



*TOTAL should equal 'Capital' amt. above	\$175,243.43		
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Capital to Vendor – When you purchase capital using a state approved price agreement. You will make a check to the awarded vendor for the 20% local share, and send the check to NMDOT's Transit and Rail Division. At delivery, your check is given to the vendor, and NMDOT is billed for the difference.

Capital to Subgrantee – When you purchase any approved capital item that that is not on a state price agreement, including large buses, radios, and other requested capital. You will initially pay 100% of the purchase. Upon submitting the appropriate documentation to the Transit and Rail Division, you will be reimbursed 80%.

CAPITAL TO SUBGRANTEE OPTION IS NOT AVAILABLE FOR NON-PROFIT ORGANIZATIONS

III. Financial Information

A) CAPITAL BUDGET

ELIGIBLE CAPITAL COSTS

ITEM DESCRIPTION	2016 ACTUAL EXENDITURES	2017 APPROVED BUDGET	2018 PROJECTED EXPENDITURES
3-01-20 Radios & Base Stations			
3-01-25 Other Capital Expenses			
3-01-40 Surveillance System			
3-01-45 15 Passenger Van (W/Lift)	42,450.00	51,910.00	56,272.56
3-01-50 15 Passenger Van (W/Ramp)	86,589.00	43,752.00	62,684.31
3-01-60 Mobile Radios			
TOTAL ELIGIBLE COSTS	129,039.00	95,662.00	175,243.43
VEHICLE DISPOSITION PROCEEDS	0	0	0
NET CAPITAL (Total Capital less Vehicle Disposition Proceeds)	129,039.00	95,662.00	175,243.43

LOCAL SHARE SOURCES (specify)

Anderson Foundation Grant.....			\$30,000.00
Private Donation/Fundraisers.....			\$5,048.69
TOTAL LOCAL SHARE (20%)			**\$35,048.69
FEDERAL SHARE (80%)			**\$140,194.74

B) OPERATING BUDGET: INFORMATION PROVIDED IN THE SPACE BELOW IS USED TO GET A BASELINE OF OPERATING FUNDS THAT YOU PROVIDE TO YOUR 5310 ELIGIBLE PROGRAM.

THESE FUNDS ARE NOT DIRECTLY RELATED TO THE CAPITAL GRANT YOU ARE APPLYING FOR.

ITEM DESCRIPTION	2016* ACTUAL EXENDITURES	2017 APPROVED BUDGET	2018 PROJECTED EXPENDITURES
Drivers Salaries/Fringe Benefits	\$180,150.00	\$180,000	\$83,000
Support Staff/Fringe Benefits	\$20,480.00	\$22,000	\$23,500
Lubricants, Tires/Repairs, Maintenance	\$11,000.	\$10,000.	\$9000.
Fuel	\$16,600.00	\$17,000.	\$17,000.
Insurance	\$21,000	\$22,000.00	\$23,000.
Registration	\$1000.00	\$1000.	\$1000.00
TOTAL TRANSPORTATION	250,230.00	\$252,000.00	\$256,500.00

NON-TRANSPORTATION	\$6,555,433.70	\$6,530,498.00	\$6,593,500.00
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TOTAL EXPENDITURES	\$6,805,663.77	\$6,782,498.00	\$6,850,000.00
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* Prorate expenditures to end of the current fiscal year

1. Please list all other non-transportation services your agency provides.

Day Habilitation services include literacy, career discovery and employment opportunities to Individuals with disabilities.
Early Intervention for children from birth to age three provides services that include physical, occupational and speech therapies as well as parenting classes.
Our organization also provides employment development, training, certification, placement and support once employment has been obtained to enhance long-term employment.

2. Please list all funding sources and amounts received for both general budget and transportation budget.

Anderson Foundation	\$30,000	PNM	\$5000.
US Bank	\$5000.		
United Way	\$62,000		
Private donations/Contributions	\$110,000.00		
Private Trust-\$25,000			

3. Why do you need this equipment (check all that apply)?

a.	<input checked="" type="checkbox"/>	Replace existing vehicle(s) (LIST VIN, TYPE, MILEAGE, AND AGE OF EACH VEHICLE)
b.	<input type="checkbox"/>	Establish service to new area
c.	<input type="checkbox"/>	Add wheelchair capacity to existing vehicles
d.	<input type="checkbox"/>	Increase number of vehicles available for demand responsive service
e.	<input type="checkbox"/>	Decrease vehicle size for service
f.	<input checked="" type="checkbox"/>	Increase vehicle size for service

- g.

	Improve passenger access to service
--	-------------------------------------

State price agreement for transit vehicles is available at this time (Web link to price agreement number):

Statewide Transit Vehicle Price Agreement - Agreement 60-00015
<http://www.generalservices.state.nm.us/uploads/files/SPD/Contracts/60-000-15-00015%20Transit%20Vehicles.pdf>

- Agencies have two options for vehicle procurement:
- (1) Order vehicle(s) from approved price agreement (Web link above)
 - (2) Implement your own competitive bid procurement process

Description, quantity, and cost of capital items to be purchased:

Refer to Section 3-01-00-Capital Costs

The request is for three vans to be purchased by Creative Bus Sales (attachments include).

C) Please provide and check item:

- 1- Copy of Articles of Incorporation
- 2- Copy of 501(c) 3 Certification
- 3- Copy of most current audit
- 4- If transit-related audit findings occurred, copy of corrective action response submitted to auditor.
- 5- If a non-profit organization (first time applicants only), copy of procurement procedures that comply with FTA Circular 4220.
http://www.fta.dot.gov/legislation_law/12349_16011.html

IV. Program Description

A) The service you provide or intend to provide will be (check all that applies):

<input type="checkbox"/>	Fixed route
<input type="checkbox"/>	Modified fixed route
<input type="checkbox"/>	Demand responsive
<input checked="" type="checkbox"/>	Section 5310

B) This request for funding will (check all that apply):

<input type="checkbox"/>	start up new services
<input type="checkbox"/>	reduce service from current level
<input checked="" type="checkbox"/>	maintain service at current level
<input type="checkbox"/>	expand existing service to additional areas

C) If applicable, please briefly describe the new or expanded service.

The Department of Health has increased the Meaningful Day requirements as per LifeROOTS contract. Larger groups of participants who are disabled will need to be transported into the community.

D) Is the program included in the RTPO/MPO Coordinated Public Transit Human Services Transportation Plan?

	YES
x	NO

E) 5310 Program

Number of one-way passenger trips per month	
Elderly (non-disabled)	0
Disabled (including elderly)	3100
General Public	0
TOTAL	3100
Number of unduplicated persons transported per month	100

V. Description of Service Area

A) Check the most appropriate description of your community:

<input checked="" type="checkbox"/>	Urbanized Area (UZA) or Large Urban areas with population of 200,000 or more
<input checked="" type="checkbox"/>	Small Urban areas with population of 50,000 – 199,999
<input type="checkbox"/>	Non-urbanized/Rural (50,000 people or less)

B) Please list all the municipalities and counties served by your program:

Cities – Albuquerque and Rio Rancho Counties – Bernalillo, Sandoval, Torrance and Valencia

C) Please complete the following demographic information for your service area. Exact counts are preferred, but estimates are acceptable. For this section, you are describing the same population two different ways, so your total number of population served by ethnicity category should equal the total number of population by elderly or disabled status.

Ethnicity Category	Population	%
Black	20,500	3
Hispanic	310,255	33
Asian or Pacific Islander	17,112.	2
American Indian or Alaskan Native	28,196.	3

%	Population	Elderly/Disabled Category
12%	112,674	Elderly (non-disabled)
10%	93,895	Persons with Disabilities (including elderly)
78%	732,380	Other (everyone else)

White	440,002	46
Other-2 or more race	122,884.	13
	*938,949.	100

= TOTAL*
=

100	*938,949	

* These totals should equal.

1) Source (if other than US Census Bureau):

<https://suburbanstats.org>, <https://ibis.health.state.nm.us>

D) When applying for Section 5310 funding as the coordinator of transportation services in your area, complete the section above using your current program information. In addition, please fill out the following section for the organizations/programs you will serve.

Name of Organization Served	Number of People Transported
Department of Health-DDSD	80
Division of Vocational Rehabilitation	38
	TOTAL:118

E) Please provide and check:

1- x Map of Service Area (on 8 1/2 X 11 page)

VI. Ridership and Transit System Statistics

A) Complete years that are applicable

Line #	Category	2016	2017	2018 Projected
1	Annual Ridership	18,000	18,800	18,800
2	Annual Mileage	128,000	150,000	150,000
3	Annual Vehicle Hours	102,000	140,000	140,000

* Prorate statistics to end of FY.

VII. Vehicle Inventory – include all vehicles Information for each vehicle is extended to the next page. Please add additional sheets if necessary.

#	Make/Model	Year	Mileage	VIN #	Status (R = regular service, B - backup, S - spare, I = inactive)	Ambulatory/Walk-On Psgr. Capacity.	Last Preventive Maint. Date	Wheel-chair Spaces (# of or 0)	Lift / Ramp Equipped? (yes or no)	Condition (E = excellent, G = good, F = fair, P = poor (OOSGR))	Grant Source of Funding (e.g. 5310 FY09)	Estimated Replacement Date
1	Ford E-250	1994	121,750	1FBJ32H8RHA24795	R	8	8/15	2	yes	P	0	9/15
2	Chevy Venture	2003	92,421	1GNDV03E13D261040	R	8	8/15	0	no	P	0	9/15
3	Chevy Exp	2005	76,833	1GAHG39UX51223145	R	15	7/15	0	no	F	0	9/16
4	Ford E-250	2001	46,866	1FBSS31L41HA82903	R	8	7/15	2	yes	G	0	9/17
5	Chevy Venture	2003	78,322	1GNDV03E53D260506	R	8	7/15	0	no	P	0	9/16
6	Ford F-250	2007	185,868	1FTSX215117EA64507	R	5	7/15	0	no	P	0	9/16
7	Ford F-150	1997	116,845	1FTDX1863VLA54665	R	5	7/15	0	no	P	0	9/16
8	Ford E-250	1999	24,738	1FBSS31:7XJB73480	R	8	8/15	2	yes	G	0	9/18
9	Ford E-350	2003	60,540	1FBSS32S43HA60670	R	15	8/15	0	no	F	0	9/17
10	Ford E-150	2004	66,119	1FTRE14W44HB00168	R	5	8/15	0	no	F	0	9/17
11	Ford E-150	2004	64,535	1FTRE14W94HB32775	R	8	8/15	0	no	F	0	9/17
12	Ford E-350	2009	57,410	1FBNE31L39DA13272	R	8	8/15	0	no	G	0	9/18
13	Ford E-350	2009	50,013	1FBNE31L39DA13271	R	8	8/15	0	No	G	0	9/18
14	Ford E-350	2009	57,827	1FBNE32L19DA43743	R	8	8/15	0	no	G	0	9/18
15	Ford Conn V	2011	32,535	NMOKS9BN5BT062542	R	5	8/15	0	no	E	0	9/20
16	Ford Conn V	2011	22,007	NMOKS9BM2BT065978	R	5	8/15	0	no	E	0	9/20
17												
18												
19												
20												
21												
22												

(cont.) VII. Vehicle Inventory – include all vehicles

#	Category	Length	Approx GVW	# of Seats	Average Cost	Minimum Life		Vehicle /w Gas	Vehicle /w Diesel (D) or Alternative fuel (A)	Maturity Date
						Year	Miles			
1	8	19'	9100#	4		1994	121,750	Y		Paid off
2	8	16'	5666#	4		2003	90,421	Y		Paid off
3	15	20'	8100#	6		2005	76,833	Y		Paid off
4	8	19'	9100#	4		2001	46,866	Y		Paid off
5	8	16'	6666#	4		2003	78,322	Y		Paid off
6	5	17'	5800#	2		2007	185,868	Y		Paid off
7	5	17'	5600#	2		1997	116,845	Y		Paid off
8	8	19'	9100#	4		1999	24,738	Y		Paid off
9	15	20'	8100#	6		2003	60,540	Y		Paid off
10	8	18'	5700#	4		2004	66,119	Y		Paid off
11	8	18'	5700#	4		2004	64,535	Y		Paid off
12	8	18'	6100#	4		2009	57,410	Y		Paid off
13	8	18'	6100#	4		2009	50,013	Y		Paid off
14	8	18'	6100#	4		2009	57,827	Y		Paid off
15	5	16'	4500#	3		2011	32,535	Y		11/10/16
16	5	16'	4500#	3		2011	22,007	Y		11/10/16
17										
18										
19										
20										
21										
22										

VII. Other Fixed Assets:

#	Year purchased	Description of Item	Physical Location (if mobile item -M)	Item Assigned to (Name)	Purchase Date	Make	Model Serial #	Purchase Price	IF ARRA = A
1								0	
2								0	
3								0	
4								0	
5								0	
6								0	
7								0	
8								0	
9								0	
10								0	
11								0	
12								0	
13								0	
14								0	

CERTIFICATION: I certify that the information given in Section VII of this application is complete, accurate, and true to the best of my knowledge.

Signature: *[Signature]* Title: CEO/President

VIII. Civil Rights

- A) Please provide a list of any active law suits or complaints naming your organization/agency with alleged discrimination on the basis of race, color, sexual preference, or national origin with respect to service or other transit benefits.

If there have not been any lawsuits or complaints, please respond "NONE."

None

- B) Also provide a summary of all civil rights compliance review activities conducted during the last three (3) years. The summary shall include:

1. Purpose or reason for review;
2. Name of organization performing the review;
3. Summary of findings and recommendations of the review; and
4. Report on the findings and recommendations of the review.

Please respond "N/A" if not applicable.

N/A

- C) Finally, provide a list of any additional transit related funds or applications currently in place, which will supplement this grant. (Describe any funds you already have that you plan to use to supplement this grant, and describe any applications you have made for funds to supplement this grant).

Please respond "N/A" if not applicable.

We have applied to the Anderson Foundation to receive funding for the 20% local match. Previously, the Anderson Foundation has covered the 20% match.

IX. Program Coordination

A) Please attach a description of your efforts to coordinate service with other organizations (i.e. senior centers or other §5310 providers, local governments, etc.)

B) Please document when and where your public notice appeared and discuss the responses received. Attach a copy of your affidavit of public notice of your intent to apply for federal funds here.

C) Please check all that apply and provide copy:

ALL APPLICANTS MUST PROVIDE THE FOLLOWING:	
X	- Municipal, or Board, or Council: Signed Resolution of Financial Commitment for local match. Resolution must state dollar amount.
X	- Municipal, or Board, or Council: Letter of Support
X	- Copy of Affidavit of Public Notice of Agency's Intent to Apply for Federal Funds

D) Please check all that apply and provide copy:

IF AGENCY HAS PUBLIC HEARING PROVIDE THE FOLLOWING:	
	- Copy of Published Public Hearing Notice
	- Affidavit of Publication of Public Hearing Notice
	- Minutes of Public Hearing, Copies of Exhibits and Written Statements

X. Program Justification

Please attach an essay no longer than five pages. The Operations Profile in Section XI will not be counted as part of these five pages. Explain in detail the need for this program. Please include any changes or expansions in your program and tie them to your budget request. Please include your mission statement, goals and objectives for your program for this Application Year.

XI. Operations Profile

(Items to be included)

1. Table of Contents
2. Organizational Structure
3. Mission Statement
4. Brief Description of Transit Program
 - a. Service area
 - b. Route design
 - c. Schedule (days and hours of operation)
 - d. Fare structure (amounts, how set and by whom?)
 - e. Advertising/marketing
5. Administrative Employees
 - a. Title and job description
 - b. Appearance and conduct
 - c. Training plan
6. Qualified Drivers and Dispatchers
 - a. Hiring procedure
 - b. Background check
 - c. Driver record
 - d. Valid drivers license
 - e. Training plan
 - f. Job description
 - g. Appearance and conduct
7. Vehicle fleet
 - a. Number of vehicles with NMDOT lien
 - b. Number of vehicles with no NMDOT lien
 - c. Maintenance schedules
 - d. Inspection procedures
 - e. Vehicle replacement
8. Accident/Incident Reporting Procedures
 - a. Insurance forms in vehicle
 - b. Accident/incident reporting forms in vehicle
9. Passenger policy and procedure

XII. Checklist

THE FOLLOWING ITEMS MUST BE INCLUDED WITH THIS APPLICATION. SHOULD ANY OF THESE ITEMS BE MISSING OR INCOMPLETE, THE APPLICATION MAY BE REJECTED BY THE NEW MEXICO DEPARTMENT OF TRANSPORTATION. THIS CHECKLIST MUST BE SUBMITTED WITH THE APPLICATION. DO NOT LEAVE ANY ITEMS BLANK.

(MARK AS "N/A" IF NOT APPLICABLE)

SECTION	DESCRIPTION	CHECK ✓
I	Applicant Information (signed)	X
II	Summary of Budget Request	X
III	Financial Information	X
	A. - Capital Budget	X
	B. - Operating Budget	X
	C. - Provide the following:	
	1 - Copy of Articles of Incorporation	X
	2 - Copy of 501(c)3 Certification	X
	3 - Copy of most current audit	X
	4 - If transit-related audit findings occurred, copy of corrective action response submitted to auditor	n/a
	5 - If non-profit organization, copy of procurement procedures that comply with FTA Circular 4220.1F – First Time Applicants only	n/a
IV	Program Description	X
	Description of Service Area	X
	- complete demographic information	X
	- provide Map of Service Area (on 8 1/2 X 11 page)	X
VI	Ridership and Transit System Statistics	X
VII	Vehicle Inventory (include all vehicles) and Other Fixed Assets	X
	- complete all vehicle and transit-related inventory lists	X
	- signed Inventory Certification	X
VIII	Civil Rights	X
IX	Project Coordination	X
	- Municipal - Board - Council: Signed Resolution of Support	X
	- Copy of your affidavit of public notice of your intent to apply for federal funds	X
	<i>If Applicable:</i>	
	- Copy of Published Public Hearing Notice	n/a
	- Affidavit of Publication of Public Hearing Notice	n/a
	- Minutes of Public Hearing, Copies of Exhibits, and Written Statements	n/a
X	Program Justification	X
XI	Operations Profile	X
XII	Checklist	X

Mail one application with original signature and one additional copy (total two copies) postmarked no later than Friday, August 26, 2016. Applications postmarked after this date will not be considered. Fax and e-mail copies of your application will not be accepted.

Please be aware that if your application is selected for funding, you will be required to submit signed copies of the FTA Certifications and Assurances and the FTA Civil Rights Reporting Form.

USER NAME PASSWORD

[Forgot Username?](#) [Forgot Password?](#)

[Create an Account](#)

Search Results

Current Search Terms: liferoots* Inc.*

Your search for "LifeROOTS* Inc.*" returned the following results...		Glossary
<p>Notice: This printed document represents only the first page of your SAM search results. More results may be available. To print your complete search results, you can download the PDF and print it.</p>		
Entity	LifeROOTS, Inc	<p>Search Results</p> <p>Entity</p> <p>Exclusion</p> <p>Search Filters</p> <p>By Record Status</p> <p>By Record Type</p>
DUNS: 069690816	CAGE Code: 2Z709	
Has Active Exclusion?: No	DoDAAC:	
Expiration Date: 02/24/2017	Delinquent Federal Debt? No	
Purpose of Registration: All Awards	<input type="button" value="View Details"/>	

SAM | System for Award Management 1.0

IBM v1.P.48.20160524-1124

WWW9

Note to all Users: This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.



8/1/2016



Creative Bus Sales

2 ea

NMDOT CONTRACT

State Price Agreement # 60-000-15-00015

Preparer: Gary R. Guinn

BASE MODEL

Unit Price

Ford Transit Wagon 148" Wheelbase 3.7L Gas – 9000 lbs GVWR.	Base Model Starting Price: \$41,286.24
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Additional Options: \$5,560.00

Published Options: \$9,433.32

Base Model Info:

Vehicle Length	Lift Position	Wheelchair positions	Number of Passenger Seating
148"	Side	1	5

Subtotal: \$56,279.56

Adjusted Model Info:

Vehicle Length	Lift Position	Wheelchair positions	Number of Passenger Seating
148	Rear	2	5

Sales Tax: \$0.00

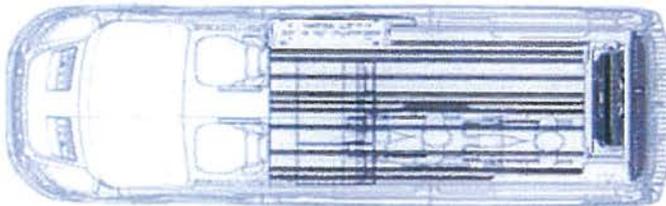
Total per Unit: \$56,279.56

Quantity: 1

Total: \$56,279.56

Proposal For:	FY 2018 5310 Life Roots		
Contact:	Robert Diefenbaugh		
Delivery Address:			
Office:		Mobile:	
Email:	robertd@liferootsnm.org		

Floorplan





Creative Bus Sales

Included Options

Ford Transit Wagon 148"

Fast Engine idle system with Manual and Automatic Controls

¾" Plywood Subfloor with Steel Reinforcement

2.2mm Chroma Phantom Altro

(1) Shoulder Belt Location

(1) Q'Straint QRT Deluxe tie down system with Combination Lap and Shoulder

(3) Freedman Single fixed 3PT Seats

Vehicle Prep – Cleanup, payload and Certification Labels

Full Passenger Step

Short Driver Step

Rear Cargo Step

Delivery via Ford Freight Re-Entry Program



Additional Options

Qty	Part #	Description	List Price	Ext Price
	TW-1	Chassis Base Package		
	TW-2	Chassis Upgrade to High Roof	\$1,575.00	\$0.00
	TW-3	Smartfloor Upgrade		
	TW-4	Cargo Van - Wood Floor to Smartfloor upgrade (including 2 Smartfloor seats)		
	TW-5	Long Wheelbase (148")	\$2,750.00	\$0.00
	TW-6	Wagon - Wood Floor to Smartfloor upgrade (including 2 Smartfloor seats)		
	TW-7	Medium Wheelbase (130")	\$2,125.00	\$0.00
1	TW-8	Long Wheelbase (148")	\$2,125.00	\$2,125.00
	TW-9	Seats		
	TW-10	1P Fold Away	\$1,048.75	\$0.00
	TW-11	2P Fold Away	\$1,332.50	\$0.00
	TW-12	1P Fixed	\$685.00	\$0.00
	TW-13	2P Fixed	\$902.50	\$0.00
	TW-14	3P Fixed	\$1,587.50	\$0.00
	TW-15	4P Fixed	\$180.00	\$0.00
	TW-16	1P Smartleg	\$775.00	\$0.00
	TW-17	Armrests	\$18.75	\$0.00
	TW-18	1P Recliner	\$722.50	\$0.00
	TW-19	2P Recliner	\$1,093.75	\$0.00
	TW-20	Child Restraint System Brackets	\$40.00	\$0.00
	TW-21	Upgrade to Freedman CEO Seats	\$250.00	\$0.00
	TW-22	Fabric Upgrade (Per Passenger)		
1	TW-23	Level 1	\$0.00	\$0.00
	TW-24	Level 3	\$18.75	\$0.00
	TW-25	Level 3.5	\$45.00	\$0.00
	TW-26	Level 4	\$45.00	\$0.00
	TW-27	Level 5	\$58.75	\$0.00
	TW-28	Level 6	\$63.75	\$0.00
	TW-29	Wheelchair/Occupant restraint system upgrades (includes an additional row of L track in order to allow 2 wheelchairs)		
	TW-30	Level 3 AMF Securement	\$710.00	\$0.00
	TW-31	Level 2 Q-Straint	\$687.50	\$0.00
1	TW-32	Level 3 Q-Straint	\$710.00	\$710.00
	TW-33	Storage Bags	\$68.75	\$0.00
	TW-34	Steps		
	TW-35	Stainless Steel Cargo Door Step	\$550.00	\$0.00
	TW-36	Stainless Steel Co-Pilot Short Step	\$400.00	\$0.00
	TW-37	Stainless Steel Driver Short Step	\$312.50	\$0.00
	TW-38	Expanded Metal full Passenger Step	\$468.75	\$0.00
	TW-39	Expanded Metal Short Driver Step	\$343.75	\$0.00
	TW-40	Modesty Panel	\$531.25	\$0.00
	TW-41	Running Boards		
1	TW-42	Aluminum Diamond Plate 32" Driver, Full length Passenger	\$656.25	\$656.25
1	TW-43	Aluminum Diamond Plate Full Length Driver, Passenger	\$781.25	\$781.25
	TW-44	Aluminum Extruded 32" Driver, Full Length Passenger	\$781.25	\$0.00
	TW-45	Aluminum Extruded Full Length Driver, Passenger	\$943.75	\$0.00
	TW-46	Stanchion Poles/ Grab Handles		
1	TW-47	Side Cargo Door Stanchion Pole	\$231.25	\$231.25
	TW-48	Rear Door Stanchion Pole	\$231.25	\$0.00
	TW-49	Wheelchair Lift Upgrade		
	TW-50	37" Platform	\$1,500.00	\$0.00
1	TW-51	1000lbs Capacity	\$562.50	\$562.50



Additional Options

	TW-52	Side Lift placement in lieu of rear placement	\$0.00	\$0.00
	TW-53	Front Door Entry on Cargo Van	\$0.00	\$0.00
	TW-54	Complete Package	\$1,906.25	
	TW-55	Complete package includes: replaced cab headliner, cut-in top entry step, exterior bolt on step, finished wood floor around entry step	\$0.00	\$0.00
	TW-56	*Chassis must be ordered with Ford code 21J to include the front passenger seat delete.	\$0.00	\$0.00
	TW-57	Safety Equipment		
	TW-58	Basic Safety Kit (2.5lb fire extinguisher & 16 unit first aid kit)	\$75.00	\$0.00
	TW-59	Complete Safety Kit (2.5 first extinguisher, 16 unit first aid kit, triangle reflector kit)	\$125.00	\$0.00
	TW-60	5lb Fire Extinguisher - Additional charge to selected safety kit	\$25.00	\$0.00
	TW-61	3 Flares	\$68.75	\$0.00
	TW-62	Flooring Upgrade		
	TW-63	Altro to Black Loncoin	\$250.00	\$0.00
	TW-64	Cargo Van A/C and Heating		
	TW-65	26,000 BTU Heat, 28,000 BTU A/C	\$4,500.00	\$0.00
	TW-66	30,000 BTU Heat, 32,000 BTU A/C	\$6,500.00	\$0.00
	TW-67	Window Tint	\$375.00	
1	TW-68	Quantum Tint	\$493.75	\$493.75
				\$5,560.00

8/1/2016



Creative Bus Sales

1 ea.

NMDOT CONTRACT

State Price Agreement # 60-000-15-00015

Preparer: Gary R. Guinn

BASE MODEL

Unit Price

Ford Transit Wagon 148" Wheelbase 3.7L Gas – 9000 lbs GVWR.	Base Model Starting Price: \$41,286.24
---	---

Additional Options: \$8,040.70

Published Options: \$13,357.37

Base Model Info:

Vehicle Length	Lift Position	Wheelchair positions	Number of Passenger Seating
148"	Side	1	5

Subtotal: \$62,684.31

Adjusted Model Info:

Vehicle Length	Lift Position	Wheelchair positions	Number of Passenger Seating
148"	none	0	13

Sales Tax: \$0.00

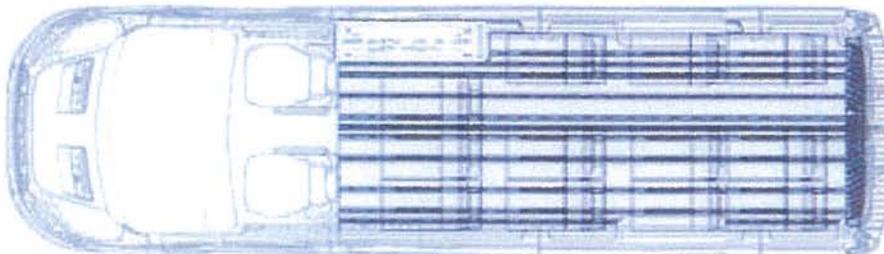
Total per Unit: \$62,684.31

Quantity: 1

Total: \$62,684.31

Proposal For:	5310 FY 2018 Life Roots		
Contact:	Robert Diefenbaugh		
Delivery Address:			
Office:		Mobile:	
Email:	robertd@liferoots.org		

Floorplan





Included Options

Creative Bus Sales

Ford Transit Wagon 148"

Fast Engine idle system with Manual and Automatic Controls

3/4" Plywood Subfloor with Steel Reinforcement

2.2mm Chroma Phantom Altro

(1) Shoulder Belt Location

(1) Q'Straint QRT Deluxe tie down system with Combination Lap and Shoulder

(3) Freedman Single fixed 3PT Seats

Vehicle Prep – Cleanup, payload and Certification Labels

Full Passenger Step

Short Driver Step

Rear Cargo Step

Delivery via Ford Freight Re-Entry Program



Additional Options

Qty	Part #	Description	List Price	Ext Price
	TW-1	Chassis Base Package		
	TW-2	Chassis Upgrade to High Roof	\$1,575.00	\$0.00
	TW-3	Smartfloor Upgrade		
	TW-4	Cargo Van - Wood Floor to Smartfloor upgrade (including 2 Smartfloor seats)		
	TW-5	Long Wheelbase (148")	\$2,750.00	\$0.00
	TW-6	Wagon - Wood Floor to Smartfloor upgrade (including 2 Smartfloor seats)		
	TW-7	Medium Wheelbase (130")	\$2,125.00	\$0.00
1	TW-8	Long Wheelbase (148")	\$2,125.00	\$2,125.00
1	TW-8A	Extra Long wheelBase to acomidate 12 pass.	\$3,753.20	\$3,753.20
	TW-9	Seats		
	TW-10	1P Fold Away	\$1,048.75	\$0.00
	TW-11	2P Fold Away	\$1,332.50	\$0.00
	TW-12	1P Fixed	\$685.00	\$0.00
	TW-13	2P Fixed	\$902.50	\$0.00
	TW-14	3P Fixed	\$1,587.50	\$0.00
	TW-15	4P Fixed	\$180.00	\$0.00
	TW-16	1P Smartleg	\$775.00	\$0.00
	TW-17	Armrests	\$18.75	\$0.00
	TW-18	1P Recliner	\$722.50	\$0.00
	TW-19	2P Recliner	\$1,093.75	\$0.00
	TW-20	Child Restraint System Brackets	\$40.00	\$0.00
	TW-21	Upgrade to Freedman CEO Seats	\$250.00	\$0.00
	TW-22	Fabric Upgrade (Per Passenger)		
1	TW-23	Level 1	\$0.00	\$0.00
	TW-24	Level 3	\$18.75	\$0.00
	TW-25	Level 3.5	\$45.00	\$0.00
	TW-26	Level 4	\$45.00	\$0.00
	TW-27	Level 5	\$58.75	\$0.00
	TW-28	Level 6	\$63.75	\$0.00
	TW-29	Wheelchair/Occupant restraint system upgrades (includes an additional row of L track in order to allow 2 wheelchairs)		
	TW-30	Level 3 AMF Securement	\$710.00	\$0.00
	TW-31	Level 2 Q-Straint	\$687.50	\$0.00
	TW-32	Level 3 Q-Straint	\$710.00	\$0.00
	TW-33	Storage Bags	\$68.75	\$0.00
	TW-34	Steps		
	TW-35	Stainless Steel Cargo Door Step	\$550.00	\$0.00
	TW-36	Stainless Steel Co-Pilot Short Step	\$400.00	\$0.00
	TW-37	Stainless Steel Driver Short Step	\$312.50	\$0.00
	TW-38	Expanded Metal full Passenger Step	\$468.75	\$0.00
	TW-39	Expanded Metal Short Driver Step	\$343.75	\$0.00
	TW-40	Modesty Panel	\$531.25	\$0.00
	TW-41	Running Boards		
1	TW-42	Aluminum Diamond Plate 32" Driver, Full length Passenger	\$656.25	\$656.25
1	TW-43	Aluminum Diamond Plate Full Length Driver, Passenger	\$781.25	\$781.25
	TW-44	Aluminum Extruded 32" Driver, Full Length Passenger	\$781.25	\$0.00
	TW-45	Aluminum Extruded Full Length Driver, Passenger	\$943.75	\$0.00
	TW-46	Stanchion Poles/ Grab Handles		
1	TW-47	Side Cargo Door Stanchion Pole	\$231.25	\$231.25
	TW-48	Rear Door Stanchion Pole	\$231.25	\$0.00
	TW-49	Wheelchair Lift Upgrade		
	TW-50	37" Platform	\$1,500.00	\$0.00



Additional Options

	TW-51	1000lbs Capacity	\$562.50	\$0.00
	TW-52	Side Lift placement in lieu of rear placement	\$0.00	\$0.00
	TW-53	Front Door Entry on Cargo Van	\$0.00	\$0.00
	TW-54	Complete Package	\$1,906.25	
	TW-55	Complete package includes: replaced cab headliner, cut-in top entry step, exterior bolt on step, finished wood floor around entry step	\$0.00	\$0.00
	TW-56	*Chassis must be ordered with Ford code 21J to include the front passenger seat delete.	\$0.00	\$0.00
	TW-57	Safety Equipment		
	TW-58	Basic Safety Kit (2.5lb fire extinguisher & 16 unit first aid kit)	\$75.00	\$0.00
	TW-59	Complete Safety Kit (2.5 first extinguisher, 16 unit first aid kit, triangle reflector kit)	\$125.00	\$0.00
	TW-60	5lb Fire Extinguisher - Additional charge to selected safety kit	\$25.00	\$0.00
	TW-61	3 Flares	\$68.75	\$0.00
	TW-62	Flooring Upgrade		
	TW-63	Altro to Black Loncoin	\$250.00	\$0.00
	TW-64	Cargo Van A/C and Heating		
	TW-65	26,000 BTU Heat, 28,000 BTU A/C	\$4,500.00	\$0.00
	TW-66	30,000 BTU Heat, 32,000 BTU A/C	\$6,500.00	\$0.00
	TW-67	Window Tint	\$375.00	
1	TW-68	Quantum Tint	\$493.75	\$493.75
				\$8,040.70



OFFICE OF THE
PUBLIC REGULATION COMMISSION

CERTIFICATE OF AMENDMENT

OF

LIFEROOTS, INC.

3398153

The Public Regulation Commission certifies that duplicate originals of the Articles of Amendment attached hereto, duly signed and verified pursuant to the provisions of the
NONPROFIT CORPORATION ACT
(53-8-1 to 53-8-99 NMSA 1978)
have been received by it and are found to conform to law.

Accordingly, by virtue of the authority vested in it by law, the Public Regulation Commission issues this Certificate of Amendment and attaches hereto a duplicate original of the Articles of Amendment.

Dated: MAY 13, 2011

In testimony whereof, the Public Regulation Commission of the state of New Mexico has caused this certificate to be signed by its chairman and the seal of said Commission to be affixed in the City of Santa Fe.

Patrick H. Lyons
Chairman

Annelle Drake
Bureau Chief

Bureau Chief



FILED IN OFFICE OF
NM PUBLIC REG. COMM.

MAY 13 2011

CORPORATION BUREAU

Nonprofit Corporation
**ARTICLES OF AMENDMENT
TO THE AMENDED ARTICLES OF INCORPORATION
OF RCI, INC. (f/k/a The Rehabilitation Center, Inc.)
Hereafter to be Known as LifeROOTS, INC.**

Pursuant to the provisions of the New Mexico Nonprofit Corporation Act, the undersigned corporation adopts the following Articles of Amendment for the purpose of amending its Articles of Incorporation:

ARTICLE ONE: The name of the corporation is RCI, Inc. (NMPRC #:B83968).

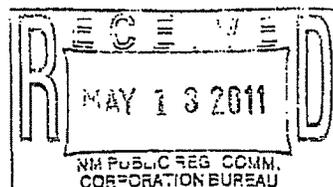
ARTICLE TWO: The following articles are amended as set forth here:

Article 1 of the Amended Articles of Incorporation of the corporation is amended to read as follows: The name of this Corporation was, pursuant to the Amended Articles of Incorporation, The Rehabilitation Center, Inc., and the name of this Corporation is, pursuant to the Articles of Amendment presently filed, RCI, Inc., and the name of this Corporation as changed by these Articles of Amendment shall be LifeROOTS, Inc. All references to The Rehabilitation Center, Inc. or RCI, Inc. contained in the Amended Articles of Incorporation shall be treated as references to LifeROOTS, Inc.

This amendment is adopted solely to effect a change of the name of this Corporation and no other change or amendment to the Amended Articles of Incorporation is made.

ARTICLE THREE: The date of the meeting of the board of directors at which the amendment was adopted was March 1, 2011. The corporation has no members, or no members entitled to vote thereon, therefore the amendment was adopted by a majority of the board of directors in office.

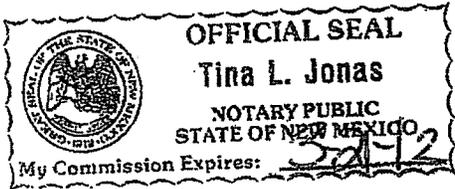
ARTICLE FOUR: These Articles of Amendment are effective upon filing with the commission.



Dated: _____

RCI, Inc.

By: [Signature]
Carol Guerra
Chairman of the Board of Directors



By: [Signature]
Joan Schofield
Secretary of the Board of Directors

STATE OF NEW MEXICO §
 §
COUNTY OF BERNALILLO §

BEFORE ME, the undersigned authority, on this day personally appeared Carol Guerra, Chairman of the Board of Directors of RCI, Inc., known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed same for the purposes and consideration therein expressed.

Given under my hand and seal of office this the 9th day of May 2011.

[Signature]
Notary Public in and for
the State of New Mexico

STATE OF NEW MEXICO §
 §
COUNTY OF BERNALILLO §

BEFORE ME, the undersigned authority, on this day personally appeared Joan Schofield, Secretary of the Board of Directors of RCI, Inc., known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed same for the purposes and consideration therein expressed.

Given under my hand and seal of office this the 9th day of May 2011.

[Signature]
Notary Public in and for
the State of New Mexico



STATE OF NEW MEXICO



OFFICE OF

THE STATE CORPORATION COMMISSION

CERTIFICATE OF AMENDMENT

OF

RCI, INC.

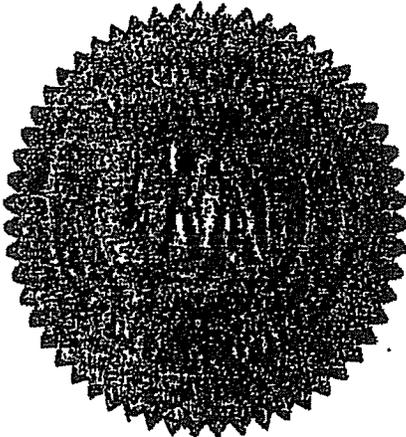
3092269

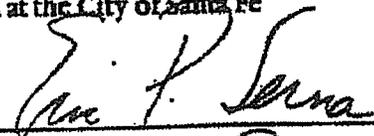
The State Corporation Commission certifies that duplicate originals of the Articles of Amendment attached hereto, duly signed and verified pursuant to the provisions of the NONPROFIT CORPORATION ACT (53-8-1 to 53-8-99 NMSA 1978) have been received by it and are found to conform to law.

Accordingly, by virtue of the authority vested in it by law, the State Corporation Commission issues this Certificate of Amendment and attaches hereto a duplicate original of the Articles of Amendment.

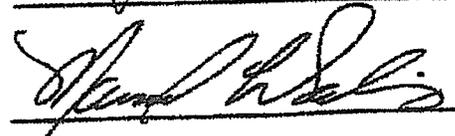
Dated: MAY 17, 1994

In Testimony Whereof, the State Corporation Commission of the State of New Mexico has caused this certificate to be signed by its Chairman and the Seal of said Commission to be affixed at the City of Santa Fe





Chairman



Director

OF NEW MEXICO

MAY 17 1994

CORPORATION DEPARTMENT

ARTICLES OF AMENDMENT
OF THE AMENDED ARTICLES OF INCORPORATION
OF THE REHABILITATION CENTER, INC.,
HEREAFTER TO BE KNOWN AS RCI, INC.

Pursuant to provisions of Section 53-8-37 NMSA 1978 of the New Mexico Nonprofit Corporation Act, The Rehabilitation Center, Inc., through its board of directors, adopts the following Articles of Amendment:

FIRST: The current name of the corporation is The Rehabilitation Center, Inc.

SECOND: The following amendment to the Amended Articles of Incorporation was adopted by the corporation on January 18, 1994, in the manner prescribed by the New Mexico Nonprofit Corporation Act:

Article 1 of the (Amended) Articles of Incorporation of The Rehabilitation Center, Inc. is hereby amended in its entirety as follows:

The name of this Corporation is, pursuant to the (Amended) Articles of Incorporation presently filed, The Rehabilitation Center, Inc., and the name of the Corporation as changed by these Articles of Amendment shall be RCI, Inc. All references to The Rehabilitation Center, Inc. contained within the (Amended) Articles of Incorporation shall be treated as references to RCI, Inc.

This amendment is adopted solely to effect a change of the name of the Corporation and no other change or amendment to the (Amended) Articles of Incorporation is made.

THIRD: No members are entitled to vote thereon. Therefore, the Directors of RCI, Inc. (f/k/a The Rehabilitation Center, Inc.),

adopted this amendment pursuant to the New Mexico Nonprofit Corporation Act on January 18, 1994 by a majority vote of the directors in office.

DATED: May 13, 1994

RCI, INC.
(f/k/a The Rehabilitation
Center, Inc.)

By Thomas Smitt
Its Chairman

By Lery B. Bogen
Its Secretary

I verify that I am one of the corporate officers who signed the foregoing document executed by the Corporation, and that the statements contained therein are true and correct to the best of my knowledge.

Thomas Smitt
Chairman

STATE OF NEW MEXICO)
COUNTY OF BERNALILLO) ss.

I certify that on May 13, 1994, after first being duly sworn, Thomas Smitt #, declared that he is one of the corporate officers who signed the foregoing document executed by the Corporation, and that the statements contained therein are true.

Kenn Z. Muller
Notary Public

My commission expires:

4-15-98

State of New Mexico

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Certificate of Comparison

United States of America }
State of New Mexico } SS.

It Is Hereby Certified that the annexed is a full, true and complete transcript of the

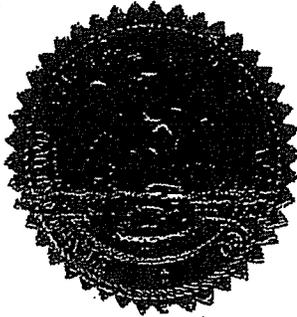
AMENDED ARTICLES OF INCORPORATION

OF

THE REHABILITATION CENTER, INC.

(48,207)

with the endorsement thereon, as same appears on file and of record in the State Corporation Commission.



In Testimony Whereof, the State Corporation

Commission of the State of New Mexico

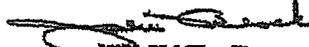
has caused this certificate to be signed by

its Chairman and the seal of said Com-

mission to be affixed at the City of Santa

Fe on this -----20th-----

day of -----December, 1962-----


JOHN BLOCK, JR., Chairman

Attest: 
ALEX PACHECO, Clerk

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ARTICLE OF INCORPORATION

OF

THE REHABILITATION CENTER, INC.

We, the undersigned, all of whom are residents of the State of New Mexico, hereby voluntarily associate ourselves together for the purpose of reincorporating The Rehabilitation Center, Inc., as a corporation for charitable, educational and scientific purposes and not for profit, under the provisions of Sections 54-14-20 et seq N.M.S.A. 1953 as the same may be from time to time amended, and do further certify:

ARTICLE 1.

The name of this Corporation is pursuant to the Articles of Incorporation presently filed as heretofore amended, The Rehabilitation Center, Inc., and the name of the Corporation as reorganized pursuant to these Articles shall remain The Rehabilitation Center, Inc.

ARTICLE 2.

PURPOSE

The purposes for which this Corporation pursuant to this reorganization is formed are:

To receive and administer funds exclusively for scientific, educational and charitable purposes, and to that end to take and hold, by bequest, devise, gift, purchase, or lease any property, real, personal, tangible or intangible, without limitation as to amount or value; to sell, convey, and dispose of any such property and to invest and re-invest the principal thereof, and to

deal with and expend any such property or the income therefrom for any of the before mentioned purposes, without limitation, except such limitations, if any, as may be contained in the instrument under which such property is received, this Certificate of Incorporation, the by-laws of the Corporation, or any laws applicable thereto.

Without in any way limiting the foregoing, the principal purpose of the Corporation shall be to provide treatment for the medical, social, psychological, and vocational rehabilitation of handicapped children and adults; to encourage, foster, and aid in the establishment and maintenance of programs for research into the methods, techniques, and devices used in medical, social, psychological, and vocational rehabilitation; to aid in and maintain programs for the training of personnel engaged in the medical, social, psychological and vocational rehabilitation of disabled persons; to make available, under professional supervision, the facilities of the Center to acceptable and accredited schools or agencies and individuals for education and training purposes; to provide a staff of accredited, professionally trained, and qualified personnel to administer and render the services of the Center; and to provide professionally supervised training for volunteers who may be selected to work and assist the staff of the Center.

ARTICLE 3.

The Corporation is organized wholly for charitable, educational and scientific purposes and shall not directly or indirectly, incidentally, or otherwise, afford pecuniary gain to its members. No part of the net earnings of the Corporation shall inure to the benefit of any member or private individual and the Corpora-

tion shall not carry on propaganda, or otherwise attempt to influence legislation.

Upon the dissolution or other termination of the Corporation, no part of the property of the Corporation, nor any of the proceeds thereof, shall be distributed to, or inure to the benefit of, any of the members of the Corporation, but all such property and proceeds shall, subject to the discharge of valid obligations of the Corporation and to the applicable provisions of the New Mexico Statutes, be distributed, as directed by the members of the Corporation, among one or more corporations, trusts, community chests, funds or foundations organized and operated exclusively for charitable, scientific, or educational purposes, no part of the net earnings of which inures to the benefit of any private shareholder, member or individual and no substantial part of whose activities consists of carrying on propaganda, or otherwise attempting to influence legislation.

ARTICLE 4.

The duration of the Corporation's existence shall be 100 years from the initial incorporation in March of 1958.

ARTICLE 5.

The location of the principal office in this State shall be The Rehabilitation Center, Inc., Albuquerque, New Mexico, and the name of the agent upon whom process against said Corporation may be served is Richard C. Civerolo, 217 First National Bank Building, Albuquerque, New Mexico.

ARTICLE 6.

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The names and addresses of each incorporator pursuant to this reincorporation and the names of the directors constituting the first Board of Directors of this Corporation as reorganized, and the tenure of all such directors are as follows:

Members whose terms expire September, 1963:

<u>Name</u>	<u>Address</u>
Sidney S. Hertsmark	51 Winrock Center, N.E. Albuquerque, New Mexico
Clinton E. Woodcock	Bank of New Mexico Building Albuquerque, New Mexico
Mrs. Joseph Hanston (Louise)	306 San Pasquale, S. W. Albuquerque, New Mexico
Henry Anderson	P. O. Box 242 Albuquerque, New Mexico
Thomas J. McCaffrey	P. O. Box 1291 Albuquerque, New Mexico
Mrs. Buras K. Midtton (Dorothy)	1017 Acequia Trail, N.W. Albuquerque, New Mexico
Mrs. Jack Miller (Jan)	1832 Richmond, N.E. Albuquerque, New Mexico
Mrs. William E. Blackwell	2837 Cagua, N.E. Albuquerque, New Mexico
Mrs. Harlan Kelsey (Ruth)	1136 La Vega Rd., S.W. Albuquerque, New Mexico
Mrs. John H. Beatty (Johmie)	3607 Colorado, N.E. Albuquerque, New Mexico
Manfred A. Carpenter	P. O. Box 1340 Albuquerque, New Mexico
Pete Duren	119 San Pasquale, S.W. Albuquerque, New Mexico

Members whose terms expire September, 1964:

Mrs. Sam Mincea (Elizabeth)	1521 Los Alamos, S. W. Albuquerque, New Mexico
Mrs. Lars Halma (Audrey)	1515 Dakota, N.E. Albuquerque, New Mexico
Mrs. James H. Foley (Martha)	8001 San Juan Road, N.E. Albuquerque, New Mexico
Simon Goldman	1107 Washington, N.E. Albuquerque, New Mexico
William C. Briggs	First National Bank Building Albuquerque, New Mexico
Tom Zudick	4609 Summingdale, N.E. Albuquerque, New Mexico
Lou Gerding	509 Palomas Drive, N.E. Albuquerque, New Mexico
Mrs. J. E. McCoy	1522 San Carlos Drive, S. W. Albuquerque, New Mexico
Mrs. Gale Carson, Sr.	901 Grandview Drive, S. E. Albuquerque, New Mexico
Mrs. Charles Steineger	1607 Calle Del Ranchero, N.E. Albuquerque, New Mexico
Dr. Robert L. Brooks	Medical Arts Square Albuquerque, New Mexico
Mrs. Emmanuel Schifani	4819 Royene Ave., N.E. Albuquerque, New Mexico

ARTICLE 7.

The government and management of this Corporation shall be vested in a Board of Directors consisting of citizens of the State of New Mexico sufficient in number to provide a Board of Directors in the number provided for in the by-laws. The first Board of directors, their names and addresses are those set forth in Article 6 above.

ARTICLE 8.

The Corporation as initially incorporated shall continue in existence and operation as initially organized and as heretofore operated, except to the extent that reincorporation pursuant to these Articles shall affect the operation thereof, but any change in status effected by this reorganization shall not in any way impair the existing obligations pursuant to any contract of the Corporation.

IN WITNESS WHEREOF, we have hereunto set our hands and seals at Albuquerque, New Mexico, this 18th day of December 1962.

Sidney S. Hartmark
Sidney S. Hartmark

Clifton E. Woodcock
Clifton E. Woodcock

Mrs. Joseph Heaton
Mrs. Joseph Heaton

Henry A. Anderson
Henry Anderson

Thomas J. McAffrey
Thomas J. McAffrey

Mrs. Ruth K. Mitchen
Mrs. Ruth K. Mitchen

Mrs. Jack Miller
Mrs. Jack Miller

Mrs. William E. Blackwell
Mrs. William E. Blackwell

Mrs. Harlan Kelsey
Mrs. Harlan Kelsey

Mrs. John K. Beatty
Mrs. John K. Beatty

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M. A. Carpenter
Maudred A. Carpenter

Pete Duran
Pete Duran

Mrs. Sam Minces
Mrs. Sam Minces

Mrs. Lars Helama
Mrs. Lars Helama

Mrs. James H. Foley
Mrs. James H. Foley

Simon Goldman
Simon Goldman

William C. Briggs
William C. Briggs

Tom Eddick
Tom Eddick

Lou Gerding
Lou Gerding

Mrs. J. B. McCoy
Mrs. J. B. McCoy

Mrs. Cale Carson, Sr.
Mrs. Cale Carson, Sr.

Mrs. Charles Steineger
Mrs. Charles Steineger

Dr. Robert L. Brooks
Dr. Robert L. Brooks

Mrs. Emmanuel Schiffari
Mrs. Emmanuel Schiffari

REINCORPORATORS

ACKNOWLEDGMENT

On this 18th day of September, 1962, be-

fore me appeared SIDNEY S. HERTZMARK, CLIFTON E. WOODCOCK, MRS.
 JOSEPH HEASTON, HENRY ANDERSON, THOMAS J. McCAFFREY, MRS. BURNS K.
 WIDEBOR, MRS. JACK MILLER, MRS. WILLIAM E. BLACKWELL, MRS. HARLAN
 KELSEY, MRS. JOHN R. BEATTY, MANFRED A. CARPENTER, PETER DURAN, MRS.
 SAM MINCES, MRS. LARS HALAMA, MRS. JAMES H. FOLEY, SIMON GOLDMAN,
 WILLIAM C. BRIGGS, TOM ZUDICK, LOU GREDING, MRS. J. B. MCCOY, MRS.
 CALE CARSON, SR., MRS. CHARLES STEINBERGER, DR. ROBERT L. BROOKS and
 MRS. EMANUEL SCHIPANI, to me known to be the persons described in
 and who executed the foregoing instrument and acknowledged that
 they executed the same as their free act and deed after having read
 the same, and each stating that the matter set forth therein were
 true and correct to their best knowledge and belief.

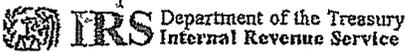
WITNESS MY HAND AND SEAL, the day and year last above
 written.



 Notary Public

My Commission Expires:
10-26-66

4
 5
 6
 7



Department of the Treasury
Internal Revenue Service

P.O. Box 2508, Room 4010
Cincinnati OH 45201

In reply refer to: 4077550277
July 07, 2011 LTR 4168C 0
85-0135073 000000 00

00041911
BODC: TE

LIFEROOTS INC
1111 MENAUL BLVD NE
ALBUQUERQUE NM 87107-1614



018061

Employer Identification Number: 85-0135073
Person to Contact: Ms Benjamin
Toll Free Telephone Number: 1-877-829-5500

Dear Taxpayer:

This is in response to your June 13, 2011, request for information regarding your tax-exempt status.

Our records indicate that you were recognized as exempt under section 501(c)(3) of the Internal Revenue Code in a determination letter issued in July 1962.

Our records also indicate that you are not a private foundation within the meaning of section 509(a) of the Code because you are described in section(s) 509(a)(1) and 170(b)(1)(A)(iii).

Donors may deduct contributions to you as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Please refer to our website www.irs.gov/eo for information regarding filing requirements. Specifically, section 6033(j) of the Code provides that failure to file an annual information return for three consecutive years results in revocation of tax-exempt status as of the filing due date of the third return for organizations required to file. We will publish a list of organizations whose tax-exempt status was revoked under section 6033(j) of the Code on our website beginning in early 2011.

4077550277
July 07, 2011 LTR 4168C 0
85-0135073 000000 00
00041912

LIFEROOTS INC
1111 MENAUL BLVD NE
ALBUQUERQUE NM 87107-1614

If you have any questions, please call us at the telephone number shown in the heading of this letter.

Sincerely yours,

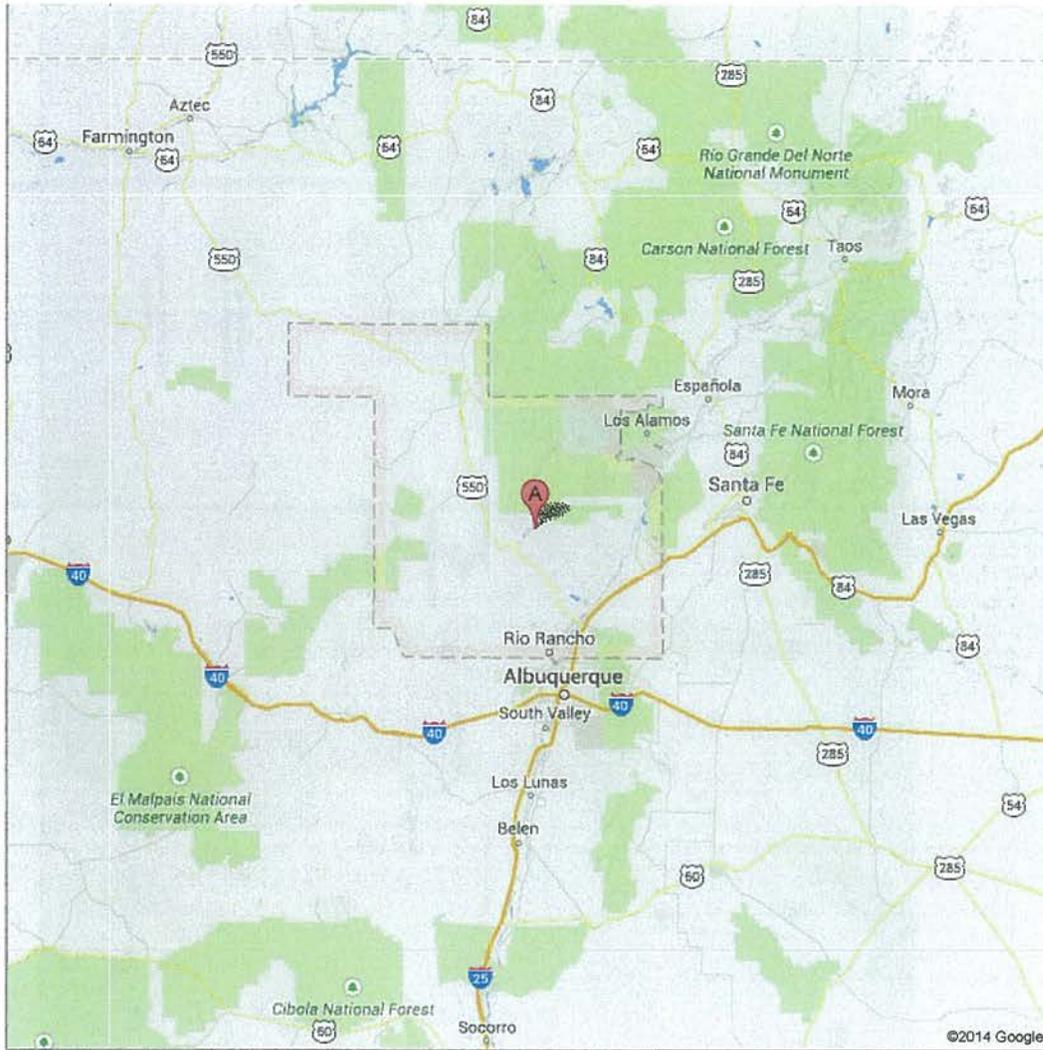
Cindy Thomas

Cindy Thomas
Manager, EO Determinations

Sandoval County, NM - Google Maps



Address **Sandoval County**
NM





To see all the details that are visible on the screen, use the "Print" link next to the map.

BOOKMARK

Map Showing Torrance County, New Mexico

[Home Page](#)

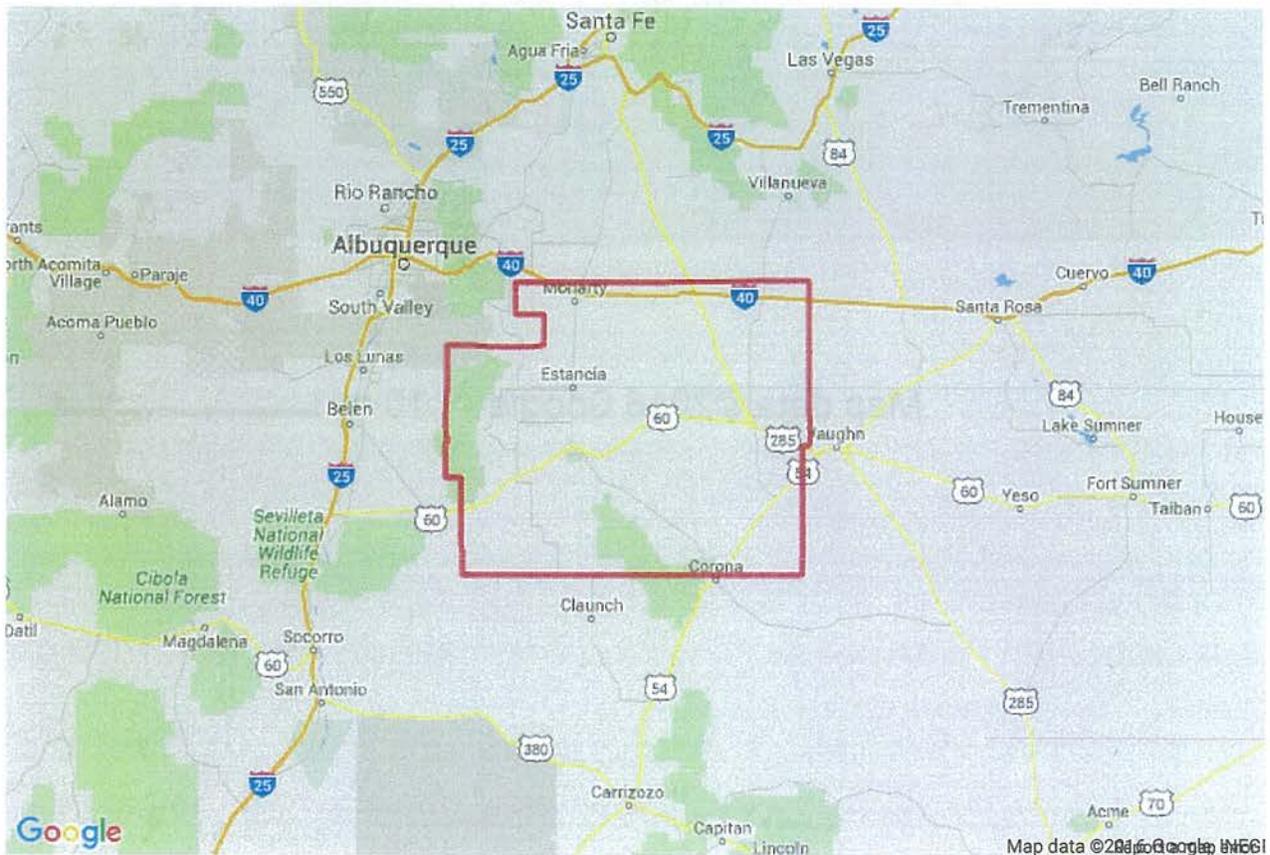
[Torrance County, New Mexico Page](#)

State Pages

Population: 16,046
Area: 3344.85 square miles
County Seat: Estancia
Area Code(s): 505
Time Zone: MST

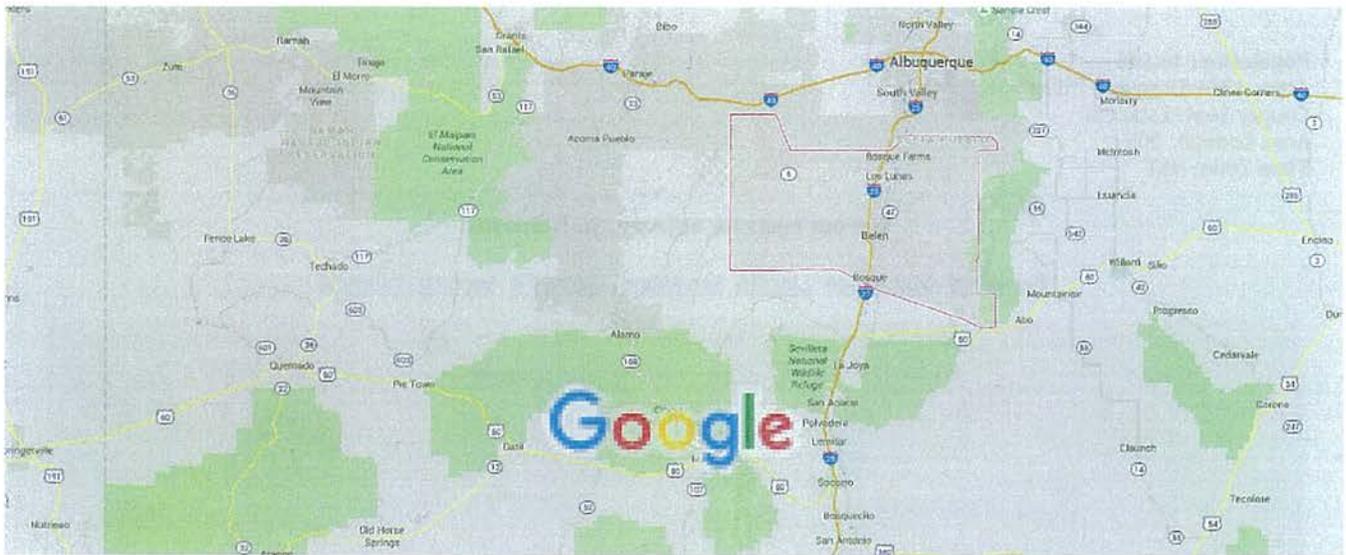
See our maps for adjacent jurisdictions:

[Bernalillo](#) [Guadalupe](#) [Lincoln](#) [San Miguel](#) [Santa Fe](#) [Socorro](#) [Valencia](#)



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Google Maps Valencia County



Map data ©2016 Google 10 mi 



Letter of Resolution of Support

August 23, 2016

New Mexico Department of Transportation
Transit and Rail Division
FY 2018 – Delilah Garcia
PO Box 1149
Santa Fe, NM 87504-1149

To Whom It May Concern:

This letter serves to acknowledge that the LifeROOTS' Board of Directors unanimously voted to approve a resolution of support for the 2018 Section 5310 Transportation for Elderly Persons and Persons with Disabilities' local match of \$35,048.69.

Sincerely,

A handwritten signature in black ink that reads "Catherine Salazar". The signature is written in a cursive style.

Catherine Salazar
Chair



AFFIDAVIT OF PUBLICATION

STATE OF NEW MEXICO SS
County of Bernalillo

Sharon Friedes, being duly sworn, declares and says that she is Advertising Director of The Albuquerque Journal, and that this newspaper is duly qualified to publish legal notices or advertisements within the meaning of Section 3, Chapter 167, Session Laws of 1937, and that payment therefore has been made of assessed as court cost; that the notice, copy of which is hereto attached, was published in said paper in the regular daily edition, for 7 times on the following dates:
July 14, 16, 17, 18, 19, 20, 21, 2016

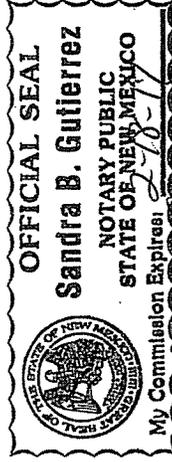
Sharon Friedes

Sworn and subscribed before me, a Notary Public, in and for the County of Bernalillo and State of New Mexico this 20 day of July of 2016.

PRICE \$ 108.33

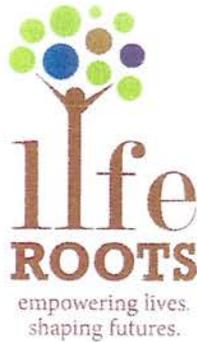
Statement to come at end of month.

ACCOUNT NUMBER 10586643



Sandra B. Gutierrez

PUBLIC NOTICE: Notice of intent to apply for NMDOT Section 5310 Transportation Assistance for the Elderly and Disabled, LifeROOTS, 1111 Menaul Blvd NE, APO, NM 87107. Summary: LifeROOTS, a private, not-for-profit, metro-area organization providing services to people with disabilities in Bernalillo and Sandoval Counties, intends to apply for NMDOT Section 5310 (FTA) FY 2016 funds to meet the transportation needs of individuals with physical, developmental, life- or behavioral disabilities. LifeROOTS' transportation services ensure that 400 individuals with a wide range of disabilities meet their daily living needs and access paid and volunteer work and vocational training. Link to other modes of transportation, access, specialized medical, dental and therapeutic care, and the fully included in community life and recreation. Members of the public have the right to comment, participate in the projects, or request a public hearing on LifeROOTS' proposal by notifying the primary contact in writing (see below). The deadline for response is August 10, 2016. Primary contact: Trudy Eberhardt, Chief Financial Officer.



July 18, 2016

Yellow Cab in Albuquerque
500 Kinley Ave., NE
Albuquerque, NM 87102

Dear Sir or Madam:

The purpose of this letter is to notify you that the LifeROOTS' organization is applying for a transit and rail grant which is intended for transporting individuals with disabilities. Our intent is only to transport LifeROOTS' clients to employment opportunities and to Department of Health program compliance community integration activities.

For your convenience, the published public notice is reproduced below:

Public Notice

Notice of Intent to apply for NMDOT Section 5310 Transportation Assistance for the Elderly and Disabled.

July 16, 2016

LifeROOTS, Inc.
1111 Menaul Blvd., NE
Albuquerque, NM 87107

Summary, LifeRoots, Inc., a private non-profit metro area organization providing services to people with disabilities in Bernalillo and Sandoval Counties, intend to apply for NMDOT, Section 5310 (FTA) FFY 2018 funds to meet the transportation needs of individuals with physical, developmental and/or behavioral disabilities. LifeROOTS' transportation services ensure that 400 individuals with a wide range of disabilities meet their daily living needs and access paid and volunteer work and vocation training, link to other modes of transportation, access specialized medical, dental and therapeutic care, and be fully included in community life and recreation.

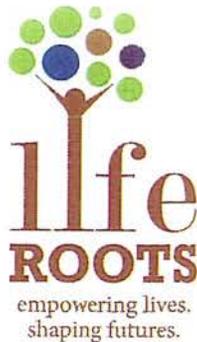
Members of the public have the right to comment, participate in the project, or request a public hearing on LifeROOTS' proposal by notifying the primary contact in writing (see below).

The deadline for response is August 10, 2016.

Primary Contact: Trudy Eberhardt, Chief Financial Officer

Sincerely,

Kathleen Holmes Cates, CEO/President



July 18, 2016

Sun Van Paratransit Service
100 1st Street, SW
Albuquerque, NM 87102

Dear Sir or Madam:

The purpose of this letter is to notify you that the LifeROOTS' organization is applying for a transit and rail grant which is intended for transporting individuals with disabilities. Our intent is only to transport LifeROOTS' clients to employment opportunities and to Department of Health program compliance community integration activities.

For your convenience, the published public notice is reproduced below:

Public Notice

Notice of Intent to apply for NMDOT Section 5310 Transportation Assistance for the Elderly and Disabled.

July 16, 2016

LifeROOTS, Inc.
1111 Menaul Blvd., NE
Albuquerque, NM 87107

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The deadline for response is August 10, 2016.

Primary Contact: Trudy Eberhardt, Chief Financial Officer

Sincerely,

Kathleen Holmes Cates, CEO/President

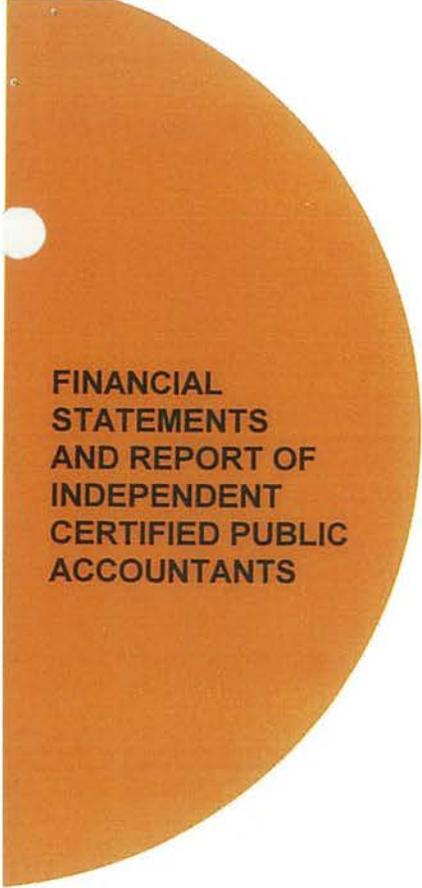
Providing people with disabilities and their families the resources and support they need to empower their lives and shape their futures.

1111 Menaul Blvd. NE, Albuquerque, NM 87107

P:505.255.5501

F:505.255.9971

www.lifeROOTSnm.org



**FINANCIAL
STATEMENTS
AND REPORT OF
INDEPENDENT
CERTIFIED PUBLIC
ACCOUNTANTS**

LIFEROOTS, INC.

June 30, 2015 and 2014

atkinson

PRECISE. PERSONAL. PROACTIVE.

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LifeROOTS, Inc.

OFFICIAL ROSTER

June 30, 2015

Board of Directors

Catherine Salazar	Chairman
Leslie Strickler	Vice-Chairman
Jeanne Vigil	Treasurer
Amy Clithero	Secretary
Brad Vaughn	Director
Joan Schofield	Director
Linda Geiszler	Director
Catherine Thompkins	Director
Sue Iliff	Director
Myron Saldyt	Director
Carol Guerra	Director
Jill Tatz	Director
Lewis Reade	Director

Administrative Personnel

Kathleen Cates	CEO/President
----------------	---------------



CERTIFIED PUBLIC ACCOUNTANTS | CONSULTANTS

ATKINSON & CO. LTD.
6501 AMERICAS PKWY NE
SUITE 700
ALBUQUERQUE, NM 87110

T 505 843 6492
F 505 843 6817

ATKINSONCPA.COM

PO BOX 25246
ALBUQUERQUE, NM 87125

REPORT OF INDEPENDENT CERTIFIED PUBLIC ACCOUNTANTS

Board of Directors
LifeROOTS, Inc.

Report on the Financial Statements

We have audited the accompanying financial statements of LifeROOTS, Inc. (a not-for-profit organization), which comprise the statements of financial position as of June 30, 2015 and 2014, and the related statements of activities and changes in net assets, functional expenses, and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of the financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to LifeROOTS, Inc.'s preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of LifeROOTS, Inc.'s internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

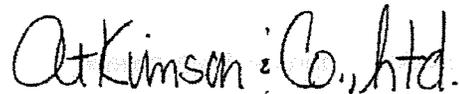
We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of LifeROOTS, Inc. as of June 30, 2015 and 2014, and the changes in its net assets and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated October 16, 2015, on our consideration of LifeROOTS, Inc.'s internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering LifeROOTS, Inc.'s internal control over financial reporting and compliance.


Atkinson & Co., Ltd.

Albuquerque, New Mexico
October 16, 2015

LifeROOTS, Inc.

STATEMENTS OF FINANCIAL POSITION

June 30,

ASSETS

	<u>2015</u>	<u>2014</u>
CURRENT ASSETS		
Cash and cash equivalents	\$ 98,195	\$ 181,418
Restricted cash	26,000	-
Accounts receivable	396,670	292,656
Contracts receivable	319,012	324,889
Unconditional promises to give - United Way	68,128	60,430
Inventories	1,198	1,196
Prepaid expenses and deposits	<u>36,638</u>	<u>55,557</u>
Total current assets	945,841	916,146
BENEFICIAL INTEREST IN CHARITABLE TRUSTS	706,511	-
PROPERTY AND EQUIPMENT, net	2,611,050	2,665,856
INVESTMENTS	<u>25,699</u>	<u>25,441</u>
Total assets	<u>\$ 4,289,101</u>	<u>\$ 3,607,443</u>

LIABILITIES AND NET ASSETS

	2015	2014
CURRENT LIABILITIES		
Accounts payable	\$ 274,255	\$ 409,083
Accrued payroll and related taxes	98,685	91,686
Accrued compensated absences	111,145	116,428
Deferred revenue	13,041	270
Current portion of long-term debt	91,464	69,891
Current portion of capital lease obligation	8,311	-
	596,901	687,358
 LONG-TERM DEBT, less current portion	 1,378,736	 1,470,258
 CAPITAL LEASE OBLIGATION, less current portion	 33,666	 -
Total liabilities	2,009,303	2,157,616
 COMMITMENTS AND CONTINGENCIES	 -	 -
 NET ASSETS		
Unrestricted net assets		
Property and equipment, net of related debt	1,098,873	1,125,707
Operating	277,055	263,690
	1,375,928	1,389,397
Temporarily restricted net assets	903,870	60,430
Total net assets	2,279,798	1,449,827
 Total liabilities and net assets	 \$ 4,289,101	 \$ 3,607,443

The accompanying notes are an integral part of these financial statements.

**STATEMENTS OF ACTIVITIES
AND CHANGES IN NET ASSETS**

For the year ended June 30, 2015

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Total</u>
REVENUE AND SUPPORT			
Revenue:			
Program service revenue:			
SourceAmerica and other service contracts	\$ 3,691,358	\$ -	\$ 3,691,358
Program services fees	1,760,175	-	1,760,175
NM Department of Health contracts	846,710	-	846,710
Other income	81,172	-	81,172
Return on investments:			
Realized gains on investments	2,187	-	2,187
Dividends and interest	462	-	462
Unrealized losses on investments	<u>(2,345)</u>	<u>-</u>	<u>(2,345)</u>
Total revenue	6,379,719	-	6,379,719
Support:			
Contributions:			
Monetary	18,901	706,511	725,412
United Way allocations	-	68,128	68,128
In-kind	13,243	-	13,243
Grants	<u>12,500</u>	<u>129,231</u>	<u>141,731</u>
Total support	44,644	903,870	948,514
Total revenue and support before releases	6,424,363	903,870	7,328,233
Net assets released from restrictions:			
Restrictions satisfied by time and expenditures	60,430	(60,430)	-
EXPENSES			
Program services:			
Contracts:			
Custodial	3,053,437	-	3,053,437
Landscaping and grounds keeping	113,736	-	113,736
Children and therapy	1,310,960	-	1,310,960
Community services:			
Day habilitation	655,651	-	655,651
Vocational services	312,269	-	312,269
Literacy	67,058	-	67,058
Career discovery	<u>52,095</u>	<u>-</u>	<u>52,095</u>
Total program services	5,565,206	-	5,565,206
Supporting services:			
Management and general	888,905	-	888,905
Fundraising	<u>44,151</u>	<u>-</u>	<u>44,151</u>
Total supporting services	933,056	-	933,056
Total expenses	<u>6,498,262</u>	<u>-</u>	<u>6,498,262</u>
CHANGES IN NET ASSETS	(13,469)	843,440	829,971
Net assets at beginning of year	<u>1,389,397</u>	<u>60,430</u>	<u>1,449,827</u>
Net assets at end of year	<u>\$ 1,375,928</u>	<u>\$ 903,870</u>	<u>\$ 2,279,798</u>

The accompanying notes are an integral part of these financial statements.

**STATEMENTS OF ACTIVITIES
AND CHANGES IN NET ASSETS - CONTINUED**

For the year ended June 30, 2014

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Total</u>
REVENUE AND SUPPORT			
Revenue:			
Program service revenue:			
SourceAmerica and other service contracts	\$ 3,587,793	\$ -	\$ 3,587,793
Program services fees	1,828,934	-	1,828,934
NM Department of Health contracts	900,381	-	900,381
Other income	17,369	-	17,369
Return on investments:			
Realized gains on investments	13,899	-	13,899
Dividends and interest	1,373	-	1,373
Unrealized losses on investments	(2,812)	-	(2,812)
Total revenue	<u>6,346,937</u>	<u>-</u>	<u>6,346,937</u>
Support:			
Contributions:			
United Way allocations	400	60,430	60,830
Monetary	16,390	-	16,390
In-kind	10,253	-	10,253
Grants	17,500	-	17,500
Total support	<u>44,543</u>	<u>60,430</u>	<u>104,973</u>
Total revenue and support before releases	<u>6,391,480</u>	<u>60,430</u>	<u>6,451,910</u>
Net assets released from restrictions:			
Restrictions satisfied by time and expenditures	61,030	(61,030)	-
EXPENSES			
Program services:			
Contracts:			
Custodial	2,962,796	-	2,962,796
Landscaping and grounds keeping	139,420	-	139,420
Children and therapy	1,451,692	-	1,451,692
Community services:			
Day habilitation	647,375	-	647,375
Vocational services	499,707	-	499,707
Literacy	69,283	-	69,283
Career discovery	52,766	-	52,766
Total program services	<u>5,823,039</u>	<u>-</u>	<u>5,823,039</u>
Supporting services:			
Management and general	884,132	-	884,132
Fundraising	48,331	-	48,331
Total supporting services	<u>932,463</u>	<u>-</u>	<u>932,463</u>
Total expenses	<u>6,755,502</u>	<u>-</u>	<u>6,755,502</u>
CHANGES IN NET ASSETS	<u>(302,992)</u>	<u>(600)</u>	<u>(303,592)</u>
Net assets at beginning of year	<u>1,692,389</u>	<u>61,030</u>	<u>1,753,419</u>
Net assets at end of year	<u>\$ 1,389,397</u>	<u>\$ 60,430</u>	<u>\$ 1,449,827</u>

The accompanying notes are an integral part of these financial statements.

LifeROOTS, Inc.

STATEMENTS OF FUNCTIONAL EXPENSES

For the year ended June 30, 2015

	Program				
	Contracts			Community	
	Custodial	Landscaping and Grounds Keeping	Children and Therapy	Day Habilitation	Vocational Services
Salaries and related expenses					
Salaries and wages	\$ 280,211	\$ 23,944	\$ 531,989	\$ 412,585	\$ 148,358
Clients and other	827,335	47,427	-	55	90,929
Payroll taxes	194,023	12,539	73,965	62,012	34,875
Fringe benefits	258,567	2,880	48,614	25,894	3,281
Total salaries and related expenses	1,560,136	86,790	654,568	500,546	277,443
Other expenses					
Contract labor	1,135,397	148	544,808	2,383	158
Supplies	159,200	12,462	5,300	6,841	51
Commissions	112,062	-	-	-	-
Interest	2,520	-	14,611	25,536	5,692
Insurance	2,458	-	21,299	-	8,333
Transportation services	25,928	3,746	22,353	6,369	2,610
Rent	1,497	1,713	16	48,038	-
Advertising and marketing	282	-	1,267	752	135
Repairs and maintenance	8,303	921	9,609	9,569	2,767
Utilities	902	106	6,877	16,636	2,691
Professional fees	1,221	-	11,767	-	4,140
Office expense	3,770	444	4,971	5,067	3,215
Telephone	5,367	731	4,253	3,392	3,073
Dues and subscriptions	7,773	222	55	1,535	39
Miscellaneous	71	121	11	247	43
In-kind expenses	-	-	2,826	3,820	-
Equipment purchases	5,927	892	1,056	873	-
Employment screening	2,205	806	117	379	462
Meetings and conferences	948	166	240	-	-
Bank and investment fees	-	-	-	-	-
Postage	736	-	584	-	717
Bad debt expense	-	65	316	-	700
Total expenses before depreciation and amortization	3,036,703	109,333	1,306,904	631,983	312,269
Depreciation and amortization	16,734	4,403	4,056	23,668	-
Total expenses	\$ 3,053,437	\$ 113,736	\$ 1,310,960	\$ 655,651	\$ 312,269

Services			Supporting Services		
Services					
Literacy	Career Discovery	Subtotal Program Services	Management and General	Fundraising	Total Expenses
\$ 44,160	\$ 38,779	\$ 1,480,026	\$ 508,092	\$ -	\$ 1,988,118
-	2,749	968,495	-	-	968,495
5,964	6,204	389,582	56,302	-	445,884
4,706	814	344,756	24,791	-	369,547
54,830	48,546	3,182,859	589,185	-	3,772,044
-	-	1,682,894	80	-	1,682,974
66	2,819	186,739	2,613	-	189,352
-	-	112,062	-	-	112,062
2,716	-	51,075	35,327	-	86,402
3,976	-	36,066	51,713	-	87,779
26	261	61,293	2,877	-	64,170
-	-	51,264	4,804	-	56,068
-	-	2,436	3,694	44,001	50,131
1,320	-	32,489	17,173	-	49,662
1,284	-	28,496	16,696	-	45,192
1,975	-	19,103	25,692	-	44,795
74	149	17,690	13,322	-	31,012
-	89	16,905	8,262	-	25,167
39	63	9,726	11,438	-	21,164
-	10	503	17,130	-	17,633
100	-	6,746	5,353	-	12,099
77	-	8,825	2,790	150	11,765
-	-	3,969	4,841	-	8,810
-	-	1,354	2,822	-	4,176
-	-	-	3,936	-	3,936
-	-	2,037	1,702	-	3,739
41	-	1,122	-	-	1,122
66,524	51,937	5,515,653	821,450	44,151	6,381,254
534	158	49,553	67,455	-	117,008
<u>\$ 67,058</u>	<u>\$ 52,095</u>	<u>\$ 5,565,206</u>	<u>\$ 888,905</u>	<u>\$ 44,151</u>	<u>\$ 6,498,262</u>

The accompanying notes are an integral part of these financial statements.

LifeROOTS, Inc.

STATEMENTS OF FUNCTIONAL EXPENSES - CONTINUED

For the year ended June 30, 2014

	Program				
	Contracts			Community	
	Custodial	Landscaping and Grounds Keeping	Children and Therapy	Day Habilitation	Vocational Services
Salaries and related expenses					
Salaries and wages	\$ 280,051	\$ 27,027	\$ 662,952	\$ 402,526	\$ 253,478
Clients and other	814,269	52,599	-	140	132,028
Payroll taxes	191,272	11,453	90,354	59,453	57,265
Fringe benefits	229,181	2,883	54,318	19,944	11,617
Total salaries and related expenses	1,514,773	93,962	807,624	482,063	454,388
Other expenses					
Contract labor	1,083,614	3,918	521,945	2,680	-
Supplies	167,057	17,453	12,159	6,469	823
Commissions	106,975	-	-	-	-
Interest	2,793	-	15,159	26,261	5,931
Transportation services	26,211	4,933	30,351	8,679	7,819
Insurance	1,861	-	16,124	-	6,308
Advertising and marketing	340	-	550	-	2,141
Repairs and maintenance	7,825	2,753	11,135	10,063	3,282
Rent	1,080	1,669	-	45,746	-
Professional fees	1,373	-	11,980	-	4,656
Utilities	1,004	42	6,622	16,943	2,591
Miscellaneous	169	253	184	508	137
Office expense	3,990	935	6,642	5,424	2,599
Telephone	7,453	1,068	5,628	4,448	3,820
Dues and subscriptions	6,311	74	200	933	-
Bad debt expense	-	7,259	797	2,588	4,185
Equipment purchases	5,910	125	50	6,823	-
Employment screening	1,056	575	-	648	775
Bank and investment fees	-	-	-	-	-
Meetings and conferences	221	-	214	-	14
Postage	251	-	874	-	238
Total expenses before depreciation and amortization	2,940,267	135,019	1,448,238	620,276	499,707
Depreciation and amortization	22,529	4,401	3,454	27,099	-
Total expenses	\$ 2,962,796	\$ 139,420	\$ 1,451,692	\$ 647,375	\$ 499,707

Services

Supporting Services

Services

<u>Literacy</u>	<u>Career Discovery</u>	<u>Subtotal Program Services</u>	<u>Management and General</u>	<u>Fundraising</u>	<u>Total Expenses</u>
\$ 46,957	\$ 38,043	\$ 1,711,034	\$ 501,752	\$ -	\$ 2,212,786
-	2,961	1,001,997	-	-	1,001,997
5,589	5,568	420,954	52,000	-	472,954
4,545	1,036	323,524	22,731	-	346,255
57,091	47,608	3,457,509	576,483	-	4,033,992
-	-	1,612,157	1,740	-	1,613,897
50	3,992	208,003	3,539	-	211,542
-	-	106,975	-	-	106,975
2,830	-	52,974	36,806	-	89,780
11	859	78,863	3,232	-	82,095
3,010	-	27,303	39,148	-	66,451
-	-	3,031	6,911	48,331	58,273
1,566	-	36,624	20,367	-	56,991
-	-	48,495	4,474	-	52,969
2,222	-	20,231	28,891	-	49,122
1,236	-	28,438	16,078	-	44,516
-	-	1,251	34,771	-	36,022
40	137	19,767	13,025	-	32,792
-	-	22,417	8,214	-	30,631
-	-	7,518	13,894	-	21,412
835	-	15,664	-	-	15,664
-	12	12,920	912	-	13,832
-	-	3,054	1,290	-	4,344
-	-	-	3,742	-	3,742
-	-	449	2,947	-	3,396
-	-	1,363	1,343	-	2,706
68,891	52,608	5,765,006	817,807	48,331	6,631,144
392	158	58,033	66,325	-	124,358
<u>\$ 69,283</u>	<u>\$ 52,766</u>	<u>\$ 5,823,039</u>	<u>\$ 884,132</u>	<u>\$ 48,331</u>	<u>\$ 6,755,502</u>

The accompanying notes are an integral part of these financial statements.

STATEMENTS OF CASH FLOWS

For the years ended June 30,

Increase (Decrease) in Cash and Cash Equivalents

	2015	2014
CASH FLOWS FROM OPERATING ACTIVITIES		
Changes in net assets	\$ 829,971	\$ (303,592)
Adjustments to reconcile changes in net assets to net cash provided by (used in) operating activities:		
Depreciation and amortization	117,008	124,358
Net realized (gains) on investments	(2,187)	(13,899)
Net unrealized losses on investments	2,345	2,812
Reinvested interest and dividends	(416)	(915)
Donated property	(1,499)	-
Gain on sale of assets	(348)	(2,000)
Provision for bad debts	1,122	15,664
Net changes in assets and liabilities:		
Decrease in contracts receivable	4,820	44,991
(Increase) in accounts receivable	(104,079)	(17,710)
(Increase) decrease in unconditional promises to give	(7,698)	600
(Increase) in beneficial interest in charitable trusts	(706,511)	-
(Increase) in inventories	(2)	(1,196)
Decrease (increase) in prepaid expenses and deposits	18,919	(9,394)
(Decrease) increase in accounts payable	(134,828)	74,036
Increase in accrued payroll and related taxes	6,999	15,291
(Decrease) increase in accrued compensated absences	(5,283)	10,680
Increase in deferred revenue	12,771	-
Net cash flows provided by (used in) operating activities	31,104	(60,274)
CASH FLOWS FROM INVESTING ACTIVITIES		
Cash restricted for purpose	(26,000)	-
Purchases of investments	(2,116)	(80,000)
Proceeds from sale and maturities of investments	2,116	159,600
Purchases of property and equipment	(16,033)	(8,107)
Proceeds from sale of property and equipment	348	2,000
Net cash flows (used in) provided by investing activities	(41,685)	73,493
CASH FLOWS FROM FINANCING ACTIVITIES		
Principal payments on long-term debt	(69,949)	(70,037)
Principal payments on capital lease obligation	(2,693)	-
Net cash flows (used in) financing activities	(72,642)	(70,037)
NET (DECREASE) IN CASH AND CASH EQUIVALENTS	(83,223)	(56,818)
Cash and cash equivalents, beginning of year	181,418	238,236
Cash and cash equivalents, end of year	\$ 98,195	\$ 181,418

The accompanying notes are an integral part of these financial statements.

LifeROOTS, Inc.

STATEMENTS OF CASH FLOWS - CONTINUED

For the years ended June 30,

Increase (Decrease) in Cash and Cash Equivalents

SUPPLEMENTAL DISCLOSURES OF CASH FLOW INFORMATION

	<u>2015</u>	<u>2014</u>
Cash paid during the year for interest	<u>\$ 86,402</u>	<u>\$ 89,780</u>
Donation of materials, supplies, and services	<u>\$ 11,744</u>	<u>\$ 10,253</u>
Asset acquired under a capital lease obligation	<u>\$ 44,670</u>	<u>\$ -</u>

The accompanying notes are an integral part of these financial statements.

NOTES TO FINANCIAL STATEMENTS

June 30, 2015 and 2014

NOTE A - NATURE OF BUSINESS

LifeROOTS, Inc. (the Organization) is a New Mexico not-for-profit organization organized in 1958 to provide appropriate education, treatment, and other services for developmentally, physically, and/or emotionally disabled adults and children. LifeROOTS, Inc.'s mission is to enable children and adults with special needs to achieve their highest level of self-sufficiency. LifeROOTS, Inc. is headquartered in Albuquerque, New Mexico, and operates with locations in Albuquerque and Rio Rancho, New Mexico. In May 2011, the Organization amended its articles of incorporation to change its name to LifeROOTS, Inc. from RCI, Inc.

The Organization was incorporated under the provisions of the New Mexico Nonprofit Corporation Act. A volunteer Board of Directors governs the Organization.

The Organization provides services through three divisions as follows:

Contracts

Employment opportunities are provided to adults with disabilities and special needs under the federal set-aside program known as Javits Wagner O'Day (JWOD). SourceAmerica, formerly National Institute for the Severely Handicapped (NISH), assists the Organization in contracting matters using the JWOD program, which creates employment opportunities for people with severe disabilities. Examples of these employment opportunities include custodial, landscaping and grounds keeping positions. In addition, other employment opportunities are created outside of the JWOD program for individuals with disabilities. Many of these employees are supported on the job through the vocational services program. As of June 30, 2015 and 2014, approximately 34 and 42 individuals with disabilities were employed under SourceAmerica and other government service contracts, respectively.

Landscaping and grounds keeping service contracts were started in May of 2012, with a majority of the start-up costs occurring in fiscal year 2012-13. Like all of LifeROOTS, Inc. contract services, these contracts maintain a minimum of 75% of direct labor performed by employees with disabilities who cannot maintain employment without LifeROOTS, Inc.'s support. This program has increased the number of paid labor hours offered to the community served. LifeROOTS, Inc. services numerous federal, state, and university contracts with a growing number of residential grounds keeping contracts.

Children and Therapy Services

Children Services - The majority of services through this division are through Early Intervention. Early Intervention services provide therapeutic support for children ages birth to three by working with families to identify the needs of children who may have delays in development, uneven patterns of growth, or are at risk due to factors in their environment. Services are delivered in the child's home or at one of the Organization's locations and consist of:

- Evaluation and assessment
- Speech, occupational, and physical therapies
- Therapeutic educational services
- Specialized infant program
- Service coordination

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE A - NATURE OF BUSINESS - CONTINUED

Children and Therapy Services - Continued

Therapy Services - Provide certified and licensed therapy in the following areas:

- *Occupational therapy* - helps people learn practical skills and adapt to changing job environments.
- *Physical therapy* - helps with an individual's endurance, body awareness, and strengthening to achieve optimal abilities.
- *Speech and language therapy* - helps people with all levels of communication realize confidence and independence.

Community Services

Vocational Services - Provide opportunities in the world of work to adults with disabilities and special needs. The Organization matches individuals with employers to jobs that fit both parties' needs and abilities.

Day Habilitation - Day Habilitation serves adults with developmental disabilities by providing integrated and individualized community-based services. Individuals participate in activities such as exploration, recreation, education, and community service, each customized for the individual's needs.

Literacy - Within the Literacy Program, time, space, and equipment are provided so individuals can discover their natural gifts. Through specifically designed curriculums and within a differentiated instructional framework, individuals will clarify vocational pursuits and obtain the specific resources and employment strategies to succeed in realizing their passion in the community. The Literacy Program defines and implements a curriculum that parallels the overall mission of CAREER. Literacy is person-centered where students create, develop, and manage their educational and career interests. The curriculum is designed to encourage students to learn independently, develop critical thinking skills, and to participate in group activities. Students will have access to individualized instruction, computer assisted technology, and vocational data bases, while preparing for employment in the workplace; or individuals currently employed can maintain employment by continued studies. The Literacy program consists of three units:

- Career Readiness
- Language Arts
- Math

Career Discovery - is for adults who want to increase their exposure to the world of work. This includes work assessment and job coaching.

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE B - SIGNIFICANT ACCOUNTING POLICIES

A summary of the significant accounting policies consistently applied in the preparation of the accompanying financial statements follows:

1. Basis of Presentation

LifeROOTS, Inc. is required to report information regarding its financial position and activities according to the existence or absence of donor-imposed restrictions. Accordingly, net assets of LifeROOTS, Inc. and changes therein are classified and reported as follows:

Unrestricted Net Assets – represent net assets that are not subject to donor-imposed stipulations. Although not required, the Organization has elected to report its unrestricted net assets that represent amounts related to property and equipment (net of associated long-term debt) and amounts related to ongoing operating activities.

Temporarily Restricted Net Assets – represent net assets subject to donor-imposed stipulations that will be met either by actions of LifeROOTS, Inc. and/or the passage of time.

Permanently Restricted Net Assets – represent net assets subject to donor-imposed stipulations that must be maintained permanently by the Organization. LifeROOTS, Inc. does not have any permanently restricted net assets.

2. Use of Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements, and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

3. Concentrations of Credit Risk

LifeROOTS, Inc. maintains its cash depository accounts and investment accounts with various financial institutions and brokerage firms. Balances in the accounts may at times exceed Federal or other insurance limits. LifeROOTS, Inc. has not experienced, and believes it is not exposed to, significant credit risk from these deposits.

4. Cash and Cash Equivalents

For purposes of the Statements of Cash Flows, LifeROOTS, Inc. considers all highly liquid investments with an initial maturity of three months or less to be cash equivalents.

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE B - SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

5. Promises to Give, Contributions, and Public Support

Contributions received and unconditional promises to give are measured at their fair value and are reported as an increase in net assets. The Organization reports gifts of cash and other assets as restricted support if they are received with donor stipulations that limit the use of the donated assets, or if they are designated as support of future periods. When a donor restriction expires, that is, when a stipulated time restriction ends or purpose restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the Statement of Activities and Changes in Net Assets as net assets released from restrictions.

The Organization reports gifts of goods and equipment as unrestricted support unless explicit donor stipulations specify how the donated assets must be used. Gifts of long-lived assets with explicit restrictions that specify how the assets are to be used and gifts of cash or other assets that must be used "to acquire long-lived assets" are reported as restricted support. Absent explicit donor stipulations about how long those long-lived assets must be maintained, the Organization reports expirations of donor restrictions over the estimated useful life of the donated or acquired long-lived assets.

Conditional promises to give are recognized only when the conditions on which they depend are substantially met and the promises become unconditional.

6. Accounts and Contract Receivable

Accounts and contract receivables are recorded at net realizable value and are evaluated for collectibility by using historical experience applied to an aging of the accounts. Accounts and contracts receivable are written off when deemed uncollectible. Receivables are considered past due if the balance is outstanding for more than 90 days. No interest is charged on late receivables. LifeROOTS, Inc. utilizes the allowance method to provide a valuation for estimated uncollectible accounts and contract receivables. No allowance was deemed necessary for accounts and contract receivables as of June 30, 2015 and 2014. Contract revenue is billed and recognized as revenue as services are rendered under the respective contract. Amounts received in advance of the services being rendered are reflected as deferred revenue.

7. Inventories

Inventories, which primarily consist of organization logo merchandise and polo shirts, are valued at the lower of cost or market. Cost is determined on the first-in, first-out method.

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE B - SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

8. Investments

Investments are carried at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Realized gains and losses are recorded on a specific identification method upon the sale of investment assets. Realized and unrealized gains and losses on investments are included in return on investments in the accompanying Statements of Activities and Changes in Net Assets. Investment income and gains (losses) restricted by donors are reported as increases (decreases) in unrestricted net assets unless donor-imposed restrictions have not been met in the reporting period in which the income and gains are recognized. The fair market value of investments is subject to ongoing fluctuation. The amount ultimately realized upon disposition may differ from the amounts reported in these financial statements.

9. Property and Equipment

All acquisitions of property and equipment in excess of \$500 and all expenditures for repairs, maintenance, renewals, and betterments that materially prolong the useful lives of assets are capitalized. Property and equipment are carried at cost or, if donated, at the estimated fair value at the date of donation. Depreciation is computed using the straight-line method over useful lives ranging from three to thirty-nine years.

The major classifications of property and equipment and the related depreciable lives are as follows:

<u>Classification</u>	<u>Depreciable lives</u>
Buildings and improvements	15-39 years
Furniture and equipment	3-15 years
Vehicles	5-10 years

Assets donated with explicit restrictions regarding their use and contributions of cash earmarked to acquire property and equipment are reported as temporarily restricted support. Absent donor stipulations regarding how long those donated assets must be maintained, the Organization reports expirations of donor restrictions when the donated or acquired assets are placed in service. The Organization reclassifies temporarily restricted net assets to unrestricted net assets at that time.

10. Program Fees

New Mexico Department of Health and New Mexico Department of Human Services revenues and certain program service fees are reported at the estimated net realizable amounts from patients, third-party payers, and others for services rendered.

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE B - SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

11. Donated Services and Materials

A substantial number of volunteers have donated time to LifeROOTS, Inc.'s programs and administration. As these services do not qualify for recognition as donated services in accordance with generally accepted accounting principles, they are not recorded as revenues and expenses in the accompanying financial statements. Supplies, materials, equipment, and services were donated to LifeROOTS, Inc. and are recorded at their estimated values of \$13,243 and \$10,253 for the years ended June 30, 2015 and 2014, respectively.

12. Income Taxes

LifeROOTS, Inc. is a non-profit corporation that is exempt from income taxes under Section 501(c)(3) of the Internal Revenue Code. As such, its normal activities do not result in any income tax liability. LifeROOTS, Inc. is classified as other than a private foundation.

LifeROOTS, Inc. applies the provisions of Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC), *Income Taxes* (FASB ASC 740). FASB ASC 740 provides detailed guidance for the financial statement recognition, measurement, and disclosure of uncertain tax positions in an enterprise's financial statements. Uncertain income tax positions must meet a more-likely-than-not recognition threshold to be recognized. LifeROOTS, Inc.'s policy is to classify income tax penalties and interest according to their natural classification rather than as income tax expense. As of June 30, 2015 and 2014, management does not believe LifeROOTS, Inc. has any uncertain tax positions that would require financial statement recognition, measurement, or disclosure under FASB ASC 740. Due to statutes of limitation, LifeROOTS, Inc.'s tax returns are no longer subject to examinations by tax authorities for fiscal years before 2012.

13. Functional Expense Allocation

The costs of providing various programs and other activities have been summarized on a functional basis in the Statements of Activities and Changes in Net Assets and in the Statements of Functional Expenses. Accordingly, certain costs have been allocated among the programs and supporting services benefited.

14. Advertising

LifeROOTS, Inc. expenses advertising costs as incurred. Such expenses are shown in the Statements of Functional Expenses; no amounts of advertising are carried as assets except when expenses are paid in advance. These are recorded as prepaid expenses until services are rendered.

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE B - SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

15. Subsequent Events

Subsequent events have been evaluated through October 16, 2015, the date the financial statements were available for issuance, to determine whether such events should be recorded or disclosed in the financial statements for the year ended June 30, 2015. Management believes no material subsequent events have arisen that would require adjustment or disclosure.

NOTE C - ACCOUNTS AND CONTRACTS RECEIVABLE

The Organization has certain outstanding receivables as a result of services rendered regarding contracts with various federal, state, and local governmental agencies and private organizations. Receivables also consist of Medicaid insurance payments and other monies due from clients. The following is a summary of receivables as of June 30:

<u>Accounts Receivable</u>	<u>2015</u>	<u>2014</u>
Medicaid/DOH	\$ 182,693	\$ 183,221
Vocational Services	109,676	108,623
NM Department of Transportation and other	<u>104,301</u>	<u>812</u>
	<u>\$ 396,670</u>	<u>\$ 292,656</u>
 <u>Contracts Receivable</u>	 <u>2015</u>	 <u>2014</u>
Kirtland Air Force Base	\$ 220,093	\$ 202,105
General Services	38,378	35,424
Horizons of New Mexico	26,044	23,585
Adelante Development Corporation	15,079	29,742
National Assessment Group	10,002	10,002
UNM Hospital	4,868	17,486
Other	<u>4,548</u>	<u>6,545</u>
	<u>\$ 319,012</u>	<u>\$ 324,889</u>

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE D - PROPERTY AND EQUIPMENT

Property and equipment at June 30, consisted of the following:

	<u>2015</u>	<u>2014</u>
Buildings	\$ 2,774,640	\$ 2,773,720
Furniture, fixtures, and equipment	378,868	364,583
Vehicles	308,586	355,853
Leased equipment	44,670	-
Leasehold improvements	<u>17,590</u>	<u>15,590</u>
	3,524,354	3,509,746
Less accumulated depreciation and amortization	<u>(1,293,304)</u>	<u>(1,223,890)</u>
	2,231,050	2,285,856
Land	<u>380,000</u>	<u>380,000</u>
	<u>\$ 2,611,050</u>	<u>\$ 2,665,856</u>

Depreciation expense was \$117,008 and \$124,358 at June 30, 2015 and 2014, respectively.

NOTE E - FAIR VALUE MEASUREMENTS

Generally accepted accounting principles establish a framework for measuring fair value. The framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The three levels of the fair value hierarchy are described as follows:

Level 1: Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Organization has the ability to access.

Level 2: Inputs to the valuation methodology include: Quoted prices for similar assets or liabilities in active markets; Quoted prices for identical or similar assets or liabilities in inactive markets; Inputs other than quoted prices that are observable for the asset or liability; Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

Level 3: Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

The asset's or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE E - FAIR VALUE MEASUREMENTS - CONTINUED

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at June 30, 2015 and 2014.

Mutual Funds: Valued at the closing price reported on the active market on which the individual securities are traded.

Assets Held in Charitable Trusts: Valued at fair value obtained from the third party trustee.

The following table sets forth by level, within the fair value hierarchy, the Organization's assets at fair value as of June 30, 2015:

Assets at Fair Value as of June 30, 2015

	Level 1	Level 2	Level 3	Total
Mutual funds:				
Domestic equity funds	\$ 12,369	\$ -	\$ -	\$ 12,369
Domestic fixed income funds	8,145	-	-	8,145
Asset allocation funds	5,185	-	-	5,185
Charitable trusts	-	706,511	-	706,511
Total	<u>\$ 25,699</u>	<u>\$ 706,511</u>	<u>\$ -</u>	<u>\$ 732,210</u>

The following table sets forth by level, within the fair value hierarchy, the Organization's assets at fair value as of June 30, 2014:

Assets at Fair Value as of June 30, 2014

	Level 1	Level 2	Level 3	Total
Mutual funds:				
Domestic equity funds	\$ 11,877	\$ -	\$ -	\$ 11,877
Domestic fixed income funds	7,461	-	-	7,461
Asset allocation funds	3,899	-	-	3,899
International equity funds	1,481	-	-	1,481
International fixed income funds	723	-	-	723
Total	<u>\$ 25,441</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 25,441</u>

NOTE F - AVAILABLE CREDIT

In August 2011, the Organization obtained a credit card with a maximum limit of \$80,000. The balance on the credit card was \$9,429 and \$15,355 at June 30, 2015 and 2014, respectively, and is included in accounts payable in the accompanying financial statements. The credit card bears interest at a rate of 2.99% on any past due amounts and no collateral is required.

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE G - OPERATING LEASE OBLIGATIONS

LifeROOTS, Inc. has several non-cancelable operating leases, primarily for equipment and office space that expire at various dates through August 2017. Rental expense for those leases was \$59,657 and \$62,088 for the years ended June 30, 2015 and 2014, respectively.

Future minimum lease payments under non-cancelable operating leases are as follows for the years ending June 30:

2016	\$	48,000
2017		48,000
2018		<u>4,000</u>
	\$	<u>100,000</u>

NOTE H - CAPITAL LEASE OBLIGATION

LifeROOTS, Inc. leases office equipment under a capital lease expiring in 2020. The asset and liability under the capital lease are recorded at the present value of the minimum lease payments. The asset is amortized over the life of the lease. Amortization of the asset under the capital lease is included in depreciation expense.

Following is a summary of property held under capital lease:

Office equipment	\$	44,670
Accumulated depreciation		<u>(2,978)</u>
	\$	<u>41,692</u>

Minimum future lease payments under the capital lease as of June 30, 2015, were as follows:

2016	\$	9,930
2017		9,930
2018		9,930
2019		9,930
2020		<u>6,621</u>
Net minimum lease payments		46,341
Amount representing interest		<u>(4,364)</u>
Present value of net minimum lease payments	\$	<u>41,977</u>

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE I - LONG-TERM DEBT

Long-term debt at June 30, consisted of the following:

	<u>2015</u>	<u>2014</u>
Mortgage note payable to a bank, due in monthly installments of \$11,370, including principal and interest at 5.625%, maturing December 2031. The note is secured by the buildings.	\$ 1,456,130	\$ 1,507,896
Note payable to Ford Credit, due in monthly installments of \$456 including principal and interest at 4.24%, maturing November 2016. The note is secured by related vehicles.	7,050	12,132
Note payable to Ford Credit, due in monthly installments of \$454 including principal and interest at 4.24%, maturing November 2016. The note is secured by related vehicles.	7,020	12,080
Note payable to a bank, due in monthly installments of \$1,035 including principal and interest at 6.50%, maturing January 2015. The note is secured by related vehicles.	<u>-</u>	<u>8,041</u>
	1,470,200	1,540,149
Less current portion	<u>(91,464)</u>	<u>(69,891)</u>
Total	<u>\$ 1,378,736</u>	<u>\$ 1,470,258</u>

Maturities on long-term debt are as follows for the years ending June 30:

2016	\$ 91,464
2017	87,716
2018	87,517
2019	91,001
2020	94,623
Thereafter	<u>1,017,879</u>
	<u>\$ 1,470,200</u>

The Organization is required to comply with certain financial covenants and provisions in connection with the mortgage note payable. The requirements include maintaining a debt service coverage ratio of 1:25 to 1 and submitting audited financial statements to the bank within 120 days of fiscal year-end. Similar financial covenants and provisions exist with the bank debt collateralized with a certain vehicle. The Organization is in compliance with these financial covenants as of June 30, 2015.

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE J - PRIMARY FUNDING SOURCES

A significant portion of the Organization's funding is received from the New Mexico Department of Human Services (17% and 18% for the years ended June 30, 2015 and 2014, respectively) and the New Mexico Department of Health (20% and 24% for the years ended June 30, 2015 and 2014, respectively). Another important source of revenue is the federal contract for custodial work with Kirtland Air Force Base. This contract provided 34% and 37% of the total revenue for 2015 and 2014, respectively. A change in these funding sources would require a change in operations.

NOTE K - CLIENT SALARIES EXPENSE

Salaries to persons with disabilities, not including payroll taxes and employee benefits, for the years ended June 30, 2015 and 2014, totaled \$968,495 and \$1,001,997, respectively.

NOTE L - EMPLOYEE BENEFIT PLANS

LifeROOTS, Inc. has a defined contribution pension plan under Internal Revenue Code 403(b) covering all employees except for employees under supported employment programs, federal contracts, and those who are highly compensated. LifeROOTS, Inc. amended the plan on February 23, 2012, to not permit employer matching contributions. Therefore, no contributions were made to the plan by the Organization for the years ended June 30, 2015 and 2014.

LifeROOTS, Inc. also sponsors a health and welfare plan under Internal Revenue Code 401(a) covering certain employees that perform services under contracts that LifeROOTS, Inc. enters into with certain government agencies or similar entities. LifeROOTS, Inc. is obligated to provide certain fringe benefits under these contracts. The fringe benefit amount is \$4.02 and \$3.71 per hour for the years ended June 30, 2015 and 2014, respectively. Amounts contributed by LifeROOTS, Inc. into the plan totaled \$245,816 and \$215,892 for the years ended June 30, 2015 and 2014, respectively.

NOTE M - TEMPORARILY RESTRICTED NET ASSETS

Temporarily restricted net assets consisted of the following at June 30:

	<u>2015</u>	<u>2014</u>
Restricted for time:		
Charitable trusts	\$ 706,511	\$ -
Transporation program	103,231	-
United Way	68,128	60,430
Restricted for purpose:		
Transporation program	<u>26,000</u>	<u>-</u>
	<u>\$ 903,870</u>	<u>\$ 60,430</u>

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE M - TEMPORARILY RESTRICTED NET ASSETS - CONTINUED

Temporarily restricted net assets are released from donor restrictions as expenses are incurred to satisfy the restricted purpose, or due to the passage of time, as follows:

	<u>2015</u>	<u>2014</u>
Time restriction accomplished:		
United Way	\$ 60,430	\$ 61,030
	<u>\$ 60,430</u>	<u>\$ 61,030</u>

NOTE N - CONTINGENCIES

The grants and contracts operated by LifeROOTS, Inc. are subject to a closing audit process by federal granting agencies subsequent to the end of a grant period. At this time, no reasonable estimate can be made as to adjustments in amounts, if any, due to or from grantors that may result from the closing process. Actual costs reported in the accompanying Statements of Activities and Changes in Net Assets, and for prior years since inception of ongoing grants, exceeded billed costs, and management believes no material reimbursements to granting agencies are due.

NOTE O - RELATED PARTY TRANSACTIONS

The Board of Directors and certain employees contribute various amounts in general support of LifeROOTS, Inc. A certain Board of Directors member is also an officer of a bank with which LifeROOTS, Inc. maintains a cash account on deposit. LifeROOTS, Inc. also has an outstanding vehicle loan with this same bank (see Note I). Another certain Board of Directors member is the owner of an insurance agency that LifeROOTS, Inc. utilizes to obtain various lines of insurance. The approximate amount of premiums associated with these policies is \$70,000, which is paid to the respective insurance carriers.

NOTE P - CHARITABLE TRUSTS

The Organization has a 40% beneficiary share of a certain irrevocable trust. Upon the death of any of the last income beneficiaries, the trust terminates and the assets of the trust are distributed in full to the principal beneficiaries. The value of the trust at June 30, 2015, was \$1,305,609, of which the Organization's 40% share of the assets is \$522,244. The Organization presently has no management authority regarding how the trust is invested.

The Organization has a beneficiary share of a certain trust. The trust created two trusts - Trust A and Trust B. Upon the death of the last Trustor, the assets of Trust A are distributed according to the agreement. The Organization's share is 4%. The value of Trust A at June 30, 2015, was \$634,485, of which the Organization's 4% share of the assets is \$25,379. Upon the death of the last income beneficiary, the Trust B terminates and the assets of the trust are distributed in full to the principle beneficiaries. The value of the Trust B at June 30, 2015 was \$794,443, of which the

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2015 and 2014

NOTE P - CHARITABLE TRUSTS - CONTINUED

Organization's 20% share of the assets is \$158,888. The Organization presently has no management authority regarding how the trust is invested.

The value of these charitable trusts did not become known to management until fiscal year 2015 and have been recorded as an increase to temporarily restricted net assets during the year as allowed by generally accepted accounting principles.

NOTE Q - NEW ACCOUNTING STANDARD

The FASB has recently issued Accounting Standards Update (ASU) 2014-09, (*Topic 606*): *Revenue from Contracts with Customers* that was designed to develop a common revenue standard for U.S. GAAP and international standards. The core principle of this ASU is that an entity should recognize revenue to depict the transfer of promised goods or services to customers in an amount that reflects the consideration to which the entity expects to be entitled in exchange for those goods or services.

Steps to apply the core principle are as follows:

1. Identify the contract(s) with the customer
2. Identify the separate performance obligations
3. Determine the transaction price
4. Allocate the transaction price
5. Recognize revenue when a performance obligation is satisfied

Several new disclosures will also be required to include sufficient information to enable users of the financial statements to understand the nature, amount, timing, and uncertainty of revenue and cash flows arising from contracts with customers. This ASU will be effective for annual periods beginning after December 15, 2018.

As of the date of these financial statements, management has not determined the impact this new ASU will have on future reporting periods.

SUPPLEMENTARY INFORMATION



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INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Board of Directors
LifeROOTS, Inc.

We have audited in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the financial statements of LifeROOTS, Inc. (the Organization), which comprise the statement of financial position as of June 30, 2015, and the related statements of activities and changes in net assets, functional expenses, and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated October 16, 2015.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered LifeROOTS, Inc.'s internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of LifeROOTS, Inc.'s internal control. Accordingly, we do not express an opinion on the effectiveness of the Organization's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the Organization's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

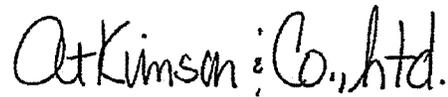
Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during the audit, we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether LifeROOTS, Inc.'s financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Organization's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Organization's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.


Atkinson & Co., Ltd.

Albuquerque, New Mexico
October 16, 2015

SCHEDULE OF FINDINGS AND RESPONSES

For the year ended June 30, 2015

I. Summary of Auditor's Results

- A. An unmodified opinion was issued on the financial statements of LifeROOTS, Inc.
- B. No instances of noncompliance with laws and regulations or the provisions of contracts and grant agreements that are material to the financial statements were disclosed during the audit.

C. Internal control over financial reporting:

- Material weaknesses identified Yes No
- Significant deficiencies identified Yes None Reported

II. Financial Statement Audit Findings

None

III. Financial Statement Audit Findings – Prior year

None

IDENTIFICATION OF AUDIT PRINCIPAL

For the year ended June 30, 2015

Audit Principal:

Barbara A. Lewis, CPA

Name and address of independent accounting firm:

Atkinson & Co., Ltd.
6501 Americas Parkway NE
Suite 700
Albuquerque, New Mexico 87110

Audit period:

Year ended June 30, 2015

Telephone Number:

(505) 843-6492

Federal Employee ID Number:

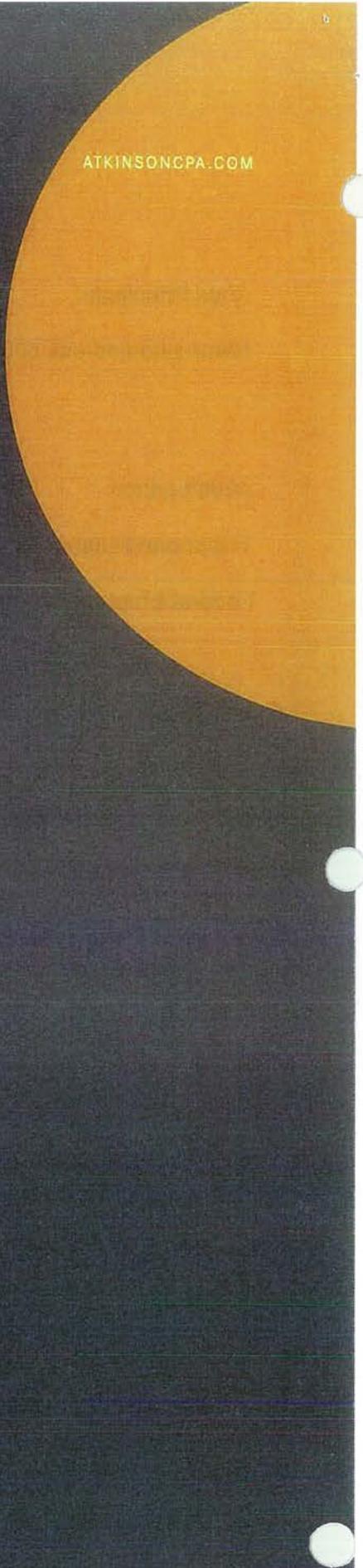
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X. PROGRAM JUSTIFICATION

LifeROOTS (previously known as RCI, Inc.) was founded in 1958 to serve the needs of children with polio or cerebral palsy. By the early 1960's, day habilitation services providing activities were established to accommodate adults with various disabilities. Over subsequent years, the mission of this organization has expanded to include providing resources not only to children and adults with physical, developmental and/or behavioral disabilities but also to envelop their families in the process and to address their needs and concerns. The goal of the mission is to empower individuals with disabilities and their families and to assist in shaping their futures.

The organization has three service divisions: Children's Therapy and Services which includes early intervention for children and their families as well as parenting instruction and educational playgroups; Adult Community Services which include adult day habilitation, literacy instruction, employment development, and career discovery; and, Contracts which includes business support services for federal, state and private institutions. The latter activity seeks to place individuals with disabilities in appropriate, inclusive work environments at these establishments.

In accordance with our mission, the organization's goal is to provide a caring and stimulating environment where physically disabled, developmentally delayed and/or behaviorally challenged children and adults can recognize and achieve their fullest potential. To this end, the organization follows the best practices for services for individuals with disabilities by creating processes that encourage clients to self-direct the course of their services.

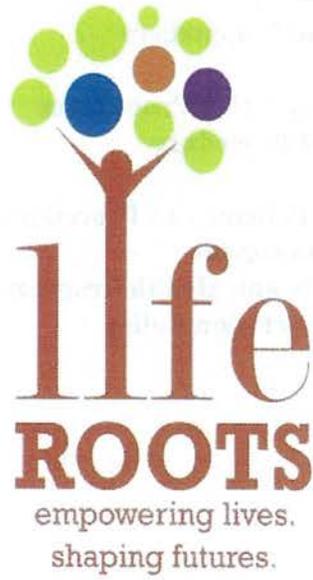
One such activity relates to our division of Adult Community Services. This division makes every effort to enhance client participation in inclusive atmospheres and activities. Of the 170 adults with disabilities presently being served, approximately 85 clients depend on LifeROOTS' transportation to various off-site locations and activities. In fact, sixty percent of client weekly activities are designed to forge relationships in the Albuquerque and Rio Rancho communities where excursions are arranged to various sites including community operated volunteer organizations, such as Meals on Wheels, A Park Above and Ronald McDonald House. Our clients regularly participate in volunteer activities at these sites. In addition, client transportation is needed to accommodate visits to the library, the zoo, bowling alleys, movies, restaurants, parks, sports events and special community programs.

In addition, a segment of the Career Discovery component of the Adult Community Services' division involves a client operated food cart which is transported on a weekly basis to various work locations in Albuquerque including the Whitener Law Firm and the LifeROOTS' business

offices where staff and workers may purchase items for consumption. This program is operated by our clients. Besides learning customer service skills, negotiating the sale of food items and acquiring mathematical acuity in making change, our clients are responsible for restocking their food supplies. This includes travel to Walmart's or Sam's Club every week or ten days. Transportation is vital to the continuation of this program.

At present, the vehicles we use to transport clients are all nine years of age or older with the exception of three vehicles received through the Section 5310 grant of 2016 and the anticipation of receiving two vehicles through the Section 5310 grant of 2017. All original vehicles were second-hand purchases that required refurbishing expenses to comply with passenger safety standards. The mileage of some exceeds 100,000. The acquisition of new vehicles signifies the potential for expansion of client activities in the Adult Community Services' division. At the heart of such expansion is increasing opportunities for client inclusion in further community destinations as dictated by the Department of Health "meaningful day" mandate.

The goals and objectives for the 2018 grant year: Our chief priority as a non-profit is to secure our sustainability. To this end, our theme for the 2016-17 year is to create community not only within our organization, but also throughout the communities we serve. Our efforts to do so include developing a larger presence through participation in community events and through networking opportunities to increase our name recognition and quality reputation. One such avenue we are pursuing is the acquisition of a permanent building site in the city of Rio Rancho for our day habilitation services. We are also expanding our services in Sandoval County to assist parents of small children by providing *Love and Logic* parenting classes.



OPERATIONS PROFILE

1111 Menaul Boulevard, NE
Albuquerque, NM 87107



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2. and 3. Organizational Structure and Mission Statement

LifeROOTS (previously known as RCI, Inc.) was founded in 1958 to serve the needs of children with polio or cerebral palsy. By the early 1960's, day habilitation services providing activities were established to accommodate adults with various disabilities. Over subsequent years, the organization has expanded to include providing resources not only to children and adults with physical, developmental and/or behavioral disabilities but also to envelop their families in the process and to address their needs and concerns. The organization's mission is to provide the resources and support our clients with disabilities need to empower their lives and shape their futures.

The organization has three service divisions: Children's Therapy and Services which includes early intervention for children and their families as well as parenting instruction and educational playgroups; Adult Community Services which include adult day habilitation, literacy instruction, employment development, and career discovery; and, Contracts which includes business support services for federal, state and private institutions. The latter activity seeks to place individuals with disabilities in appropriate, inclusive work environments at these establishments.

The LifeROOTS' **Board of Directors** is made up of thirteen community members who have first-hand experience with and/or strong interest in meeting the needs of individuals with disabilities. The Board convenes each month to learn about and discuss organizational issues.

The Board responds to an agenda delineated by the President /CEO. The agenda includes organizational activities, actions, finances, updates and reports. Discussion occurs with regard to the operation of the organization and the proficiency of its personnel. The Board makes suggestions regarding these issues and closely follows the financial components. In addition, the Board receives face-to-face reports from the President/CEO and Finance Director on a monthly basis and from all the Directors of the different Departments on a bi-monthly basis. This gives them the opportunity to be apprised of departmental accomplishments and concerns, to ask questions and endorse directives and to appraise efforts and recognize leadership performance.

Board members also have areas of interest and/or expertise which they address by volunteering to serve on different organization committees. This affords opportunities to hear in detail the workings of a particular aspect of the organization's operations and to interact with the President/CEO and Directors on specific issues. Four such committees address finances personnel, executive issues and board development.

The Board is responsible for selecting and supporting its chief executive, for monitoring and strengthening programs and services, for providing financial oversight, for securing resources that assist in fulfilling the organization's mission, for adhering to legal and ethical standards and for enhancing the organization's visibility by garnering community support. Each year, the Board meets to evaluate its progress in support of the mission, to delineate further goals and objectives for the upcoming year and to frame these in a strategic plan.

The **President/CEO** is charged with providing leadership for the organization by working with the Board of Directors and management team to establish long-range goals, plans, policies and strategies. The President/CEO is responsible for oversight and daily management of all financial, operational and administrative functions. In addition, the President/CEO serves as the representative of LifeROOTS in the community, with regulatory agencies and funding sources.

The President/CEO meets with the division heads individually every week and as a group every two weeks. The purpose of these meetings is twofold: the President sets the agenda and communicates information on upcoming events, issues, trainings, concerns and goals. In turn, the division heads report on the operations of their respective divisions including personnel, finances, events, reports, concerns and strategies.

There are seven department or division heads at LifeROOTS:

1. The **Director of Finance** is responsible for preparing, presenting and interpreting financial reports to Directors, Managers, Shareholders and government agencies. She counsels management on fiscal control and profitability, develops and prescribes adequate financial procedures to provide the basis for management decisions and control, and maintain the organization's accounting system. She prepares the annual budget. She is responsible for preparing the annual financial audit and subsequent action plans addressing findings. She develops and implements a productivity system for her staff which includes a payroll analyst, an accounts receivable coordinator and an accounting analyst.

2. The **Director of Children's Therapy and Services** is responsible for the implementation, coordination and quality of services provided by her division which focuses on early intervention. She assures appropriate service delivery including referrals, evaluations, team development of individual family service plans, data collection, case records and written reports. She is responsible for compliance with all applicable federal, state and local rules and regulations including but not limited to HIPAA, the Early Childhood regulations as defined by the Department of Health Long Term Services' Division and the New Mexico Family Infant Toddler (FIT) Program. She provides leadership and functions as an effective team member by participating in strategic planning efforts to assist with the monitoring and measuring of program goals for her staff which includes playgroup teachers, a speech/language pathologist, development specialists, service coordinators and a medical records coordinator.

3. The **Director of Quality Assurance** is responsible for overseeing and directing the organization's quality outcomes measurement and performance system and for assuring compliance with all federal, state and local standards specific to the operating and service delivery of the organization's contractual requirements. She is the consumer representative for clients, conducts consumer surveys and coordinates client meetings as necessary. She performs periodic document audits of program records inclusive of client record review and for productivity and billing compliance with training requirements mandated by other regulatory agencies. She oversees the duties of and directs the Quality Control Inspector in ensuring that Kirtland Air Force Base contract requirements and quality control standards are met. She

conducts off-site quality control inspection audits at KAFB and the Courthouse to verify that procedures are followed according to quality assurance standards. In addition, she serves as the organization's compliance officer. As such, she reviews, prioritizes, develops and implements continuous quality improvement projects. She provides annual mandatory training to staff on the regulatory topics of Incident Management and HIPAA.

4. The **Director of Human Resources** is responsible for implementing policies and programs relating to such activities as staffing, training, developing, compensating, motivating, protecting, communicating with, and releasing employees. He communicates and assists in the interpretation and implementation of personnel policies, evaluates general employee performance to include the participation in personnel decisions involving employees. He ensure compliance with local, state and federal regulations related to personnel administration including but not limited to Equal Employment Opportunity/Affirmative Action, ADA, FMLA, OSHA and Compensation Benefits. In addition he coordinates the new hire employee orientation, assuring the distribution and review of all current organizational policies. He coordinates education and training programs and manages the Workers' Compensation Program. His subordinates include his secretary and a training instructor who also assists in computer technology matters.

5. The **Director of Safety, Facilities and Fleet** is responsible for establishing procedures for the maintenance and/or replacement of facilities, grounds and vehicle fleet and system operations. He provides department directors with an overview of LifeROOTS' security measures and requirements and enforces fire and safety policies and procedures. He conducts accident investigations and submits reports upon completion to Human Resources including recommendations for corrective action. He develops safety plans for federal contracts and stays current with contract safety requirements. He ensures that the facilities exhibit safe, attractive and hygienic environments. He is responsible for the proper operation of the fleet, regulation of its maintenance schedule and qualification of its drivers. He orients new staff regarding safety procedures and evacuation directives and distributes a Safety Handbook to all employees. He supervises two assigned maintenance members at our facilities.

6. The **Director of Contracts** is responsible for the administration of contract assignments for all federal, state and local commitments. He ensures that the contracts and/or any modifications to them are thoroughly reviewed for legal, risk management, and accounting issues prior to submitting to management for approval. He acts as the direct liaison with all subcontractors to assure information flow and a positive working relationship. He monitors project expenditures versus contract cost limitations and communicates and documents requirements for additional funds. He collaborates and works closely with his supervisors at the federal courthouse, KAFB and the grounds keeping component. These supervisors are accountable for directing the work activities of custodians and grounds keepers. Approximately fifty-two individuals work in this division. Of these, forty-two are client/employees.

7. The **Director of Community Services** is responsible for overseeing and managing all aspects of her department including monitoring of fiscal resources, program planning and development, marketing and expansion. She trains all supervised staff in specific areas of job description including, but not limited to, personnel policies and procedures, organizational strategic plan and

constructive supervisory methods. She remains current and ensures compliance with DOL, JWOD, CDDW/SGF, CARF, city, state and federal regulations (and all other funding sources) in cooperation with the Director of Quality Assurance. Her staff is made up of a job developer, job coaches, community integration coaches, services coordinators, a program nurse, a career discovery instructor, a literacy coordinator, day habilitation supervisors and a community service coordinator.

LifeROOTS employs approximately one-hundred forty workers. The leadership component of the work force, which includes the President/CEO and Directors, is made up of individuals who hold Bachelor Degrees or Master Degrees in relevant fields. Supportive staff members in each of the departments offer diverse credentials based on academic pursuit, previous experience in related fields and/or on-site trainings intended to meet the needs of their divisions. Support staff is made up of job coaches, service coordinators, therapists, developmental specialists, administrative personnel, crew leaders, custodians and grounds keepers. Client participation in the workforce includes contracted enclaves where workers are supported in employment by a job coach. Currently LifeROOTS offers two different environments for enclave work. Approximately six clients participate in enclave work. Approximately forty-two clients work as custodians or grounds keepers for federal, state and/or private contracts which LifeROOTS has negotiated. At present we have one client who is working as a teaching assistant three days a week at a private pre-school facility. This individual has completed on line education courses under the tutelage of the Adult Services' instructor in the Literacy Program.

Employees are encouraged to maintain accountability and cooperation in the performance of their duties. Regular evaluations for all employees are designed to focus on the goals an individual delineates to facilitate his/her responsibilities and to enhance the success of our mission. On occasion volunteers participate in temporary work projects for LifeROOTS. These may include painting assignments, gardening duties or reception work at special events. Our volunteers are always acknowledged in newsletter write-ups and given mementos of appreciation.

The organization has diverse resources including Native American, Hispanic, African-American and Vietnamese representation to reflect the community in which it operates and to assure bilingual opportunities. This includes the presence of a diverse workforce which counts in its membership a significant number of individuals with disabilities as well as other minority groups. LifeROOTS also encourages veterans to join our organization and proudly includes members in our ranks. Preferential hiring is offered to individuals with disabilities and veterans.

Our primary customers are the clients themselves. Clients and/or their guardians are active in meetings with provider teams to ensure that the goals of the clients are being met and that they are not limiting their options to provider generated recommendations. Clients and/or their guardians are the leaders in identifying and creating services. While LifeROOTS provides educational and employment services – as well as day programs - there are some areas of assistance it does not offer such as medical, housing and food services. However, the organization does refer and partner with agencies that provide these services.

Our second customer is the client's family or guardian. The family is forever changed, and often isolated, in facing distinctive issues given the life-altering event of caring for an individual with disabilities. Our organization is mindful of their reliance on our services and our willingness to provide open and transparent communication. The organization offers referrals for services we do not provide and maintains partnerships with these organizations to assure that their assistance accommodates the needs of our clients.

Our third customers are the contracts to which we are committed, their obligations, their purchasing officers and their facilities' managers. Our responsibility is to fulfill the directives of these contracts to the satisfaction of our customers. This means that we deliver appropriate services and follow guidelines established for best practices. Contract customer satisfaction enhances the reputation of our organization and promotes additional opportunities to network about our services and to initiate new contracts.

Funding sources and service programs are substantial stakeholders in our organization. These programs have been created and financed to meet the needs of the clients we serve. All funding agencies, such as federal and state governments, require our organization to document established quality processes to provide exemplary service. Funding agencies, such as the DOH, DDSD, the FIT Program, and SourceAmerica (formerly known as NISH), conduct annual audits to ensure compliance. LifeROOTS provides data to these agencies to assess its rankings among similar non-profits and to revise operations and/or brainstorm new ideas based on feedback the organization may receive relating to performance effectiveness rather than compliance. Service programs such as SourceAmerica provide guidance to the organization regarding AbilityOne contract compliance with the Javits-Wagner-O'Day Act of 1971.

The community at large is a significant stakeholder. The community supports governmental agencies that address the needs of our clients. LifeROOTS supports the community that supports LifeROOTS. Community partners and their expectations include, but are not limited to, the following: ensuring that safe, stimulating environments are created and maintained for vulnerable citizens; directing and managing empowerment opportunities in employment, life skills and academic achievement for individuals with disabilities; offering opportunities and support for businesses to diversify their work forces by hiring individuals with disabilities, increasing their community commitment, and experiencing the stabilizing influence of hiring individuals with disabilities in businesses. The Community is the most significant component in generating inclusiveness for individuals with disabilities.

Finally our employees and the intellectual infrastructure of our organization are the fourth stakeholders. Both are key assets in the successful operation of LifeROOTS. Continuous training – including recognition and implementation of diverse learning styles and methods – and constant transparency in communications are key components in building and achieving trust among our employees and attaining operational success. In addition, staff accountability is consistently tied to the support of our mission and the best practices to attain it.

4. Transit Program

- At present, the organization's transit program operates in two areas:
 1. The Community Services division uses vehicles to transport clients with disabilities to various activities in their communities and surrounding areas. Sixty percent of all weekly activities in this division are devoted to forging relationships in the Albuquerque and Rio Rancho vicinities where excursions are arranged to community operated volunteer organizations, bowling alleys, movies, libraries, restaurants, parks, different shops and special events. Use of these vehicles occurs Monday through Friday between 9:00 AM and 3:00 PM.
 2. The Contracts' division uses vehicles to transport client-employees and employees to contracts the organization has for custodial work with KAFB and the City of Albuquerque. In addition, the Contracts' division transports client-employees and employees to landscaping contracts and commitments throughout Bernalillo and Sandoval Counties, including the University of New Mexico and private customers. The Contracts' division usually uses vehicles Monday through Friday between the hours of 8:00 AM and 10:00 PM depending on workers' shifts. On occasion, the Contracts' division responds to emergency situations in which vehicles are used on the weekends or at odd hours.
- The organization does not charge fares for transportation.
- The organization does not advertise its transportation program but does advertise its services in general. Three of the organization's vans have wraps that serve this purpose.

5. Administrative Employees

- The Directors of the Community Service and Contracts' divisions are responsible for designating drivers. They do so by working with the Human Resources Director to assure qualified individuals are assigned driving tasks. The Quality Assurance Director is responsible for informing drivers of the incident/accident protocols. The Director of Safety, Facilities and Fleet is responsible for informing drivers of safety rules and regulations and appropriate vehicle maintenance measures.

6. Qualified Drivers and Dispatchers

- All individuals hired to work at LifeROOTS undergo fingerprinting, a drug test and a background check. The organization also conducts unannounced, randomly selected drug test checks on a quarterly basis. Background checks are conducted by the Department of Health Division of Health Improvement.
- Individuals selected to drive organization vehicles, including client transports, are required to present a valid driver's license, confirmation of their driving record (within 30 days of hire), and confirmation of their personal automobile insurance should their automobiles be used for any organization-related transportation. The expiration dates of all drivers' licenses and auto insurances are recorded and reminders are sent out to employees to attend to renewal obligations before expiration occur.
- All drivers receive an online E-School Driver Safety Course which covers the following: automobile exterior and interior check lists, distance following, lane changing, yellow and white line meanings, sign posts, right of way, backing strategies, speed limits, railroad crossings, driving response to emergency vehicles, winter driving and accident reporting.

- All drivers transporting clients with disabilities are trained by the Community Services' Department to attend to the individual client's transportation adjustments for safety, such as, securing seatbelts and locking in wheelchairs.
- All employees assigned to drive a company vehicle to conduct company business must read, review and acknowledge completion of the driver training material provided to them by the Director of Safety, Facilities and Fleet. The Director will provide a list of drivers that have successfully completed the training to the Human Resources' Department for inclusion in the employee's personnel file.
- All employees of LifeROOTS sign clarification that they have reviewed the organization's policies and procedures regarding the code of ethics, a drug-free workplace, harassment, including sexual harassment, and workplace violence.
- Employees who drive clients are identified by collared shirts that vary in color depending on the department.

7. Vehicle Fleet

- The organization has nineteen vehicles with no NMDOT liens.
- All vehicles are inspected daily.
- All drivers are required to keep a weekly maintenance log which is turned in each Friday to the Director of Safety, Facilities and Fleet who arranges for necessary repairs when applicable.
- Ten of the nineteen vehicles have GPS tracking systems mounted to provide random audits of speed and location usage.
- All vehicles contain first aid kits and fire extinguishers.
- Three vehicles have been replaced through the Section 3510 grant of 2016. Two more vehicles from the Section 3510 grant of 2017 will be delivered in March of 2017.

8. Accident/Incident Reporting Procedures

- LifeROOTS has policies and procedures to be followed related to *Incident Management (see attachment)* and a *General Safety and Health Program Manual (see attachment)*. These include record keeping practices and step-by-step processes for reporting accidents or incidents.
- All vehicles contain insurance forms and accident/incident reporting forms.

9. Passenger Policy and Procedure

- LifeROOTS has a *Client Transportation Policy (see attachment)* which governs vehicle inspection, maintenance and operation, emergency and accident procedures and criteria for safely transporting clients.



Policy No. QA-003
 Effective Date: 03-31-05
 Rev. 08-08-08; 06-22-09; 06-30-09; 7-22-11; 03-04-12; 07-09-12; 07-02-14

Incident Management System (IMS)

PURPOSE	<p>This policy is designed to establish a system for reporting abuse, neglect, exploitation, environmental hazards, suspicious injuries and deaths and other types of incidents and events in a timely, accurate and complete manner because the consumers we serve are entitled to a quality of life that includes a safe and secure environment.</p>
DEFINITIONS	<p>“Abuse” means (1) knowingly, intentionally and without justification cause inflicting physical pain, injury or mental anguish; (2) the intentional deprivation by a caretaker or other person of services necessary to maintain the mental and physical health of a person; or (3) sexual abuse, including criminal sexual contact, incest and criminal sexual penetration.</p> <p>“ Immediate Action and Safety Plan” means a plan to keep people safe outlining what happened and to whom, identifies who could be at risk because of what happened or was alleged to have happened and identifies who is responsible for making sure the plan is followed and revised as needed.</p> <p>“Environmental Hazard” means a condition in the physical environment which creates an immediate threat to health and safety of the individual.</p> <p>“Exploitation” means an unjust or improper use of a person’s money or property for another person’s profit or advantage, financial or otherwise.</p> <p>“Mental Anguish” means a relatively high degree of mental pain and distress that is more than mere disappointment, anger, resentment or embarrassment, although it may include all of these and is objectively manifested by the recipient of care or services by significant behavioral or emotional changes or physical symptoms.</p> <p>“Neglect” means the failure of the caretaker to provide basic needs of a person, such as clothing, food, shelter, supervision and care for physical and mental health of that person.</p> <p>“General Events (GE) means significant events that need to be reported to Department of Health (DOH) Developmental Disabilities Supports Division (DDSD) using Therap’s GER Module.</p> <p>“DOH ANE Reporting Form FY2015” means the reporting form issued by DOH Division of Health Improvement (DHI), Incident</p>

	<p><u>Management Bureau (IMB) for reporting incidents of abuse, neglect, exploitation, suspicious injury, environmental hazard or death.</u></p> <p><u>“Internal Incident Reporting Form” means the company’s internal form for documenting and reporting all incidents or complaints involving the consumers it serves.</u></p> <p><u>“Sexual Abuse” means inappropriate touching of a recipient of care or services for sexual purposes or in a sexual manner and includes kissing, touching the genitals, buttocks or breasts, causing the recipient of care or services to touch another for sexual purpose, or promoting or observing for sexual purpose any activity or performance involving play, photography, filming, or depiction of acts considered pornographic. Sexual conduct engaged in by an employee with a person for whom they are providing care or services is sexual abuse per se.</u></p> <p><u>“Verbal Abuse” means profane, threatening, derogatory or demeaning language, spoken or conveyed with the intent to cause mental anguish.</u></p>
SCOPE OF POLICY	This policy applies to all LifeROOTS employees.
RELATED POLICIES	Emergency Preparedness Plan Safety Plan
RELATED FORMS	DOH Abuse, Neglect or Exploitation or Report of Death Form (SY2015) DHI/IMB ANE Immediate Action & Safety Plan Internal Incident Report (Form QA-003) Incident Reporting Flow Chart (Form QA-003-1)
REFERENCE GUIDES	Abuse, Neglect and Exploitation Reporting Guide
POLICY	LifeROOTS is committed to the continuous improvement of the efficiency and efficacy of organizational practices in meeting the needs of the persons we serve by maintaining an incident management system and employee training program for reporting abuse, neglect and exploitation and general events with an emphasis on prevention.
TRAINING RESPONSIBILITIES	<p>The Director of Quality Assurance (or designee) shall train all new hires and volunteers on incident management during the employee’s orientation process. All new employees and volunteers shall receive the training prior to providing services to consumers.</p> <p>All employees are required to attend refresher training once a year. The Director of Quality Assurance shall conduct training two (2) times a year as scheduled by the affected department directors and all employees MUST schedule to attend one session. Failure to attend training may result in disciplinary action.</p> <p>The Director of Quality Assurance and employees shall provide documentation of the training attendance to the Human Resources Department. The Human Resources Director shall ensure the documentation is placed in the employee’s personnel file. Training</p>

	<p>documentation shall include a signed statement with the date, time and place the staff or volunteer received the training.</p> <p>The Service Coordinators shall provide an orientation package describing the incident management process to consumers, family members and legal guardians, including a copy of this policy and the Customer Complaints and Grievance policy. The assigned Service Coordinator shall ensure that the Acknowledgement of the New Mexico Department of Health, Division of Health Improvement Incident Reporting System form is filed in the consumer's case file. This includes a signed statement, date, time and place indicating they received orientation and were made aware of LifeROOTS immediate access to incident reporting.</p>
<p>REPORTING PROCEDURES</p>	<p><u>DOH/DHIANE Reporting Procedures</u></p> <p>For incidents involving abuse, neglect, exploitation, suspicious injury, environmental hazard or death for consumers belonging in one of the following programs:</p> <ul style="list-style-type: none"> • Developmental Disabilities Waiver (DDW) • Medically Fragile Waiver • Mi Via Self-Directed Waiver • Family, Infant, Toddler (FIT), if on the DDW <p>The staff person with the most firsthand knowledge of the incident shall:</p> <ul style="list-style-type: none"> ➤ <i>First</i> and foremost ensure the <u>safety</u> of the consumer(s), including taking appropriate action such as calling 911 and other measures described in the company's Emergency Preparedness Plan and Safety Program, ➤ <i>Second immediately</i> report the incident to the DHI/IMB ANE Hotline at (1-800-445-6242), ➤ <i>Third</i> complete a SFY2015 DHI/ANE Incident Report form FY2015, ensuring its accuracy and completeness and submit the report to DHI/IMB within 24 hours of the incident (via the internet http://ane.health.state.nm.us or by fax 1-800-584-6057), and ➤ <i>Fourth</i> develop and implement an IMMEDIATE ACTION and SAFETY PLAN (Plan) for any allegation of incidents involving abuse, neglect, exploitation, environmental hazard or suspicious injury; be immediately prepared to report the Plan verbally when reporting the incident to DHI/IMB; and revise the plan per the division's direction and provide the DHI accepted Plan in writing within 24 hours of the verbal report along with the Incident Report via the website referenced in the third step above. <p>The staff person reporting the incident of abuse, neglect or exploitation shall notify the consumer's case manager and legal guardian or parent (if a minor), within 24 hours of the alleged incident, that such incident has been reported to DHI/IMB. Where the parent or legal guardian is the suspect, the reporter shall leave notification of such when reporting to the DHI/IMB.</p> <p>Where the staff person is reporting an incident of abuse, neglect or</p>

exploitation in which LifeROOTS is not the responsible provider, the staff person shall notify the responsible community-based service provider within 24 hours of the alleged incident.

The staff person reporting the incident shall submit a copy of the report to the Quality Assurance Director and the consumer's assigned Service Coordinator within 24 hours of knowledge of the incident. The Service Coordinator shall file the copy in the consumer's case file.

The Quality Assurance (QA) Director shall review the report and determine if further action is needed, ensuring the evidence related to alleged incident is preserved.

DOH/DDSD General Events Reporting Procedures

For general events involving LifeROOTS consumers in the DD Waiver program, the person with the most forehand knowledge shall complete an Internal Incident Report (Form QA-003) and submit the original report form to the consumer's assigned Service Coordinator and a copy to the QA Director within 24 hours of knowledge of the incident. The reporter must submit the report in person to the QA Director. If the QA Director is not available, the reporter must submit the copy to the LifeROOTS Nurse.

The QA Director or designee shall review the report and if one of the following events is identified, the QA Director or designee shall submit a copy of the report to the Therap Administrator or designee who shall submit the event to the Therap System within 24 hours of notification.

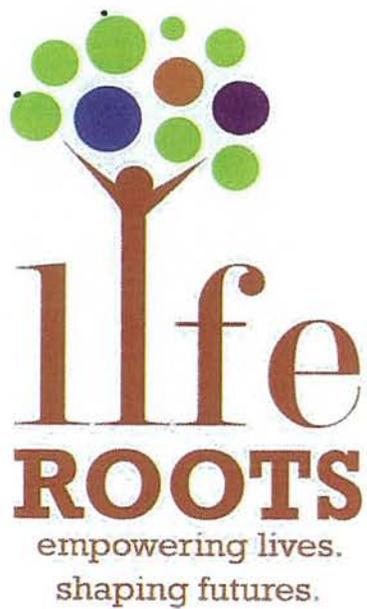
- Out of Home Placement – Medical, including any planned or unplanned admission or stay in a hospital, long-term care, skilled nursing, sub-acute or rehab facility.
- Utilization of unplanned or planned emergency services, such as ER/Urgent Care/EMT.
- Law enforcement intervention that results in the arrest or detention of a consumer.
- Missing Person, Elopement or AWOL
- Falls with or without Injury
- Injury
 - Choking
 - Skin Breakdown
 - Infection
- Emergency Physical Restraint Related to Behavior
- Suicide Attempt or Threat
- Medication Error

The Therap Administrator or designee shall inform the Community Services Director in writing via email immediately after completing a report in the Therap System. The Community Services Director shall review and approve the report in the system within 24 hours of notification. The Community Services Director must designate someone to complete this task when not available to meet the 24 hour requirement.

The QA Director shall review reports in the Therap System monthly for the previous month and report to the Quality Work Environment

	<p>Committee on a quarterly basis.</p> <p><u>Internal Incident Reporting Procedures</u></p> <p>For all incidents involving LifeROOTS consumers that are not reportable to DOH/DHI, staff must use the Internal Incident Reporting Form (Form QA-003) to report incidents.</p> <p>The person with the most forehand knowledge of the incident shall complete the Internal Incident Reporting Form and submit the report to their immediate Supervisor for review and signature. If the incident involves abuse, neglect or exploitation and not reportable to DHI/IMB, the reporter must immediately report the incident to the Child Protective Services Reporting Hotline: 1-855-333-SAFE (7233) or Adult Protective Services Reporting Hotline: 1-866-654-3219 whichever is applicable.</p> <p>The Supervisor shall review for completeness and accuracy and return to the staff to make modifications identified by the Supervisor. If the Supervisor determines the incident is reportable to DOH/DHI, the Supervisor shall return the form to the employee and request they immediately call in the incident to DHI/IMB and follow the steps for reporting to DHI/IMB. The Supervisor shall also initiate refresher training, guidance and discipline appropriate to the circumstances.</p> <p>Upon review and acceptance, the Supervisor shall obtain the appropriate Director's signature and submit the completed original to the appropriate Service Coordinator for filing in the consumer's file. The Supervisor shall submit a copy to the QA Director. The reporter and Supervisor shall submit the Internal Incident Report to the QA Director within 24 hours of knowledge of the incident. Failure to comply with the 24 hour requirement may be grounds for disciplinary action.</p> <p>The QA Director shall review the report and determine if further action is required. The QA Director may initiate an investigation, recommend training, changes in process and other appropriate measures to prevent recurring incidents and provide for the safety of the consumer.</p> <p>The QA Director shall track and monitor all reports and perform data analysis to identify patterns and anomalies to assist departments in implementing preventive measures and changes in processes if necessary.</p>
CONFIDENTIALITY	All incidents, significant events and internal reports are confidential in accordance with all state laws and regulations and employees handling them are required to keep and safeguard the information.
INVESTIGATIONS COVERED UNDER THE INCIDENT MANAGEMENT SYSTEM	<p>The LifeROOTS QA Director acts as the Incident Coordinator (IC) for maintaining reported incidents, taking statements and ensuring evidence is preserved.</p> <p>The IC shall maintain a database of all LifeROOTS incidents involving consumers it serves. The IC will review and evaluate all incident reports and determine if an internal investigation is warranted. In such cases, the IC will document the investigative process, including the condition, criteria, cause, effect and recommendation in a written report for</p>

	<p>internal action and for any external investigation that may result from such reports.</p> <p>Staff must preserve all evidence related to an alleged incident of ANE, including records and do nothing to disturb the evidence. If it is necessary to remove or affect physical evidence, staff shall take photographs or do whatever is reasonable to document the location and type of evidence found which appears related to the incident.</p> <p>When DHI/IMB opens an investigation, the investigator will conduct interviews with the witnesses, including the reporter, victim, direct witnesses, medical professionals and other appropriate persons; will make on site visits within 24 hours of the report, take photographs of the site of the incident and other physical evidence; and request for documentation. Upon completion of the investigation, DOH will inform LifeROOTS the case is closed, with findings and decision. LifeROOTS may request an informal reconsideration of the decision regarding a substantiation of ANE. The request must be made in writing within ten (10) calendar days of the date of closure.</p> <p>DHI/IMB uses the Employee Abuse Registry (EAR) rules to evaluate cases of substantiated ANE of an accused person. If they believe the criteria are met, DHI/IMB will make a referral to the registry. The accused person who was substantiated for ANE will be notified via letter that they have been referred to the EAR. The person then has thirty (30) calendar days to request a hearing. The request must be made in writing. If the person does not request a hearing, the person is placed on the registry and LifeROOTS will terminate the employee immediately.</p>
QWE COMMITTEE	<p>LifeROOTS has established a Quality Work and Safety Committee to review incidents, to look at route causes and to take action on trends or issues. The QA Director shall submit quarterly reports to the Committee on incidents; the Community Services Director will submit quarterly reports to the Committee on ISP services, deliverables and training; and the HR Director will submit quarterly reports on Caregivers Criminal History Screening compliance, EAR compliance and training requirements.</p>
APPROVAL	<p style="text-align: center;"></p> <p style="text-align: center;">LifeROOTS President and CEO</p> <p style="text-align: right;">July 1, 2014 Date</p>



GENERAL SAFETY AND HEALTH PROGRAM MANUAL

Effective: 10-10-12
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Section I.

MANAGEMENT COMMITMENT AND INVOLVEMENT

POLICY STATEMENT

LifeROOTS is committed to providing employees with a safe and healthy workplace. It is the policy of this organization that employees report unsafe working conditions and do not perform work tasks if the work is considered unsafe. An unsafe working condition is an unsatisfactory physical condition existing in the workplace environment immediately before an accident that was significant in initiating the event. It is a condition where something exists that varies from a normal accepted safe condition and can result in injury, death or property damage, if not corrected properly. Examples of unsafe conditions are loss of heat or electricity, damaged buildings, restricted areas due to flood or other types of damage or situations that implicate personal safety. Employees must report all accidents, injuries, and unsafe conditions to their supervisors. No such report will result in retaliation, penalty, or other disincentive.

Employee recommendations to improve safety and health conditions will be given thorough consideration by the Quality Work Environment and Safety Committee (QWES). The QWES will give top priority to and provide recommendations to correct unsafe conditions. Additionally, management will take disciplinary action against an employee who willfully or repeatedly violates workplace safety rules. This action may include verbal or written reprimands and may ultimately result in termination of employment as prescribed in the company's progressive disciplinary policy. (See Policy HR-016 Progressive Disciplinary Action)

The primary responsibility for the coordination, implementation, and maintenance of our workplace safety program is assigned to:

Name: Robert Diefenbaugh, QWES Chair

Job Title: Safety, Facilities & Fleet Director **Telephone:** (505) 255-5501 ext. 1007

Senior management will be actively involved with employees in establishing and maintaining an effective safety program. The Safety Director or other members of the QWES team will participate with you or your department's employee representative in ongoing safety and health program activities, including:

- Promoting QWES Committee participation;
- Providing safety and health education and training; and
- Reviewing and updating workplace safety rules.

This policy statement serves to express LifeROOTS' commitment to and involvement in providing our employees a safe and healthy workplace. This workplace safety program will be incorporated as the standard of practice for this organization. Compliance with the safety rules will be required of all employees as a condition of employment.

Section II.

Quality Work Environment & Safety Committee

Quality Work Environment & Safety Committee

LifeROOTS has established the QWES committee in order to enhance existing practices, provide employees with an avenue for reporting safety concerns and setting a continuous improvement process in the workplace for the health and safety of all employees. The committee strives to have representation from all company departments.

Responsibilities

The QWES committee is responsible for assisting management in communicating procedures for evaluating the effectiveness of control measures used to protect employees from safety and health hazards in the workplace.

The QWES committee is responsible for assisting management in reviewing workplace safety practices based on accident investigation findings, inspection findings and employee reports of unsafe conditions or work practices. The QWES committee will accept and address anonymous complaints and suggestions from employees to improve our work environment and prevent future hazards and will report and recommend improvement processes to upper management for implementation.

The QWES committee is responsible for assisting management in continuously monitoring the workplace safety program by investigating work related accidents, evaluating employee injury and accident records, identifying trends and patterns and formulating corrective measures to prevent recurrence and improving our work environment.

The QWES committee is responsible for assisting management in promoting wellness programs, promoting safety and health awareness and co-worker participation through continuous improvements to the workplace. For example, identifying and disseminating basic Flu reduction measures during Flu Season by recommending the use of hand sanitizers at key work locations.

QWES committee members will participate in safety and quality work environment training and assisting management in participating in promoting workplace education and training to ensure that it is in place, that it is effective, and that it is documented. The committee will provide safety tips and other safety information in the company's monthly newsletter.

Meetings

QWES committee meetings are held on the third Thursday of the month and more often if needed. Each committee member is compensated at his or her hourly wage when engaged in QWES committee activities. The meetings are open to all LifeROOTS employees.

All QWES committee records will be maintained for not less than three calendar years.

Section III.

SAFETY AND HEALTH TRAINING

Safety and Health Orientation

Workplace safety and health orientation begins on the first day of initial employment or job transfer. Each employee has access to a copy of this safety manual, through his or her supervisor for review and future reference, and will be given a personal copy of the safety rules, policies and procedures pertaining to his or her job. Supervisors will ask questions of employees and answer employees' questions to ensure knowledge and understanding of safety rules, policies, and job-specific procedures described in our workplace safety program manual. Supervisors will instruct their employees that compliance with the safety rules described in the workplace safety manual is required.

Job-Specific Training

The LifeROOTS Safety Director will provide workplace safety training at the employee's orientation meeting. Thereafter, supervisors are responsible for the following:

- **Supervisors** will initially train employees on how to perform assigned job tasks safely.
- **Supervisors** will carefully review with each employee the specific safety rules, policies, and procedures that are applicable and that are described in the Workplace Safety Manual.
- **Supervisors** will give employees verbal instructions and specific directions on how to do the work safely.
- **Supervisors** will observe employees performing the work. If necessary, the supervisor will provide a demonstration using safe work practices, or remedial instruction to correct training deficiencies before an employee is permitted to do the work without supervision.
- All employees will receive safe operating instructions on seldom-used or new equipment before using the equipment.
- **Supervisors** will review safe work practices with employees before permitting the performance of new, non-routine, or specialized procedures.

Supervisors will submit written confirmation to the Safety Director that they reviewed the Workplace Safety Manual with the employee.

Periodic Retraining of Employees

The Safety Director will provide specific department employee refresher training annually or as needed on safety rules, policies and procedures, or when changes are made to the Workplace Safety Manual.

The supervisor will retrain individual employees after the occurrence of a work-related injury caused by an unsafe act or work practice, and when a supervisor observes employees displaying unsafe acts, practices, or behaviors.

Section IV.

FIRST AID PROCEDURES **EMERGENCY PHONE NUMBERS**

Safety Director: _____ 255-5501 ext 1007 _____ Poison Control: 505-272-2222

First Aid: _____ 911 _____ Fire Department: _____ 911 _____

Ambulance _____ 911 _____ Police: _____ 911 _____

Medical Clinic: _____ Concentra Medical Center (8a.m.-5 p.m. Monday-Friday) _____

Clinic Address: _____ 801 Encino Place NE Suite E-12 ALB. NM 87102 _____

Clinic Phone Number: 505-842-5151

Emergency Number for Concentra (After-Hours): 505-832-9166 (All Night Shift Crew Leaders must include this phone number in their assigned company cell phones for use outside the normal Concentra office hours)

Minor First Aid Treatment

The LifeROOTS Nurse provides employees basic First Aid Training at orientation or within three (3) months of hire and annually thereafter to direct service providers in the Community Services and Children Therapy Services departments.

First aid kits are stored in the front office and in the employee lounge of the Menaul Main Building, the Centers for Independence, the KAFB Office and Federal Courthouse Office. If you sustain an injury or are involved in an accident requiring minor first aid treatment:

- Inform your supervisor.
- Have your supervisor administer first aid treatment to the injury or wound.

Note: Access to a first aid kit is not intended to be a substitute for medical attention.

Non-Emergency Medical Treatment

An injured employee must follow LifeROOTS Workers' Compensation Policy, HR-015, for non-emergency work-related injuries. If you sustain an injury requiring treatment other than first aid:

- Inform your supervisor immediately.
- Follow the Workers' Compensation Policy for accessing medical treatment.
- Complete and sign the Notice of Accident or Occupational Disease and Disablement form and submit it to your supervisor.

- Your supervisor will provide details of the accident on the Employers' First Report of Injury or Illness form and will submit these forms to the Safety Director.
(These forms are available at the Menaul Main Building copy room, your supervisor and the intranet)

Emergency Medical Treatment

If you sustain a severe injury requiring emergency treatment:

- Call for help and seek assistance from a co-worker.
- Use the emergency telephone numbers and instructions posted next to the telephone in your work area to request assistance and transportation to the local hospital emergency room.
- Follow the Workers' Compensation Policy for accessing medical treatment.
- Complete and sign the Notice of Accident or Occupational Disease and Disablement form and submit it to your supervisor.
- Your supervisor will provide details of the accident on the Employers' First Report of Injury or Illness form upon your return to work and will submit the forms to the Safety Director.
(These forms are available at the Menaul Main Building copy room, your supervisor and the intranet)

First Aid Training

Each employee will receive training and instructions from his or her immediate supervisor on our first aid procedures.

BASIC FIRST AID INSTRUCTIONS

In all cases requiring emergency medical treatment, immediately call, or have a co-worker call, to request emergency medical assistance. For basic first aid treatment, follow use Universal Precautions. *Always use gloves when administering basic first aid on another individual.*

WOUNDS:

Minor: Cuts, lacerations, abrasions, or punctures

- Wash the wound using soap and water; rinse it well.
- Cover the wound using clean dressing.

Major: Large, deep and bleeding

- Stop the bleeding by pressing directly on the wound, using a bandage or cloth.
- Keep pressure on the wound until medical help arrives.

BROKEN BONES:

- Do not move the victim unless it is absolutely necessary.
- If the victim must be moved, "splint" the injured area. Use a board, cardboard, or rolled newspaper as a splint.

BURNS:

Thermal (Heat)

- Rinse the burned area, without scrubbing it, and immerse it in cold water; do not use ice water.
- Blot dry and cover the area using sterile gauze or a clean cloth.

Chemical

- Flush the exposed area with cool water immediately for 15 to 20 minutes.

EYE INJURY:

Small particles

- Do not rub your eyes.
- Use the corner of a soft clean cloth to draw particles out, or hold the eyelids open and flush the eyes continuously with water.

Large or stuck particles

- If a particle is stuck in the eye, do not attempt to remove it.
- Cover both eyes with bandage.
- Call 911 for transport

Chemical

- Immediately irrigate the eyes and under the eyelids, with water, for 30 minutes.

NECK AND SPINE INJURY:

- If the victim appears to have injured his or her neck or spine, or is unable to move his or her arm or leg; **DO NOT** attempt to move the victim unless it is absolutely necessary.

HEAT EXHAUSTION:

- Loosen the victim's tight clothing.
- Give the victim "sips" of cool water.
- Make the victim lie down in a cooler place with the feet raised.

HAND HYGIENE

Because hands are the principle route by which cross infection occurs, hand hygiene is the single most important means for preventing the spread of infection. Employing good hand hygiene practice is a simple and effective way in which staff can prevent both the transmission of infection between clients and protect themselves.

The critical points for hand washing are:

- When hands are visibly soiled.
- Before and After contact with clients and/or unclean objects and surfaces.
- Before and After glove use.
- Before and After handling client equipment.

Follow the procedures identified in policy CS-IS-003 Hand Hygiene for proper hand washing.

Section V.

INTERNAL ACCIDENT INVESTIGATION PROCESS

Accident Investigation Procedures

The supervisor at the location where the accident occurred will perform an initial assessment of the accident, complete the Employers' First Report of Injury or Illness form and submit the form, along with Notice of Accident or Occupational Disease Disablement form completed by the injured worker, to the Safety Director within 24 hours of having knowledge of the accident. The Safety Director or designee will oversee the accident investigation process, ensure the Employers' First Report of Injury or Illness form is complete, conduct interviews, assess the work environment, complete a written report of the findings and submit recommendations for corrective action. The individual conducting the investigation will perform and/or address the following:

- Review and inspect equipment, operations and processes to gain an understanding of the accident situation and work environment.
- Identify and interview witnesses and other persons who might provide information to the accident's cause.
- Investigate causal conditions and unsafe acts and draw conclusions based on existing and relevant and substantiated facts.
- Recommend implementation of control measures to prevent any further injuries to employees.
- Complete a written investigation report and submit it to the QWES Committee for review and discussion.
- Provide recommendations for corrective actions.
- Indicate the need for additional or remedial safety training.

The QWES will share the findings of the investigation with appropriate department(s).

Note: When the individual investigating the accident determines an accident to be of an urgent nature and that waiting for the process to take its course would be harmful to other workers and the company, the investigator will bring the matter to the attention of the Safety Director. The Safety Director may require the supervisor involved to provide a corrective plan of action to ensure the safety of all workers and/or call an emergency QWES meeting.

Section VI.

RECORD KEEPING PROCEDURES

Record Keeping Procedures

The Safety Director and Human Resources Department will control and maintain all employee accident and injury records. Records are maintained for a minimum of five (5) years following the end of the year to which they relate and include:

- Log & Summary of Occupational Injuries and Illnesses as required by **29 CFR 1904.2**.
- Accident Investigation Reports.
- Workers' Compensation Notice of Injury Reports; and other related documents.

Section VII.

SAFETY RULES, POLICIES AND PROCEDURES

The safety rules contained in Section VII have been prepared to protect you in your daily work. Employees are to follow these rules, review them often and use good common sense in carrying out assigned duties.

TO ALL PERSONNEL: Section VII Rules

1. All personnel shall follow the rules outlined in this Safety and Health Procedures Manual.

ALL EMPLOYEES

Lifting Procedures

1. Plan the move before lifting; remove obstructions from your chosen pathway.
2. Test the weight of the load before lifting by pushing the load along its resting surface.
3. If the load is too heavy or bulky, use lifting and carrying aids such as hand trucks, dollies, pallet jacks and carts, or get assistance from a co-worker.
4. If assistance is required to perform a lift, coordinate and communicate your movements with those of your co-worker.
5. Position your feet 6 to 12 inches apart with one foot slightly in front of the other.
6. Face the load.
7. Bend at the knees, not at the back.
8. Keep your back straight.
9. Get a firm grip on the object with your hands and fingers. Use handles when present.
10. Never lift anything if your hands are greasy or wet.
11. Wear protective gloves when lifting objects with sharp corners or jagged edges.
12. Hold objects as close to your body as possible.
13. Perform lifting movements smoothly and gradually; do not jerk the load.
14. If you must change direction while lifting or carrying the load, pivot your feet and turn your entire body. Do not twist at the waist.
15. Set down objects in the same manner as you picked them up, except in reverse.
16. Do not lift an object from the floor to a level above your waist in one motion. Set the load down on a table or bench and then adjust your grip before lifting it higher.
17. Slide materials to the end of the tailgate before attempting to lift them off of a pick-up truck. Do not lift over the walls or tailgate of the truck bed.

Housekeeping

1. Do not place material such as boxes or trash in walkways and passageways.
2. Sweep up all materials at once with a broom and dust pan.
3. Mop up water around drinking fountains, drink dispensing machines and ice machines or spills at once.
4. Do not store or leave items on stairways.
5. Do not block or obstruct stairwells, exits or accesses to safety and emergency equipment such as fire extinguishers or fire alarms.

6. Keep walking surfaces of elevated working platforms, such as scaffolds, clear of tools and materials that are not being used.
7. Straighten or remove rugs and mats that do not lie flat on the floor.
8. Remove protruding nails or bend them down by using a claw hammer.
9. Return tools to their storage places after use.
10. Use caution signs/cones to barricade slippery areas such as freshly mopped floors.
11. Clean up spills or leaks immediately by using a paper towel, rag or a mop and bucket.

Office Safety

1. Close drawers and doors immediately after use.
2. Put heavy files in the bottom drawers of file cabinets.
3. Open one file cabinet drawer at a time.
4. Use the handles when closing doors, drawers and files.
5. Do not stand on furniture to reach high places.
6. Use a ladder or step stool to retrieve or store items that are located above your head.
7. Do not kick objects out of your pathway; pick them up or push them out of the way.
8. Store sharp objects, such as pens, pencils, letter openers or scissors in drawers or with the points down in a container.
9. Keep floors clear of items such as paper clips, pencils, tacks or staples.
10. Do not tilt the chair you are sitting in on its back two legs.
11. Carry pencils, scissors and other sharp objects with the points down.
12. Position hands and fingers onto the handle of the paper cutter before pressing down on the blade.
13. Keep the paper cutter handle in the closed/locked position when it is not in use.
14. Do not use paper-cutting devices if the finger guard is missing.
15. Keep fingers away from the ejector slot when loading or testing stapling devices.
16. Point the ejector slot away from yourself and bystanders when refilling staplers.
17. Use a staple remover, not your fingers, for removing staples.
18. Do not use extension or power cords that have the ground prong removed or broken off.
19. Use a cord cover or tape the cord down when running electrical or other cords across aisles, between desks or across entrances/exits.
20. Do not place your fingers in or near the feed of a paper shredder.
21. Do not connect multiple electrical devices into a single outlet.
22. Do not throw matches, cigarettes or other smoking materials into trash baskets.
23. Keep doors in hallways fully open or fully closed.
24. Turn off and unplug office machines before adjusting, lubricating or cleaning them.
25. Do not use fans that have excessive vibration, frayed cords or missing guards.
26. Do not place floor type fans in walkways, aisles or doorways.
27. Use handrails when ascending or descending stairs or ramps.
28. Obey all posted safety and danger signs.
29. Do not use frayed, cut or cracked electrical cords.
30. Do not run on stairs or take more than one step at a time.
31. Do not jump from ramps, platforms, ladders or step stools.

Personal Protective Equipment

1. Do not wear hard hats that are dented or cracked.
2. Do not paint or drill holes in hard hats.
3. Wear earplugs or earmuffs in areas posted "Hearing Protection Required".

4. Wear safety glasses, goggles or face shields when operating chippers, grinders, lathes or sanders.
5. Wear face shields over goggles or safety glasses during open furnace, hot dipping, metal plating or gas cutting operations.
6. Wear chemical goggles when using, applying or handling chemical liquids or powders from containers labeled "Caustic" or "Corrosive".
7. Do not continue to work if your safety glasses become fogged. Stop work and clean the glasses until the lenses are clear and defogged.
8. Wear safety glasses when cutting strapping bands, uncrating materials and driving nails.
9. Wear gloves when there is a potential for contact with body fluids and substances.

Hand Truck Operations

1. Tip the load slightly forward so that the tongue of the hand truck goes under the load.
2. Push the tongue of the hand truck all the way under the load to be moved.
3. Keep the center of gravity of the load as low as possible by placing heavier objects below the lighter objects.
4. When loading hand trucks, keep your feet clear of the wheels.
5. Push the load so that the axle and not the handles will carry the weight. The operator should only balance and push.
6. Place the load so that it will not slip, shift or fall. Use straps, if provided, to secure the load.
7. If your view is obstructed, use a spotter to assist in guiding the load.
8. For extremely bulky or pressurized items such as gas cylinders, strap or chain the items to the hand truck.
9. Do not walk backward with the hand truck, unless going up stairs or ramps.
10. When going down an incline, keep the hand truck in front of you so that it can be controlled at all times.
11. Move hand trucks at a walking pace.
12. Store hand trucks with the tongue under a pallet, shelf, or table.
13. Do not exceed the manufacturer's load rated capacity. Read the capacity plate on the hand truck if you are unsure.
14. Do not lift slippery or wet objects; use a hand truck.

Hazardous Materials

1. Follow the safe handling instructions listed on the label of the container and in the corresponding Material Safety Data Sheet (MSDS) for each chemical product used in your workplace.
2. Use personal protective clothing or equipment such as neoprene gloves, rubber boots, shoe covers, rubber aprons, and protective eyewear, when using chemicals labeled "Flammable", "Corrosive", "Caustic" or "Poisonous".
3. Do not use protective clothing or equipment that has split seams, pin holes, cuts, tears, or other signs of visible damage.
4. Each time you use your gloves, wash your gloves before removing them using cold tap after and normal hand washing motion. Always wash your hands after removing the gloves.
5. Do not smoke while handling chemicals labeled "Flammable".
6. Do not store chemicals labeled "Flammable" near sources of ignition such as space heaters and sparking tools.
7. Do not handle or load any containers of chemicals if their containers are cracked or leaking.

8. Only dispense a liquid labeled "Flammable" from its bulk container located in areas posted "Flammable Liquid Storage".
9. Before pouring, dispensing or transferring any liquid from a bulk container labeled "Flammable", observe the following safety procedure:
 - Only use red color-coded, metal containers for transferring the liquid.
 - Electrically ground and bond the containers as follows:
 - (1) Attach the clip at one end of the grounding wire to the rim of the dispensing container and then attach the clip at the other end of the grounding wire to a ground source, such as a ground driven steel stake.
 - (2) Attach the clip at one end of the bonding wire to the rim of the dispensing container and then attach the clip at the other end of the bonding wire to the rim of the receiving container.
 - (3) You are now ready to dispense the liquid from the bulk container into the opened receiving container. Upon completion, replace the lid on the receiving container and remove the bonding wire.
10. Before using the chemical exhaust hood, manually flip the fan motor switch to the "on" position.
11. Do not use chemicals from unlabeled containers and unmarked cylinders.
12. Do not perform "hot work", such as welding, metal grinding or other spark producing operations, within 50 feet of containers labeled "Flammable" or "Combustible".
13. Do not drag containers labeled "Flammable".
14. Use a rubber cradle when transporting unpackaged glass bottles of chemicals.
15. Do not store chemical containers labeled "Oxidizer" with containers labeled "Corrosive" or "Caustic".
16. Always use chemical goggles and a face shield before handling chemicals labeled "Corrosive" or "Caustic".

Hand Tool Safety

1. Use tied off containers to keep tools from falling off of scaffolds and other elevated work platforms.
2. Keep the blade of all cutting tools sharp.
3. Carry all sharp tools in a sheath or holster.
4. Tag worn, damaged or defective tools "Out of Service" and do not use them.
5. Do not use a tool if its handle has splinters, burrs, cracks, splits or if the head of the tool is loose.
6. Do not use impact tools such as hammers, chisels, punches or steel stakes that have mushroomed heads.
7. When handing a tool to another person, direct sharp points and cutting edges away from yourself and the other person.
8. When using knives or other cutting tools, cut in a direction away from your body.
9. Do not carry sharp or pointed hand tools such as screwdrivers, scribes, aviation snips, scrapers, chisels or files in your pocket unless the tool or pocket is sheathed.
10. Do not perform "make-shift" repairs to tools.
11. Do not use "cheaters" on load binders or "boomers".
12. Do not carry tools in your hand when climbing. Carry tools in tool belts or hoist the tools to the work area with a hand line.
13. Do not throw tools from one location to another, from one employee to another, from scaffolds or other elevated platforms.
14. Transport hand tools only in toolboxes or tool belts.

Ladders and Step Ladders

1. Read and follow the manufacturer's instructions label affixed to the ladder if you are unsure how to use the ladder.
2. Do not use ladders that have loose rungs, cracked or split side rails, missing rubber footpads, or are otherwise visibly damaged.
3. Keep ladder rungs clean and free of grease. Remove buildup of material such as dirt or mud.
4. Do not use a metal ladder on rooftops or within 50 feet of electrical power lines.
5. Do not place ladders in a passageway or doorway without posting warning signs or cones that detour pedestrian traffic away from the ladder. Lock the doorway that you are blocking and post the sign "Detour".
6. Allow only one person on the ladder at a time.
7. Face the ladder when climbing up or down.
8. Maintain a three-point contact by keeping both hands and one foot or both feet and one hand on the ladder at all times when climbing up or down.
9. When performing work from a ladder, face the ladder and do not lean backward or sideways from the ladder.
10. Do not stand on the top two rungs of any ladder.
11. Do not stand on a ladder that wobbles, or that leans to the left or right.
12. When using a ladder, extend the top of the ladder at least 3 feet above the edge of the landing.
13. Secure the ladder in place by having another employee hold it.
14. Do not move a rolling ladder while someone is on it.
15. Do not place ladders on barrels, boxes, loose bricks, pails, concrete blocks or other unstable bases.
16. Do not carry items in your hands while climbing up or down a ladder.
17. Do not try to "walk" a ladder by rocking it. Climb down the ladder, and then move it.
18. Do not use a ladder as a horizontal platform.
19. Do not leave tools on the steps of a ladder.

Electrical Powered Tools

1. Do not use power equipment or tools on which you have not been trained.
2. Keep power cords away from path of drills, saws, vacuum cleaners, floor polishers, mowers, slicers, knives, grinders, irons and presses.
3. Do not use cords that have splices, exposed wires or cracked or frayed ends.
4. Do not carry plugged in equipment or tools with your finger on the switch.
5. Do not carry equipment or tools by the cord.
6. Disconnect the tool from the outlet by pulling on the plug, not the cord.
7. Turn the tool off before plugging or unplugging it.
8. Do not leave tools that are "On" unattended.
9. Do not stand in water or on wet surfaces when operating power hand tools or portable electrical appliances.
10. Do not operate spark-inducing tools such as grinders, drills or saws near containers labeled "Flammable" or in an explosive atmosphere such as a paint spray booth.
11. Turn off electrical tools and disconnect the power source from the outlet before attempting repairs or service work. Tag the tool "Out of Service".

12. Do not operate power hand tools or portable appliances while holding a part of the metal casing or holding the extension cord in your hand. Hold all portable power tools by the plastic handgrip or other nonconductive areas designed for gripping purposes.
13. Do not remove the ground prong from electrical cords.
14. Do not use an adapter such as a cheater plug that eliminates the ground.
15. Do not connect multiple electrical tools into a single outlet.
16. Do not run extension cords through doorways, through holes in ceilings, walls or floors.
17. Do not drive over, drag, step on or place objects on a cord.
18. Wear dielectric gloves when working on electric current.
19. Do not use a power hand tool to cut wet or water soaked building materials or to repair pipe leaks.
20. Do not use a power hand tool while wearing wet cotton gloves or wet leather gloves.
21. Never operate electrical equipment barefooted. Wear rubber-soled or insulated work boots.

Vehicle/Driving Safety

1. Complete safety inspection of the vehicle and document the process on the “Daily Maintenance Checklist” prior to moving the vehicle.
2. Shut all doors and fasten your seat belt before moving the vehicle.
3. Obey all traffic patterns and signs at all times.
4. Do not drive on the road shoulders.
5. Use side and rearview mirrors before making lane changes, turns and sudden stops. Always use turn signals when changing lanes or turning.
6. Only employer authorized personnel may operate company vehicles.
7. Do not operate a vehicle if you are ill or fatigued.
8. Do not operate a vehicle if you are taking any medications whose container label indicates that the medication may cause drowsiness or other side effects.
9. Turn the vehicle off before fueling.
10. Do not smoke or use cell phone while fueling a vehicle.
11. Wash hands with soap and water if you spill gasoline on your hands.
12. Never talk on the phone or text while driving.
13. Report all vehicle accidents, regardless of fault, to your immediate supervisor and Safety Director.

Knives/Sharp Instruments

1. When handling knives & other cutting tools, direct sharp points & edges away from you.
2. When using knives, cut in a direction away from your body.
3. Store knives in knife blocks or in sheaths after use.
4. Do not use knives with dull blades.
5. Do not use honing steels that do not have disc guards.
6. Do not attempt to catch a falling knife.
7. Use knives for the operation for which they are intended.
8. When opening cartons, use safety box cutters.
9. Do not use knives with broken or loose handles.
10. Do not use knives as screwdrivers, pry bars, can openers or ice picks.
11. Do not leave knives in sinks full of water.
12. Do not pick up knives by their blades.
13. Carry knives with their tips pointed towards the floor.

14. Do not carry knives, scissors or other sharp tools in pockets or aprons unless they are first placed in their sheath or holder.

Section VIII.

Early Return to Work Program

LifeROOTS is concerned about the health and safe work habits of its employees. In the event you become ill or injured on the job, we would like to assist you in obtaining the best treatment to help you return to your regular job as soon as possible. The following information has been prepared to help you understand the procedures for notifying us with appropriate information to assist you in your return to work.

If you are injured on the job, it is the Company's intent to offer you modified work (sometimes called light duty) while you are recovering from a work-related illness or injury. Such positions will be temporary in nature and will be monitored by the Safety Director. **Job restrictions, as defined by treating physicians, will be strictly adhered to.**

1. Definition of Modified/Light Duty Work.

LifeRoots defines "modified work/light duty" as temporary assignments within an employee's physical abilities, knowledge and skills. These positions are developed using the employee's abilities/restrictions as determined by the employee's treating physician. They may also include responsibilities and tasks taken from the employee's regular job, when the employee cannot perform full duties or work a full day.

2. Communication Regarding Return to Modified Work/Light Duty.

The Safety Director will evaluate the employee's work restrictions once received from the medical doctor. The Safety Director will communicate with the medical provider regarding any work restrictions and will forward this information to company's workers' compensation insurance carrier for processing. The Human Resources Director serves as the Safety Director's back up when the Safety Director is not available.

An employee who has been excused from work as a result of an on-the-job illness or injury will be required to contact his/her supervisor **(on a bi-weekly basis)**.

3. Release to Modified Work (Light Duty)

Upon notification from the medical physician that includes return to work restrictions, a LifeROOTS team, made up of the Safety Director, Human Resources Director, the employee's Department Director and the employee's Service Coordinator, if applicable, will meet and conduct a job analysis based on the work restrictions provided by the medical doctor. The team will develop a work schedule for the injured worker prior to his returning to perform work on light duty based on the Light Duty Opportunity List and job restrictions. The Safety Director or designate will mail a certified letter or provide a hard copy to the injured worker explaining the job description and work schedule, including wage, hours, report time, report date, location, supervisor's name and phone number.

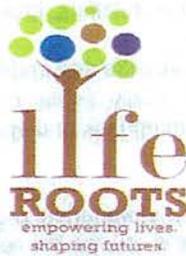
Copies of all job analyses and work releases will be forwarded to LifeROOTS' workers' compensation insurance carrier and kept as part of the employees personnel file.

LifeRoots reserves the right to determine the duration of light duty work.

4. Monitoring the Return to Work Program

Modified and alternative jobs and work hours are temporary in duration, and the modified work release will be re-evaluated by the treating physician on the next scheduled medical appointment.

Upon receiving any additional information, **LifeRoots** will re-evaluate its ability to provide temporary, modified work and to increase or decrease the job responsibilities, based upon the restrictions outlined by the physician.



Policy No: ADM-005
 Effective: 05-13-11

Client Transportation	
PURPOSE	To prescribe appropriate safety and security procedures for transporting LifeROOTS, Inc. (LifeROOTS) clients in the community.
POLICY	Safe Client Transportation
POLICY REQUIREMENTS	<ul style="list-style-type: none"> • All LifeROOTS staff is required to have valid NM driver licenses and clean driving records. • All LifeROOTS staff, transporting clients in the community, is required to attend drivers' training. • All LifeROOTS staff is trained on the safety handbook. • All LifeROOTS staff and clients shall wear a seat belt at all times. • All LifeROOTS vehicles used for transporting clients shall be properly equipped. • LifeROOTS staff, while transporting clients, shall abide by traffic laws. • There shall be no smoking in LifeROOTS vehicles. • All LifeROOTS vehicles shall be equipped with the following: <ul style="list-style-type: none"> ❖ Child safety locks on all doors clients have access to ❖ Working, fully charged fire extinguisher, stored near the driver for easy access ❖ First aid kit and latex gloves ❖ Vehicle registration ❖ Proof of insurance ❖ LifeROOTS safety handbook
PROCEDURES	<p style="text-align: center;"><u>Vehicle Maintenance</u></p> <p>The safety, facilities and fleet manager shall ensure maintenance and service on the vehicles is performed on a quarterly basis or as needed.</p> <p>The safety, facilities and fleet manager shall maintain vehicle maintenance records in his office for review and inspection.</p> <p style="text-align: center;"><u>Vehicle Inspections</u></p> <p>The LifeROOTS driver shall thoroughly inspect the vehicle for maintenance problems before and after clients are transported. Inspections shall be conducted in the following manner.</p> <ul style="list-style-type: none"> • Front to rear of the outside of the vehicle, including visually

inspecting for tire inflation, broken lights, body damage and/or cracked glass

- Underneath the vehicle and under the hood
- Front seats to back seats of the interior for any missing equipment, including jack and spare tire
- Fuel level

The driver shall report maintenance problems on the daily preventive maintenance checklist and submit the report to the safety, facilities and fleet manager on a weekly basis or sooner if the problem needs immediate attention. The driver shall initial the form each day the vehicle is checked out. The safety, facilities and fleet manager shall act to fix reported problems.

Vehicle Operations

The LifeROOTS driver shall ensure all doors are locked at all times during vehicle operation and when idle.

The LifeROOTS driver shall not leave clients in the vehicle unattended.

The LifeROOTS driver shall ensure clients remain seated when the vehicle is operational and that clients not extend any part of their body out of the vehicle window.

The LifeROOTS driver shall ensure all passengers have their seat belts secured prior to departure and during vehicle operation.

The LifeROOTS driver shall ensure passengers using a wheelchair and transferring from the wheelchair to a vehicle seat have their seat belt securely fastened and the wheelchair is secured in the back of the vehicle.

The LifeROOTS driver and any other participating staff shall ensure clients are boarded and disembarked in safe locations, when possible at the building entrance, so as to prevent accidents and shall assist clients entering and exiting the vehicle.

Staff Will Not Transport Clients When:

The client could become violent or unpredictable, e.g. may threaten to exit from the moving vehicle.

The client is actively expressing suicidal or homicidal thoughts or intentions.

Staff has reason to believe that the client may possess a weapon.

The client is acting out sexually and inappropriately.

The client will not adhere to transportation procedures and safety rules, e.g. refuses to be seated and fasten seat belt.

Weather conditions are hazardous.

	<p style="text-align: center;"><u>Emergency and Accident Procedures</u></p> <p>If the client becomes agitated or complains of physical distress, the driver shall pull the vehicle to the side of the road in a safe area. The driver shall never stop the vehicle on an overpass or bridge. When another staff is present, the driver shall enlist their aid in an attempt to calm the client; determine the problem; perform first aid and when the situation warrants, CALL 911.</p> <p>If the vehicle breaks down or the vehicle is involved in an accident, the driver shall ensure the safety and security of clients being transported. If emergency services are not required, the driver shall contact the safety, facilities and fleet manager for alternative transportation. The driver shall CALL 911 for accidents requiring emergency services.</p> <p>As soon as possible, the driver shall notify their respective department director or designee and safety, facilities and fleet manager of the situation and advise them of type of emergency (medical, vehicle breakdown, vehicle accident, etc), along with the client names and vehicle location.</p> <p>Upon return to the LifeROOTS facility, the driver shall complete an incident report and/or first report of injury, whichever is appropriate.</p>
<p>Approval</p>	<div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="text-align: center;">  <p>Kathleen Holmes Cates LifeROOTS, Inc. President and CEO</p> </div> <div style="text-align: right;"> <p>3-8-2012 Date</p> </div> </div>

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