABLE 6-A</b>					
<b>Small Systems Technical Assistance Element (2%)</b>					
<b>Total Expenditures for SFY 2020</b>					
DWSRLF Funding Source	Actual SFY 2020 QTR 1 Expenditures	Actual SFY 2020 QTR 2 Expenditures	Actual SFY 2020 QTR 3 Expenditures	Actual SFY 2020 QTR 4 Expenditures	TOTAL Actual SFY 2020 Expenditures
FFY17		\$16.25			
FFY18		\$51,795.85	\$42,968.88	\$32,090.59	\$126,855.32
<b>SFY20 Total</b>		<b>\$51,812.10</b>	<b>\$42,968.88</b>	<b>\$32,090.59</b>	<b>\$126,871.57</b>

<b>TABLE 6-B</b>						
<b>Small Systems Technical Assistance Element (2%)</b>						
<b>Total Expenditures by FFY Capitalization Grant</b>						
Federal Awards Allocated to Set-Aside	Total Set-Aside Allocated	Specified Amount	Unspecified Amount	Unspecified Amount Transferred to Loan Fund	Specified Expenditures through 06/30/20	Estimated Ending Balance as of 06/30/20
FFY97	\$255,196	\$255,196	\$0	\$0	\$255,196	\$0
FFY98-99	\$291,702	\$291,702	\$0	\$0	\$291,702	\$0
FFY00	\$155,140	\$155,140	\$0	\$0	\$155,140	\$0
FFY01	\$155,782	\$155,782	\$0	\$0	\$155,782	\$0
FFY02	\$161,050	\$161,050	\$0	\$0	\$161,050	\$0
FFY03	\$160,082	\$160,082	\$0	\$0	\$160,082	\$0
FFY04	\$166,062	\$166,062	\$0	\$0	\$166,062	\$0
FFY05	\$165,710	\$165,710	\$0	\$0	\$165,710	\$0
FFY06	\$164,586	\$164,586	\$0	\$0	\$164,586	\$0
FFY07	\$164,580	\$164,580	\$0	\$0	\$164,580	\$0
FFY08	\$162,920	\$162,920	\$0	\$0	\$162,920	\$0

<b>TABLE 6-B</b>						
<b>Small Systems Technical Assistance Element (2%)</b>						
<b>Total Expenditures by FFY Capitalization Grant</b>						
Federal Awards Allocated to Set-Aside	Total Set-Aside Allocated	Specified Amount	Unspecified Amount	Unspecified Amount Transferred to Loan Fund	Specified Expenditures through 06/30/20	Estimated Ending Balance as of 06/30/20
FFY09	\$162,920	\$162,920	\$0	\$0	\$162,920	\$0
FFY09 (ARRA)	\$390,000	\$390,000	\$0	\$0	\$390,000	\$0
FFY 2010	\$271,460	\$271,460	\$0	\$0	\$271,460	\$0
FFY 2011	\$188,360	\$188,360	\$0	\$50,981	\$137,379	\$0
FFY 2012	\$179,500	\$179,500	\$0	\$0	\$179,500	\$0
FFY 2013	\$168,420	\$168,420	\$0	\$168,420	\$0	\$0
FFY 2014	\$176,900	\$176,900	\$0	\$0	\$176,900	\$0
FFY 2015	\$0	\$0	\$175,740	\$0	\$0	\$175,740
FFY 2016	\$166,240	\$166,240	\$0	\$0	\$166,240	\$0
FFY 2017	\$164,820	\$164,820	\$0	\$0	\$164,820.00	\$0
FFY 2018	\$222,140	\$222,140	\$0	\$0	\$145,847.11	\$76,291.89
FFY 2019	\$220,080	\$220,080	\$0	\$0	\$0	\$0
<b>TOTALS</b>	<b>\$4,313,650</b>	<b>\$4,313,650</b>	<b>\$175,740</b>	<b>\$219,401</b>	<b>\$3,797,876.11</b>	<b>\$252,031.89</b>

SSTA Activities Performed in SFY 2020

During SFY 2020, technical assistance was provided to help small PWSs improve their capacity to operate surface and ground water systems. PWSs received technical guidance on how to improve or maintain compliance with drinking water regulations and assistance with troubleshooting compliance problems that arise unexpectedly.

The DWB has continued to improve compliance for small PWSs through the coordinated efforts of capacity development, engineering, and enforcement programs. These programs offer technical assistance to troubled water systems experiencing violations or who expect to exceed standards in the near future, specifically this team will perform onsite visits for all reports of acute contamination detections. The Technical Services Program provided small water systems with technical assistance to enable them to return to or maintain compliance and supply safe drinking water. This team also charges

organizational team meetings, internal trainings and administrative support tasks such as tracking in Safe Drinking Water Information System (SDWIS), program performance reporting and tracking time to this set-aside. The Engineering Program, which had been combined with the Technical Services Program for several years, was separated in SFY20 and now has a separate program manager. The Engineering program, which now includes two Professional Engineers, performs some assistance work for small systems under this set-aside when helping them with engineering applications for new or upgraded infrastructure. Engineering also coordinates with Tech Team and PWSS to help small water systems respond to emergencies.

SSTA Workplan Outputs and Outcomes Established for SFY 2020

Small Systems Technical Assistance- 2% Small Systems Technical Assistance Set-Aside					
Objective 1: Provide technical assistance to maintain or return to compliance for systems with populations less than 10,000 Programmatic Outputs and Outcomes	Q1	Q2	Q3	Q4	FY20
Number of systems receiving technical assistance to return to compliance with the SDWA	14	8	38	22	82
Number of assistance actions completed to return systems to compliance with SDWA	19	21	106	51	197
100% EPA Reporting & administrative deadlines met	100%	100%	100%	100%	100%

SSTA Assessment of Work Plan Achievements

The DWB has been successful in providing assistance to small PWSs and will continue to focus efforts and resources toward increasing compliance for these systems under this set-aside. The Technical Services Team continues to provide assistance to community systems that need to complete emergency response, operation and maintenance and distribution sample plans. These continue to be a significant compliance hurdle for small systems now that they are required for all community systems, regardless of size. During the first two quarters of SFY20, the amount of time devoted to this set-aside was reduced due to staff vacancies and work focusing on the backlog of engineering reviews and AWOP activities. Both Engineering and Tech Services have near full staffing as of Q2 and Q3 respectively, allowing for increased work under this set-aside. Special funding from the NM State Legislature (2019 HB-548) allowed for the implementation of a focused project to address small system compliance issues in northern New Mexico water systems. This accounts for the rise of assistance to water systems in Objective 1. Some staff time was charged to the HB-548 state funding instead of the SSTA set-aside during Q3 & Q4. This special state funding was only for one year.

*State Programs Management (SPM) 10% Set-Aside*

The SDWA Section 1452(g)(2)(B) authorizes states to use 10% of the FFY2019 Capitalization Grant Set-Aside in an amount totaling \$1,100,400 to provide support for the 1) Public Water System Supervision (PWSS) program 2) Administration of the Utility Operator Certification program (UOCP) 3) Administration of DWB and DWSRF. For SFY20, banked funds from FFY15 State Programs Set-Aside was unbanked and added to the FFY19 grant for a total budget in SFY20 of \$1,979,100.

The activities planned to support the PWSS program include providing administrative support for the DWB staff, conducting sanitary surveys to assess the needs and deficiencies of PWSs, implementing new and enforcing existing rules and regulations, and providing an immediate response to confirmed acute contamination events and PWS problems that may impact public health. The set-aside activities for the UOCP are administration and support of the Utility Operator Certification Program (UOCP) to administer operator testing and certification tracking. Additional activities include providing administrative support for DWB such as developing the DWSRF grant application, priority lists, planning documents, required quarterly and annual reports, and any other documentation required to support the grant process.

SPM Staff and Agency Resources in SFY 2020

The DWB expended \$1,218,387.31 collectively from the FFY15, FFY17, FFY18, FFY19 State Programs Management (SPM) Set-Aside funds for SFY 2020 as described in Table 7-A. FFY15 funds (\$878,700) were unbanked and added to the budget for FFY19 (\$1,100,400) for a total of \$1,979,100. DWB staff recorded the actual time spent conducting the eligible activities under each set-aside for reimbursement purposes.

<b>TABLE 7-A</b>					
<b>State Programs Management Element (10%)</b>					
<b>Total Expenditures for SFY 2020</b>					
DWSRLF Funding Source	Actual* SFY 2020 QTR 1 Expenditures	Actual SFY 2020 QTR 2 Expenditures	Actual SFY 2020 QTR 3 Expenditures	Actual SFY 2020 QTR 4 Expenditures	TOTAL Actual SFY 2020 Expenditures
FFY17	\$0	\$4,952.10	\$0	\$0	\$4,952.10
FFY18	\$0	\$225,161.66	\$462,53	\$0	\$225,627.19
FFY19+15	\$0	\$480,939.91	\$296,693.29	\$210,172.82	\$987,806.02
<b>SFY20 Total</b>	<b>\$0.00</b>	<b>\$711,053.67</b>	<b>\$297,208.29</b>	<b>\$210,172.82</b>	<b>\$1,218,385.31</b>

\*invoices for Q1 & Q2 were submitted to NMFA combined; both quarter totals appear in Q2.

<b>TABLE 7-B</b>						
<b>State Programs Management Element (10%)</b>						
<b>Total Expenditures by FFY Capitalization Grant</b>						
Awards Allocated to Set-Aside	Total Set-Aside Allocated	Specified Amount	Unspecified Amount	Unspecified Amount Transferred to Loan Fund	Specified Expenditures through 06/30/2020	Estimated Ending Balance as of 06/30/2020
FFY97	\$1,275,980	\$1,275,980	\$0	\$0	\$1,275,980	\$0
FFY98-99	\$1,458,510	\$1,458,510	\$0	\$0	\$1,458,510	\$0
FFY00	\$775,700	\$775,700	\$0	\$0	\$775,700	\$0
FFY01	\$778,910	\$778,910	\$0	\$0	\$778,910	\$0
FFY02	\$805,250	\$805,250	\$0	\$0	\$805,250	\$0
FFY03	\$800,410	\$800,410	\$0	\$0	\$800,410	\$0
FFY04	\$830,310	\$830,310	\$0	\$0	\$830,310	\$0
FFY05	\$828,550	\$828,550	\$0	\$0	\$828,550	\$0
FFY06	\$822,930	\$822,930	\$0	\$0	\$822,930	\$0
FFY07	\$822,900	\$822,900	\$0	\$0	\$822,900	\$0
FFY08	\$814,600	\$814,600	\$0	\$0	\$814,600	\$0
FFY09	\$814,600	\$814,600	\$0	\$0	\$814,600	\$0
FFY09 (ARRA)	\$1,950,000	\$1,950,000	\$0	\$0	\$1,950,000	\$0
FFY 2010	\$1,357,300	\$1,357,300	\$0	\$28,098	\$1,329,202	\$0
FFY 2011	\$941,800	\$941,800	\$0	\$13,201	\$928,599	\$0
FFY 2012	\$897,500	\$897,500	\$0	\$0	\$331,082	\$0
FFY 2013	\$842,100	\$842,100	\$0	\$0	\$842,100	\$0
FFY 2014	\$884,500	\$884,500	\$0	\$0	\$884,500	0
FFY 2015	\$0	\$0	\$878,700	\$0	\$878,700	\$0
FFY 2016	\$831,200	\$831,200	\$0	\$0	\$831,200	\$0
FFY 2017	\$824,100	\$824,100	\$0	\$0	\$824,923.66	-\$823.66
FFY 2018	\$1,110,700	\$1,110,700	\$0	\$0	\$885,072.81	\$225,627.19
FFY 2019	\$1,100,400	\$1,100,400	\$0	\$0	\$0	\$0
FFY 2015 + 2019			\$1,979,100	\$0	\$987,806.02	\$991,293.98
<b>TOTALS</b>	<b>\$21,568,250</b>	<b>\$20,467,850</b>	<b>\$878,700</b>	<b>\$41,299</b>	<b>\$21,501,835.49</b>	<b>\$1,216,097.51</b>



Section 1452(g)(2)(B) of the SDWA states that each State may use 10% of the set-aside funds allotted to it for State Program Management of public water supervision programs, develop and implement a capacity development strategy and an operator certification program if the State matches the expenditures with at least an equal amount of State funds. The match requirement was changed with the WIIN Act where DESRF capitalization grants awarded after December 16, 2016 do not require the State of New Mexico to provide the additional match to receive this set aside and is not applicable to the FFY17 and FFY18 capitalization grants. A summary of the specified and unspecified expenditures by FFY can be found in Table 7-B, which shows the FFY16 funds for this set-aside were spent prior to SFY19.

The activities of the State Programs set-aside are utilized by all staff in the Drinking Water Bureau. This set-aside primarily provides support to the administrative components of the capacity development programs and to the programmatic functions of the Public Water System Supervision (PWSS) program authorized under Section 1452 (g)(2)(A) of the SDWA.

#### SPM PWSS Activities Performed in SFY 2020

This set-aside primarily provides support to the programmatic functions of the PWSS grant program authorized under Section 1452 (g)(2)(B) of the SDWA. The general goals of PWSS include primacy development and maintenance, rule implementation, enforcement, compliance, improved water system data management, public outreach and information, and improved laboratory capacity. Activities performed under this Set-Aside in SFY 2020 focused on water system inspections and related compliance as well as providing guidance through emergency situations to ensure compliance and meeting the public notification requirements.

**OBJECTIVE 1:** Provide administrative support for the Public Water System Supervision Group (PWSS) to ensure that programmatic requirements are met and that program activities are of high quality and efficiently implemented

**OBJECTIVE 2:** Provide public water system supervision to ensure compliance with the SDWA and NM Drinking Water Regulations. Due to COVID-19, field site visits and sanitary surveys were halted for the remainder of FY20. Fiscal year totals may be greater than the sum of the quarterly totals due to updates in SDWIS database. For Calendar Year 2019, 316 Sanitary Surveys were due which overlaps SFY 19 and 20.

Public Water System Supervision Group - 10% State Programs Set-Aside						
Objective 2: Provide supervision to oversee compliance with SDWA and NM Drinking Water Regulations	FY19 Totals	FY20 Q1	FY20 Q2	FY20 Q3	FY20 Q4	FY20 Totals
Number of Sanitary Survey Site Visits	406	83	67	36	0	186
25% of Sanitary Surveys Due are Completed Each Quarter	122%	26%	21%	12%	0	59%
Sanitary Survey reports issued during reporting quarter	247	81	78	34	0	193
Number of Administrative Orders Finalized	2	10	7	8	4	29
Unaddressed/Open Significant Deficiencies at the end reporting quarter	481	26	258	19	45	50
Unaddressed/Open MCL candidate violations at the end of reporting period	43	24	71	41	39	39

Public Water System Supervision Group - 10% State Programs Set-Aside						
Objective 1: Provide Administrative Support for PWSS Programmatic Requirements Programmatic Outputs and Outcomes	FY19 Totals	FY20 Q1	FY20 Q2	FY20 Q3	FY20 Q4	FY20 Totals
Two Internal Staff Trainings per year	3	0	0	0	2	2
Attend four Enforcement / Compliance Coordination Meetings each year	4	1	2	1	14	18
Attendance at four PWSS Program Meetings, Conferences or Workshops each year	Multiple	1	0	1	2	4
NM Administrative Trainings	1	1	0	0	1	2
100% EPA administrative deadlines are met: 2020 Annual Compliance Report Due 7/1/2020	100%	NA	NA	NA	yes	100%

Public Water System Supervision Group - 10% State Programs Set-Aside						
Objective 2: Provide supervision to oversee compliance with SDWA and NM Drinking Water Regulations	FY19 Totals	FY20 Q1	FY20 Q2	FY20 Q3	FY20 Q4	FY20 Totals
Number of Water Systems with validated MCL Violations during reporting period	39	18	15	36	35	104
95% of scheduled PWS surveys completed by calendar year 2019	Yes	74%	95%	12%	0%*	63%**
90% of population served by PWS meets health-based standards.	96%	96 %	98%	97%	97%	97%

\*Note: The percentage denotes only the number of sanitary surveys completed during 2Q2020, as completed sanitary surveys are reported according to annual year (January to December), rather than fiscal year (July to June). All field work has halted as of March 13, 2020 in response to COVID-19 state health emergency orders.

\*\*Note: The percentage determination is based on the sum of surveys completed per quarter divided by the average of 2019 and 2020 scheduled surveys.

SPM Activities for the Capacity Development Program

The State Program Management set-aside provides support to the programmatic functions of the Capacity Development Program (CDP) authorized under Section 1452 (g)(2)(B) of the SDWA. The DWB’s Capacity Development Program strives to collaborate with NMFA to timely complete all DWSRF grant application submission and reporting requirements, administer and maintain programmatic documentation, perform strategic planning, attend administrative trainings, EPA calls and webinars, develop standard operating procedures, time keeping, training support and other administrative tasks as needed.

**OBJECTIVE 3:** Implement the administration of the Capacity Development Program to ensure that programmatic requirements are met and that program activities are of high quality and efficiently implemented.

Capacity Development Program - 10% State Programs Set-Aside					
Objective 3: SWIG Capacity Development Program Programmatic Outputs and Outcomes	Q1	Q2	Q3	Q4	FY20 Totals and Averages
Current capacity Development Strategy	Capacity development strategy last updated in SFY15				100%
SFY20 DWSRF Intended Use Plan: Due July 1, 2019	7/1/18	NA	NA	NA	100%
SFY19 Certified Operator Report: Due August 1, 2019	8/1/19	NA	NA	NA	100%
SFY19 Annual NIMS Report: Due September 15, 2019	9/15/19	NA	NA	NA	100%
SFY19 DWSRF Annual Report: Due September 30, 2019	9/30/19	NA	NA	NA	100%
SFY20 DWSRF Annual Work plan: Due December 21, 2019	NA	11/6/19	NA	NA	100%
SFY20 DWSRF Intended Use Plan: Due July 1, 2019	NA	NA	NA	May 10, 2019	100%
SFY20 DWSRF Project Prioritization Criteria: Due July 1, 2019	NA	NA	NA	May 10, 2019	100%
All annual reports submitted on time	Yes	Yes	Yes	Yes	100%
NMFA quarterly reports submitted on time.	Yes	No	No	No	0%

#### SPM Activities for the Utility Operator Certification Program

The State Program Management set-aside provides support to the programmatic functions of the Utility Operator Certification Program (UOCP) authorized under Section 1452 (g)(2)(B) of the SDWA. General goals of UOCP are to track and maintain water operator testing status in the CERTMAN database, updating training and testing databases and processing all renewal applications submitted for certification for drinking water operator certifications. Operator Certification information is gathered from the Surface and Ground Water Quality, and Drinking Water Bureaus, Operator Certification Program and the DWB SDWA information for inclusion in the annual *Operator Certification Report*. Prepare any other reports required by EPA, NMFA or the legislature. This funding is also used to develop and implement new and existing New Mexico Drinking Water Regulation, develop standard operating procedures, develop an enforcement policy, perform strategic planning, coordinate testing locations, and identify violations and notify operators and PWSs of all violations in a timely manner.

OBJECTIVE 4: Implement the administration of New Mexico’s Utility Operator Certification Program (UOCP) to ensure that all programmatic requirements are met.

Utility Operator Certification Program - 10% State Programs Set-Aside					
Objective 4: Administer the UOCP to ensure programmatic requirements are met and program activities are of high quality and efficiently implemented	Q1	Q2	Q3	Q4	FY20 Totals and Averages
100% of operator exam applications processed on time	100%	100%	100%	100%	100%
Attend UOCP meetings	Yes	Yes	Yes	Yes	100%
Annual Operator Certification Report by August 1, 2019	Yes	NA	NA	NA	100%
Percentage of active PWS with a certified operator	95%	91%	91%	93%	93%
90% of PWSs will have a certified operator of the appropriate level operating their system.	Yes	Yes	Yes	Yes	Yes
Number of Community PWS w/o certified operator	24	24	24	24	25
Number of NC PWS w/o certified operator	30	19	19	27	25
Number of NTNC PWS w/o certified operator	3	1	2	2	2
Total number of active PWS	1,080	1,077	1,077	1,079	1,078

SPM Assessment of SFY20 Work Plan Achievements

A significant increase in workload with existing still limited resources across the Sustainable Water Infrastructure Group and Capacity Development Program and delays in the NMED Administrative Services Division finance group have led to delays in submitting quarterly DWSRF Set-Aside Activity Invoice reports to NMFA. We are hopeful SFY21 will allow for a return to on-time reporting. COVID-19 affected the number of sanitary surveys that could be done this fiscal year. COVID-19 also led to a suspension of in-person testing sessions for Utility Operator Certifications.

*Local Assistance and Other State Programs 15% Set Aside*

The Local Assistance and Other State Programs Set–Aside is used to support multiple DWB programs under two sub-elements: Capacity Development which uses 10% and Source Water Protection Program

which uses 5% of this set-aside. The Capacity Development sub-element funds the Technical Services, Community Services, Engineering, and Utility Operator Certification Programs.

*Capacity Development Sub-Element Set-Aside 10%*

Capacity Development Staff and Agency Resources in SFY 2020

The SDWA Section 1452(k)(1)(B) authorizes states to use 10% of the FFY2019 Capitalization Grant Set-Aside, which totals \$955,400 to provide assistance, including technical and financial assistance, to any public water system as part of a capacity development strategy developed and implemented in accordance with section 1420(c).

The DWB expended \$837,187.56 collectively from the FFY17, FFY18, and FFY19 set-aside funds under this category for SFY 2019 activity expenses as described in table 8-A. DWB staff recorded the actual time spent conducting the eligible activities under each set-aside for reimbursement purposes. The three assistance teams primarily expend these funds through staff positions and contract work for training and engineering reviews. The estimated remaining balance as of June 30, 2020 is \$382,441.43 as shown in table 8-B below.

<b>Table 8-A Capacity Development Sub Element (10%) Total Expenditures for SFY 2020</b>					
<b>DWSRLF Funding Source</b>	<b>Actual SFY 2020 QTR 1 Expenditures</b>	<b>Actual SFY 2020 QTR 2 Expenditures</b>	<b>Actual SFY 2020 QTR 3 Expenditures</b>	<b>Actual SFY 2020 QTR 4 Expenditures</b>	<b>TOTAL Actual SFY 2020 Expenditures</b>
FFY17		\$7,605.82			\$7,605.82
FFY18		\$227,828.80	\$10,606.21	\$11,754.44	\$250,189.45
FFY19		\$259,409.03	\$186,420.43	\$133,562.83	\$579,392.29
<b>SFY19 Total</b>	<b>\$4,049.10</b>	<b>\$494,843.65</b>	<b>\$197,026.64</b>	<b>\$145,317.27</b>	<b>\$837,187.56</b>

**Table 8-B**  
**Capacity Development Sub-Element (10%)**  
**Total Expenditures by FFY Capitalization Grant**

Federal Awards Allocated to Set Aside	Total Set-Aside Allocated	Specified Amount	Unspecified Amount	Amount Transferred to Loan Fund or EPA In-kind services	Specified Expenditures through 06/30/2020	Estimated Ending Balance as of 06/30/2020
FFY97	\$537,990	\$537,990	\$0	\$0	\$537,990	\$0
FFY98-99	\$1,312,659	\$1,312,659	\$0	\$0	\$1,312,659	\$0
FFY00	\$698,130	\$698,130	\$0	\$0	\$698,130	\$0
FFY01	\$778,910	\$778,910	\$0	\$0	\$778,910	\$0
FFY02	\$805,205	\$805,205	\$0	\$0	\$805,205	\$0
FFY03	\$800,410	\$800,410	\$0	\$0	\$800,410	\$0
FFY04	\$830,310	\$830,310	\$0	\$0	\$830,310	\$0
FFY05	\$828,550	\$828,550	\$0	\$0	\$828,550	\$0
FFY06	\$822,930	\$822,930	\$0	\$0	\$822,930	\$0
FFY07	\$822,900	\$822,900	\$0	\$0	\$822,900	\$0
FFY08	\$814,600	\$814,600	\$0	\$37,753	\$776,847	\$0
FFY09	\$814,600	\$814,600	\$0	\$0	\$814,600	\$0
FFY09 (ARRA)	\$0	\$0	\$0	\$0	\$0	\$0
FFY 2010	\$1,357,300	\$1,357,300	\$0	\$0	\$1,357,300	\$0
FFY 2011	\$941,800	\$941,800	\$0	\$276,513	\$665,287	\$0
FFY 2012	\$897,500	\$897,500	\$0	\$0	\$897,500	\$0
FFY 2013	\$842,100	\$842,100	\$0	\$0	\$842,100	\$0
FFY 2014	\$884,500	\$884,500	\$0	\$0	\$884,500	\$0
FFY 2015	\$878,700	\$878,700	\$0	\$0	\$877,133	\$0
FFY 2016	\$831,200	\$831,200	\$0	\$400,000	\$831,000	\$0
FFY 2017	\$824,100	\$824,100	\$0	\$500,000	\$824,100.00	\$0
FFY 2018	\$1,110,700	\$1,110,700	\$0	\$0	\$1,104,266.28	\$6,433.72
FFY 2019	\$955,400	\$955,400	\$0	\$0	\$579,392.29	\$376,007.71
<b>TOTALS</b>	<b>\$18,435,094</b>	<b>\$18,435,094</b>	<b>\$0</b>	<b>\$1,214,266</b>	<b>\$18,692,019.57</b>	<b>\$382,441.43</b>

Capacity Development Sub-Element Activities Performed in SFY 2020

The key goals of the DWB’s Capacity Development program are to assess the Technical, Managerial and Financial Capacity of PWSs to operate in compliance with the SDWA and to offer assistance or training through the development of an Assistance Work Plan. Activities also include administration of the DWSRLF and assistance with the funding process, review of engineering applications for construction or modification of water systems for all drinking water infrastructure projects in the state; and development of an active Area-Wide Optimization Program (AWOP).

Capacity Annual Outcomes and Outputs for SFY 2020

**OBJECTIVE 1:** Assess the technical, managerial, and financial capacity of community and non-transient, non-community public water systems.

Capacity Development Sub-Element Set-Aside (10%)					
Objective 1: Assess the TMF capacity of PWSs Programmatic Outputs and Outcomes	Q1	Q2	Q3	Q4	FY20
Number of systems that received new or updated Capacity Assessments and Assistance Work Plans	3	0	1	6	10
100% of systems issued administrative orders are offered a capacity assessment	100%	100%	100%	100%	100%
100% of the systems that are triggered and submit supplemental documents are assessed to determine capacity	100%	100%	100%	100%	100%

**OBJECTIVE 2:** Provide water systems with assistance in achieving technical, managerial and financial capacity development milestones to improve PWS compliance and qualify for DWSRLF.

The engineering timeframe tracking is behind in Quarter 1 due to the manager vacancies of the Engineering Program and Technical Services Program. The Engineering manager position was filled September 23, 2019 and the Technical Services manager position was filled January 13, 2020.



Capacity Development Sub-Element Set-Aside (10%)					
Objective 2: Provide assistance to PWSs in achieving TMF Capacity milestones Programmatic Outputs and Outcomes	Q1	Q2	Q3	Q4	FY20 <sup>5</sup>
Number of PWS receiving assistance that is not specifically to achieve compliance	216	155	133	217	721
Total Number of Assistance Actions not specifically to achieve compliance	669	504	470	596	2,239
Number of PWS that receive assistance to accomplish capacity milestones in assistance work plan	15	16	12	6	49
Review a minimum of 30 Plans and Specifications	52	56	46	44	197
Number of PWS provided Engineering Reviews	42	44	44	40	129
Percentage of engineering reviews completed that meet regulatory timeframes	82%	100%	100%	98%	95%
100% of the systems that commit to a capacity development workplan receive capacity development assistance	100%	100%	100%	100%	100%

**OBJECTIVE 3:** Administer the DWSRLF and provide assistance with the funding process.

Capacity Development Sub-Element Set-Aside (10%)					
Objective 3: Administer DWSRF and provide assistance on DWSRLF Process Programmatic Outputs and Outcomes	Q1	Q2	Q3	Q4	FY20
Total number of PIFs submitted.	8	9	30	6	53
Number of Projects on the Fundable and Comprehensive List	24	21	22	0	67
Report on number of coordination meetings held with NMFA.	3	3	3	3	12
Number of PIFs with supplemental docs submitted.	2	0	14	1	17
100% of PIFs submitted are responded to in 5 business days.	100%	100%	100%	100%	100%

<sup>5</sup> Annual number of systems assisted is not equal to the sum of each quarter due to ongoing assistance actions that exceed one quarter

100% of all systems that submitted supplemental documents will receive capacity assessments.	100%	100%	100%	100%	100%
All DWSRF fundable and comprehensive lists published by IUP deadline.	Yes	Yes	Yes	Yes	100%

**OBJECTIVE 4:** Provide group training sessions on TMF capacity and participate in outreach events.

The number of trainings presented by staff are low due to Tech Team vacancies and no contractor contracts active in fall 2019, and COVID-19 restrictions beginning in March 2020.

Capacity Development Sub-Element Set-Aside (10%)					
Objective 4: Provide group training sessions on TMF capacity and participate in outreach events	Q1	Q2	Q3	Q4	FY20
Number of classroom trainings/ presentations by staff for System Managers (Boards)	1	4	0	0	5
Number of classroom trainings/ presentations by staff for Operators	2	3	0	1	6
Free training offered to board members/ managers by contractors each quarter	1	6	1	0	8
Number of classroom trainings/ presentations by Contractors for Operators (only online trainings)	0	0	0	10	10
Report the Rate Survey Results Annually. (Number of Rate Surveys received?)	NA	NA	NA	NA	426

**OBJECTIVE 5:** Develop and maintain participation in EPA’s Area Wide Optimization Program (AWOP) in order to provide technical assistance for capacity development.

Due to Tech Services Team vacancy rates of 50-75% in SFY Quarters 1&2, very little was able to be accomplished with AWOP activities. As of Quarter 3, the team achieved a 25% vacancy rate. AWOP activities in Quarters 3 & 4 were also low due to COVID-19 restrictions.

Capacity Development Sub-Element Set-Aside (10%)					
Objective 5: Develop and maintain the Area Wide Optimization Program to provide technical assistance for capacity development.	Q1	Q2	Q3	Q4	FY19
Number of systems participating in AWOP assistance activities	4	0	0	0	4
Number of AWOP assistance actions completed	12	0	0	0	12
100% of EPAs AWOP participation requirements are completed	Yes	Yes	Yes	Yes	Yes

**OBJECTIVE 6:** Develop and implement policies and procedures to maintain the Utility Operator Certification Program including administering exams, outreach, work with UOCP advisory board, hold stakeholder/board meetings.

Updates: All UOCP exams have been in-person, paper exams at designated sessions scheduled throughout the year (6-9 sessions). Due to COVID-19, the last exam session held in SFY20 was January 2020. The April and June exam sessions and all subsequent 2020 sessions were cancelled due to COVID-19 health restrictions. The UOCP suspended the acceptance of new exam applications between mid-May and mid-August 2020, lowering the number of applications received, reviewed, and approved for Quarter 4. The UOCP has been developing web-based testing with the Association of Boards of Certification (ABC) since June 2020. This new testing service will completely replace the old large, paper-based exam sessions and will be available by mid-October 2020.

Capacity Development Sub-Element Set-Aside (10%)					
Objective 6: Develop and implement policies and procedures to maintain the Utility Operator Certification Program including administering exams, outreach, work with UOCP advisory board, hold stakeholder/board meetings.	Q1	Q2	Q3	Q4	FY20
Total number of water renewals, new water and sampler certifications issued	962	242	177	276	1,657
Total number of water and sampler applications approved to test	619	139	120	91	969
Total number of operator training hours approved	9,083	6,742	10,014	3,672	29,511
100% of applications received are processed on time for the test requested.	100%	100%	100%	100%	100%

Capacity Development Sub-Element Assessment of Work Plan Achievements

The DWB was mostly successful in meeting the outcomes and outputs established in the SFY 2020 work plan and will continue to conduct activities under this set-aside and evaluate ways to improve work processes and outputs. SWIG has made significant progress this year in effectively utilizing contract services to review engineering applications and assist with the backlog and in filling the long-vacant Engineering program manager position. The number of assistance actions was similar to SFY19 at 3,672. The Community Services Program went from fully staffed to a team of 4 of 5 positions filled. The Technical Services Team lost one staff and gained two to end the year with 3 of 4 positions filled.

*Source Water and Wellhead Protection (SWWP) Sub-Element (5%)*

The SDWA Section 1452(k)(1)(D) authorizes states to use the remaining 5% of the FFY2019 Capitalization Grant Set-Aside, which totals \$550,200 to make expenditures from the fund for the establishment and implementation of source water protection programs under section 1428. The DWB program name under this set-aside has updated to Source Water Protection Program.

The DWB expended \$241,514.94 collectively from the FFY17 and FFY18 set-aside funds under this category for SFY 2020 activity expenses as described in table 9-A. DWB staff recorded the actual time spent conducting the eligible activities under each set-aside for reimbursement purposes.

The estimated remaining balance as of June 30, 2020 is \$968,915.38 as shown in table 9-B. NMFA and NMED received approval to extend the use of FFY17 and FFY18 grant funds to December 31, 2020. The majority of remaining grant funds for these grants will be spent on a PFAS project with USGS.

<b>TABLE 9-A</b>					
<b>Source Water and Wellhead Protection Sub Element (5%)</b>					
<b>Total Expenditures for SFY 2020</b>					
<b>DWSRLF Funding Source</b>	<b>Actual SFY 2020 QTR 1 Expenditures</b>	<b>Actual SFY 2020 QTR 2 Expenditures</b>	<b>Actual SFY 2020 QTR 3 Expenditures</b>	<b>Actual SFY 2020 QTR 4 Expenditures</b>	<b>TOTAL Actual SFY 2020 Expenditures</b>
FFY17		\$51,485.56	\$581.09	\$20,598.48	\$72,665.13
FFY18		\$0	\$114,956.19	\$53,983.62	\$168,849.81
FFY19	\$0	\$0	\$0	\$0	\$0
<b>SFY19 Total</b>	<b>\$ 0.00</b>	<b>\$51,485.56</b>	<b>\$115,537.28</b>	<b>\$74,582.10</b>	<b>\$241,514.94</b>

**TABLE 9-B****Source Water and Wellhead Protection Sub Element (5%)****Total Expenditures FFY Capitalization Grant**

Federal Awards Allocated to Set-Aside	Total Set-Aside Allocated	Specified Amount	Unspecified Amount	Unspecified Amount Transferred to Loan Fund	Specified Expenditures thru 06/30/19	Estimated Ending Balance as of 06/30/2019
FFY97	\$1,375,980	\$1,375,980	\$0	\$0	\$1,375,980	\$0
FFY98-99	\$875,106	\$875,106	\$0	\$0	\$875,106	\$0
FFY00	\$465,420	\$465,420	\$0	\$0	\$465,420	\$0
FFY01	\$389,455	\$389,455	\$0	\$0	\$389,455	\$0
FFY02	\$402,670	\$402,670	\$0	\$0	\$402,670	\$0
FFY03	\$400,205	\$400,205	\$0	\$0	\$400,205	\$0
FFY04	\$415,155	\$415,155	\$0	\$0	\$415,155	\$0
FFY05	\$414,275	\$414,275	\$0	\$0	\$414,275	\$0
FFY06	\$411,465	\$411,465	\$0	\$0	\$411,465	\$0
FFY07	\$411,450	\$411,450	\$0	\$0	\$411,450	\$0
FFY08	\$407,300	\$407,300	\$0	\$164,428	\$242,872	\$0
FFY09	\$407,300	\$407,300	\$0	\$0	\$407,300	\$0
FFY09 (ARRA)	\$0	\$0	\$0	\$0	\$0	\$0
FFY 2010	\$678,650	\$678,650	\$0	\$325,081	\$353,569	\$0
FFY 2011	\$470,900	\$470,900	\$0	\$462,542	\$8,358	\$0
FFY 2012	\$448,750	\$448,750	\$0	\$0	\$413,279	\$0
FFY 2013	\$421,050	\$421,050	\$0	\$0	\$421,050	\$0
FFY 2014	\$442,250	\$442,250	\$0	\$0	\$442,250	\$0
FFY 2015	\$439,350	\$439,350	\$0	\$146,308	\$439,350	\$0
FFY 2016	\$415,600	\$415,600	\$0	\$415,600	\$0	\$0
FFY 2017	\$412,050	\$412,050	\$0	\$0	\$317,945.86	\$94,104
FFY 2018	\$555,350	\$555,350	\$0	\$0	\$230,738.76	\$324,611.24
FFY 2019	\$550,200	\$550,200	\$0	\$0	\$0	\$550,200.00
<b>TOTALS</b>	<b>\$11,209,931</b>	<b>\$10,659,731</b>	<b>\$0</b>	<b>\$1,513,959</b>	<b>\$8,837,893.62</b>	<b>\$968,915.24</b>

SWP Staff and Agency Resources in SFY 2020

For the past few years, the Source Water Protection Program has expended funds at a less than ideal rate due primarily to low staffing and other bureau priorities (such as the Lead program in 2017-2019). The program has not been fully staffed in nearly eight years and in SFYQ2 the program manager moved to the vacated Sustainable Water Infrastructure Group manager position, leaving only one SWP staff member. The second vacant staff position was filled January 13, 2020. The SWP manager position has been hired and will be filled starting November 2, 2020.

SWP Activities Performed in SFY 2020

The Source Water Protection (SWP) Program primarily expended set-aside funds through staff positions and contractors who update or develop assessments and protection plans targeting assistance to water systems serving large populations, threatened by actual contaminant sources, or experiencing sustainability challenges. In SFY20, the SWP program has reduced the amount and type of work relied upon by contractors. Source water assessments and plans are developed in-house, and contract work is reserved for specialty tasks such as hydrologic modeling for well capture zones to define source water areas or for special studies. A special study developed in SFY20 Quarter 3&4 is the PFAS sampling strategy for DWB, working with the U.S. Geological Survey through a MOA to sample for PFAS in ground water and surface water throughout New Mexico. Additionally, the SWP team reviews NEPA and Subdivision projects, and sampling waivers.

**OBJECTIVE 1:** Update program objectives to develop and promote a Sustainable Source Water Protection Plan that includes tools for community planning to develop a long term sustainable water supply that meets regulatory standards. Provide assistance to PWS in community planning for long term sustainability in water quality and quantity.

Source Water & Wellhead Protection Program – 5% Capacity Development Set Aside					
Objective 1: Provide assistance developing or updating Source Water Protection Plans	Q1	Q2	Q3	Q4	FY20
Number of systems that received source water assistance	8	8	11	9	14*
75% of population served by CWS have an implemented plan	61%	60.3%	61%	61%	61.8%

*\*14 Unique Systems assisted; FY count is higher due to assisting the same system across multiple quarters.*

**OBJECTIVE 2:** Update Source Water Assessments (SWA) for active drinking water sources and contaminant inventories for new systems.

Source Water & Wellhead Protection Program – 5% Capacity Development Set Aside					
Objective 2: Provide assistance developing or updating source water assessments or contaminant inventories.	Q1	Q2	Q3	Q4	FY20
Number of systems receiving assistance for SWP assessments (and plans)	8	8	11	9	14*
Number of Monitoring Waivers Reviewed	0	19	32	19	70
Number of Environmental Assessments and Subdivision Reviews completed	16	19	26	39	100
100% of Waivers submitted will be reviewed within 90 days	100%	100%	100%	64%	91%

*\*14 Unique Systems assisted; FY count is higher due to assisting the same system across multiple quarters.*

**OBJECTIVE 3:** Provide group training sessions on Source Water and Wellhead Protection and participate in outreach events to promote the voluntary program.

Source Water & Wellhead Protection Program – 5% Capacity Development Set Aside					
Objective 3: Provide group training sessions on potential sources of contamination and the importance of the planning process	Q1	Q2	Q3	Q4	FY20
Number of training events held, and topic taught	0	1	0	0	1
75% of [all] PWS initiate SWPP process	Not	5% of all PWS 7% of active Com. PWS	5% of all PWS 7% of active Com. PWS	5% of all PWS 7% of active Com. PWS	5% of all PWS 7% of active Com. PWS

**OBJECTIVE 4:** Provide technical assistance to NM communities faced with water shortages or water quality challenges for the purpose of preserving and protecting source waters to ensure NM’s communities have a safe, clean, and sustainable supply of water.

Source Water & Wellhead Protection Program – 5% Capacity Development Set Aside					
Objective 4: Provide technical assistance to systems investigating the source or potential solutions to water quality or quantity problems	Q1	Q2	Q3	Q4	FY20
Number of assistance actions for source water assessments and protection plans	154	102	104	162	522
75% of systems that receive assistance initiate the SWPP process	Not Tracked	95%	95%	95%	95%

V. COMPLIANCE WITH OPERATING AGREEMENT AND GRANT CONDITIONS

The State has complied with the conditions set forth under 40 CFR 35.3570(a)(3). Specifically, the NMFA has:

- Provided assistance only to eligible PWSs and for eligible projects and project-related costs under § 35.3520.
- Provided assistance only for eligible set-aside activities under §35.3535 and conducted activities consistent with work plans and other requirements of §35.3535 and §35.3540.
- Used fees for eligible purposes under §35.3530(b)(3) and assessed fees included as principal in a loan in accordance with the limitations in §35.3530(b)(3)(i) through (b)(3)(iii). The NMFA charges a 1% cost of issuance fee to cover the legal and closing costs of each loan. This 1% fee is included in the loan as principal and is held in an account outside of the Fund. In addition, the NMFA builds into its DWSRLF interest rate a 0.25% administrative fee that is assessed on the outstanding balance of the loan. For disadvantaged borrowers whose loans carry a 0% interest rate, NMFA charges a 0.25% administrative fee, making the effective interest rate of a 0% loan 0.25%. The administrative fees are held outside of the Fund and are used to pay NMFA’s overhead costs and program administration costs which are not already funded by the 4% administrative set-aside.
- Reviewed all DWSRLF program funded projects and activities for compliance with Federal cross-cutting authorities that apply to the State as a grant recipient and those which apply to



- assistance recipients in accordance with § 35.3575. The State Environmental Review Procedure outlines additional Federal authority requirements to which applicants are required to comply and notify regarding the proposed project. The NMFA chief executive officer, through a contractor, verifies that this compliance has occurred.
- Reviewed all DWSRLF program funded projects and activities in accordance with approved State Environmental Review Procedures under § 35.3580. In accordance with the State Environmental Review Procedure, the NMFA requires a DWSRLF applicant to prepare an EID that the NMFA chief executive officer, through a contractor, reviews and upon which a finding is issued. Each project financed through the DWSRLF has adhered to this procedure and the NMFA chief executive officer has published an environmental finding for each project.
  - Reviewed all DWSRLF program funded projects and activities for compliance with all Federal grant conditions, SRF assurances, certifications and with State laws and procedures including but not limited to the Davis-Bacon Wage Act (40 U.S.C. § 3141 et seq.); the Environmental Protection Agency's Program for Utilization of Minority and Women's Business Enterprises; the requirements of Executive Order dated September 25, 2012 on Strengthening Protections Against Trafficking in Persons in Federal Contracts; and all federal requirements applicable to the Loan (including those imposed by P.L. 113-76, 2014 Consolidated Appropriations Act, Section 436 and related SRF Policy Guidelines) which the Association understands includes, among other, requirements that all of the iron and steel products used in the Project are to be produced in the United States ("American Iron and Steel Requirement").

In addition, the State has complied with the conditions of the DWSRLF operating agreement and continues to be in compliance with the following conditions as described in the Operating Agreement:

- Establish State instrumentality and authority;
- Comply with applicable State laws and procedures;
- Review technical, financial, and managerial capacity of assistance recipients;
- Establish DWSRLF loan account, set-aside account, and DWSRLF administration account;
- Deposit all funds in appropriate accounts;
- Follow State accounting and auditing procedures;
- Require DWSRLF loan recipient accounting and auditing procedures;
- Submit IUP and use all funds in accordance with the plan;
- Comply with enforceable requirements of the SDWA;

- Establish capacity development authority;
- Implement/maintain system to minimize risk of waste, fraud, abuse, and corrective action; and
- Develop and submit project priority ranking system.

ATTACHMENT A  
 SFY 2020  
 CASH FLOW MODEL

	SFY	SFY	SFY	SFY
	2019	2020	2021	2022
<b>Capitalization Grant</b>	<b>11,107,000</b>	<b>11,004,000</b> <sup>4</sup>	<b>11,000,000</b>	<b>11,000,000</b>
Set-Asides Portion of Capitalization Grant (31% except in SFY 2010)	3,443,170	3,411,240	3,410,000	3,410,000
Loan Portion of Capitalization Grant (69% except in SFY 2010)	7,663,830	7,592,760	7,590,000	7,590,000
<b>Loan Program Resources</b>				
Loan Portion of Capitalization Grant (69% except in SFY 2010, 201	7,663,830	7,592,760	5,237,100	5,237,100
State Match (20% of Capitalization Grant except in SFY 2010)	2,221,400	2,200,800	2,200,000	2,200,000
Loan Repayments - Actual	7,573,379	7,206,631	0	0
Loan Repayments - Projected	0	0	5,784,472	5,819,277
Investment Earnings <sup>5</sup>	1,377,805	1,719,478	1,294,505	1,463,929
Other	0	0	0	0
Bond Proceeds	0	0	0	0
<b>Annual Program Resources</b>	<b>18,836,414</b>	<b>18,719,669</b>	<b>14,516,077</b>	<b>14,720,307</b>
<b>Loan Program Uses</b>				
0% Loans	2,006,086	3,454,762	2,059,164	1,205,527
1% Loans <sup>6</sup>	0	11,746,192	3,182,344	4,931,703
2% Loans	12,839,322	0	0	0
3% Loans	0	0	0	0
4% Loans	0	0	0	0
Principal Forgiveness <sup>7</sup>	4,462,749	7,830,795	5,803,097	3,397,395
Bond Payments	0	0	11,231,801	0
<b>Annual Program Uses</b>	<b>19,308,157</b>	<b>23,031,750</b>	<b>22,276,406</b>	<b>9,534,626</b>
<b>Cumulative Program Uses</b>	<b>235,812,866</b>	<b>258,844,616</b>	<b>22,276,406</b>	<b>31,811,032</b>
<b>Annual Program Balance (Resources less Uses)</b>	<b>(471,743)</b>	<b>(4,312,081)</b>	<b>(7,760,329)</b>	<b>5,185,681</b>
<b>Cumulative Program Balance</b>	<b>23,031,750</b>	<b>18,719,669</b>	<b>10,959,340</b>	<b>16,145,021</b>
<b>Projection Assumptions</b>				
Rate of Return on Investments <sup>5</sup>	3.63%	5.30% <sup>2</sup>	8.47%	9.35%
Percentage of Loan Resources Awarded as 0% Loans <sup>5</sup>	10.39%	15.03% <sup>3</sup>	11.13%	11.13%
Percentage of Loan Resources Awarded as 1% Loans <sup>6</sup>	0.00%	51.12%	17.04%	44.89%
Percentage of Loan Resources Awarded as 2% Loans <sup>5</sup>	66.50%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as 3% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as 4% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as Principal Forgiveness <sup>5</sup>	23.11%	33.85%	31.50%	31.50%
	100.00%	100.00%	59.67%	87.52%

	SFY	SFY	SFY	SFY
	2023	2024	2025	2026
<b>Capitalization Grant</b>	<b>11,000,000</b>	<b>11,000,000</b>	<b>0</b>	<b>0</b>
Set-Asides Portion of Capitalization Grant (31% except in SFY 2010)	3,410,000	3,410,000	0	0
Loan Portion of Capitalization Grant (69% except in SFY 2010)	7,590,000	7,590,000	0	0
<b>Loan Program Resources</b>				
Loan Portion of Capitalization Grant (69% except in SFY 2010, 2011)	5,237,100	5,237,100	0	0
State Match (20% of Capitalization Grant except in SFY 2010)	2,200,000	2,200,000	0	0
Loan Repayments - Actual	0	0	0	0
Loan Repayments - Projected	5,916,224	5,996,488	6,097,241	6,195,545
Investment Earnings <sup>5</sup>	1,492,638	1,417,024	1,457,864	1,455,842
Other	0	0	0	0
Bond Proceeds	0	0	0	0
<b>Annual Program Resources</b>	<b>14,845,962</b>	<b>14,850,612</b>	<b>7,555,105</b>	<b>7,651,387</b>
<b>Loan Program Uses</b>				
0% Loans	1,775,952	2,059,284	2,789,215	1,133,266
1% Loans <sup>6</sup>	5,489,307	7,113,891	15,805,550	6,421,839
2% Loans	0	0	0	0
3% Loans	0	0	0	0
4% Loans	0	0	0	0
Principal Forgiveness <sup>7</sup>	5,004,957	5,803,438	0	0
Bond Payments	0	0	0	0
<b>Annual Program Uses</b>	<b>12,270,216</b>	<b>14,976,613</b>	<b>18,594,765</b>	<b>7,555,105</b>
<b>Cumulative Program Uses</b>	<b>44,081,248</b>	<b>59,057,861</b>	<b>77,652,626</b>	<b>85,207,731</b>
<b>Annual Program Balance (Resources less Uses)</b>	<b>2,575,746</b>	<b>(126,002)</b>	<b>(11,039,660)</b>	<b>96,282</b>
<b>Cumulative Program Balance</b>	<b>18,720,767</b>	<b>18,594,765</b>	<b>7,555,105</b>	<b>7,651,387</b>
<b>Projection Assumptions</b>				
Rate of Return on Investments <sup>5</sup>	9.64%	6.00%	6.00%	6.00%
Percentage of Loan Resources Awarded as 0% Loans <sup>5</sup>	11.13%	11.13%	15.00%	15.00%
Percentage of Loan Resources Awarded as 1% Loans <sup>6</sup>	34.08%	37.68%	85.00%	85.00%
Percentage of Loan Resources Awarded as 2% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as 3% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as 4% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as Principal Forgiveness <sup>5</sup>	31.50%	31.50%	0.00%	0.00%
	76.71%	80.31%	100.00%	100.00%

	SFY	SFY	SFY	SFY
	2027	2028	2029	2030
<b>Capitalization Grant</b>	0	0	0	0
<b>Set-Asides Portion of Capitalization Grant (31% except in SFY 2010)</b>	0	0	0	0
<b>Loan Portion of Capitalization Grant (69% except in SFY 2010)</b>	0	0	0	0
<b>Loan Program Resources</b>				
<b>Loan Portion of Capitalization Grant (69% except in SFY 2010, 2011)</b>	0	0	0	0
<b>State Match (20% of Capitalization Grant except in SFY 2010)</b>	0	0	0	0
<b>Loan Repayments - Actual</b>	0	0	0	0
<b>Loan Repayments - Projected</b>	6,061,777	6,163,763	5,340,790	4,214,152
<b>Investment Earnings <sup>5</sup></b>	1,443,577	1,452,427	1,450,615	1,448,873
<b>Other</b>	0	0	0	0
<b>Bond Proceeds</b>	0	0	0	0
<b>Annual Program Resources</b>	<b>7,505,354</b>	<b>7,616,190</b>	<b>6,791,405</b>	<b>5,663,025</b>
<b>Loan Program Uses</b>				
<b>0% Loans</b>	1,147,708	1,125,803	1,142,428	1,018,711
<b>1% Loans <sup>6</sup></b>	6,503,679	6,379,550	6,473,761	5,772,694
<b>2% Loans</b>	0	0	0	0
<b>3% Loans</b>	0	0	0	0
<b>4% Loans</b>	0	0	0	0
<b>Principal Forgiveness <sup>7</sup></b>	0	0	0	0
<b>Bond Payments</b>	0	0	0	0
<b>Annual Program Uses</b>	<b>7,651,387</b>	<b>7,505,354</b>	<b>7,616,190</b>	<b>6,791,405</b>
<b>Cumulative Program Uses</b>	92,859,118	100,364,471	107,980,661	114,772,066
<b>Annual Program Balance (Resources less Uses)</b>	(146,033)	110,836	(824,785)	(1,128,380)
<b>Cumulative Program Balance</b>	<b>7,505,354</b>	<b>7,616,190</b>	<b>6,791,405</b>	<b>5,663,025</b>
<b><u>Projection Assumptions</u></b>				
Rate of Return on Investments <sup>5</sup>	6.00%	6.00%	6.00%	6.00%
Percentage of Loan Resources Awarded as 0% Loans <sup>5</sup>	15.00%	15.00%	15.00%	15.00%
Percentage of Loan Resources Awarded as 1% Loans <sup>6</sup>	85.00%	85.00%	85.00%	85.00%
Percentage of Loan Resources Awarded as 2% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as 3% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as 4% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as Principal Forgiveness <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
	100.00%	100.00%	100.00%	100.00%

	SFY	SFY	SFY	SFY	SFY
	2031	2032	2033	2034	2035
Capitalization Grant	0	0	0	0	0
Set-Asides Portion of Capitalization Grant (31% except in SFY 2010)	0	0	0	0	0
Loan Portion of Capitalization Grant (69% except in SFY 2010)	0	0	0	0	0
<b>Loan Program Resources</b>					
Loan Portion of Capitalization Grant (69% except in SFY 2010, 2011)	0	0	0	0	0
State Match (20% of Capitalization Grant except in SFY 2010)	0	0	0	0	0
Loan Repayments - Actual	0	0	0	0	0
Loan Repayments - Projected	4,026,443	2,930,279	2,910,952	2,707,798	2,334,996
Investment Earnings <sup>5</sup>	1,450,639	1,450,042	1,449,851	1,450,177	1,450,024
Other	0	0	0	0	0
Bond Proceeds	0	0	0	0	0
<b>Annual Program Resources</b>	<b>5,477,081</b>	<b>4,380,321</b>	<b>4,360,804</b>	<b>4,157,976</b>	<b>3,785,020</b>
<b>Loan Program Uses</b>					
0% Loans	849,454	821,562	657,048	654,121	623,696
1% Loans <sup>6</sup>	4,813,571	4,655,519	3,723,273	3,706,683	3,534,279
2% Loans	0	0	0	0	0
3% Loans	0	0	0	0	0
4% Loans	0	0	0	0	0
Principal Forgiveness <sup>7</sup>	0	0	0	0	0
Bond Payments	0	0	0	0	1
<b>Annual Program Uses</b>	<b>5,663,025</b>	<b>5,477,081</b>	<b>4,380,321</b>	<b>4,360,804</b>	<b>4,157,977</b>
<b>Cumulative Program Uses</b>	<b>120,435,091</b>	<b>125,912,173</b>	<b>130,292,494</b>	<b>134,653,298</b>	<b>138,811,274</b>
<b>Annual Program Balance (Resources less Uses)</b>	<b>(185,944)</b>	<b>(1,096,760)</b>	<b>(19,518)</b>	<b>(202,828)</b>	<b>(372,957)</b>
<b>Cumulative Program Balance</b>	<b>5,477,081</b>	<b>4,380,321</b>	<b>4,360,804</b>	<b>4,157,976</b>	<b>3,785,019</b>
<b>Projection Assumptions</b>					
Rate of Return on Investments <sup>5</sup>	6.00%	6.00%	6.00%	6.00%	6.00%
Percentage of Loan Resources Awarded as 0% Loans <sup>5</sup>	15.00%	15.00%	15.00%	15.00%	15.00%
Percentage of Loan Resources Awarded as 1% Loans <sup>6</sup>	85.00%	85.00%	85.00%	85.00%	85.00%
Percentage of Loan Resources Awarded as 2% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as 3% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as 4% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as Principal Forgiveness <sup>5</sup>	0.00%	0.00%	0.00%	0.00%	0.00%
	100.00%	100.00%	100.00%	100.00%	100.00%

	SFY	SFY	SFY	SFY
	2036	2037	2038	2039
<b>Capitalization Grant</b>	0	0	0	0
Set-Asides Portion of Capitalization Grant (31% except in SFY 2010)	0	0	0	0
Loan Portion of Capitalization Grant (69% except in SFY 2010)	0	0	0	0
<b>Loan Program Resources</b>				
Loan Portion of Capitalization Grant (69% except in SFY 2010, 2011)	0	0	0	0
State Match (20% of Capitalization Grant except in SFY 2010)	0	0	0	0
Loan Repayments - Actual	0	0	0	0
Loan Repayments - Projected	2,158,148	808,316	795,812	1,524,318
Investment Earnings <sup>5</sup>	1,450,017	1,450,073	1,450,038	1,450,043
Other	0	0	0	0
Bond Proceeds	0	0	0	0
<b>Annual Program Resources</b>	<b>3,608,165</b>	<b>2,258,389</b>	<b>2,245,850</b>	<b>2,974,361</b>
<b>Loan Program Uses</b>				
0% Loans	567,753	541,224	338,758	336,877
1% Loans <sup>6</sup>	3,217,266	3,066,939	1,919,628	1,908,969
2% Loans	0	0	0	0
3% Loans	0	0	0	0
4% Loans	0	0	0	0
Principal Forgiveness <sup>7</sup>	0	0	0	0
Bond Payments	2	3	4	5
<b>Annual Program Uses</b>	<b>3,785,021</b>	<b>3,608,166</b>	<b>2,258,390</b>	<b>2,245,851</b>
<b>Cumulative Program Uses</b>	<b>142,596,295</b>	<b>146,204,461</b>	<b>148,462,852</b>	<b>150,708,703</b>
<b>Annual Program Balance (Resources less Uses)</b>	<b>(176,856)</b>	<b>(1,349,777)</b>	<b>(12,540)</b>	<b>728,510</b>
<b>Cumulative Program Balance</b>	<b>3,608,163</b>	<b>2,258,386</b>	<b>2,245,846</b>	<b>2,974,356</b>
<b>Projection Assumptions</b>				
Rate of Return on Investments <sup>5</sup>	6.00%	6.00%	6.00%	6.00%
Percentage of Loan Resources Awarded as 0% Loans <sup>5</sup>	15.00%	15.00%	15.00%	15.00%
Percentage of Loan Resources Awarded as 1% Loans <sup>6</sup>	85.00%	85.00%	85.00%	85.00%
Percentage of Loan Resources Awarded as 2% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as 3% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as 4% Loans <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
Percentage of Loan Resources Awarded as Principal Forgiveness <sup>5</sup>	0.00%	0.00%	0.00%	0.00%
	100.00%	100.00%	100.00%	100.00%

End Notes:

- 2 Return on investments after SFY 2020 are estimates based on average of last three prior years.
- 3 Percentages of loans after SFY 2020 are estimates. SFY 2020 is based on the binding commitments and the annual fundable list. SFY 21 is based on averages and the other assumptions mentioned.
- 4 Capitalization Grant amounts for SFY 2020- SFY 2024 (FFY 2021 - FFY 2024) are projected based on the allocations included in the AWIA amendments.
- 5 Investment Earnings are actuals from NIMS for SFY 1997 to SFY 2020. SFY 2021 onward is projected based on the average rate of return for SFY 2016 - SFY 2020.
- 6 1% of the Loans were awarded in SFY 2010 for sixteen ARRA projects and one Sunland Park project (which were originally contemplated as an ARRA project); NMFA updated its loan policies in 2019 to lower the base rate from 2% to 1% so the estimates for 2% loans were switched to 1% loans.
- 7 Since subsidy is only utilized by NM from the Capitalization Grants, NMFA is waiting clarification from the current administration to continue factoring subsidy into this perpetuity model.



## ATTACHMENT B

### SFY 2020 FINANCIAL STATEMENTS

The SFY 2020 DWSRF Financial Statements are currently being prepared by the accounting firm Moss Adams. Once the NMFA Audit Committee has its closing conference, the audit will be submitted to the NM State Auditor for its review. After the Financial Statements are released by the State Auditor, a copy will be submitted to EPA Region 6. The FY 2019 Audit was released by the NM State Auditor on 12/16/2019 and submitted to EPA Region 6. The SFY audit can be viewed online at [https://reports.saonm.org/media/audits/385\\_New\\_Mexico\\_Finance\\_Authority\\_FY2019\\_Final.pdf](https://reports.saonm.org/media/audits/385_New_Mexico_Finance_Authority_FY2019_Final.pdf).

ATTACHMENT C

BINDING COMMITMENT CHART

Binding Commitments through SFY 2020					
Cumulative SFY 1997- SFY 2020	\$294,985,295	SFY 2020-Q1	SFY 2020-Q2	SFY 2020-Q3	SFY 2020-Q4
ABCWUA, DW-5028		\$2,020,000.00			
Big Mesa MDWCA, DW-5029		\$1,444,140.00	\$500,000.00		
Taos Pueblo Utility Service, DW-5027		\$400,000.00			
Clayton, Town of, DW-5025		\$150,000.00			\$1,076,379.00
Mountain Orchard, DW-5026			\$120,000.00		
Los Lunas, Village of, DW-5130			\$625,000.00		
Magdalena, Village of, DW-4798				\$1,000,000.00	
Valley Estates, DW-4732-Amendment				\$72,500.00	
Eldorado W&SD, DW 5238					\$1,919,000.00
Rio Rancho, City of, DW-5270					\$15,150,000.00
<b>Required % of Cumulative Binding Commitments</b>					
	128.44%	126.52%	123.71%	124.15%	131.63%
<b>Actual Cumulative Binding Commitments</b>					
	\$294,985,295	\$298,999,435	\$300,244,435	\$301,316,935	\$319,462,314
<b>Required Amount Binding Commitments</b>					
	\$229,663,373	\$236,327,574	\$242,694,174	\$242,694,174	\$242,694,174

ATTACHMENT D

DWSRLF ASSISTANCE AGREEMENTS CLOSED  
THROUGH SFY 2020\*

**DWSRF ASSISTANCE AGREEMENTS CLOSED THROUGH SFY 2019**

Date	SFY	FFY	Project Number	County	Entity	Project	GPR	Base Principal Forgiveness	Loan Amount	Total Assistance	Interest Rate	IUP Year and Quarter
12/09/1999	SFY 00	FFY 00	0281-DW	Colfax	Angel Fire, Village of	Water Project	No	\$ -	\$ 180,001	\$ 180,001	0.0000%	
04/05/2000	SFY 00	FFY 00	0332-DW	Santa Fe	Santa Fe, City of	SCADA	No	\$ -	\$ 1,212,122	\$ 1,212,122	3.0000%	
11/17/2000	SFY 01	FFY 01	0370-DW	Colfax	French MDWCA	Storage Tank	No	\$ -	\$ 12,654	\$ 12,654	0.0000%	
04/27/2001	SFY 01	FFY 01	0399-DW	Luna	Deming, City of	Water Well	No	\$ -	\$ 222,309	\$ 222,309	2.3146%	
05/24/2001	SFY 01	FFY 01	0402-DW	Quay	Tucumcari, City of	Water Line Replacement	No	\$ -	\$ 475,200	\$ 475,200	0.8626%	
08/24/2001	SFY 02	FFY 01	0424-DW	Eddy	Malaga MDWA	Water Line Replacement	No	\$ -	\$ 171,718	\$ 171,718	0.0000%	
09/21/2001	SFY 02	FFY 01	0432-DW	Valencia	Los Lunas, Village of	Water Sys. Improvements	No	\$ -	\$ 3,838,278	\$ 3,838,278	2.5354%	
10/19/2001	SFY 02	FFY 02	0440-DW	Lincoln	High Sierra Estates	Water Well	No	\$ -	\$ 119,706	\$ 119,706	3.0000%	
10/11/2001	SFY 02	FFY 02	0442-DW	Sierra	Truth or Consequences, City of	Water Storage Tanks	No	\$ -	\$ 1,841,089	\$ 1,841,089	2.2720%	
01/25/2002	SFY 02	FFY 02	0462-DW	Eddy	Cottonwood Rural Water Co-op	Phase I	No	\$ -	\$ 703,586	\$ 703,586	1.4721%	
05/10/2002	SFY 02	FFY 02	1035-DW	Bernalillo	Albuquerque, City of	Water System	No	\$ -	\$ 1,594,092	\$ 1,594,092	3.0000%	
06/14/2002	SFY 02	FFY 02	1072-DW	Taos	El Prado Water and Sanitation District	Refinancing	No	\$ -	\$ 75,750	\$ 75,750	0.0000%	
08/02/2002	SFY 03	FFY 02	0463-DW	San Juan	West Hammond DWA	Pumping Station	No	\$ -	\$ 995,753	\$ 995,753	3.0000%	
08/16/2002	SFY 03	FFY 02	1034-DW	San Miguel	Pendaries Village Community Association	Water Project	No	\$ -	\$ 1,295,269	\$ 1,295,269	3.0000%	
04/11/2003	SFY 03	FFY 03	1364-DW	Bernalillo	Albuquerque, City of	Duran's Pump Station Replacement	No	\$ -	\$ 3,600,000	\$ 3,600,000	2.0000%	
08/15/2003	SFY 04	FFY 03	1076-DW	San Juan	North Star MDWC & SWA	Water Project	No	\$ -	\$ 1,779,798	\$ 1,779,798	1.4260%	
09/24/2004	SFY 05	FFY 04	1475-DW(a)	Santa Fe	Santa Fe, City of	Buckman Supplemental Wells #10-13	No	\$ -	\$ 7,070,000	\$ 7,070,000	2.0000%	
01/28/2005	SFY 05	FFY 05	1304-DW	Roosevelt	Roosevelt Water Cooperative	Water Project	No	\$ -	\$ 297,710	\$ 297,710	3.0000%	
05/13/2005	SFY 05	FFY 05	1510-DW	Lea	Hobbs, City of	Water System Improvements	No	\$ -	\$ 5,226,750	\$ 5,226,750	2.0000%	
05/20/2005	SFY 05	FFY 05	1672-DW	Rio Arriba	Espanola, City of	Water Project	No	\$ -	\$ 808,000	\$ 808,000	0.7070%	
6/30/06	SFY 06	FFY 06	1674-DW	Otero	Alamogordo, City of	Water Project	No	\$ -	\$ 6,565,000	\$ 6,565,000	2.0000%	
8/18/06	SFY 07	FFY 06	1888-DW	San Juan	City of Bloomfield	Water Project	No	\$ -	\$ 3,737,000	\$ 3,737,000	2.0000%	
6/29/07	SFY 07	FFY 07	2018-DW(a)	Lea	Lovington, City of	Water Project	No	\$ -	\$ 2,020,000	\$ 2,020,000	1.4950%	
8/17/07	SFY 08	FFY 07	1940-DW	San Juan	Placitas Trails Water Cooperative	Water Project	No	\$ -	\$ 29,443	\$ 29,443	3.0000%	
1/18/08	SFY 08	FFY 08	1974-DW	Doña Ana	Las Cruces, City of / Dona Ana County (50/50)	Infrastructure	No	\$ -	\$ 2,957,596	\$ 2,957,596	2.0000%	
3/31/08	SFY 08	FFY 08	2084-DW	Lincoln	Alto Lakes WSD	Water Project	No	\$ -	\$ 4,090,500	\$ 4,090,500	2.0000%	

Date	SFY	FFY	Project Number	County	Entity	Project	GPR	Base Principal Forgiveness	Loan Amount	Total Assistance	Interest Rate	IUP Year and Quarter
4/18/08	SFY 08	FFY 08	2072-DW (a)	Grant	Silver City, Town of	Water Project	No	\$ -	\$ 808,000	\$ 808,000	1.0470%	
5/16/08	SFY 08	FFY 08	1475-DW (b)	Santa Fe	Santa Fe, City of	Buckman Direct Diversion Project	No	\$ -	\$ 8,080,000	\$ 8,080,000	2.0000%	
5/30/08	SFY 08	FFY 08	2018-DW(b)	Lea	Lovington, City of	Water Project	No	\$ -	\$ 1,515,000	\$ 1,515,000	1.4950%	
6/20/08	SFY 08	FFY 08	2114-DW	Valencia	Los Lunas, Village of	Water Project	No	\$ -	\$ 4,053,053	\$ 4,053,053	2.0000%	
11/7/08	SFY 09	FFY 09	1727-DW	Bernalillo	Albuquerque Bernalillo County WUA	Water Project	No	\$ -	\$ 10,426,244	\$ 10,426,244	2.0000%	
2/27/09	SFY 09	FFY 09	1941-DW	Lea	Eunice, City of	Water Project	No	\$ -	\$ 5,050,000	\$ 5,050,000	2.0000%	
4/8/10	SFY 10	FFY 10	2324-DW	Sandoval	Rio Rancho, City of	Upgrades to Water-Utility System	No	\$ -	\$ 315,713	\$ 315,713	2.0000%	
1/15/10	SFY 10	FFY 10	2378-DW	Santa Fe	Santa Fe, City of	Buckman Project-Electrical System Modification	No	\$ -	\$ 141,400	\$ 141,400	2.0000%	
2/12/10	SFY 10	FFY 10	2430-DW	Doña Ana	Sunland Park, Village of (ARRA-Like Terms)	Arsenic Treatment Facility	No	\$ 2,044,000	\$ 511,000	\$ 2,555,000	1.0000%	
4/2/10	SFY 10	FFY 10	2431-DW	Santa Fe	Santa Fe, City of	Upgrades to Water Utility System	No	\$ -	\$ 161,807	\$ 161,807	2.0000%	
12/4/09	SFY 10	FFY 10	2310-ADW	Roosevelt	Village of Floyd	Water Utility System & Treatment Facility	No	\$ 200,000	\$ 50,000	\$ 250,000	1.0000%	
12/18/09	SFY 10	FFY 10	2312-ADW	Doña Ana	Dona Ana MDWCA	Water Utility System Improvements	No	\$ 360,000	\$ 90,000	\$ 450,000	1.0000%	
12/18/09	SFY 10	FFY 10	2313-ADW	Eddy	Carlsbad, City of	Replacement of Waterlines-Canal Street	No	\$ 1,369,949	\$ 587,121	\$ 1,957,070	1.0000%	
12/18/09	SFY 10	FFY 10	2315-ADW	Rio Arriba	Canjilon MDWCA	Water System Improvements	No	\$ 544,000	\$ 136,000	\$ 680,000	1.0000%	
12/18/09	SFY 10	FFY 10	2388-ADW	Taos	Taos Ski Valley, Village of	Water System Improvements	Yes	\$ 29,750	\$ 12,750	\$ 42,500	1.0000%	
12/21/09	SFY 10	FFY 10	2390-ADW	Santa Fe	Southwestern College	Water Utility System Upgrades	Yes	\$ 82,458	\$ 35,339	\$ 117,797	1.0000%	
1/8/10	SFY 10	FFY 10	2316-ADW	Bernalillo	ABCWUA on behalf of Carnuel MDWCA	Improvements to Water Utility System	No	\$ 1,000,000	\$ 1,000,000	\$ 2,000,000	1.0000%	
1/8/10	SFY 10	FFY 10	2317-ADW	Sandoval	Rio Rancho, City of	Upgrades to Water Utility System	No	\$ 1,010,048	\$ 1,322,635	\$ 2,332,683	1.0000%	
1/15/10	SFY 10	FFY 10	2314-ADW	San Juan	Farmington, City of	Improvements to Water Utility System	No	\$ 1,044,400	\$ 1,044,400	\$ 2,088,800	1.0000%	
1/15/10	SFY 10	FFY 10	2382-ADW	Santa Fe	Santa Fe, City of	Upgrades to Water Utility System	Yes	\$ 491,813	\$ 210,777	\$ 702,590	1.0000%	
1/15/10	SFY 10	FFY 10	2387-ADW	Otero	Cloudcroft Water System	Upgrades to Water Utility System	Yes	\$ 138,586	\$ 59,395	\$ 197,981	1.0000%	
1/15/10	SFY 10	FFY 10	2389-ADW	Santa Fe	Santa Fe, City of	Upgrades to Water Utility System	Yes	\$ 297,500	\$ 127,500	\$ 425,000	1.0000%	
1/22/10	SFY 10	FFY 10	2379-ADW	Bernalillo	Albuquerque Bernalillo County WUA	Water System Improvements	Yes	\$ 109,778	\$ 47,047	\$ 156,825	1.0000%	
1/22/10	SFY 10	FFY 10	2380-ADW	Bernalillo	Albuquerque Bernalillo County WUA	Water System Improvements	Yes	\$ 140,000	\$ 60,000	\$ 200,000	1.0000%	

Date	SFY	FFY	Project Number	County	Entity	Project	GPR	Base Principal Forgiveness	Loan Amount	Total Assistance	Interest Rate	IUP Year and Quarter
1/22/10	SFY 10	FFY 10	2381-ADW	Bernalillo	Albuquerque Bernalillo County WUA	Water System Improvements	Yes	\$ 289,825	\$ 124,211	\$ 414,035	1.0000%	
1/29/10	SFY 10	FFY 10	2384-ADW	Bernalillo	University of New Mexico	Water Utility Upgrades	Yes	\$ 1,600,000	\$ 400,000	\$ 2,000,000	1.0000%	
8/13/10	SFY 11	FFY 10	2392-DW	Santa Fe	Santa Fe, City of	Water System Improvements	No	\$ -	\$ 250,000	\$ 250,000	2.0000%	
12/3/10	SFY 11	FFY 11	2495-DW	Sierra	Elephant Butte, City of	Well Project	No	\$ -	\$ 303,000	\$ 303,000	2.0000%	
<del>12/17/10</del>	<del>SFY 11</del>	<del>FFY 11</del>	<del>2487-DW</del>	<del>Santa Fe</del>	<del>Vista Redonda MDWCA</del>	<del>Water System Improvements</del>	<del>No</del>	<del>\$ -</del>	<del>\$ 1,492,145</del>	<del>\$ 1,492,145</del>	<del>3.0000%</del>	
3/25/11	SFY 11	FFY 11	2463-DW	San Juan	Placitas West Water Cooperative	Arsenic Treatment System	No	\$ -	\$ 89,890	\$ 89,890	3.0000%	
4/29/11	SFY 11	FFY 11	2072-DW (b)	Grant	Silver City, Town of	Water Project	No	\$ -	\$ 505,000	\$ 505,000	1.0930%	
12/21/12	SFY 13	FFY 13	2707-DW	Socorro	Socorro, City of	Meter read to SCADA	No	\$ 183,315	\$ 183,315	\$ 366,630	0.0000%	
12/21/12	SFY 13	FFY 13	2710-DW	Dona Ana	Lower Rio Grande PWWA	manual meter read to radio read meters	No	\$ 446,250	\$ 148,750	\$ 595,000	0.0000%	
12/21/12	SFY 13	FFY 13	2727-DW	San Miguel	Anthony WSD	Meter read project	No	\$ 637,500	\$ 212,500	\$ 850,000	0.0000%	
12/28/12	SFY 13	FFY 13	2741-DW	Dona Ana	Las Vegas, City of	District wide meter up grades	No	\$ 825,000	\$ 275,000	\$ 1,100,000	0.0000%	
1/18/13	SFY 13	FFY 13	2759-DW	San Juan	Farmington, City of	City wide meter project	No	\$ 1,489,750	\$ 4,469,250	\$ 5,959,000	2.0000%	
4/19/13	SFY 13	FFY 13	2728-DW	Quay	Tucumcari, City of	Storage tank and radio read meters	No	\$ 1,184,250	\$ 394,750	\$ 1,579,000	0.0000%	
4/19/13	SFY 13	FFY 13	2876-DW	Quay	Tucumcari, City of	Rehabilitate three wells	No	\$ 676,930	\$ 225,643	\$ 902,573	0.0000%	
5/3/13	SFY 13	FFY 13	2696-DW	Santa Fe	Santa Fe, City of	Solar panels for Buckman	Yes	\$ 2,550,000	\$ 2,500,000	\$ 5,050,000	2.0000%	
5/3/13	SFY 13	FFY 13	2868-DW	Dona Ana	Dona Ana MDWCA	Meter read and SCADA	No	\$ 514,848	\$ 1,544,542	\$ 2,059,390	2.0000%	
6/19/13	SFY 13	FFY 13	2870-DW	Torrance	Lordsburg, City of	New water tank	No	\$ 558,354	\$ 186,118	\$ 744,472	0.0000%	
6/19/13	SFY 13	FFY 13	2744-DW	Hidalgo	Las Vegas, City of-- Taylor Well	Replace aged and leaking pipe	No	\$ 1,200,000	\$ 400,000	\$ 1,600,000	0.0000%	
6/19/13	SFY 13	FFY 13	2878-DW	San Miguel	Las Vegas, City of-- effluent system	P&L for Taylor Wells Desalination	No	\$ 917,068	\$ 305,689	\$ 1,222,757	0.0000%	
6/19/13	SFY 13	FFY 13	2910-DW	San Miguel	Las Vegas, City of-- diversion	Plan and Design for Diversion structure to both Dams from Gallanas	No	\$ 916,575	\$ 305,525	\$ 1,222,100	0.0000%	
6/22/13	SFY 13	FFY 13	2911-DW	San Miguel	Estancia, Town of	Plan and Design for Effluent system, oxidation project, repairs, and rehabilitation	No	\$ 412,500	\$ 137,500	\$ 550,000	0.0000%	
6/26/13	SFY 13	FFY 13	2866-DW	Socorro	Socorro, City of	Replace aged and leaking pipe	No	\$ 484,800	\$ 484,800	\$ 969,600	0.0000%	
6/26/13	SFY 13	FFY 13	2882-DW	Valencia	Bosque Farms Water Supply (a and B)	System improvements SCADA, backup generator	No	\$ 188,870	\$ 845,425	\$ 755,480	2.0000%	
7/19/13	SFY 14	FFY 13	2732-DW	San Juan	Southside MDWA	Ultrafiltration system	No	\$ 199,475	\$ 598,425	\$ 797,900	2.0000%	
7/26/13	SFY 14	FFY 13	2898-DW	Torrance	Moriarty, City of	Water tank and Meter System	No	\$ 459,750	\$ 153,250	\$ 613,000	0.0000%	

Date	SFY	FFY	Project Number	County	Entity	Project	GPR	Base Principal Forgiveness	Loan Amount	Total Assistance	Interest Rate	IUP Year and Quarter
8/16/13	SFY 14	FFY 13	2881-DW	Otero	Alamogordo, City of	Plan and design for mobile desalination plant	No	\$ 285,105	\$ 855,320	\$ 1,140,425	2.0000%	SFY 2013 Qtr 3
9/20/13	SFY 14	FFY 13	2864-DW	Luna	Deming, City of	Meter read project	No	\$ 1,206,142	\$ 1,206,142	\$ 2,412,284	0.8800%	SFY 2013 Qtr 1
11/22/13	SFY 14	FFY 14	2867-DW	Eddy	Carlsbad, City of	Pipe upgrade and system improvements	No	\$ 4,048,330	\$ 16,151,670	\$ 20,200,000	2.0000%	SFY 2013 Qtr 1
12/27/13	SFY 14	FFY 14	2880-DW	Otero	Alamogordo, City of	Mobile desalination plant	No	\$ 378,750	\$ 1,136,250	\$ 1,515,000	2.0000%	SFY 2013 Qtr 3
6/27/14	SFY 14	FFY 14	3036-DW	San Miguel	Pecos, City of	meter read	No	\$ 115,750	\$ 347,250	\$ 463,000	2.0000%	SFY 2014 Qtr.1
6/27/14	SFY 14	FFY 14	3038-DW	Rio Arriba	Valley Estates MDWCA	Disinfection system and tank replacement	No	\$ 16,412	\$ 49,238	\$ 65,650	2.0000%	SFY 2014 Qtr.1
6/27/14	SFY 14	FFY 14	3043-DW	San Miguel	Las Vegas, City of- H2O Storage Tanks	Rehabilitation/main tenance of three water storage tanks (construction funding)	No	\$ 666,600	\$ 222,200	\$ 888,800	0.0000%	SFY 2014 Qtr.1
6/27/14	SFY 14	FFY 14	3046-DW	San Miguel	Las Vegas, City of- water treatment plant	Water treatment plant building repairs (construction funding)	No	\$ 131,048	\$ 43,682	\$ 174,730	0.0000%	SFY 2014 Qtr.1
7/25/14	SFY 15	FFY 14	3040-DW	Taos	Ojo Caliente MDWCA	Uranium treatment	No	\$ 558,278	\$ 186,093	\$ 744,370	0.0000%	SFY 2014 Qtr.1
7/25/14	SFY 15	FFY 14	3037-DW	Union	Clayton, City of	meter read	No	\$ 155,288	\$ 465,863	\$ 621,150	2.0000%	SFY 2014 Qtr.1
8/15/14	SFY 15	FFY 14	2895-DW	Lincoln	Ruidoso, Village of	Meter read and SCADA	No	\$ 757,500	\$ 2,272,500	\$ 3,030,000	2.0000%	SFY 2014 Qtr.1
9/26/14	SFY 15	FFY 14	2964-DW	San Miguel	El Valle Water Alliance (San Miguel del Bado)	interconnect two systems to blend for Floride	No	\$ 110,000	\$ 110,000	\$ 220,000	0.0000%	SFY 2014 Qtr.1
10/10/14	SFY 15	FFY 15	3205-DW	Chaves	Roswell	Pipe Replacements	No	\$ -	\$ 2,020,000	\$ 2,020,000	2.0000%	SFY 2015 Qtr 1
10/24/14	SFY 15	FFY 15	3143-DW	Quay	San Jon	Plan and Design	No	\$ 12,625	\$ 37,875	\$ 50,500	2.0000%	SFY 2014 Qtr.4
12/5/14	SFY 15	FFY 15	3214-DW	San Juan	Lee Acres Water Users Cooperative Assoc	Pipe replacement	No	\$ -	\$ 1,492,050	\$ 1,492,050	3.0000%	SFY 2015 Qtr 1
12/19/14	SFY 15	FFY 15	3084-DW	Taos	Upper Arroyo Hondo MDWCA	Meter read and SCADA	No	\$ -	\$ 96,455	\$ 96,455	0.0000%	SFY 2015 Qtr 1
4/17/15	SFY 15	FFY 15	3235-DW	Grant	Santa Clara, Village of	Meters, SCADA and solar panels	No	\$ 548,934	\$ 182,978	\$ 731,912	0.0000%	SFY 2015 Qtr 1
8/21/15	SFY 16	FFY 15	3239-DW	Taos	Lower Des Montes MDWUA	Pipe replacements, water tanks, pump stations, meters	No	\$ 131,300	\$ 187,590	\$ 318,890	0.0000%	SFY 2015 Qtr 1
11/20/15	SFY 16	FFY 16	3227-DW	Dona Ana	Dona Ana MDWCA	Tanks and pipe to expand into new systems	No	\$ 694,375	\$ 2,083,125	\$ 2,777,500	2.0000%	SFY 2015 Qtr 1
2/26/16	SFY 16	FFY 16	3394-DW	Dona Ana	Lower Rio Grande Public WWA	Purchase of the Valle Del Rio Water System and needed improvements	No	\$ 898,281	\$ 299,427	\$ 1,197,708	0.0000%	SFY 2016 Qtr 1
12/18/15	SFY 16	FFY 16	3382-DW	Dona Ana	Dona Ana MDWCA	Pichacho Hills system improvements new tanks and lines	No	\$ 757,500	\$ 2,272,500	\$ 3,030,000	2.0000%	SFY 2016 Qtr 1
3/25/15	SFY 16	FFY 16	3393-DW	Cibola	Bluewater W&SD	Drill additional well and equip to resolve an arsenic issue	No	\$ 905,234	\$ 301,745	\$ 1,206,979	0.0000%	SFY 2016 Qtr 1

Date	SFY	FFY	Project Number	County	Entity	Project	GPR	Base Principal Forgiveness	Loan Amount	Total Assistance	Interest Rate	IUP Year and Quarter
3/25/16	SFY 16	FFY 16	3392-DW	San Juan	Upper La Plata DWUA	New tank and 8" water line loop	No	\$ 353,500	\$ 1,060,500	\$ 1,414,000	2.0000%	SFY 2016 Qtr 1
4/29/16	SFY 16	FFY 16	3448-DW	Quay	Tucumcari, City of	replace a failed tank	No	\$ 1,090,414	\$ 363,482	\$ 1,453,886	0.0000%	SFY 2016 Qtr 3
3/25/16	SFY 16	FFY 16	3402-DW	Valencia	Belen, Town of	meter replacement	No	-	\$ 1,310,980	\$ 1,310,980	0.0000%	SFY 2016 Qtr 1
5/27/16	SFY 16	FFY 16	3401-DW	Santa Fe	Eldorado Area W&SD	New water production well	No	-	\$ 909,000	\$ 909,000	2.0000%	SFY 2016 Qtr 1
	SFY 16	FFY 16	3205-DW	Chaves	Roswell, City of	Pipe replacement amendment	No	\$ 2,113,425	\$ 704,475	\$ 2,817,900	1.8540%	Amendment to SFY 2015 Qtr 1
8/5/2016	SFY 17	FFY 16	3397-DW	San Juan	Farmington, City of	Pipe replacement	No	\$ 808,000	\$ 2,424,000	\$ 3,232,000	2.0000%	SFY 2016 Qtr 1
8/19/16	SFY 17	FFY 16	3400-DW	Torrance	Estancia, Town of	Well Project	No	\$ 402,990	\$ 134,330	\$ 537,320	0.0000%	SFY 2016 Qtr 1
11/4/16	SFY 17	FFY 17	3037-DW	Union	Clayton, Town of	Meter amendment for increase funds	No	\$ -	\$ 232,750	\$ 232,750	2.0000%	
11/23/16	SFY 17	FFY 17	3570-DW	San Miguel	Las Vegas, City of	Cabin Tank Phase II	No	\$ 69,806	\$ 81,694	\$ 151,500	0.0000%	SFY 2016 Qtr 1
12/19/14	SFY 17	FFY 17	3084-DW	Taos	Upper Arroyo Hondo MDWUA	Fund increase	No	\$ -	\$ 23,546	\$ 23,546	0.0000%	
11/18/16	SFY 17	FFY 17	3334-DW	Mora	Rainsville MDWUA	Meter Project	No	\$ 191,247	\$ 63,750	\$ 254,997	0.0000%	SFY 2016 Qtr 1
2/24/17	SFY 17	FFY 17	3593-DW	Santa Fe	Eldorado Area W&SD	Well Project	No	\$ -	\$ 357,035	\$ 357,035	2.0000%	SFY 2016 Qtr 1
4/21/17	SFY 17	FFY 17	3636-DW	Taos	San Cristobal MDWUA	Plant improvement project	No	\$ 74,343	\$ 74,344	\$ 148,687	0.0000%	SFY 2016 Qtr 1
3/31/17	SFY 17	FFY 17	3590-DW	Taos	Red River, Town of	Tank replacement	No	\$ 1,305,000	\$ 435,000	\$ 1,740,000	0.0000%	SFY 2016 Qtr 1
4/14/17	SFY 17	FFY 17	3631-DW	Colfax	Angel Fire, Town of	Well Project	No	\$ 107,817	\$ 323,453	\$ 431,270	2.0000%	SFY 2016 Qtr 1
3/25/16	SFY 17	FFY 17	3392-DW	San Juan	Upper La Plata MDWUA	Scope change to Meter project	No			N/A	N/A	N/A
5/12/17	SFY 17	FFY 17	3040-DW	Taos	Ojo Caliente MDWUA	Amendment to add well	No			N/A	N/A	N/A
6/2/17	SFY 17	FFY 17	3620-DW	Santa Fe	Eldorado Area W&SD	PZO project	No	\$ 126,250	\$ 378,750	\$ 505,000	2.0000%	SFY 2016 Qtr 1
6/16/17	SFY 17	FFY 17	3632-DW	San Juan	Farmington, City of	Pipe replacement	No	\$ 898,900	\$ 2,696,700	\$ 3,595,600	2.0000%	SFY 2016 Qtr 1
6/23/17	SFY 17	FFY 17	3622-DW	San Miguel	Las Vegas, City of	Pipe replacement	No	\$ 450,000	\$ 150,000	\$ 600,000	0.0000%	SFY 2016 Qtr 1
6/23/17	SFY 17	FFY 17	3623-DW	San Miguel	Las Vegas, City of	Pipe replacement	No	\$ 265,500	\$ 88,500	\$ 354,000	0.0000%	SFY 2016 Qtr 1



**TABLE 4 . Financial Assistance to Small Systems**

<b>Closing Date</b>	<b>SFY</b>	<b>DWRLF Base Loans Closed</b>	<b>Amount (\$)</b>	<b>Population Served</b>	<b>Small (15%)</b>
7/27/2018	SFY 19	Galisteo MDWCA	\$ 433,500	172	\$ 433,500
10/26/2018	SFY 19	Lower Rio Grande PWWA	\$ 3,285,288	9,972	\$ 3,285,288
2/22/2019	SFY 19	Cimarron, Village of	\$ 358,550	987	\$ 358,550
2/22/2019	SFY 19	Lower Rio Grande PWWA	\$ 1,729,692	9,972	\$ 1,729,692
3/1/2019	SFY 19	Eagle Nest, Village of	\$ 1,414,000	568	\$ 1,414,000
3/22/2019	SFY 19	Valley Estates MDWCA	\$ 204,749	185	\$ 204,749
4/5/2019	SFY 19	Eldorado AW&SD	\$ 252,500	7,350	\$ 252,500
5/31/2019	SFY 19	Eldorado AW&SD	\$ 1,515,000	7,350	\$ 1,515,000
6/7/2019	SFY 19	Rodarte	\$ 62,632	75	\$ 62,632
6/28/2019	SFY 19	Truth or Consequences	\$ 1,241,023	9,000	\$ 1,241,023
7/19/2019	SFY 20	Miami MD	\$ 21,000	135	\$ 21,000
7/12/2019	SFY 20	Red River	\$ 2,110,900	679	\$ 2,110,900
5/1/2020	SFY 20	Tucumcari, City of	\$ 1,500,000	3113	\$ 1,500,000
5/29/2020	SFY 20	Mountain Orchard	\$ 120,000	39	\$ 120,000
6/26/2020	SFY 20	Big Mesa	\$ 1,944,140	563	\$ 1,944,140
6/26/2020	SFY 20	Taos Pueblo	\$ 400,000	444	\$ 400,000
<b>89 Total Loans</b>		<b>Total Closed Loans to Small Systems</b>	<b>\$ 87,541,479</b>	<b>326,376</b>	<b>\$ 79,629,813</b>

\*Amounts are at time of award showing the non-adjusted amounts. This will be slightly different than other accounting that shows the actual amount utilized.

ATTACHMENT E

SFY 2020 DWSRLF  
 DISADVANTAGED BUSINESS ENTERPRISE  
 GOALS AND PROGRAM RESULTS

Total SFY 2020 Procurements (07/01/19 – 06/30/20)	MBE Goals	SFY 2020 DWSRLF Minority-Owned Business Enterprise (MBE) Actual		WBE Goals	SFY 2020 DWSRLF Women-Owned Business Enterprise (WBE) Actual	
		Dollar Value	% of Procurement		Dollar Value	% of Procurement
\$16,994,537		\$922,497	5.43%		\$0	.0%
\$16,472,290 Construction		\$845,377	4.97 %		\$0	.0%
\$0 Supplies		\$0	0.00%		\$0	0.00%
\$ 0 Equipment		\$0	0.00%		\$0	0.00%
\$522,247 Services		\$77,120	.45%		\$0	0. %
<b>OVERALL MBE &amp; WBE PROCUREMENTS</b>					<b>5.43 %</b>	

New Mexico has been working with all parties involved with the DWSRLF to increase the amount of the Statewide DBE goals it can report. NMFA contracts with NMED CPB for construction oversight, this includes DBE compliance. NMFA and NMED CPB have been working together to increase the involvement of DBE entities benefitting from the DWSRF. The number of business certified as a DBE is low to the census demographic information. One of the root causes for lower procurements is the low number of participating entities. New Mexico ensures that the Six Good Faith Efforts are followed by all entities borrowing from the DWSRLF.

Attachment F  
 Project By-Pass Chart

SFY 2020 Project Bypass Chart			
Fundable List Quarter and Ranking (SFY20 Annual)	Name, Number	Project Description	Outcome
#1	Rio Rancho Water and WW	Water system improvements	Remained on Fundable list and move forward with the Spring Fundable list.
#3	Mountain Orchard MDWA	Pipe replacement Project	The community changed the project description during Annual List, Mountain Orchard moved forward in the Fall Fundable list

Attachment G  
Subsidy Tracking Sheet

2010 Cap Grant FS-13			
Subsidy	Available \$9,365,370		
Project number	BORROWER	69% Subsidy	Status
2696	Santa Fe, City of	\$ 1,289,708	fully drawn
2707	Socorro, City of	\$ 183,315	fully drawn
2868	Dona Ana MDWCA	\$ 514,848	fully drawn
2866	Socorro, City of	\$ 484,800	fully drawn
2864	Deming, City of	\$ 920,000	fully drawn
2911	Las Vegas, City of	\$ 846,712	fully drawn
2898	Moriarty, City of	\$ 64,869	fully drawn
2878	Las Vegas, City of	\$ 708,348	fully drawn
2867	Carlsbad, City of	\$ 3,057,323	fully drawn
2895	Ruidoso, Village of	\$ 732,261	fully drawn
3235	Santa Clara Water System	\$ 39,855	fully drawn
3397	Farmington, City of	\$ 491,963	fully drawn
4207	Farmington, City of	\$ 31,369	in construction
	Total allocated	\$ 9,365,370	
	Difference	\$ (0)	

2012 Cap Grant FS-15			
Subsidy	Available \$1,795,000		
Project number	BORROWER	20% Subsidy	Status
2882	Bosque Farms	\$ 117,077	fully drawn
2867	Carlsbad, City of	\$ 677,196	fully drawn
2864	Deming, City of	\$ 266,125	fully drawn
3040	Ojo Caliente MDWCA	\$ 361,996	fully drawn
2964	El Valle Water Alliance (San Miguel de Bado)	\$ 110,000	fully drawn
3037	Clayton Municipal Water System	\$ 13,189	fully drawn
3334	Rainsville	\$ 68,133	fully drawn
3394	Lower Rio Grande	\$ 48,830	fully drawn
3633	Los Lunas, Village of	\$ 116,031	fully drawn
4207	Farmington, City of	\$ 16,424	in construction
	Total allocated	\$ 1,795,000	
	Difference	\$ (0)	

2014 Cap Grant FS-17			
Subsidy	Available \$2,653,500		
Project number	BORROWER	30% Subsidy	Status
3393	Blue Water, WSD	\$ 83,265	fully drawn
3394	Lower Rio Grande	\$ 128,047	fully drawn
3448	Tucumcari Water System	\$ 1,080,024	fully drawn
3205	Roswell, City of - Amended	\$ 1,311,155	fully drawn
4207	Farmington Water System	\$ 51,009	in construction
	Total allocated	\$ 2,653,500	
	difference to be reallocated	\$ -	

2011 Cap Grant FS-14			
Subsidy	Available \$6,498,420		
Project number	BORROWER	69% Subsidy	Status
2696	Santa Fe, City of	\$ 1,155,583	fully drawn
2732	Southside MDWA	\$ 38,532	fully drawn
2727	Las Vegas, City of	\$ 708,348	fully drawn
2759	Farmington, City of	\$ 1,366,635	fully drawn
2910	Las Vegas, City of	\$ 829,912	fully drawn
2867	Carlsbad, City of	\$ 197,779	fully drawn
2880	Alamogordo, City of	\$ 378,750	fully drawn
2881	Alamogordo, City of	\$ 285,106	fully drawn
3040	Ojo Caliente MDWCA	\$ 196,270	fully drawn
3235	Santa Clara Water System	\$ 39,854	fully drawn
3334	Rainsville	\$ 123,115	fully drawn
3392	Upper La Plata	\$ 149,540	fully drawn
3397	Farmington, City of	\$ 260,074	fully drawn
3205	Roswell, City of - Amended	\$ 693,476	fully drawn
3634	North Star	\$ 8,080	fully drawn
4732	Valley Estates	\$ 54,375	in construction
4207	Farmington	\$ 9,907	in construction
4797	Rodarte	\$ 1,496	in construction
4215	Eldorado Area WSD	\$ 1,588	in construction
	Total allocated	\$ 6,498,420	
	Difference	\$ (0)	

2013 Cap Grant FS-16			
Subsidy	Available \$2,526,300		
Project number	BORROWER	30% Subsidy	Status
2964	El Valle Water Alliance (San Miguel de Bado)	\$ 1,100	fully drawn
3037	Clayton Municipal Water System	\$ 142,100	fully drawn
3036	Pecos Water System	\$ 115,750	fully drawn
3046	Treatment Plant repairs	\$ 126,662	fully drawn
3043	Las Vegas Water Systems- 3 Tank maintenance rehab	\$ 666,600	fully drawn
2895	Ruidoso, Village of	\$ 25,239	fully drawn
3143	San Jon, Village of	\$ 12,625	fully drawn
3227	Dona Ana MDWCA	\$ 694,375	fully drawn
3239	Lower Des Montes	\$ 131,300	fully drawn
3235	Santa Clara Water System	\$ 469,225	fully drawn
3205	Roswell, City of - Amended	\$ 108,794	fully drawn
3037	Clayton amendment	\$ 4,386	fully drawn
4207	Farmington, City of	\$ 28,145	in construction
	Total allocated	\$ 2,526,300	
	Difference	\$ (0)	

2015 Cap Grant FS-18			
Subsidy	Available \$2,636,100		
Project number	BORROWER	30% Subsidy	Status
3393	Blue Water, WSD	\$ 821,969	fully drawn
3394	Lower Rio Grande	\$ 317,541	fully drawn
3400	Estancia Water System	\$ 40,083	fully drawn
3382	Dona Ana MDWCA	\$ 757,500	fully drawn
3570	Las Vegas, City of	\$ 69,806	fully drawn
3631	Village of Angel Fire	\$ 92,854	fully drawn
3622	Las Vegas, City of	\$ 34,682	fully drawn
4207	Farmington Water System	\$ 123,794	in construction
4196	Roswell Municipal water system	\$ 183,631	in construction
4706	Cimarron Water System	\$ 178,952	in construction
5029	Big Mesa MDWCA	\$ 14,964	in construction
5270	Rio Rancho	\$ 324	Board Approved
	Total Allocated	\$ 2,636,100	
	Difference	\$ (0)	

2016 Cap Grant FS-19				
Subsidy	Available \$1,662,400 (Cap grant)	\$2,493,600 (disadvantaged)		
number	BORROWER	20% Subsidy	Disadvantaged	Status
3622	Las Vegas, City of		\$ 347,080	fully drawn
3636	San Cristobal MDWCA	\$ 74,344		in construction
3590	Red River, Town of		\$ 1,305,000	fully drawn
3623	Las Vegas, City of		\$ 630,750	fully drawn
3624	Las Vegas, City of	\$ 12,453	\$ 142,532	fully drawn
3620	Eldorado W&SD	\$ 126,250		in construction
3634	North Star MDWCA	\$ 48,897		fully drawn
3632	City of Farmington	\$ 882,583		fully drawn
3633	Village of Los Lunas	\$ 125,442		fully drawn
4207	City of Farmington	\$ 230,334		in construction
4797	Rodarte	\$ 268		in construction
5270	Rio Rancho, City of	\$ 51,315		Board approved
5355	Las Vegas, City of	\$ 110,515	\$ 68,238	Board approved
<b>Total Allocated</b>		\$ 1,662,401	\$ 2,493,600	
Difference		\$ (1)	\$ -	

2017 Cap Grant FS-20				
Subsidy	Available \$1,648,200 (Cap grant)	\$2,472,300 (disadvantaged)		
Project number	BORROWER	20% Subsidy	30% Disadvantaged	Status
3448	Tucumcari Water System	\$ 10,390		fully drawn
4202	ABCWUA Carmuel		\$ 750,000	in construction
4217	Galisteo MDWCA		\$ 325,125	in construction
4207	Farmington Water System	\$ 241,268		in construction
4204	Tucumcari Water System		\$ 682,472	in construction
4208	Eldorado AWS&D	\$ 328,755		in construction
4198	Magdalena, Village of		\$ 306,750	in construction
4200	ABCWUA meter	\$ 505,000		in construction
4213	Lower Des Montes	\$ 151,500		in construction
4196	Roswell Municipal water system	\$ 209,727		in construction
4732	Valley Estates		\$ 153,562	in construction
4792	Red River Water System	\$ 185,108		in construction
4795	Eagle Nest	\$ 16,412		in construction
4801	Miami	\$ 40		in construction
	Big Mesa MDWCA		\$ 254,391	board approved
<b>Total Allocated</b>		\$ 1,648,200	\$ 2,472,300	
Difference		\$ -	\$ (0)	

2018 Cap Grant FS-21				
Subsidy	Available \$2,221,400 (Cap grant)	\$3,332,100 (disadvantaged)		
Project number	BORROWER	20% Subsidy	30% Disadvantaged	Status
4202	Red River Water System	\$ 870,342	\$ -	in construction
4217	Eagle Nest Water System	\$ 690,588	\$ -	in construction
4204	Truth or Consequences water	\$ 620,480	\$ -	in construction
4208	Lower Rio Grande	\$ -	\$ 1,297,269	in construction
4198	Miami		\$ 10,460	in construction
4800	Eldorado	\$ 33,907		in construction
	Rodarte		\$ 45,210	in construction
4877	ABCWUA- S. Valley	\$ 6,021	\$ 699,778	in construction
	Big Mesa		\$ 813,750	in construction
	Taos Pueblo	\$ 62	\$ 299,938	in construction
	Clayton		\$ 112,500	in construction
	Mountain Orchard		\$ 53,195	in construction
<b>Total Allocated</b>		\$ 2,221,400	\$ 3,332,100	
Difference		\$ -	\$ -	

2019 Cap Grant FS-22				
Subsidy	Available \$2,200,800 (Cap grant)	\$3,851,400 (disadvantaged)		
Project number	BORROWER	20% Subsidy	30% Disadvantaged	Status
4217	Galisteo MDWUA		\$ 148,957	in construction
5028	ABCWUA- Carmuel Phase II	\$ 505,000		in construction
5029	Big Mesa MDWCA		\$ 375,000	in construction
	Clayton, Town of		\$ 807,284	in construction
5130	Los Lunas	\$ 800,415		board approved
5026	Mountain Orchard		\$ 36,805	in construction
5132	Magdalena, Village of		\$ 750,000	in construction
4801	Tucumcari, City of		\$ 1,125,000	in construction
	Eldorado Area S&WD	\$ 478,162		in construction
	Rio Rancho	\$ 417,223		board approved
	Las Vegas City of		\$ 421,247	board approved
	Las Vegas City of		\$ 187,107	board approved
<b>Total Allocated</b>		\$ 2,200,800	\$ 3,851,400	
Difference		\$ -	\$ -	

2020 Cap Grant FS-23				
Subsidy	Available \$1,541,540 (Cap grant)	\$3,413,410 (disadvantaged)		
Project number	BORROWER	14% Subsidy	31% Disadvantaged	Status
	Las Vegas, City of- SCADA		\$ 187,893	
	Las Vegas, City of - Vacuum		\$ 225,000	board approved
	Alamogordo, City of	\$ 1,075,650		
	Las Vegas, City of - Hanna		\$ 375,000	
	Las Vegas, City of - Pump		\$ 150,000	
	Eldorado WSD			
	HatchWater Supply System		\$ 755,250	
	Pecos Water System		\$ 750,000	
	Ponderosa MDWCA	\$ 30,300		
	Ponderosa MDWCA	\$ 50,500		
<b>Total Allocated</b>		\$ 1,156,450	\$ 2,443,143	
Difference		\$ 385,090	\$ 970,267	

Attachment H  
Annual PBR Report

State of New Mexico  
Detailed Listing of Assistance Provided  
Reporting Year 2020

Loan Number	Other Number	Initial Agreement Date	Latest Agreement Date thru RY	Borrower	Number of Agreements	NIMS Current Year Change	Year End
<b><u>New Assistance</u></b>							
4792-DW		7/12/2019	7/12/2019	Red River, Town of		2,110,900	2,110,900
4799-DW		7/19/2019	7/19/2019	Miami Domestic Water Users Association		21,000	21,000
4801-DW		5/1/2020	5/1/2020	Tucumcari, City of		1,500,000	1,500,000
5026-DW		5/29/2020	5/29/2020	Mountain Orchard Mutual Domestic Water Association		120,000	120,000
5027-DW		6/26/2020	6/26/2020	Taos Pueblo		400,000	400,000
5028-DW		5/29/2020	5/29/2020	Albuquerque-Bernalillo County WUA Camuel MDWCA		2,020,000	2,020,000
DW-5029		6/26/2020	6/26/2020	Big Mesa Mutual Domestic Water Consumers Association		1,944,140	1,944,140
New Assistance to Report:					7	8,116,040	8,116,040
<b><u>Changes in Assistance</u></b>							
3382-DW		12/18/2015	8/6/2019	Dona Ana MDWCA		0	3,030,000
3397-DW		8/5/2016	9/24/2019	Farmington, City of		-223,854	3,008,146
3620-DW		6/2/2017	9/5/2019	Eldorado Area Water & Sanitation District		0	505,000
3622-DW		6/23/2017	8/1/2019	Las Vegas, City of		-90,984	509,016
3632-DW		6/16/2017	4/7/2020	Farmington, City of		-65,268	3,530,332
3633-DW		5/11/2018	3/13/2020	Los Lunas, Village of		-265,393	1,864,319
4198-DW		6/8/2018	10/23/2019	Magdalena, Village of		-3,266	405,734
4200-DW		4/27/2018	7/30/2019	Albuquerque-Bernalillo County Water Utility Authority		0	1,010,000
4706-DW		2/22/2019	3/16/2020	Cimarron, Village of		-646	357,904
Changes in Assistance to Report:					0	-649,411	14,220,451
						7,466,629	22,336,491
<b>NIMS Report Amounts</b>							
Number of Assistance Agreements: (Line 131)					7		
Annual Assistance Provided (Dollars): (Line 125)					7,466,629		

Attachment I  
Financial Indicators

EPA has not submitted the Financial Indicators from the Performance Evaluation Report at the date of submission. Once it is provided to New Mexico, the financial indicators will be added here.

Attachment J  
Timely Use of Funds

New Mexico has been diligently expending the DWSRF funds. The chart below illustrates the progress made in funds spent in SFY 2020 (Federal dollars only). The loan fund portion is spending the FFY 20 Capitalization Grant (awarded 8/25/20).

New Mexico Finance Authority				
Schedule of Expenditures of Federal Awards				
6/30/2020				
Grantor/Program Title	Federal Catalog Number	Award Year	Grant Number	Federal Expenditures FY 2020
<b>Environmental Protection Agency</b>				
	66.468	2017	2017- FS99692520	293,151.56
	66.468	2018	2018- FS99692521	5,457,302.59
	66.468	2019	FS99692522	5,848,662.90
Capitalization Grants for Drinking Water State Revolving Funds	66.468			11,599,117.05
Total expenditures of federal awards				<u>11,599,117.05</u>



**New Mexico Finance Authority**  
**Note to Schedule of Expenditures of Federal Awards**  
**6/30/2020**

	<b>Subrecipients</b>	
	Subrecipients of the Drinking Water State Revolving Loan Fund program include the following:	
		<b>Pass-Through</b>
	<b>Subrecipient Name</b>	<b>Funds</b>
	<b>ABCWUA</b>	976,371.96
	<b>Cimarron, Village</b>	213,109.27
	<b>Dona Ana MDWCA</b>	23,259.00
	<b>Eagle Nest, Village</b>	88,037.01
	<b>Eldorado Area WSD</b>	470,909.98
	<b>Farmington, City</b>	2,320,256.40
	<b>Galisteo MDWCA</b>	6,221.46
	<b>Las Vegas, City</b>	199,028.58
	<b>Los Lunas, Village</b>	1,384,468.04
	<b>Lower Des Montes MDWCA</b>	30,001.81
	<b>Lower Rio Grande Public Works Authority</b>	269,891.52
	<b>Magdalena, Village</b>	106,634.15
	<b>Miami DWUA</b>	8,092.20
	<b>NMED Drinking Water Bureau</b>	1,879,427.56
	<b>Red River, Town</b>	192,657.41
	<b>Roswell, City</b>	2,872,095.83
	<b>San Cristobal MDWCA</b>	30,209.06
	<b>Valley Estates MSWA</b>	88,285.81
	<b>Total Expenditures of Federal Awards</b>	<b>11,158,957.05</b>