

**STATE OF NEW MEXICO
DRINKING WATER STATE REVOLVING FUND**

STATE FISCAL YEAR 2018

JULY 1, 2017 THROUGH JUNE 30, 2018

ANNUAL REPORT

SUBMITTED TO EPA R6: September 28, 2018



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



TABLE OF CONTENTS

- I. INTRODUCTION 1
- II. DWSRF GOALS AND ACCOMPLISHMENTS..... 3
 - A. Progress Towards Long-Term Goals: DWB Long Term Goals:.....3
 - B. Progress Towards Short-Term Goals: DWB Short Term Goals.....5
 - C. Progress Towards DWB/NMFA Collaborative Long Term Goal:6
 - D. Progress Towards DWB/NMFA Collaborative Short Term Goals:6
 - E. Progress Towards Long Term Goals: NMFA Long Term Goals 8
 - F. Progress Towards Short Term Goals: NMFA Short Term Goals.....8
- III. SOURCES AND USES OF DWSRF FUNDS 10
 - A. Sources of DWSRF and Set-Aside Funds.....10
 - Capitalization Grants11
 - State Match.....11
 - Investment Earnings.....12
 - Loan Repayments.....12
 - Administrative Fees13
 - B. Uses of DWSRF and Set-Aside Funds.....17
 - Future Uses of the DWSRF17
 - Status of Assistance Agreements17
 - Binding Commitments17
 - Small System Assistance.....18
 - Project By-Pass20
- IV. SET-ASIDE ACTIVITY STATUS..... 22
 - A. Administration Set-Aside22
 - Staff and Agency Resources in SFY 201724
 - Activities Performed in SFY 201724

Progress in Meeting Targeted Accomplishments Established for SFY 201724

B. Small Systems Technical Assistance Set-Aside25

 Staff and Agency Resources in SFY 2017 26

 Activities Performed in SFY 2017 26

 Outputs and Outcomes Established for SFY 2017 26

 Assessment of Work Plan Achievements27

C. State Programs Management Set-Aside28

 Staff and Agency Resources in SFY 201729

 State Program Activities Performed in SFY 201731

 Assessment of Work Plan Achievements35

D. Capacity Development and Wellhead Protection

 Capacity Development Sub-Element36

 Staff and Agency Resources in SFY 201737

 Activities Performed in SFY 201738

 Annual Outcomes and Outputs for SFY 201738

 Assessment of Work Plan Achievements40

 Wellhead Protection Program Sub-Element40

 Staff and Agency Resources in SFY 201742

 Activities Performed in SFY 201742

V. Compliance with Operating Agreement and Grant Conditions45

ATTACHMENTS

- Attachment A – SFY 2018 Cash Flow Model
- Attachment B – SFY 2018 Financial Statements (The 2018 Audit is currently underway)
- Attachment C – Binding Commitment Chart
- Attachment D – Base DWSRLF Assistance Agreements Closed Through SFY 2018
- Attachment E – SFY 18 DWSRF Disadvantaged Business Enterprise (DBE) Goals and Program
- Attachment F – Project By-Pass Chart
- Attachment G – Subsidy Tracking Sheet
- Attachment H – Annual PBR Report
- Attachment I – Financial Indicators

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 to PWSs to install, upgrade, or replace infrastructure to continue to ensure the provision of safe drinking water. Technical Set-Aside funds are used to provide technical assistance directed toward small PWSs, State 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 cooperatively establish assistance priorities, and 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 in order 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 2018 Annual Report covers the period of July 1, 2017 through June 30, 2018 and it:

- describes the program’s progress toward short and long-term goals described in the SFY 2018 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 outputs and outcomes as defined in the 2017 DWB DWSRF Set-Aside Work Plan¹; 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 2018 IUP.

| NEW MEXICO DWSRLF CUMULATIVE OVERVIEW | |
|---|--------------------------|
| THROUGH JUNE 30, 2018 | |
| Cumulative Assistance Provided² | \$ 195,830,401.38 |
| Cumulative Federal Capitalization Grants³ | \$ 197,808,500 |
| Cumulative State Matches⁴ | \$ 38,793,100 |
| Cumulative Loan and Interest Repayments | \$ 60,290,551 |
| Cumulative Investment Earnings | \$ 4,856,729 |

¹ The SFY 2014 Work Plan was submitted by the required deadline on December 16, 2016 and was approved by EPA R6 on March 17, 2017.

² Contains actual loans closed through SFY 2018.

³ Includes the FFY 2017 Capitalization Grant and ARRA.

⁴ Includes the State match for FFY 2018 Capitalization Grant.

II. DWSRLF GOALS AND ACCOMPLISHMENTS

The State-developed goals discussed in the following sections are part of the SFY 2018 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.

A. *Progress Towards 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 maximized SDWA compliance and ensured public health protection by conducting one hundred and ninety-six (196) Sanitary Surveys. The Technical Services Team provided assistance to one hundred and thirty-one (131) water system to return to compliance.

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 SWIG assistance staff spent a significant amount of its time in FY 2018 providing direct assistance to systems based on requests for help returning to compliance and water infrastructure project funding requests for TMF capacity assistance. Specifically, DWB reported one thousand seven hundred and forty-six (1746) assistance actions overall in FY 2018 to support affordable drinking water and PWS capacity and sustainability. SWIG staff provided approximately fifty-six (56) free board and operator trainings and presented at 6 conferences around the State throughout the fiscal year.

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 FY 2018 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, and continued requests for assistance in providing rate studies in FY18. 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 and Wellhead Protection Program (SWWPP) planning activities.

Progress: Throughout FY 2018 the SWIG team collaborated with various State and federal funding agencies, regulatory agencies, assistance providers, and technical experts across the state, as well as state universities. Partnerships have been strengthened with the development of contract scopes that share expertise and routine procedures to identify standard communication opportunities.

Long-Term Goal 5: DWB is working to develop a long-term project to provide ongoing education and assistance on lead contamination in drinking water. In 2016 DWB initiated a project to develop educational materials and pilot a free monitoring event for public water systems to test for lead at schools and daycare centers in the summer months.

Progress: In August and September of 2017 DWB held the free lead monitoring pilot period with limited outreach to schools directly and more outreach to public water systems with identified compliance problems with lead. This approach revealed lessons learned in that the response was much smaller than expected and only about 26 samples were submitted to be analyzed. Preparations were made in the spring of 2018 to reach out to all public schools directly for the 2018 monitoring period and increase outreach dramatically to increase the number of samples submitted.

A. Progress Towards Short-Term Goals: DWB Short Term Goals

Short-Term Goal 1: The DWB will provide targeted assistance through the Capacity Development Program to community and non-transient non-community PWSs 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 has been successful in providing assistance to systems on the comprehensive list.

The comprehensive list size has been reduced and often those left on the list have multiple projects that are not all being funded at the same time, or systems that are struggling with debt capacity and need either more subsidy or some other grant/loan combination.

Short-Term Goal 2: The DWB will continue to develop, update and maintain standard operating procedures in SFY 18.

Progress: All teams continue to develop written procedures for main program functions. This year a process was written for the DWSRF comprehensive and fundable lists preparation, for administrative procedures that have had problems, and another is under development for the source water assessment process.

Short-Term Goal 3: The DWB will submit reimbursement invoices within 30 calendar days following the end of each quarter, with the exception of 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.

Short-Term Goal 4: DWB will work in FY18 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: This goal had some progress in FY18 for operators before the Technical Services Manager position became vacant in January, in that new technical classes were developed and utilized. This year also, the Community Services Program completed an IT project to create a database that tracks board training classes and credit approvals for each person attending. This database was developed to meet state requirements for board member trainings as well as track managerial trainings and capacity development of individual board members.

Short-Term Goal 5: DWB will work in FY18 on the annual lead assistance and education objectives. For the summer of 2017, DWB is taking steps to try to plan to offer free lead monitoring for public elementary schools statewide.

Progress: In August and September of 2017 DWB held the free lead monitoring pilot period with limited outreach to schools directly and more outreach to public water systems with identified compliance problems with lead. We offered statewide assistance by request but did not have statewide targets for outreach materials. After a limited response for sample requests in 2017, we prepared statewide outreach to all public-school districts for monitoring in the summer of 2018.

B. 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 and accurately, in accordance with the EPA timeline, in order to maintain complete administrative functions and sustain the DWSRLF.

NMFA and DWB will report 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), 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 and NMED submitted all reports and applications. The SFY 2019 IUP was submitted to EPA R6 on May 24, 2018 and EPA approval is pending; the FFY 2017 Capitalization Grant was submitted on July 7, 2017, and approved on September 14, 2017; the DWB SFY 2018 Work Plan was submitted on January 2018 and was approved by EPA R6 on February 14, 2018; the SFY 2017 Annual Report was submitted September 27, 2017, and approved July 3, 2018; the SFY 2017 Annual Fundable List was submitted July 2, 2016; the Fundable List Fall Update was submitted October 31, 2016; the Fundable List Spring Update was submitted February 28, 2017.

NMFA has completed and submitted all required reports on-time. The FFATA reports were completed in the first week after the month the loan closed; PBR reports were submitted within 5 days of the loan closing; FURs were submitted on October 20, 2016; the Single Audit report was submitted on January 3, 2018; the DWNIMS was submitted September 14, 2018, and approval is pending; and the MBE/WBE report was submitted October 31, 2017.

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

Progress NMFA and DWB will review the earlier submitted MOU draft to update, if necessary, the MOU between the NMFA and the NMED DWB. NMED and NMFA have been working together to update the priority ranking system.

C. 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 where ever 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 the NMFA will provide an opportunity for public participation by posting the IUP for public comment on the NMFA and the DWB websites from May 30, 2018 through June 29, 2018 and will accept comments throughout this period.

Progress: The SFY 2019 IUP was posted for public comment on May 30, 2018, and is still pending EPA comment. The IUP approval is pending.

Collaborative Short Term Goal 3: The NMFA and the DWB will prepare and submit the FFY 2017 Capitalization Grant Application by September 29, 2017

Progress: The FFY 2017 Capitalization Grant was submitted on July 7, 2017 and was approved on September 14, 2017.

Collaborative Short Term Goal 4: The DWB and the NMFA will complete and submit the SFY 2017 Annual Report by September 30, 2017.

Progress: The SFY 2017 Annual Report was submitted on September 27, 2017

Collaborative Short Term Goal 5: 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.

Collaborative Short Term Goal 6: The DWB with assistance from the NMFA will review the Priority Ranking System to ensure the ranking reflects the needs of the loan program and meets EPA goals.

Progress: NMED and NMFA have met to update the priority ranking to better align with program goals. The final versions were submitted for public comment within the SFY 19 IUP.

Collaborative Short Term Goal 7: The NMFA and the DWB will continue to prioritize Unliquidated Obligations with regular communication with EPA Region 6.

Progress: The ULO have been significantly reduced in NM in SFY 18. The Loan fund percentage on June 30, 2018 was 3.7% and the set aside was 4.3%.

D. Progress Towards Long Term Goals: NMFA Long Term Goals

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

Progress: The 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 is 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: The NMFA will work with projects to complete installation or construction within two years of closing the loan.

Progress: In SFY 2018, a total of 10 projects completed construction. The average construction time was 29.11 months, and four projects completed the construction period within the allotted two year period. 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 are both exploring updating the priority ranking to include readiness-to-proceed points in order 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 survive in perpetuity with a Program Balance of approximately \$11.1 million in SFY 2040.

E. 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 2018 from the FFY 2017 Capitalization Grant as low-cost loans to PWSs in Disadvantaged Communities for eligible projects, as allowed by the SDWA.

Progress: The NMFA made five low-cost loans to disadvantaged communities for eligible projects

as prioritized on the quarterly Fundable Priority List. These loans represent 42% of all loans in SFY 2018 and total \$3,462,963. This represents 29.20% 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 2018, dependent on Fundable List.

Progress: NMFA made five low-cost loans to PWSs in small communities for eligible projects as prioritized on the quarterly Fundable Priority List. These loans represent 42% of all loans in SFY 2018 and total \$2,592,620.

Short Term Goal 3: NMFA will execute four binding commitments during SFY 2018, dependent on Fundable List.

Progress: NMFA executed 18 binding commitments in SFY 2018, out of 19 total projects on the fundable lists. One project elected not to move forward.

Short Term Goal 4: NMFA will close loans on at least four binding commitments during SFY 2018.

Progress: NMFA closed 12 loans; ten new loans and two amendments, in SFY 2018 totaling \$11,855,773. Eight loans originated with the SFY 2018 IUP.

Short Term Goal 5: The NMFA will approve drawdowns for a minimum of \$8 million on planning, design, and construction projects during SFY 2018.

Progress: In SFY 2018, NMFA approved a total of \$11,101,488 in drawdowns; \$8,774,929 was taken from Federal funds; and \$2,326,559 from State funds. In the first quarter of SFY 19, NMFA has already approved over \$3 million in draws.

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

Progress: NMFA, with the support of its construction oversight technical partner, NMED Construction Programs Bureau, approved 115 requisitions totaling over \$11.1 million, with 85 of these being processed within the State goal. The remaining draws were missing documentation to NMED CPB at the original submission date. NMFA has approved 83 draws in under 10 days from CPB approval.

Short Term Goal 7: The NMFA will allocate the loan portion of the 2017 Federal Capitalization Grant of \$5,735,280 and State Match of \$1,662,400 for a combined loan fund allocation of \$7,397,680.

Progress: In SFY 2018, NMFA allocated \$21.02 million exceeding this goal.

Short Term Goal 8: The 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: The 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 2017 audit to EPA on May 22 2017, after its release by the New Mexico Office of the State Auditor. The accounting firm Moss Adams has completed the SFY 2018 audit, it was submitted to the State Auditor on September 14, 2018 and the exit conference was on September 25, 2018.

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.

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 2018.

Progress: NMFA has entered into binding commitments over the 120% goal. For SFY 2018, the binding commitments are equal to \$21.02 Million and cumulative percentages are equal to 134.4-143.5%. Please see attachment C for more information.

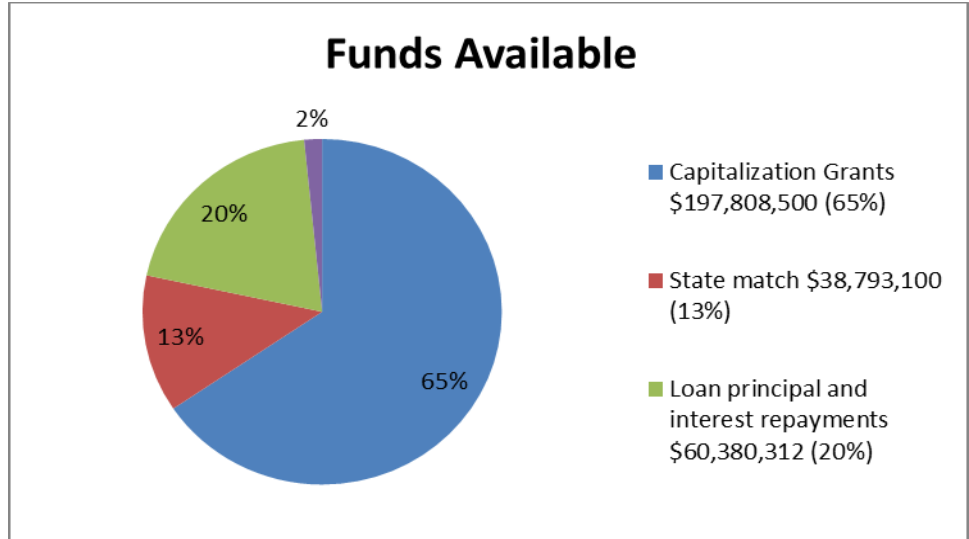
III. SOURCES AND USES OF DWSRLF FUNDS

This section provides a detailed discussion of the DWSRLF assistance activities during SFY 2018. 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, 2018 were \$301.8 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 2017. Table 2 provides the DWSRLF Sources and Uses Statement and reflects all DWSRLF sources and disbursements through SFY 2017.



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 2017 Capitalization Grant was awarded on September 21, 2017, in the amount of \$8,241,000, excluding the State match. The 2018 Capitalization Grant is pending approval, NM applied for \$11,107,000, excluding the State match.

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 \$2,326,466 for the FFY 2018 Capitalization Grant. The FFY 2018 State match was secured prior to the Capitalization grant from the State Legislature House bill 93 signed on February 28, 2018 and past years excess appropriations. The FFY 17 capitalization match was secured from the State Legislature House Bill 256 signed on March 30, 2017. The chart below illustrates the State Match appropriations.

| FFY Cap Grant | Amount | Required State Match | Match Source | Appropriation | Source of Appropriation | Excess/(under) cummulative 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 |
| Total | \$193,965,500 | \$38,793,100 | | \$39,091,538 | | \$298,438 |

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, the 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.

Investment Earnings

In SFY 2018, the total DWSRLF interest earned was \$786,232 and brings the total DWSRLF interest earned to \$4.9 million. The interest earnings will be used to award additional DWSRLF assistance under the Tier II funding.

Loan Repayments

As of June 30, 2018, the program has received \$60.3 million in total loan and interest repayments; it is comprised of \$46.6 million in recaptured principal; and \$13.7 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 \$224,091 in administrative fees, of which \$215,848 was used in SFY 2018. As of June 30, 2018, the available balance is \$283,180. 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 A: Administrative Fee Balance 6/30/2018 | | | |
|---|----------------|------------|----------------|
| | Base | ARRA | Total |
| Balance 7/1/2017 | \$274,813.40 | \$123.93 | \$274,937.33 |
| Collected SFY 18 | \$221,141.17 | \$2,950.46 | \$224,091.63 |
| Used SFY 18 | (\$215,848.61) | \$0.00 | (\$215,848.61) |
| Balance 6/30/18 | \$280,105.96 | \$3,074.39 | \$283,180.35 |

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 SFY 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] |
|---|---------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|--|
| Capitalization Grant Amount | 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 |
| State Match | 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 |
| TOTAL | 17,502,120 | 9,308,400 | 9,346,920 | 9,663,000 | 9,604,920 | 9,963,720 | 9,942,600 | 9,875,160 | 9,874,800 | 9,775,200 | 14,950,000 |
| Set-Asides | | | | | | | | | | | |
| 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 |
| TOTAL | 4,521,381 | 2,404,670 | 2,414,621 | 2,496,275 | 2,481,271 | 2,573,961 | 2,568,505 | 2,551,083 | 2,550,990 | 2,323,079 | 3,680,851 |

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) | CUMULATIVE |
|---|------------------------------------|------------------------------|------------------------------|------------------------------|-------------------------------|-------------------------------|-----------------------------|-------------------------------|-------------------------------|-------------------------------|--------------------|
| Capitalization Grant Amount | 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 | 208,915,500 |
| State Match | 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 | 38,793,100 |
| TOTAL | 9,775,200 | 16,287,600 | 11,301,600 | 10,770,000 | 10,105,200 | 10,614,000 | 10,544,400 | 9,974,400 | 9,889,200 | 13,328,400 | 247,708,600 |
| Set-Asides | | | | | | | | | | | |
| Administration (Max 4%) 1452(g)(2) | 325,840 | 542,920 | 376,720 | 359,000 | 336,840 | 3,538,000 | 351,480 | 332,480 | 329,640 | 444,280 | 11,722,820 |
| 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 | 4,093,570 |
| 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 | 20,467,850 |
| 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 | 28,980,594 |
| Capacity Development | 814,600 | 1,357,300 | 941,800 | 897,500 | 842,100 | 884,500 | 878,700 | 431,200 | 431,200 | 555,350 | 17,049,091 |
| Wellhead Protection | 407,300 | 678,650 | 470,900 | 448,750 | 421,050 | 442,250 | 439,350 | 415,600 | 415,600 | 1,110,700 | 11,054,203 |
| TOTAL | 2,525,260 | 4,207,630 | 2,919,580 | 2,782,250 | 2,610,510 | 5,926,150 | 1,669,530 | 2,576,720 | 2,642,660 | 5,109,220 | 67,491,735 |

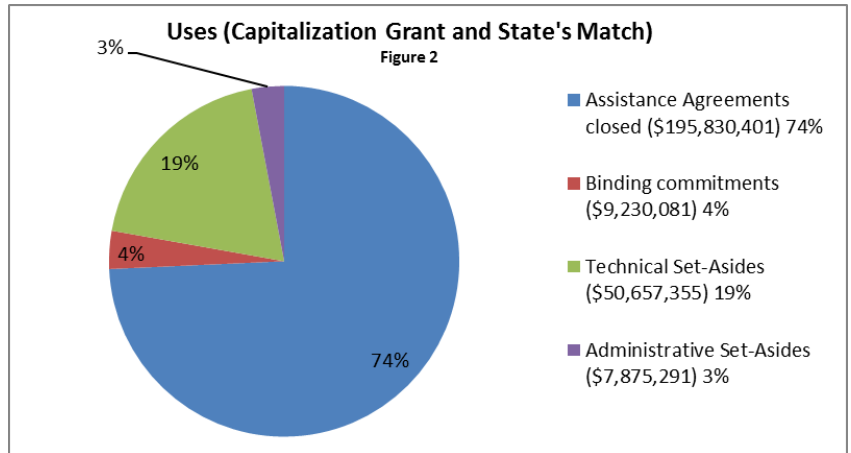
[1] The original amount of the State of New Mexico’s ARRA funding was \$19,500,000; \$4,550,000 was transferred to NMED CPB which operates the Clean Water State Revolving Loan Fund to comply with the spending deadlines for ARRA. The set-aside amounts are based on the original ARRA amount. NMFA transferred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

| Table 2 DWSRLF SOURCES AND USES SFY 2018 | | | |
|---|---------------------------------------|------------------------------------|-------------------------------------|
| <u>SOURCES</u> | Cumulative Total through 6/30/2017 | 7/1/2017 - 6/30/2018 (This SFY) | Cumulative Total through 6/30/18 |
| Federal Capitalization Grants | \$181,255,500 | \$8,312,000 | \$189,567,500 |
| 20% Capitalization Grant Match | \$36,571,700 | \$2,221,400 | \$38,793,100 |
| Investment Interest | \$4,070,496 | \$786,233 | \$4,856,729 |
| Loan Repayments – Principal | \$40,208,438 | \$6,424,925 | \$46,633,363 |
| Loan Repayments - Interest | \$12,214,869 | \$1,442,319 | \$13,657,188 |
| Total Sources | \$274,321,003 | \$19,186,877 | \$293,507,880 |
| | | | |
| <u>Other</u> | | | |
| Set Aside 1:1 Match | \$52,145,174 | \$1,648,200 | \$53,793,374 |
| | | | |
| <u>Uses of Funds</u> | | | |
| | | | |
| <u>Assistance Activity</u> | | | |
| Large System Commitments | \$128,960,890 | \$6,940,494 | \$135,901,384 |
| Small System Commitments | \$58,920,800 | \$3,825,817 | \$62,746,617 |
| | | | |
| Total Assistance | \$187,881,690 | \$10,766,311 | \$198,648,001 |
| | | | |
| <u>Set-Aside Activity</u> | | | |
| Administration | \$7,764,700 | \$329,640 | \$8,094,340 |
| Small System Technical Assistance | \$3,487,149 | \$164,820 | \$3,651,969 |
| State Programs Management | \$18,491,706 | \$824,100 | \$19,315,806 |
| Local Assistance | \$25,329,991 | \$820,550 | \$26,150,541 |
| | | | |
| Total Set-Asides | \$55,073,546 | \$2,139,110 | \$57,212,656 |
| | | | |
| Total Uses | \$242,955,236 | \$12,905,421 | \$255,860,657 |
| Carryover | \$31,365,767 | \$6,281,456 | \$37,647,223 |

Uses of DWSRLF and Set-Aside Funds

As of June 30, 2018, the DWSRLF program has received \$189.6 million from EPA Capitalization Grants; \$38.8 million in State matches; \$60.3 million from principal and interest repayments; and \$4.9 million from investment earnings. This is a total capitalization of \$293.6 million.

Of this \$293.6 million, \$235.1 million has been deposited into the DWSRLF and \$57.2 million has been committed to Set-Aside activities. From the \$235.1 million available to projects, a total of \$195.8 million in project assistance awards have been made.



Of the \$57.2 million committed to Set-Aside activities, \$8.0 million has been committed to Administration Set-Aside activities carried out by the NMFA and \$49.2 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).

Future Uses of the DWSRLF

Four projects included in the SFY 2018 fundable list are expected to close in the following six months totaling more than \$9.2 million. With the Annual SFY 2019 fundable list projects, NM will allocate \$10.5 million of the \$11.1 million FFY 2018 Capitalization Grant Funding. NMFA anticipates fully expending the funds with the Fall Priority list. The NMFA is exploring changing its policies to be considered a beneficial lending source without subsidy. These changes being contemplated to increase both the number of loans and the amount of loans to lower the carry over \$37,647,223 balance.

Status of Assistance Agreements

In SFY 2018, the NMFA closed Twelve DWSRLF assistance agreements totaling approximately \$11.9 million (see attachment E). NMFA also entered into eighteen binding commitments to provide funding in the future totaling \$21.02 million (see Table 3.)

Binding Commitments

Table 3 is a list of the SFY 2018 binding commitment letters. These letters are provided to PWSs that have been ranked on the Priority Fundable List, completed an application, and has gone through the consideration and approval of the NMFA Board of Directors.

| TABLE 3 | | | | | | | |
|---|---------|----------------------------|---------------------|-----------------------------|------------------------------|----------------------------|------------|
| Binding Commitments SFY 2017 | | | | | | | |
| Project # | Program | Entity | Amount Approved | Date Last Approved by Board | Binding commitment to entity | Binding commitment quarter | County |
| DW-3624 | DWSRLF | Las Vegas | \$841,000 | 07/01/17 | 07/01/17 | SFY 18 Q1 | San Miguel |
| DW-4200 | DWSRLF | ABCWAU | \$ 1,010,000.00 | 08/24/17 | 09/01/17 | SFY 18 Q2 | Bernalillo |
| DW-3634 | DWSRLF | Northstar | \$ 1,269,730.00 | 08/24/17 | 09/01/17 | SFY 18 Q2 | San Juan |
| DW-4204 | DWSRLF | Tucumcari, City of | \$ 909,963.00 | 09/28/17 | 10/01/17 | SFY 18 Q2 | Quay |
| DW-4208 | DWSRLF | Eldorado AWSD | \$ 1,646,300.00 | 09/28/17 | 10/01/17 | SFY 18 Q2 | Santa Fe |
| DW-4215 | DWSRLF | Eldorado AWSD | \$ 767,600.00 | 09/28/17 | 10/01/17 | SFY 18 Q2 | Santa Fe |
| DW-4198 | DWSRLF | Magdalena, Village of | \$ 409,000.00 | 09/28/17 | 10/01/17 | SFY 18 Q2 | Socorro |
| DW-4207 | DWSRLF | Farmington, City of | \$ 2,929,000.00 | 09/28/17 | 10/01/17 | SFY 18 Q2 | San Juan |
| DW-4210 | DWSRLF | Lower Des Montes MDWCA | \$ 303,000.00 | 09/28/17 | 10/01/17 | SFY 18 Q2 | Taos |
| DW-4202 | DWSRLF | ABCWAU | \$ 1,000,000.00 | 09/28/17 | 10/01/17 | SFY 18 Q2 | Bernalillo |
| DW-4196 | DWSRLF | Roswell, City of | \$ 4,040,000.00 | 09/28/17 | 10/01/17 | SFY 18 Q2 | Chavez |
| DW-4217 | DWSRLF | Galisteo MDWCA | \$ 433,500.00 | 09/28/17 | 10/01/17 | SFY 18 Q2 | Santa Fe |
| DW-4241 | DWSRLF | Deming, City of | \$ 121,200.00 | 12/21/17 | 01/01/18 | SFY 18 Q3 | Luna |
| DW-3394 | DWSRLF | Lower Rio Grande Add funds | \$ 151,500.00 | 12/21/17 | 02/01/18 | SFY 18 Q3 | Dona Ana |
| DW-4213 | DWSRLF | Lower Rio Grande WWA | \$ 3,285,619.00 | 02/28/18 | 03/01/18 | SFY 18 Q3 | Dona Ana |
| DW-4607 | DWSRLF | Cimarron, Village of | \$ 358,550.00 | 03/22/18 | 04/01/18 | SFY 18 Q3 | Colfax |
| DW-4196 | DWSRLF | Roswell additional funds | \$ 1,341,142.00 | 05/24/18 | 06/01/18 | SFY 18 Q4 | Chavez |
| DW-4732 | DWSRLF | Valley Estates | \$ 204,770.00 | 05/24/18 | 06/01/18 | SFY 18 Q4 | Rio Arriba |
| TOTAL for 18 binding commitments | | | \$21,021,874 | | | | |

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, 2018, a cumulative total of \$70,645,505 in assistance has been provided, to small systems that includes \$7,766,122 was awarded to small systems in SFY 2018. In SFY 2018, \$11.8 million total loans closed with \$7.8 million defined as small systems, representing 66.10% of all SFY 2018 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 | Cloudcroft, 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 | Rainville | \$ 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 |
| 73 Total Loans | | Total Closed Loans to Small Systems | \$ 70,645,505 | 275,772 | \$ 66,919,900 |

Project By-Pass

The DWB and the 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 the NMFA determine 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, be ready to proceed within 6 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 2018, one project were bypassed on the Annual list: The City of Deming, the Water System decided to wait until the fall list to move forward. The City of Raton was by-passed in the Fall List. The project decided to not move forward during the Annual List and elected to be removed from the Fundable List for the Spring Fundable List due to competing funds. Please see attachment F for more details.

IV. SET-ASIDE ACTIVITY STATUS

The 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.

A. Administration 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 2018. Please note, NMFA also updated its SERP procedure with EPA R 6 approving on August 20, 1018. In addition, EPA also requires that all phases of the construction process be monitored. The NMFA uses the Administration Set-Aside to pay for technical reviews and the monitoring of construction of all DWSRLF infrastructure projects.

| TABLE 5 | | | |
|---------------------------------------|--------------------|---------------------|----------------------------|
| SFY 2017 Environmental Reviews | | | |
| BORROWER | PROJECT NO. | SERP OUTCOME | FINAL DETERMINATION |
| Las Vegas, City of | 3624-DW | CE | 10/27/2017 |
| Lower Rio Grande WWA (Amendment | 3394-DW | CE | 2/23/2018 |
| ABCWUA (Meter) | 4200-DW | CE | 4/27/2018 |
| Tucumcari, City of | 4204-DW | CE | 6/1/2018 |
| Farmington, City of | 4207-DW | CE | 6/15/2018 |
| Magdalena, Village of | 4198-DW | CE | 6/8/2018 |
| Lower Des Montes | 4210-DW | CE | 6/29/2018 |
| Eldorado PZO | 4208-DW | CE | 6/8/2018 |
| Eldorado Plan and design | 4215-DW | CE | 6/8/2018 |
| ABCWUA (Carnuel) | 4202-DW | CE | 6/29/2018 |

Staff and Agency Resources in SFY 2017

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 2016 (\$332,480) and FFY 2017 (\$329,640) capitalization grants for administration of the DWSRLF program. In SFY 2018, the NMFA utilized \$575,023.17 in Administration Set-Aside funds.

Funds available for the administration of the DWSRLF program during SFY 2018 included unexpended Administration Set-Aside funds from previous years. Approximately, 28 NMFA employees worked on the DWSRLF program for an equivalent of approximately 3.34 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 2018

In SFY 2018, the NMFA provided eighteen binding commitments, and closed twelve 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 2017 Financial Statements and the Cash Flow model attachment A.

In SFY 2018, the State drew down about \$13.9 million from federal capitalization grants between set asides and loan reimbursements.

Progress in Meeting Targeted Accomplishments Established for SFY 2018

During SFY 2018, the NMFA continued its efforts to make the DWSRLF a perpetual source of funding in the State. Cumulatively, through June 30, 2018, the NMFA has closed 127 loans totaling \$195.8 million (amount adjusted after the construction phase), of which 110 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 2018. Related to the loan fund, both EPA set goals were successfully accomplished in SFY 2018.

B. Small Systems Technical Assistance Set-Aside

| TABLE 6-A | | | | | |
|---|---|---|---|---|---|
| Small Systems Technical Assistance Element | | | | | |
| Total Expenditures for SFY 2017 | | | | | |
| DWSRLF Funding Source | Actual SFY 2018 QTR 1 Expenditures | Actual SFY 2018 QTR 2 Expenditures | Actual SFY 2018 QTR 3 Expenditures | Actual SFY 2018 QTR 4 Expenditures | TOTAL Actual SFY 2018 Expenditures |
| Base | \$33,284.87 | \$33,328.38 | \$27,570.78 | \$27,014.92 | *\$121,198.95 |

Expenditures in Table 6-A are reported on an accrual basis.

| TABLE 6-B | | | | | | |
|---|-------------------------------------|-------------------------|---------------------------|--|--|---------------------------------|
| Small Systems Technical Assistance Element (2% | | | | | | |
| Total Expenditures by FFY Capitalization Grant | | | | | | |
| Awards Allocated Set-Aside | to Total Set-Aside Allocated | Specified Amount | Unspecified Amount | Unspecified Amount Transferred to Loan Fund | Specified Expenditures through 06/30/18 | Specified Ending Balance |
| 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 |
| 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 | \$0 | \$0 | \$0 | \$0 |
| FFY 2016 | \$166,240 | \$166,240 | \$0 | \$0 | \$166,240 | \$0 |
| FFY 2017 | \$164,820 | \$164,820 | \$0 | \$0 | \$87,324.13 | \$77,495.87 |
| TOTALS | \$3,871,430 | \$3,871,430 | \$0 | \$219,401 | \$3,574,533 | \$77,495.87 |

Section 1452(g)(2)(D) of the SDWA authorizes states to provide funding for technical assistance to small PWS (serving a population of 10,000 or fewer) to enable such systems to achieve and maintain compliance with SDWA and State drinking water regulations.

Staff and Agency Resources in SFY 2018

The DWB expended \$121,198.95 from the Base Small Systems Technical Assistance Set-Aside funds for SFY 2018 activity expenses. The DWB staff recorded the actual time spent conducting the eligible activities under each set-aside for reimbursement purposes. The Small Systems Technical Assistance Set-Aside is primarily utilized by the Technical Services Team to provide return to compliance assistance to small systems under 10,000 in population.

Activities Performed in SFY 2018

During SFY 2018, 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 trouble shooting 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 Team 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 SDWIS, program performance reporting and tracking time to this set-aside.

Outputs and Outcomes Established for SFY 2018

OUTPUT 1. To provide quality assistance to enable small water systems serving a population <10,000 to return to and maintain compliance with the Safe Drinking Water Act (SDWA) and New Mexico Drinking Water Regulations and produce high-quality drinking water for the long term. (Performed by Technical Services Team)

OUTPUTS:

1. **Number of systems receiving technical assistance to return to compliance:** This is represented in SDWIS assistance activity codes as: TAO, TAR, TTI, or TTG. One hundred and thirty one (131) systems were provided these types of assistance during FY 2018.

2. **Total number of assistance actions completed to assist systems in returning to compliance:** This is represented in SDWIS assistance activity codes as: TAO, TAR, TTI, or TTG. There were three hundred and thirty-six (336) technical assistance actions of these types reported for FY 2018.

OUTCOMES:

1. **EPA administrative deadlines met:** EPA administrative deadlines were met for this year. In FY18, the Annual Operator Certification Report was submitted by August 1, 2017.

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. This year obstacles to maintaining system compliance continue to be the implementation of the Revised Total Coliform Rule. Although most systems have sample plans approved, this year there is continued assistance in systems utilizing the plans to properly submit compliance monitoring samples that are collected in distribution according to their sample plan.

C. State Programs Management Set-Aside

| TABLE 7-A State Programs Management Element Total Expenditures for SFY 2017 | | | | | |
|--|---|---|---|---|---|
| DWSRLF Funding Source | Actual SFY 2018 QTR 1 Expenditures | Actual SFY 2018 QTR 2 Expenditures | Actual SFY 2018 QTR 3 Expenditures | Actual SFY 2018 QTR 4 Expenditures | TOTAL Actual SFY 2018 Expenditures |
| Base | \$177,818.18 | \$188,535.55 | \$223,090.36 | \$341,429.34 | \$930,873.43 |

Note: *Estimated. Expenditures have been incurred, but have not been submitted for reimbursement. Expenditures in Table 7-A are reported on an accrual basis.

| TABLE 7-B State Programs Management Element Total Expenditures by FFY Capitalization Grant | | | | | |
|---|--|--|--|--|--|
|---|--|--|--|--|--|

| Awards Allocated to Set-Aside | Total Set-Aside Allocated | Specified Amount | Unspecified Amount | Unspecified Amount Transferred to Loan Fund | Specified Expenditures through 06/30/18 | Specified Ending Balance |
|-------------------------------|---------------------------|---------------------|--------------------|---|---|--------------------------|
| 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 | \$0 | \$0 | \$0 | \$0 |
| FFY 2016 | \$831,200 | \$831,200 | \$0 | \$0 | \$828,050 | \$3,150 |
| FFY 2017 | \$824,100 | \$824,100 | \$0 | \$0 | \$357,429 | \$466,671 |
| TOTALS | \$19,357,150 | \$19,357,150 | \$0 | \$41,299 | \$18,279,612 | \$469,821 |

Staff and Agency Resources in SFY 2018

The DWB expended \$930,873.43 from the State Programs Management Set-Aside funds for SFY 2018 activity expenses. DWB staff recorded the actual time spent conducting the eligible activities under each set-aside for reimbursement purposes.

Section 1452(g)(2) of the SDWA states that each State may use 10% of the set-aside funds allotted to it for State Program Management, if the State matches the expenditures with at least an equal amount of State funds. Table 8 shows actual expenditures by SFY demonstrating compliance with the match requirement. The top rows show the actual expenditures each fiscal year from the State Program Management Category, which require the 1:1 match ratio. The bottom half of Table 8 shows the total expenditures by the Water Conservation Fee Fund less cash match used for the Public Water System Supervision (PWSS) grant. The last row shows expenditures by the State in excess of the required amount.

The Water Conservation Fee Fund is used as the main State source of funding in the State's Drinking Water activities. This source of revenue is used to collect and analyze water samples and perform vulnerability assessments. These uses support routine compliance monitoring for SDWA requirements. An additional source of State funding for activities performed by the DWB comes from the Corrective Action Fund. The broad purpose of this fund is to support water protection activities in the State.

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.

TABLE 8
DWB State Programs 1:1 Match for
DWSRLF State Programs Set-Aside Element

| SFY | Base Amount Requiring Match / State Programs Actual Expenditures | Actual Match: Corrective Action Fund | Actual Match: Water Conservation Fund | Less PWSS Cash Match | Available State Match Current Year | Credit for FY93 Funding Used | Excess State Programs Match |
|-----------------|--|--------------------------------------|---------------------------------------|----------------------|------------------------------------|------------------------------|-----------------------------|
| SFY00 | \$696,838 | \$- | \$2,217,088 | \$(391,643) | \$1,824,445 | \$- | \$1,127,607 |
| SFY01 | \$856,817 | \$- | \$3,241,730 | \$(364,028) | \$2,877,702 | \$- | \$2,020,885 |
| SFY02 | \$1,229,914 | \$- | \$2,437,350 | \$(244,700) | \$2,192,650 | \$- | \$962,736 |
| SFY03 | \$989,734 | \$- | \$3,381,600 | \$(284,832) | \$3,096,768 | \$- | \$2,107,034 |
| SFY04 | \$885,930 | \$- | \$3,323,200 | \$(329,582) | \$2,993,618 | \$- | \$2,107,688 |
| SFY05 | \$751,679 | \$- | \$2,869,235 | \$- | \$2,869,235 | \$- | \$2,117,556 |
| SFY06 | \$690,474 | \$149,311 | \$2,699,601 | \$- | \$2,848,912 | \$- | \$2,158,438 |
| SFY07 | \$563,486 | \$198,548 | \$2,933,274 | \$- | \$3,131,822 | \$- | \$2,568,336 |
| SFY08 | \$772,212 | \$935,783 | \$2,570,217 | \$- | \$3,506,000 | \$- | \$2,733,788 |
| SFY09 | \$822,900 | \$- | \$2,608,901 | \$- | \$2,608,901 | \$- | \$1,786,001 |
| SFY 2010 | \$728,195 | | | | | | \$800,728 |
| SFY 2010 (ARRA) | \$1,347,577 | \$- | \$2,876,500 | \$- | \$2,876,500 | \$- | |
| SFY 2011 | \$331,902 | | | | | | |
| SFY 2011 (ARRA) | \$952,095 | \$- | \$3,226,500 | \$- | \$3,226,500 | \$- | \$1,942,503 |
| SFY 2012 | \$476,876 | \$- | \$2,383,818 | \$- | \$2,383,818 | \$- | \$1,906,942 |
| SFY 2013 | \$861,614 | \$- | \$2,328,901 | \$- | \$2,328,901 | \$- | \$1,467,287 |
| SFY 2014 | \$501,726 | \$0 | \$2,518,644 | \$- | \$2,518,644 | \$- | \$2,017,918 |
| SFY 2015 | \$1,058,483 | \$0 | \$2,835,200 | \$0 | \$2,835,200 | \$0 | \$1,776,717 |
| SFY 2016 | \$1,408,300 | \$0 | \$3,005,900 | \$0 | \$1,408,300 | \$0 | \$1,594,600 |
| SFY 2017 | \$1,590,700 | \$0 | \$3,414,700 | \$0 | \$1,590,700 | \$0 | \$1,824,000 |
| SFY 2018 | \$1,642,555 | \$0 | \$3,723,100 | \$0 | \$1,642,555 | \$0 | \$2,080,545 |

State Program Activities Performed in SFY 2018

Support for the Public Water System Supervision Program

This set-aside primarily provides support to the programmatic functions of the PWSS grant program authorized under Section 1452 (g)(2)(A) 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 2017 focused on water system inspections and related compliance as well as providing guidance through emergency situations to ensure compliance and meet 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.

OUTPUTS:

1. **Two internal staff trainings:** Six (6) internal PWSS group staff trainings were held in FY 2018.
2. **Staff attendance at 4 PWSS Program/Enforcement meetings:** PWSS and SWIG staff attended quarterly meetings to coordinate assistance targeted to return systems to meeting compliance requirements.
3. **Attendance at 4 meetings, conferences, or workshops:** PWSS had staff attend the NMRWA conference and the EPA Five States conference this year.

OUTCOMES:

1. **100% EPA administrative deadlines are met:** EPA administrative deadlines were met in FY 2018. The 2017 Annual Compliance Report was submitted by PWSS on July 1, 2017.

OBJECTIVE 2: Provide public water system supervision to ensure compliance with the SDWA and NM Drinking Water Regulations

OUTPUTS:

1. **One hundred and twenty (120) Sanitary Surveys completed:** There were one hundred ninety-six (196) sanitary surveys completed in FY 2018.
2. **100% completion of all required site visits:** Two (2) site visit inspections were completed outside of sanitary surveys, none were designated as required.

OUTCOMES:

1. **95% of PWS surveyed to ensure compliance with NM Drinking Water Regulations and the SDWA:** At the end of FY18, 76.6% of sanitary surveys that were due were completed.

Administration Activities for the Capacity Development Program and the Source Water and Wellhead Protection Program

The DWB's Capacity Development Program strives to increase the level of knowledge of PWS administrators, operators and consumers. Many of the State's small, community-administered PWSs lack the formal training and experience required to operate and sustain a PWS. This set-aside was also used to administer the Source Water and Wellhead Protection (SWWP) Program as part of the Capacity Development Strategy. This program facilitates on-going State efforts to protect public drinking water supplies from contamination. Activities performed under state programs are primarily planning, tracking, and reporting activities.

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.

OUTPUTS:

1. **Maintain a current Capacity Development Strategy that reflects current activities and objectives:** The Capacity Development Strategy revisions for existing water systems were complete in FY 15, no further changes have been made.
2. **Triennially report to the Governor on the Capacity Development Program Effectiveness and make the report available to the public. Complete annual performance reports for Capacity development, Source water Protection Planning, and DWSRF, as well as completing reporting required for NIMS:** All of these reports were completed on time.
3. **Annually develop planning documentation such as the DWSRF Intended Use Plan, project prioritization criteria, DWSRF work plan, capacity development annual report, and the DWSRF annual report as required:** All of these were completed on time.
4. **Complete quarterly performance reports on capacity development activities for NMFA invoicing:** These reporting items have been completed for FY 2018.

OUTCOMES:

1. **100% EPA/NMFA administrative deadlines are met:** During this period EPA deadlines were met, but NMFA quarterly reporting deadlines were not met.

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

OUTPUTS:

1. **100% of operator certification applications are reviewed and processed in a timely manner:** All applications were reviewed and processed prior to each of the exams. Due to an increase in exam applications at certain sessions, the UOCP limits exam class size to 200 operators in part to ensure this output will be met for each exam session and that the exam atmosphere is appropriately quiet with enough space
2. **Attendance at four Utility Operator Certification Program meetings:** UOCP held monthly program meetings.
3. **SFY 2017 Annual Operator Certification Report:** The annual Operator Certification Report was submitted on August 1, 2018.

OUTCOMES:

1. **80% of PWSs will have a certified operator of the appropriate level operating their system.** As of the end of the reporting period (June 30, 2018) 24 Community, 26 Non-Community and 4 NTNC water systems did not have a certified operator. This totals 54 systems that do not have a certified operator. This equals 95% of active water systems that have certified operators for the period.

Assessment of Work Plan Achievements

In SFY 2018 for state programs activities, meeting the current quarterly invoicing deadlines has been an ongoing struggle. Drinking Water Bureau turnover in general has been a significant hardship for administrative responsibilities including continuous hiring and new employee training responsibilities for managers as well as workload reassignments for staff.

Local Assistance Element

| TABLE 9 Local Assistance Element Total Expenditures by FFY Capitalization Grant | | | | | | |
|--|----------------------------------|-------------------------|---------------------------|--|---|---------------------------------|
| Awards Allocated to Set-Aside | Total Set-Aside Allocated | Specified Amount | Unspecified Amount | Unspecified Amount Transferred to Loan Fund | Specified Expenditures through 6/30/17 | Specified Ending Balance |
| FFY97 | \$1,913,970 | \$1,913,970 | \$0 | \$0 | \$1,913,970 | \$0 |
| FFY98-99 | \$2,187,765 | \$2,187,765 | \$0 | \$0 | \$2,187,765 | \$0 |
| FFY00 | \$1,163,550 | \$1,163,550 | \$0 | \$0 | \$1,163,550 | \$0 |
| FFY01 | \$1,168,365 | \$1,168,365 | \$0 | \$0 | \$1,168,365 | \$0 |
| FFY02 | \$1,207,875 | \$1,207,875 | \$0 | \$0 | \$1,207,875 | \$0 |
| FFY03 | \$1,200,615 | \$1,200,615 | \$0 | \$0 | \$1,200,615 | \$0 |
| FFY04 | \$1,245,465 | \$1,245,465 | \$0 | \$0 | \$1,245,465 | \$0 |

| | | | | | | |
|---------------|---------------------|---------------------|------------|--------------------|---------------------|------------------|
| FFY05 | \$1,242,825 | \$1,242,825 | \$0 | \$0 | \$1,242,825 | \$0 |
| FFY06 | \$1,234,395 | \$1,234,395 | \$0 | \$0 | \$1,234,395 | \$0 |
| FFY07 | \$1,234,350 | \$1,234,350 | \$0 | \$0 | \$1,234,350 | \$0 |
| FFY08 | \$1,221,900 | \$1,221,900 | \$0 | \$202,181 | \$1,019,719 | \$0 |
| FFY09 | \$1,221,900 | \$1,221,900 | \$0 | \$0 | \$1,221,900 | \$0 |
| FFY09 (ARRA) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| FFY 2010 | \$2,035,950 | \$2,035,950 | \$0 | \$325,081 | \$1,710,869 | \$0 |
| FFY 2011 | \$1,412,700 | \$1,412,700 | \$0 | \$739,055 | \$673,645 | \$0 |
| FFY 2012 | \$1,346,250 | \$1,346,250 | \$0 | \$0 | \$1,346,250 | \$0 |
| FFY 2013 | \$1,263,150 | \$1,263,150 | \$0 | \$0 | \$1,263,150 | \$0 |
| FFY 2014 | \$1,326,750 | \$1,326,750 | \$0 | \$0 | \$1,326,750 | \$0 |
| FFY 2015 | \$1,318,050 | \$1,318,050 | \$0 | \$0 | \$1,170,174 | \$147,876 |
| FFY 2016 | \$1,246,800 | \$1,246,800 | \$0 | \$815,600 | \$1,109,841 | \$136,959 |
| FFY 2017 | \$1,153,740 | \$1,153,740 | \$0 | \$500,000 | \$0 | \$653,740 |
| TOTALS | \$27,346,365 | \$27,346,365 | \$0 | \$2,581,917 | \$24,641,473 | \$938,575 |

Capacity Development Sub-Element

| TABLE 10-A | | | | | |
|---|---|---|---|---|---|
| Capacity Development Sub-Element Set-Aside | | | | | |
| Total Expenditures for SFY 2018 | | | | | |
| DWSRLF Funding Source | Actual SFY 2018 QTR 1 Expenditures | Actual SFY 2018 QTR 2 Expenditures | Actual SFY 2018 QTR 3 Expenditures | Actual SFY 2018 QTR 4 Expenditures | TOTAL Actual SFY 2018 Expenditures |
| Base | \$321,781.88 | \$230,980.11 | \$265,656.74 | \$308,107.80 | \$1,126,526.53 |

Expenditures in Table 10-A are reported on an accrual basis.

| TABLE 10-B | | | | | | |
|---|----------------------------------|-------------------------|---------------------------|--|---|---------------------------------|
| Capacity Development Sub-Element Set-Aside | | | | | | |
| Total Expenditures by FFY Capitalization Grant | | | | | | |
| Awards Allocated to Set-Aside | Total Set-Aside Allocated | Specified Amount | Unspecified Amount | Unspecified Amount Transferred to Loan Fund | Specified Expenditures thru 06/30/17 | Specified Ending Balance |
| 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 | \$1,567 |
| FFY 2016 | \$831,200 | \$831,200 | \$0 | \$400,000 | \$294,240 | \$136,960 |
| FFY 2017 | \$824,100 | \$824,100 | \$0 | \$500,000 | \$0 | \$324,100 |
| TOTALS | \$17,324,394 | \$17,324,394 | \$0 | \$1,214,266 | \$15,647,501 | \$462,627 |

Staff and Agency Resources in SFY 2018

As allowed by the SDWA, the State reserved and specified an amount equal to ten percent (10%) out of the fifteen percent (15%) Local Assistance Set-Aside element. The DWB expended \$1,126,526.53 from set-aside funds under this category for SFY 2018 activity expenses. Funds available for this category included unexpended set-aside funds from previous years. DWB staff recorded the actual time spent conducting the eligible activities under each set-aside for reimbursement purposes. The four assistance teams primarily expend these funds. This fiscal year the Technical Services Team expanded to include the review engineers, and utilizing contract services to catch up on past due engineering reviews.

Activities Performed in SFY 2018

The key goals of the DWB’s Capacity Development program are to assess capacity of PWSs to operate in compliance and qualify for financial assistance and to then provide technical, managerial, planning, financial and funding assistance to improve PWS compliance and maintain useful assets.

Capacity Annual Outcomes and Outputs for SFY 2018

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

OUTPUTS:

- 1. The number of systems that received new or updated capacity assessments in FY 2018:**

This is represented in SDWIS assistance activity codes as: CAR, CWA, CTI, TWA. There were sixty-four (64) capacity assessments completed this fiscal year.

OUTCOMES:

1. **100% of the systems that submit supplemental documents are assessed to determine capacity:** All systems that submitted supplemental documents had a capacity assessment completed.
2. **100% of the systems that were issued administrative orders are offered a capacity assessment:** Currently PWSS requests assistance for out of compliance systems through a technical assistance request process (TAR). Systems can always request assistance on their own and PWSS and SWIG managers meet bimonthly to discuss system progress and procedures.

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

OUTPUTS:

1. **The number of systems that received capacity development assistance that was not specifically for returning to SDWA compliance:** three hundred and twenty-eight (328) systems received assistance aside from return to compliance issues.
2. **Total numbers of assistance actions reported that were not specifically for returning to SDWA compliance:** This is represented in SDWIS assistance activity codes as: CAR, CWA, CII, TWA. One thousand four hundred and ten (1410) assistance actions were completed outside of return to compliance assistance
3. **Review a minimum of 30 plans and specifications:** There were four hundred and eighty-four (484) engineering reviews completed.

OUTCOMES:

1. **100% of all plans and specifications will be reviewed in the required timeframes:** This year there were 61 out of 484 reviews that did not meet regulatory timeframes, such that 87.4% met regulatory timeframes throughout the year. This percentage was in the high 90's in quarters 1 and 2, then due to the Engineer Manager position becoming vacant in January, regulatory deadlines were primarily missed in quarters 3 and 4.

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

OUTPUTS:

1. **Number of Project Interest Forms (PIFs) Submitted:** Fifty-five (55) PIFs were submitted and processed in FY 2018.
2. **Number of coordination meetings with NMFA:** Coordination meetings were held monthly with NMFA during this time period except that no meeting was held in June 2018.

OUTCOMES:

1. **99% of PIFs processed and responded to within 5 days:** 100% of PIFs were responded to within 5 days.

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

OUTPUTS:

1. **Report the number of training sessions or conference presentations held by staff:** SWIG staff presented training sessions at all NMRWA and NMWWA conferences throughout the year.
2. **Report the infrastructure needs and rate survey results annually:** The 2017 rate survey is in the process of being posted online, and the 2018 rate survey is currently being compiled and reviewed for quality. DWB also participates in a NMED needs survey by reviewing the results to determine which projects are eligible for DWSRF.

OUTCOMES:

1. **Free training is offered statewide at least annually:** SWIG contract vendors provided 56 classroom trainings for either board member or operator training credits in FY18.

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

OUTPUTS:

1. **Recruit one PWS for participation in the AWOP program:** This year DWB utilized performance-based training sessions with EPA in-kind services through their contract with PAI. In these sessions PAI staff are training both the DWB technical staff and the operators from Bloomfield WSS, Buckman Regional WTP, City of Santa Fe, Ruidoso WS, and Las Vegas with quarterly full day training sessions.
2. **Participation in EPA required activities:** AWOP required three day quarterly meetings and the associated reporting were attended all year by the Technical Services Team.

OUTCOMES:

1. **100% participation in AWOP EPA required events:** The TST participated in all EPA AWOP required events this quarter.

Assessment of Work Plan Achievements

The DWB was successful in meeting the outcomes and outputs established in the 2017 work plan. The DWB 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 solve problems in both DWB program capacity limitations such as low staff numbers and in managing the impacts of high turnover. Classroom trainings that are offered for free have more consistent attendance. Maintaining routine trainings for free has shown beneficial to both operators and board members, while allowing the development of curriculum to address topics that systems are currently struggling to maintain compliance with. Individual assistance actions outside of return to compliance assistance increased significantly this year as the Community Services team filled all of the vacancies and have been able to provide more managerial and financial assistance to water systems.

Wellhead Protection Program Sub-Element

| TABLE 11-A | | | | | |
|--|---|---|---|---|---|
| Wellhead Protection Sub-Element Set-Aside | | | | | |
| Total Expenditures for SFY 2018 | | | | | |
| DWSRLF Funding Source | Actual SFY 2018 QTR 1 Expenditures | Actual SFY 2018 QTR 2 Expenditures | Actual SFY 2018 QTR 3 Expenditures | Actual SFY 2018 QTR 4 Expenditures | TOTAL Actual SFY 2018 Expenditures |
| Base | \$80,950.05 | \$87,852.36 | \$96,437.54 | \$106,274.10 | \$371,514.07 |

Expenditures in Table 11-A are reported on an accrual basis.

| TABLE 11-B Wellhead Protection Sub-Element Set-Aside Total Expenditures by FFY Capitalization Grant | | | | | | |
|--|----------------------------------|-------------------------|---------------------------|--|---|---------------------------------|
| Awards Allocated to Set-Aside | Total Set-Aside Allocated | Specified Amount | Unspecified Amount | Unspecified Amount Transferred to Loan Fund | Specified Expenditures thru 06/30/17 | Specified Ending Balance |
| 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 | \$0 | \$412,050 |
| TOTALS | \$10,104,381 | \$10,104,381 | \$0 | \$1,513,959 | \$8,289,209 | \$412,050 |

Staff and Agency Resources in SFY 2018

As allowed by the SDWA, the State reserved and specified an amount equal to five percent (5%) out of the 15% Local Assistance. The DWB expended \$371,514.07 from set-aside funds under this category for SFY 2018 activity expenses. DWB staff recorded the actual time spent conducting the eligible activities under each set-aside for reimbursement purposes. The Local Assistance Wellhead funding is primarily expended by the Source Water and Wellhead Protection Program (SWWPP). In FY 2018 there were also third-party contracts in place to supplement the programmatic work.

Activities Performed in SFY 2018

This Set-Aside is used to implement the SWWP program. The SWWP program is a composite of the Well Head Protection Program (WHPP) and Source Water Assessment elements. The Source Water & Wellhead Protection Program underwent significant changes to promote the SWP program and encourage PWSs with SWP plans to move forward with substantial implementation. Efforts during SFY 2018 focused on continuing planning project assistance with contract vendors. Specific highlights included:

OBJECTIVE 1: Update program objectives to develop and promote a Sustainable Source Water Protections 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.

OUTPUTS:

1. **Number of systems provided source water assistance:** Fifty-two (52) systems were provided assistance with SWWP planning during FY 2018.
2. **Number of assistance actions:** There were two hundred and eight (208) assistance actions for SWWPP.
3. **Status of program implementation guide:** The SWWPP implementation guide was not revised in FY 2018.

OUTCOMES:

1. **55% of the NM population served by community water systems that have implemented plans that minimize risk to public health:** In FY18 63% of NM population have source water planning projects implemented.

OBJECTIVE 2: Update Source Water Assessments (SWA) for active drinking water sources.

OUTPUTS:

1. **Three new source water assessments or plans updated or completed:** Eight (8) new SWWPP plans were completed this fiscal year.
2. **Three monitoring waivers reviewed:** Forty-seven (47) monitoring waivers were reviewed this year.

OUTCOMES:

1. **90% of waiver submitted will be reviewed in 30 days:** 100% of the waivers were reviewed within 30 days.

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

OUTPUTS:

1. **Number of training sessions or conference presentation held by staff:** SWWPP staff held four (4) conference presentations this year.
2. **One regional source water meeting to be held:** No regional source water meeting were held this year.

OUTCOMES:

1. **55 % of PWS initiate source water and wellhead protection plans:** A complete plan inventory check is also required for the program to be able to accurately report total number of plans complete for this measure. This is planned for FY18.

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.

OUTPUTS:

1. **Report status of all active contracts:** The SWPP had three active contracts in FY 2018.

OUTCOMES:

1. **95% of PWS that take advantage of this assistance initiate SWPP:** No SWWPP were the results of technical assistance provided to systems with outages.

Assessment of Work Plan Achievements

This fiscal year the program continued to reach out to provide assistance to the large systems in the state which incorporate a great deal of the state's population and have the capacity to update their plans with minimal assistance and significant benefit. The program development work started this fiscal year as well with procedure development and implementation.

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 2018

CASH FLOW MODEL

Oi

| | SFY 2017 | SFY 2018 | SFY 2019 | SFY 2020 | SFY 2021 | SFY 2022 | SFY 2023 |
|--|--------------------|-------------------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Capitalization Grant | 8,312,000 | 8,241,000 ⁴ | 11,107,000 | 6,568,457 | 6,503,933 | 6,438,708 | 0 |
| Set-Asides Portion of Capitalization Grant (31% except in SFY 2010) | 2,576,720 | 2,554,710 | 3,443,170 | 2,036,222 | 2,016,219 | 1,996,000 | 0 |
| Loan Portion of Capitalization Grant (69% except in SFY 2010) | 5,735,280 | 5,686,290 | 7,663,830 | 4,532,235 | 4,487,714 | 4,442,709 | 0 |
| Loan Program Resources | | | | | | | |
| Loan Portion of Capitalization Grant (69% except in SFY 2010, 201 | 5,735,280 | 5,686,290 | 7,663,830 | 4,532,235 | 4,487,714 | 4,442,709 | 0 |
| State Match (20% of Capitalization Grant except in SFY 2010) | 1,662,400 | 1,648,200 | 2,221,400 | 1,313,691 | 1,300,787 | 1,287,742 | 0 |
| Loan Repayments - Actual | 5,600,486 | 0 | 0 | 0 | 0 | 0 | 0 |
| Loan Repayments - Projected | 0 | 8,972,915 | 9,909,823 | 10,359,849 | 11,236,368 | 11,579,389 | 12,060,906 |
| Investment Earnings ⁵ | 326,403 | 786,232 | 750,505 | 732,934 | 710,264 | 708,501 | 736,585 |
| Other | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Bond Proceeds | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Annual Program Resources | 13,324,569 | 17,093,637 | 20,545,558 | 16,938,709 | 17,735,132 | 18,018,340 | 12,797,491 |
| Loan Program Uses | | | | | | | |
| 0% Loans | 5,278,662 | 941,491 | 4,290,084 | 3,492,745 | 2,879,581 | 3,014,972 | 3,063,118 |
| 1% Loans ⁶ | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2% Loans | 10,408,548 | 6,425,703 | 11,608,463 | 9,450,957 | 7,791,806 | 8,158,161 | 8,288,436 |
| 3% Loans | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 4% Loans | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Principal Forgiveness ⁷ | 7,386,590 | 4,425,579 | 9,337,242 | 7,601,857 | 6,267,322 | 6,561,999 | 6,666,786 |
| Bond Payments | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Annual Program Uses | 23,073,800 | 11,792,773 | 25,235,789 | 20,545,558 | 16,938,709 | 17,735,132 | 18,018,340 |
| Cumulative Program Uses | 204,711,936 | 216,504,709 | 241,740,498 | 262,286,056 | 279,224,765 | 296,959,897 | 314,978,238 |
| Annual Program Balance (Resources less Uses) | (9,749,231) | 5,300,864 | (4,690,231) | (3,606,849) | 796,423 | 283,208 | (5,220,849) |
| Cumulative Program Balance | 19,934,925 | 25,235,789 | 20,545,558 | 16,938,709 | 17,735,132 | 18,018,340 | 12,797,491 |
| Projection Assumptions | | | | | | | |
| Rate of Return on Investments ⁵ | 1.46% | 2.91% ² | 2.97% | 3.57% | 4.19% | 3.99% | 4.09% |
| Percentage of Loan Resources Awarded as 0% Loans ⁵ | 22.88% | 7.98% ³ | 16.58% | 16.58% | 16.58% | 16.58% | 16.58% |
| Percentage of Loan Resources Awarded as 1% Loans ⁶ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as 2% Loans ⁵ | 45.11% | 54.49% | 46.00% | 46.00% | 46.00% | 46.00% | 46.00% |
| Percentage of Loan Resources Awarded as 3% Loans ⁵ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as 4% Loans ⁵ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as Principal Forgiveness ⁵ | 32.01% | 37.53% | 37.43% | 37.43% | 37.43% | 37.43% | 37.43% |
| | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |

| | SFY | SFY | SFY | SFY | SFY |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|
| | 2024 | 2025 | 2026 | 2027 | 2028 |
| 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 |
| Loan Program Resources | | | | | |
| 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 | 12,718,787 | 13,370,543 | 13,776,487 | 14,291,621 | 14,575,730 |
| Investment Earnings ⁵ | 584,105 | 624,288 | 681,425 | 653,730 | 674,940 |
| Other | 0 | 0 | 0 | 0 | 0 |
| Bond Proceeds | 0 | 0 | 0 | 0 | 0 |
| Annual Program Resources | 13,302,892 | 13,994,831 | 14,457,912 | 14,945,351 | 15,250,670 |
| Loan Program Uses | | | | | |
| 0% Loans | 2,175,574 | 2,261,492 | 2,379,121 | 2,457,845 | 2,540,710 |
| 1% Loans ⁶ | 0 | 0 | 0 | 0 | 0 |
| 2% Loans | 5,886,846 | 6,119,330 | 6,437,622 | 6,650,640 | 6,874,862 |
| 3% Loans | 0 | 0 | 0 | 0 | 0 |
| 4% Loans | 0 | 0 | 0 | 0 | 0 |
| Principal Forgiveness ⁷ | 4,735,072 | 4,922,070 | 5,178,087 | 5,349,428 | 5,529,780 |
| Bond Payments | 0 | 0 | 0 | 0 | 0 |
| Annual Program Uses | 12,797,491 | 13,302,892 | 13,994,831 | 14,457,912 | 14,945,351 |
| Cumulative Program Uses | 327,775,729 | 341,078,621 | 355,073,452 | 369,531,364 | 384,476,716 |
| Annual Program Balance (Resources less Uses) | 505,401 | 691,939 | 463,081 | 487,439 | 305,318 |
| Cumulative Program Balance | 13,302,892 | 13,994,831 | 14,457,912 | 14,945,351 | 15,250,670 |
| Projection Assumptions | | | | | |
| Rate of Return on Investments ⁵ | 4.56% | 4.69% | 4.87% | 4.52% | 4.52% |
| Percentage of Loan Resources Awarded as 0% Loans ⁵ | 16.58% | 16.58% | 16.58% | 16.58% | 16.58% |
| Percentage of Loan Resources Awarded as 1% Loans ⁶ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as 2% Loans ⁵ | 46.00% | 46.00% | 46.00% | 46.00% | 46.00% |
| Percentage of Loan Resources Awarded as 3% Loans ⁵ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as 4% Loans ⁵ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as Principal Forgiveness ⁵ | 37.43% | 37.43% | 37.43% | 37.43% | 37.43% |
| | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |

| | SFY | SFY | SFY | SFY | SFY | SFY |
|--|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| | 2029 | 2030 | 2031 | 2032 | 2033 | 2034 |
| Capitalization Grant | 0 | 0 | 0 | 0 | 0 | 0 |
| Set-Asides Portion of Capitalization Grant (31% except in SFY 2010) | 0 | 0 | 0 | 0 | 0 | 0 |
| Loan Portion of Capitalization Grant (69% except in SFY 2010) | 0 | 0 | 0 | 0 | 0 | 0 |
| Loan Program Resources | | | | | | |
| Loan Portion of Capitalization Grant (69% except in SFY 2010, 2011) | 0 | 0 | 0 | 0 | 0 | 0 |
| State Match (20% of Capitalization Grant except in SFY 2010) | 0 | 0 | 0 | 0 | 0 | 0 |
| Loan Repayments - Actual | 0 | 0 | 0 | 0 | 0 | 0 |
| Loan Repayments - Projected | 15,007,546 | 14,637,530 | 13,989,579 | 14,318,594 | 13,816,389 | 14,282,564 |
| Investment Earnings ⁵ | 686,938 | 689,339 | 679,500 | 660,437 | 675,996 | 662,097 |
| Other | 0 | 0 | 0 | 0 | 0 | 0 |
| Bond Proceeds | 0 | 0 | 0 | 0 | 0 | 0 |
| Annual Program Resources | 15,694,484 | 15,326,869 | 14,669,079 | 14,979,031 | 14,492,385 | 14,944,661 |
| Loan Program Uses | | | | | | |
| 0% Loans | 2,592,614 | 2,668,062 | 2,605,568 | 2,493,743 | 2,546,435 | 2,463,705 |
| 1% Loans ⁶ | 0 | 0 | 0 | 0 | 0 | 0 |
| 2% Loans | 7,015,308 | 7,219,463 | 7,050,360 | 6,747,776 | 6,890,354 | 6,666,497 |
| 3% Loans | 0 | 0 | 0 | 0 | 0 | 0 |
| 4% Loans | 0 | 0 | 0 | 0 | 0 | 0 |
| Principal Forgiveness ⁷ | 5,642,748 | 5,806,959 | 5,670,942 | 5,427,559 | 5,542,241 | 5,362,183 |
| Bond Payments | 0 | 0 | 0 | 0 | 0 | 0 |
| Annual Program Uses | 15,250,670 | 15,694,484 | 15,326,869 | 14,669,079 | 14,979,031 | 14,492,385 |
| Cumulative Program Uses | 399,727,385 | 415,421,869 | 430,748,738 | 445,417,817 | 460,396,848 | 474,889,233 |
| Annual Program Balance (Resources less Uses) | 443,814 | (367,615) | (657,791) | 309,952 | (486,646) | 452,276 |
| Cumulative Program Balance | 15,694,484 | 15,326,869 | 14,669,079 | 14,979,031 | 14,492,385 | 14,944,661 |
| Projection Assumptions | | | | | | |
| Rate of Return on Investments ⁵ | 4.50% | 4.39% | 4.43% | 4.50% | 4.51% | 4.57% |
| Percentage of Loan Resources Awarded as 0% Loans ⁵ | 16.58% | 16.58% | 16.58% | 16.58% | 16.58% | 16.58% |
| Percentage of Loan Resources Awarded as 1% Loans ⁶ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as 2% Loans ⁵ | 46.00% | 46.00% | 46.00% | 46.00% | 46.00% | 46.00% |
| Percentage of Loan Resources Awarded as 3% Loans ⁵ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as 4% Loans ⁵ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as Principal Forgiveness ⁵ | 37.43% | 37.43% | 37.43% | 37.43% | 37.43% | 37.43% |
| | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |

| | SFY | SFY | SFY | SFY | SFY | SFY |
|--|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| | 2035 | 2036 | 2037 | 2038 | 2039 | 2040 |
| Capitalization Grant | 0 | 0 | 0 | 0 | 0 | 0 |
| Set-Asides Portion of Capitalization Grant (31% except in SFY 2010) | 0 | 0 | 0 | 0 | 0 | 0 |
| Loan Portion of Capitalization Grant (69% except in SFY 2010) | 0 | 0 | 0 | 0 | 0 | 0 |
| Loan Program Resources | | | | | | |
| Loan Portion of Capitalization Grant (69% except in SFY 2010, 2011) | 0 | 0 | 0 | 0 | 0 | 0 |
| State Match (20% of Capitalization Grant except in SFY 2010) | 0 | 0 | 0 | 0 | 0 | 0 |
| Loan Repayments - Actual | 0 | 0 | 0 | 0 | 0 | 0 |
| Loan Repayments - Projected | 13,275,802 | 12,223,430 | 11,991,639 | 11,608,867 | 10,972,315 | 10,579,340 |
| Investment Earnings ⁵ | 672,704 | 647,098 | 612,673 | 618,088 | 609,053 | 585,818 |
| Other | 0 | 0 | 0 | 0 | 0 | 0 |
| Bond Proceeds | 0 | 0 | 0 | 0 | 0 | 0 |
| Annual Program Resources | 13,948,506 | 12,870,528 | 12,604,312 | 12,226,955 | 11,581,368 | 11,165,158 |
| Loan Program Uses | | | | | | |
| 0% Loans | 2,540,592 | 2,371,246 | 2,187,990 | 2,142,733 | 2,078,582 | 1,968,832 |
| 1% Loans ⁶ | 0 | 0 | 0 | 0 | 0 | 0 |
| 2% Loans | 6,874,544 | 6,416,313 | 5,920,443 | 5,797,983 | 5,624,398 | 5,327,427 |
| 3% Loans | 0 | 0 | 0 | 0 | 0 | 0 |
| 4% Loans | 0 | 0 | 0 | 0 | 0 | 0 |
| Principal Forgiveness ⁷ | 5,529,525 | 5,160,947 | 4,762,095 | 4,663,595 | 4,523,972 | 4,285,105 |
| Bond Payments | 0 | 1 | 2 | 3 | 4 | 5 |
| Annual Program Uses | 14,944,661 | 13,948,507 | 12,870,529 | 12,604,313 | 12,226,956 | 11,581,369 |
| Cumulative Program Uses | 489,833,894 | 503,782,401 | 516,652,930 | 529,257,243 | 541,484,199 | 553,065,568 |
| Annual Program Balance (Resources less Uses) | (996,155) | (1,077,978) | (266,217) | (377,359) | (645,588) | (416,211) |
| Cumulative Program Balance | 13,948,506 | 12,870,527 | 12,604,310 | 12,226,952 | 11,581,364 | 11,165,153 |
| Projection Assumptions | | | | | | |
| Rate of Return on Investments ⁵ | 4.50% | 4.64% | 4.76% | 4.90% | 4.98% | 5.06% |
| Percentage of Loan Resources Awarded as 0% Loans ⁵ | 16.58% | 16.58% | 16.58% | 16.58% | 16.58% | 16.58% |
| Percentage of Loan Resources Awarded as 1% Loans ⁶ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as 2% Loans ⁵ | 46.00% | 46.00% | 46.00% | 46.00% | 46.00% | 46.00% |
| Percentage of Loan Resources Awarded as 3% Loans ⁵ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as 4% Loans ⁵ | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| Percentage of Loan Resources Awarded as Principal Forgiveness ⁵ | 37.43% | 37.43% | 37.43% | 37.43% | 37.43% | 37.43% |
| | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |

End Notes:

- 2 Return on investments after SFY 2017 are estimates based on average of last three prior years.
- 3 Percentages of loans after SFY 2017 are estimates. SFY 2017 is based on the binding commitments and the annual fundable list. SFY 18 is based on averages and the other assumptions mentioned.
- 4 Capitalization Grant amounts for SFY 2017- SFY 2020 (FFY 2017 - FFY 2019) are projected based on the average of all Capitalization Grant amounts received through SFY 2017.
- 5 Investment Earnings are actuals from NIMS for SFY 1997 to SFY 2015. SFY 2017 onward is projected based on the average rate of return for SFY 2012 - SFY 2017.
- 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); given the extremely low probability of making a 1% loan in the future, no 1%-loan projections have been made.
- 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 2018

FINANCIAL STATEMENTS

The DWSRF Financial Statements are currently under review by the accounting firm Moss Adams. Once the Financial Statements are released by the State Auditor, a copy will be submitted to EPA Region 6. The FY 2017 Audit was released by the NM State Auditor on 1/3/2018. A copy was submitted to EPA Region 6.

ATTACHMENT C

BINDING COMMITMENT CHART

| Binding Commitments through SFY 2018 | | | | | |
|---|------------------------|-----------------|-----------------|-----------------|-----------------|
| | SFY 1997 - SFY 2017 | SFY 2018-Q1 | SFY 2018-Q2 | SFY 2018-Q3 | SFY 2018-Q4 |
| UPDATE SFY 2016 Roswell Amendment | (\$2,020,000) | | | | |
| SFY 1997- SFY 2017 | \$254,528,499 | N/A | N/A | N/A | N/A |
| Las Vegas | | \$841,000 | | | |
| ABCWAU | | \$1,010,000 | | | |
| Northstar | | \$ 1,269,730.00 | | | |
| Tucumcari, City of | | | \$ 909,963.00 | | |
| Eldorado AWSD | | | \$ 1,646,300.00 | | |
| Eldorado AWSD | | | \$ 767,600.00 | | |
| Magdalena, Village of | | | \$ 409,000.00 | | |
| Farmington, City of | | | \$ 2,929,000.00 | | |
| Lower Des Montes MDWCA | | | \$ 303,000.00 | | |
| ABCWAU | | | \$ 1,000,000.00 | | |
| Roswell, City of | | | \$ 4,040,000.00 | | |
| Galisteo MDWCA | | | \$ 433,500.00 | | |
| Deming, City of | | | | \$ 121,200.00 | |
| Lower Rio Grande Add funds | | | | \$ 151,500.00 | |
| Lower Rio Grande WWA | | | | \$ 3,285,619.00 | |
| Cimarron, Village of | | | | | \$ 358,550.00 |
| Roswell additional funds | | | | | \$ 1,341,142.00 |
| Valley Estates | | | | | \$ 204,770.00 |
| Required % of Cumulative Binding Commitments | 143.46% | 141.02% | 136.34% | 135.76% | 134.40% |
| Actual Cumulative Binding Commitments | \$254,528,499 | \$257,649,229 | \$270,087,592 | \$273,645,911 | \$275,550,373 |
| Required Amount Binding Commitments | \$177,418,700 | \$182,708,301 | \$198,103,100 | \$201,561,786 | \$205,020,470 |

ATTACHMENT D
DWSRLF ASSISTANCE AGREEMENTS CLOSED
THROUGH SFY 2018*

DWSRF ASSISTANCE AGREEMENTS CLOSED THROUGH SFY 2018

| 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 | Duranes 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% | |
| 12/17/10 | SFY 11 | FFY 11 | 2487-DW | Santa Fe | Vista Redonda MDWCA | Water System Improvements | No | \$ - | \$ 1,492,145 | \$ 1,492,145 | 3.0000% | |
| 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 | |
| 6/17/16 | 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 | Amends the scope only, no change in #'s | | | | | |
| 5/12/17 | SFY 17 | FFY 17 | 3040-DW | Taos | Ojo Caliente MDWUA | amendment to add well | No | Amends the scope only, no change in #'s | | | | | |
| 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 | |
| 10/27/17 | SFY 18 | FFY 18 | 3624-DW | San Miguel | Las Vegas, City of | | No | \$ 630,750 | \$ 210,250 | \$ 841,000 | 0.0000% | SFY 2016 Qtr 4 | |
| 2/23/18 | SFY 18 | FFY 18 | 3394-DW | Dona Ana | Lower Rio Grande PWWA | System improvements | No | \$ - | \$ 151,500 | \$ 151,500 | 0.0000% | SFY 2016 Qtr 1 | |
| 3/23/18 | SFY 18 | FFY 18 | 3634-DW | San Juan | North Star DWC & MSWC, INC | meters | No | \$ 57,245 | \$ 171,733 | \$ 228,978 | 2.0000% | SFY 2016 Qtr 1 | |
| 4/20/18 | SFY 18 | FFY 18 | 3633-DW | Valencia | Los Lunas, Village of | Pipe improvement project | No | \$ 280,857 | \$ 1,849,637 | \$ 2,130,494 | 2.0000% | SFY 2016 Qtr 1 | |
| 4/27/18 | SFY 18 | FFY 18 | 4200-DW | Bernalillo | ABCWUA | Meters | Yes | \$ 505,000 | \$ 505,000 | \$ 1,010,000 | 2.0000% | SFY 2017 Qtr 1 | |
| 6/1/18 | SFY 18 | FFY 18 | 4204-DW | Quay | Tucumcari, City of | pipe replacement | No | \$ 682,472 | \$ 227,491 | \$ 909,963 | 0.0000% | SFY 2017 Qtr 1 | |
| 6/8/18 | SFY 18 | FFY 18 | 4208-DW | Santa Fe | Eldorado Area W&SD | Plan and design | No | \$ 328,755 | \$ 986,265 | \$ 1,315,020 | 2.0000% | SFY 2017 Qtr 1 | |
| 6/8/18 | SFY 18 | FFY 18 | 4215-DW | Santa Fe | Eldorado Area W&SD | Construction | No | \$ - | \$ 565,600 | \$ 565,600 | 2.0000% | SFY 2017 Qtr 1 | |
| 6/8/18 | SFY 18 | FFY 18 | 4198-DW | Socorro | Magdalena, Village | meters | No | \$ 306,750 | \$ 102,250 | \$ 409,000 | 0.0000% | SFY 2017 Qtr 1 | |
| 6/15/18 | SFY 18 | FFY 18 | 4207-DW | San Juan | Farmington, City of | Pipe replacement | No | \$ 732,250 | \$ 2,196,750 | \$ 2,929,000 | 2.0000% | SFY 2017 Qtr 1 | |
| 6/29/18 | SFY 18 | FFY 18 | 4210-DW | Taos | Lower Des Montes MDWUA | Pipe | No | \$ 151,500 | \$ 151,500 | \$ 303,000 | 0.0000% | SFY 2017 Qtr 1 | |
| 7/27/18 | SFY 18 | FFY 18 | 4217-DW | Santa Fe | Galisteo MDWCA | Tank, well and pipe | No | \$ 108,375 | \$ 108,375 | \$ 216,750 | 0.0000% | SFY 2017 Qtr 1 | |
| 132 project | TOTALS and average Interest rate | | | | | | | | \$ 49,015,939 | \$ 154,357,823 | \$ 203,094,937 | 1.2379% | |

*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 2018 DWSRLF DISADVANTAGED BUSINESS ENTERPRISE GOALS AND PROGRAM RESULTS

| Total SFY 2017 Procurements (07/01/16 – 06/30/17) | MBE Goals | SFY 2018 DWSRLF Minority-Owned Business Enterprise (MBE) Actual | | WBE Goals | SFY 2018 DWSRLF Women-Owned Business Enterprise (WBE) Actual | |
|---|--------------|---|---------------------|--------------|---|---------------------|
| | | Dollar Value | % of Procurement | | Dollar Value | % of Procurement |
| \$10,884,077.65 | | \$13,000 | .1194% | | \$26,000 | .2389% |
| \$9,388,364.12 Construction | 34.39% | \$13,000 | .1385% | 11.02% | \$26,000 | .2769% |
| \$0 Supplies | 18.87% | \$0 | 0.00% | 15.40% | \$0 | 0.00% |
| \$ 1,000,000 Equipment | 19.46% | \$0 | 0.00% | 21.15% | \$0 | 0.00% |
| \$495,713.53 Services | 33.88% | \$0 | 0% | 21.72% | \$0 | 0. % |
| OVERALL MBE & WBE PROCUREMENTS | | | | | .3583% | |

New Mexico has been working with all parties involved with the DWSRLF to increase the amount of the State wide 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 2018 Project Bypass Chart | | | |
|---|--|---------------------|-----------------------------|
| Fundable List Quarter and Ranking (SFY18 Annual) | Name, Number | Project Description | Outcome |
| Annual- #13 | Deming Municipal Water System, NM3528616 | SCADA | Moved forward in Fall list |
| Annual- #16 | City of Raton, NM3526704 | Treatment System | Elected not to move forward |

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 | in construction |
| 4207 | Farmington, City of | \$ 31,369 | in construction |
| | Total allocated | \$ 9,365,370 | |
| | Difference | \$ - | |

| 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 | \$ 151,035 | fully drawn |
| 3397 | Farmington, City of | \$ 316,037 | in construction |
| 3205 | Roswell, City of - Amended | \$ 693,476 | in construction |
| 3634 | North Star | \$ 8,080 | in construction |
| 4207 | Farmington | \$ 9,908 | in construction |
| | Total allocated | \$ 6,498,420 | |
| | Difference | \$ - | |

| 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 | in construction |
| 3633 | Los Lunas, Village of | \$ 116,031 | in construction |
| 4207 | Farmington, City of | \$ 16,424 | in construction |
| | Total allocated | \$ 1,795,000 | |
| | 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 | in construction |
| 3037 | Clayton amendment | \$ 4,386 | fully drawn |
| 4207 | Farmington, City of | \$ 28,145 | in construction |
| | Total allocated | \$ 2,526,300 | |
| | Difference | \$ - | |

| 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 | in construction |
| 3448 | Tucumcari Water System | \$ 1,080,024 | fully drawn |
| 3205 | Roswell, City of - Amended | \$ 1,311,155 | in construction |
| 4207 | Farmington Water System | \$ 51,009 | in construction |
| | Total allocated | \$ 2,653,500 | |
| | difference to be reallocated | \$ - | |

| 2016 Cap Grant FS-19 | | | | |
|----------------------|-----------------------------------|---------------------|-----------------------------|-----------------|
| Subsidy | Available \$1,662,400 (Cap grant) | | \$2,493,600 (disadvantaged) | |
| Project number | BORROWER | 20% Subsidy | 30% Disadvantaged | Status |
| 3622 | Las Vegas, City of | | \$ 415,318 | in construction |
| 3636 | San Cristobal MDWCA | \$ 74,344 | | in construction |
| 3590 | Red River, Town of | | \$ 1,305,000 | in construction |
| 3623 | Las Vegas, City of | | \$ 630,750 | in construction |
| 3624 | Las Vegas, City of | \$ 122,968 | \$ 142,532 | in construction |
| 3620 | Eldorado W&SD | \$ 126,250 | | in construction |
| 3634 | North Star MDWCA | \$ 49,165 | | in construction |
| 3632 | City of Farmington | \$ 898,900 | | in construction |
| 3633 | Village of Los Lunas | \$ 160,440 | | in construction |
| 4207 | City of Farmington | \$ 230,333 | | in construction |
| | Total Allocated | \$ 1,662,400 | \$ 2,493,600 | |
| | 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 | \$ 859,951 | \$ - | Pending Board |
| 4217 | Eagle Nest Water System | \$ 707,000 | \$ - | Pending Board |
| 4207 | Tucumcari Water System | \$ - | \$ 768,234 | Pending Board |
| 4204 | Truth or Consequences water | \$ 620,542 | \$ - | Pending Board |
| 4208 | Lower Rio Grande | \$ - | \$ 1,297,269 | Pending Board |
| 4198 | Miami | | \$ 151,950 | Pending Board |
| 4200 | Eldorado | \$ 33,907 | | Pending Board |
| 4213 | Magdalena | \$ - | \$ 375,000 | Pending Board |
| | Total Allocated | \$ 2,221,400 | \$ 2,592,453 | |
| | Difference | \$ - | \$ 739,647 | |

| 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 | in construction |
| 3400 | Estancia Water System | \$ 40,083 | fully drawn |
| 3382 | Dona Ana MDWCA | \$ 757,500 | in construction |
| 3570 | Las Vegas, City of | \$ 69,806 | in construction |
| 3631 | Village of Angel Fire | \$ 107,818 | in construction |
| 3622 | Las Vegas, City of | \$ 34,682 | in construction |
| 4207 | Farmington Water System | \$ 123,794 | in construction |
| 4196 | Roswell Municipal water system | \$ 183,631 | in construction |
| 4706 | Cimmarron Water System | \$ 179,276 | Board Approved |
| | Total Allocated | \$ 2,636,100 | |
| | Difference | \$ - | |

| 2017 Cap Grant FS-20 | | | | |
|----------------------|-----------------------------------|---------------------|-----------------------------|-----------------|
| Subsidy | Available \$1,648,200 (Cap grant) | | \$2,472,300 (disadvantaged) | |
| Project number | BORROWER | 20% Subsidy | 30% Disadvantaged | Status |
| 4202 | ABCWUA Carmuel | | \$ 750,000 | in construction |
| 4217 | Galisteo MDWCA | | \$ 325,125 | in construction |
| 4207 | Farmington Water Sysytem | \$ 257,680 | | in construction |
| 4204 | Tucumcari Water System | | \$ 682,472 | in construction |
| 4208 | Eldorado AWSO | \$ 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 | \$ 209,766 | | board approved |
| 4732 | Valley Estates | | \$ 51,187 | board approved |
| 4792 | Red River Water System | \$ 195,499 | | Pending Board |
| 4801 | Tucumcari Water System | | \$ 356,766 | Pending Board |
| | Total Allocated | \$ 1,648,200 | \$ 2,472,300 | |
| | Difference | \$ - | \$ (0) | |

Attachment H Annual PBR Report

Drinking Water SRF Reporting Assistance Provided for New Mexico

Report Generated: 9/21/2018 -- Data Last Modified: 9/21/2018 4:39:00 PM

| Tracking Number | Recipient | 1st Agreement Date in Selected Period | Assistance Amount | Grant Amount | Negative Interest Amount | Principal Forgiveness Amount | Recipient Could Afford Project without Subsidy? | Population Served | GPR Amount |
|------------------------------------|---|---------------------------------------|-------------------|--------------|--------------------------|------------------------------|---|-------------------|------------|
| 3394-DW | Lower Rio Grande Public Water Works Authorit | 2/16/2018 | 151,500 | 0 | 0 | 0 | <input type="checkbox"/> | 250 | 0 |
| 3624-DW | Las Vegas, City of | 10/27/2017 | 841,000 | 0 | 0 | 630,750 | <input type="checkbox"/> | 19,000 | 0 |
| 3633-DW | Los Lunas, Village of | 5/11/2018 | 2,129,712 | 0 | 0 | 280,857 | <input type="checkbox"/> | 6,206 | 0 |
| 3634-DW | Northstar MDWCA | 3/23/2018 | 1,259,209 | 0 | 0 | 56,678 | <input type="checkbox"/> | 2,737 | 0 |
| 4198-DW | Magdalena, Village of | 6/8/2018 | 409,000 | 0 | 0 | 306,750 | <input type="checkbox"/> | 550 | 0 |
| 4200-DW | Albuquerque-Bernalillo County Water Utility A | 4/27/2018 | 1,010,000 | 0 | 0 | 505,000 | <input type="checkbox"/> | 199,491 | 0 |
| 4202-DW | Albuquerque-Bernalillo County WUA Carnuel | 6/29/2018 | 1,000,000 | 0 | 0 | 750,000 | <input type="checkbox"/> | 199,491 | 0 |
| 4204-DW | Tucumcari, City of | 6/1/2018 | 909,963 | 0 | 0 | 682,472 | <input type="checkbox"/> | 6,000 | 0 |
| 4207-DW | Farmington, City of | 6/15/2018 | 2,929,000 | 0 | 0 | 732,250 | <input type="checkbox"/> | 16,576 | 0 |
| 4208-DW | Eldorado Area Water & Sanitation District | 6/8/2018 | 1,315,020 | 0 | 0 | 328,755 | <input type="checkbox"/> | 7,500 | 0 |
| 4210-DW | Lower Des Montes MDCWA | 6/22/2018 | 303,000 | 0 | 0 | 151,500 | <input type="checkbox"/> | 104 | 0 |
| 4215-DW | Eldorado Area Water & Sanitation District | 6/8/2018 | 565,600 | 0 | 0 | 0 | <input type="checkbox"/> | 7,500 | 0 |
| Total for all 12 Agreements | | | 12,823,004 | 0 | 0 | 4,425,012 | | 465,405 | 0 |

Attachment I Financial Indicators

| Financial Indicators (as of June 30, 2017) | | | | | |
|--|--|--------|--------|--------|----------------------|
| NIMS Line # | Financial Indicators Based on Cumulative Activity | 2015 | 2016 | 2017 | National Average* |
| 418 | Return on Federal Investment | 112.9% | 114.2% | 115.2% | 138.8% |
| 419 | Assistance Provided as a % of Funds Available | 84.3% | 84.1% | 84.3% | 95.4% |
| 420 | Disbursements as a % of Assistance Provided | 82.7% | 83.4% | 82.5% | 84.0% |
| 424 | Set-Aside Spending Rate | 80.9% | 88.2% | 90.1% | 90.6% |
| 426 | Net Return on Contributed Capital Excl. Subsidy | 11.1% | 12.1% | 13.3% | 11.7% |

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 2017 (Federal dollars only). NMFA has spent the loan fund portion through the FFY 2015 Capitalization Fund.

| New Mexico Finance Authority | | | | |
|--|---------|-------|------------|-------------------------|
| Schedule of Expenditures of Federal Awards | | | | |
| 6/30/2018 | | | | |
| | Federal | | | Federal |
| | Catalog | Award | Grant | Expenditures |
| Grantor/Program Title | Number | Year | Number | FY 2018 |
| Environmental Protection Agency | | | | |
| | 66.468 | 2013 | FS99692516 | 442,112.85 |
| | 66.468 | 2014 | FS99692517 | 2,280,369.45 |
| | 66.468 | 2015 | FS99692518 | 3,036,916.79 |
| | 66.468 | 2016 | FS99692519 | 7,740,679.24 |
| | 66.468 | 2017 | FS99692520 | 637,995.26 |
| Capitalization Grants for Drinking Water State Revolving Funds | 66.468 | | | \$ 14,138,073.59 |
| Total expenditures of federal awards | | | | <u>\$ 14,138,073.59</u> |

New Mexico Finance Authority
Note to Schedule of Expenditures of Federal Awards
6/30/2018

| Subrecipients | | | |
|--|-----------------------|--|--|
| Subrecipients of the Drinking Water State Revolving Loan Fund program include the following: | | | |
| | Pass-Through | | |
| Subrecipient Name | Funds | | |
| State Revolving Fund | | | |
| Alamogordo, City of Total | 306,759.59 | | |
| Angel Fire, Village of Total | 172,839.22 | | |
| Belen, City of Total | 1,002,462.90 | | |
| Bluewater WSD Total | 607,037.99 | | |
| Dona Ana MDWCA Total | 495,520.60 | | |
| Eldorado Area WSD Total | 531,128.32 | | |
| Farmington, City of Total | 1,522,505.65 | | |
| Las Vegas, City of Total | 117,457.95 | | |
| Lee Acres WUCA, Inc Total | 135,409.72 | | |
| Lower Rio Grande Public Works Authority Total | 100,906.79 | | |
| Moriarity, City of Total | 196,102.87 | | |
| Ojo Caliente MDWCA Total | 188,431.46 | | |
| Rainsville WSD Total | 33,540.19 | | |
| Red River, Town of Total | 48,364.34 | | |
| Roswell, City of Total | 2,199,818.86 | | |
| Santa Clara, Village of Total | 277,341.87 | | |
| Tucumcari, City of Total | 701,235.52 | | |
| Upper La Plata MDWUA Total | 138,064.90 | | |
| NMED Drinking Water Bureau | 4,687,559.13 | | |
| Total Expenditures of Federal Awards | 13,462,487.87 | | |
| Total Expenditures of Federal Awards | 13,462,487.87 | | |
| NMFA | <u>675,585.72</u> | | |
| Total Expenditures of Federal Awards | 14,138,073.59 | | |
| 5606 Loan Forgiveness DW | 5,013,204.36 | | |
| NMED | 4,687,559.13 | | |
| STATE MATCH | <u>(2,326,558.58)</u> | | |
| Federal Awards provided to Subrecipients | <u>7,374,204.91</u> | | |
| Total Fed Expenditures | 14,138,073.59 | | |
| Federal Awards provided to Subrecipients | (7,374,204.91) | | |
| NMFA | <u>(675,585.72)</u> | | |
| Loans & Loan Guarantees | <u>6,088,282.96</u> | | |