FY 2023-2027 Infrastructure Capital Improvement Plan
Local Government ICIP Guidelines

Department of Finance & Administration
Local Government Division (DFA/LGD)
407 Galisteo, Bataan Memorial Bldg. Rm 202
Santa Fe, NM  87501

The Local Government ICIP website is available at
https://www.nmdfa.state.nm.us/local-government/icip/
# Table of Contents

A. Creating the FY 2023-2027 Infrastructure Capital Improvement Plan ................................................. 3
B. General Information ........................................................................................................................................ 4
C. ICIP Benefits .................................................................................................................................................. 7
D. Developing the ICIP ........................................................................................................................................ 8
   1. Sources of Assistance in Developing the ICIP ....................................................................................... 15
   2. Technical Assistance Providers ........................................................................................................... 17
   3. Capital Financing Table ......................................................................................................................... 21
E. Potential Project Funding Sources ............................................................................................................... 22
   1. ICIP Funding Sources Table .................................................................................................................. 23

Appendix I: ICIP Completion Certification Form Example ............................................................................. 24
Appendix II: Resolution Template Example .................................................................................................. 25
Appendix III: Permission for Access Form Example ..................................................................................... 26
Appendix IV: Local Government ICIP Worksheets ......................................................................................... 27
Appendix V: FY2023-2027 ICIP Submission Check List .................................................................................. 38
A. Creating the FY 2023-2027 Infrastructure Capital Improvement Plan

Introduction

The local Infrastructure Capital Improvement Plan (ICIP) is a plan that establishes planning priorities for anticipated capital projects. The state coordinated local ICIP process encourages entities to plan for the development of capital improvements so that they do not find themselves in emergency situations, but can plan for, fund, and develop infrastructure at a pace that sustains their activities.

The Department of Finance and Administration (DFA), through its authority in NMSA 1978, Sections 5-8-6A, 6-6-2J, 6-6-4, 9-6-5.1, 11-6-2, 11-6-3, 11-6-4.1, 11-6-5, and 11-6-5.1, strongly encourages each jurisdiction to prepare a five-year infrastructure capital improvement plan (ICIP).

New Mexico counties, municipalities, tribal governments and special districts evaluate their infrastructure priorities and participate in the ICIP process each year. Senior Citizen Facilities must also submit their own ICIP, separate from their governing body. This will assist in assessing the critical needs of each facility. The ICIP Guidelines and ICIP Data Entry Instructions will work in tandem to guide entities on how to participate in the Local ICIP process, and how to input project information into the ICIP database.

The initial step in the ICIP process is the creation of the individual entity plan. The plan covers a five-year period and is developed and submitted annually. It includes policy direction, funding time frames, estimated costs, justifications, and the details of each specific infrastructure capital improvement project proposed, by year, over the five-year period. The plan includes repair or replacement of existing infrastructure and the development of new infrastructure. Each proposed project includes Legislative Language, Description/Scope of Work, Priority Rank of all projects, Proposed and Secured Funding Budget, Project Budget, Phasing information and Phasing Budget (if applicable), and Operating/Maintenance Budget.

Each participating entity must update their project information in the ICIP database and submit copies of the written approval of ICIP by governing body. Tribal Governments that are not able to obtain a Resolution may provide a Letter of Approval from a Governor, President, or Chapter President. Senior Citizen facilities must provide a copy of fiscal agent’s resolution and a letter from director certifying their ICIP.

The final ICIP report is available to view on the DFA/LGD website at https://www.nmdfa.state.nm.us/local-government/icip/ for the public, NM State Governor, Tribal governments, legislators, local elected officials, local entities, and funding agencies to view.
B. General Information

Coordinator – The Department of Finance and Administration/Local Government Division (DFA/LGD) coordinates the Local Government Infrastructure Capital Improvement Plan (ICIP) process. If you would like to participate in the process or need assistance in developing a plan, please contact Carmen Morin at CarmenB.Morin@state.nm.us or (505) 470-8979 at DFA/LGD, or your local Council of Governments (COG) (page 16).

FY2023-2027 ICIP Submission Deadlines:
- Special Districts – Friday, September 3, 2021
- Tribal Governments – Friday, September 17, 2021
- Counties and Municipalities – Friday, September 17, 2021
- Senior Citizen Facilities – Friday, October 1, 2021

1. ICIP Database Input - Enter planning information into the ICIP database at https://www.state.nm.us/capitalprojects/.

2. ICIP Planning Information – Update and submit annually
   ICIP database includes the following:
   a. Entity Information.
      - ICIP Officer, Procurement Officer, Financial Officer: name, telephone, email
      - COG District number
      - Address Information
      - Entity type
      - Compliant with Executive Order 2013-006
      - Asset management plan and/or inventory listing of capital assets
      - Project Priority Process
      - Capital Improvement Goals
      - Factors/Trends Considered
   b. Capital Project Detail.
      - Priority
      - Year/Rank
      - Project Title
      - Project Contact Information
      - Total Project Cost
      - Class
      - Type/Subtype
      - Project Location (include Latitude/Longitude)
      - Legislative Language
      - Scope of Work
      - Secured/Potential Funding Budget
      - Project Budget
      - Phasing Budget
      - Operating Budget
      - Who will Own, Operate, Fiscal Agent, Own Land, Own Asset, and Maintain?
      - #19 Answer all questions as related to each specific project
3. **ICIP Submission Specifications** - Do not mail or fax ICIP submission. Remit the following via email only to: lgd.icip@state.nm.us

Send the required submission documents when all entity information and project description information has been entered into the ICIP database. Do not email the ICIP reports as they will be reviewed online from the ICIP database by the coordinator. Do not include any additional documents, i.e., minutes, agendas, etc.

   a. **Required Documents for ICIP Submission**: (Submission documents available on the ICIP website at [https://www.nmdfa.state.nm.us/local-government/icip/](https://www.nmdfa.state.nm.us/local-government/icip/)) A Check List is provided in Appendix E. (pg. 28), to assist you in gathering the information needed for your FY2023-2027 ICIP annual submission. Please do not submit the check list with your ICIP submission.

   b. **Completion Certification form** – Appendix I. (Certifies that all information was provided Entity Profile and Project information (sample on pg. 25))

   c. **Written approval of ICIP by governing body**. Provide a Resolution of Approval- Appendix II. (sample on pg. 26), from entity governing body. Tribal Governments that are not able to obtain a Resolution may provide a Letter of Approval from a Governor, President, or Chapter President. If an adopted Resolution or Letter of Approval is not included, the ICIP will not be accepted. Senior Citizen facilities must provide a copy of their fiscal agent’s resolution and a letter from director endorsing their ICIP.

   d. **Permission for Access Form** - Appendix III. (sample on pg. 27) Complete form to include information on the individual who will input the ICIP information into the database on behalf of the entity. This person may be contacted by the coordinator if additional information is required.

4. **Unacceptable ICIP Submission**
   1. ICIP submissions received after the deadline will not be accepted.
   2. ICIP submissions missing any of the documents listed and information above as REQUIRED will be deemed non-compliant.

5. **ICIP Submission Extensions**
   ICIP submission extensions will only be accepted after the deadline if an extension request has been approved by DFA/LGD. Extension requests will be reviewed and granted on a case by case basis. In order to be considered for an extension, requests must be submitted in writing via email to Carmen Morin at CarmenB.Morin@state.nm.us.

   As the FY 2023-2027 ICIP submiss dates have been extended, extension approvals will be limited.

6. **ICIP Database** - Plans are updated annually by completing the information on the ICIP database at [https://www.state.nm.us/capitalprojects/](https://www.state.nm.us/capitalprojects/). Entities that participated in the ICIP process last year will use their previously assigned codes and passwords. Entities that have lost or forgotten their passwords should contact Carmen Morin via email at lgd.icip@state.nm.us.

7. **New ICIP Access** – Entities requesting access to the ICIP database must submit their request via email to lgd.icip@state.nm.us. Entities will submit a New ICIP Entity Access form and Permission for Access form which requests the following information: Contact Name, Entity Name, County, Contact phone number, and email address. Each entity must incorporated or a recognized political subdivision of the State of New Mexico.

8. **ICIP Worksheets** are available in Word format. The worksheets contain the questions asked on the web forms at the ICIP website, with a slightly different format. DO NOT submit the worksheets with your ICIP submission. Worksheets are available on the ICIP website at [https://www.nmdfa.state.nm.us/local-government/icip/](https://www.nmdfa.state.nm.us/local-government/icip/).

9. **Current State Fiscal Year 2023-2027 plan** - This means that the 5 year cycle of the current plan should be from July 1, 2022 through June 30, 2027.

10. **Financial compliance** – The financial compliance section of the ICIP is intended as a reminder of the requirements an entity must meet when seeking state funds to complete projects that may be included on their plan. Pursuant to the State of New Mexico Executive Order 2013-006 ([https://www.nmdfa.state.nm.us/budget-division/capital-outlay-bureau/](https://www.nmdfa.state.nm.us/budget-division/capital-outlay-bureau/)), the Department of Finance and Administration is responsible for establishing uniform funding
criteria, grant management, and oversight requirements for grants of State Capital Outlay Appropriations by State Agencies to other entities. If an entity is not in compliance with the financial reporting requirements at the time of submission, they may still submit an ICIP to LGD.

11. Projects listed must include an amount not yet funded to include partial or total funding - Projects that are fully funded should not be part of this plan. Do not list placeholder projects. All projects must include a project title specific to the actual project on the ICIP.

12. Regional projects - If you have a regional project on your ICIP, first decide which entity will be the lead/fiscal agent and responsible for the overall project. Next, identify all entities that will directly benefit from the project. All entities identified as beneficiaries must include the regional project on their individual ICIP. It is preferred, and strongly encouraged that all entities list the regional project as the same rank on their ICIP. When reporting a regional project, you must ensure the Title, Description, and Budget is identical on all participating entities’ ICIP’s. Identify your entity’s role in the description.

13. Special districts that are political subdivisions should report separately - A special district, being a separate subdivision of the state, should report separately and not through its county. The special districts category include mutual domestic water consumer associations, acequias, land grants, and smaller incorporated municipalities. A political subdivision is a separate legal entity of a State which usually has specific governmental functions. The term ordinarily includes a county, city, town, village, or school district, a sanitation, utility, reclamation, drainage, flood control, or similar district. A political subdivision’s legal status is governmental.

14. Senior Citizen Facilities is a separate Entity Type in the ICIP and should report separately - The State is attempting to gain a full assessment of the infrastructure needs for each senior citizen facility, therefore, all Senior Citizen facilities are encouraged to submit an ICIP separately from their respective fiscal agent. Each facility will be assigned an entity code and password to access the ICIP database.

15. Fire districts and departments should not report separately but should report their prioritized needs to their authorities - Fire districts and departments cannot file their own ICIP and should report their needs to their authorities (counties or municipalities) for inclusion in the authorities’ ICIPs.

16. Five Year Plan with Priorities - Project rankings within any given year must be consecutive. For example, please do not skip a project rank by listing a 2023-01 project and a 2023-03 project without also including a 2023-02 project. Only list one project per priority ranking per year. Do not duplicate ranking.

17. Project Phases - A phase is a standalone functional or operable stage during the development and/or life of a project. Phases can be grouped into three main categories: Planning, Design, and Construction. Do not enter phases individually as separate projects in the ICIP database. When entering information into the database, the description must reflect the entire project as a whole with the phases necessary to complete it.

18. Project Specificity - When identifying projects, be as specific as possible. Do not include general or “place holder projects”. Do not generalize. For example, “street improvements” should be identified as “Street Name” Improvements.

19. Deactivate Project - To deactivate a project, click on the “Deactivate This Project” button located at the bottom of the project edit page. If your project has been cancelled or deactivated, choose from drop down menu: Change of Priority, Data Entry/System Error, Lack of Funding, Project Complete, or Other. Projects cannot be deleted; you must use the deactivate option. If you wish to reactivate or delete any of your projects, please contact Carmen Morin at CarmenB.Morin@state.nm.us. The request to delete projects must include Project I.D. number and Project Title. Please note, if a project is deleted, it will be permanently removed from the ICIP database with no option to recover.
20. **Review Process** - DFA/LGD staff will provide technical assistance for all entities by reviewing each submission. You will be contacted after your submission to seek clarification on specific projects and request corrections/changes, of which the entity will be given **2-3 days** to make said corrections in the ICIP database.

21. **ICIP Publication & ICIP Dashboard** - The complete ICIP Publication and ICIP Dashboard will be available before the 2022 Legislative Session. The ICIP Publication will include the entity information report, project summary, and FY 2023 top 5 projects of all participating entities. The final report will be available on the ICIP website at [https://www.nmdfa.state.nm.us/local-government/icip/](https://www.nmdfa.state.nm.us/local-government/icip/). A notice stating the ICIP publication is available, is sent to the Governor of New Mexico, all Legislators, Legislative Finance Council, Legislative Council Service, and all participating State Agencies and local governments.

22. **Amendment Process**

After the final ICIP is published on the DFA website, changes and/or additions are not allowed on your ICIP unless approved by DFA/LGD. All amendment requests must be submitted to DFA/LGD via email and include detail on why the change and/or addition to the ICIP is needed. Once approved, the LGD staff will provide technical assistance to assure that all required information is included. This will allow DFA/LGD to send the entity the amended reports with approval to include with your funding applications as the addition and/or change will not be included in the final ICIP Publication if it has already been published on the LGD/ICIP website.

Submissions missing ANY of the required documents will be considered Non-Compliant, and will risk your ICIP not be included in the final ICIP publication which is published annually on the ICIP website at [https://www.nmdfa.state.nm.us/local-government/icip/](https://www.nmdfa.state.nm.us/local-government/icip/).

C. **ICIP Benefits**

1. **Benefits of completing the ICIP include:**
   - Encourages a more **efficient** government operation.
   - Functions as a tool for **community/citizen involvement**.
   - Fosters agreement and gives direction to a community’s **future**.
   - Provides a way for departments and the public to cooperate and coordinate ideas.
   - **Reduces pressure** to fund projects that aren’t ready to proceed.
   - **Promotes repair or replacement** of existing facilities before they fail.
   - Provides a **reminder** to schedule capital improvements.
   - Establishes and provides a method for tracking inventory.
   - Provides a **framework** for decisions about community growth and development.
   - Assists in preserving existing property values.
   - Focuses community/agency **attention on priority goals, needs, and capabilities**.
   - Avoids crisis-driven rate and tax increases.
   - Can provide a **guide** to the “public facilities and infrastructure” element of a comprehensive plan.
   - Provides a **starting point** for attracting private investment. Private dollars tend to follow good public investment in roads, utilities and other important capital improvements.
   - Provides a means of **marketing proposed projects** for funding by both the private and public marketplace. A well-prepared capital improvement plan is viewed positively by bond rating agencies and credit markets. As funding sources, in general, favor entities that plan, the ICIP is a perfect tool for preparing your funding applications and grant proposals. Participation in the ICIP process, including the state produced ICIP publication, is encouraged by private and public funders.
   - Provides a **requirement** regarding impact fee assessment. For counties or municipalities to assess impact fees on developers, one of the requirements is to have in place a capital improvements plan, which is developed according to the state guidelines. This ICIP guide provides those guidelines. (Developmental Fees Act, NMSA 1978, Sections 5-8-6)
• Provides a plan that is flexible. The ICIP should be a flexible statement of intent. Priorities can always change. Projects can be revised to reflect changes in policies, availability of funds, cost increases, and/or judgments about cost effectiveness.

2. Benefits of submitting the local plan to the state include:
   • New Mexico Capital Outlay - Each entity can earmark which of its prioritized projects it would like to have considered for state capital outlay appropriations during the legislative session. The ICIP, therefore, will play an integral part in priority setting and decision making at the state level and upcoming legislature.
   • Pertinent planning data entered in to the ICIP database from your entity is included in the final ICIP reports which are published on the DFA/LGD website and is available for public view.
   • A letter is distributed to each state representative and senator prior to each legislative session notifying them the final publication is available at the DFA/LGD website.
   • At the agency level, during the Community Development Block Grant (CDBG) ranking process, applicants receive points for including their project in the ICIP, and listing CDBG as one of the possible funding sources. Many other funding sources that look to the ICIP when considering funding to verify if entities applying have completed an ICIP. Funding sources also request ICIP information when awarding entities include, Water Trust Board (WTB), Tribal Infrastructure Fund (TIF), Colonia’s Infrastructure Project Fund, and NM Aging and Long-Term Services Department (ALTSD) Capital Outlay Senior Citizen infrastructure projects.

D. Developing the ICIP

The infrastructure capital improvement planning process suggested by these guidelines proposes steps and basic elements of a local capital improvement plan that can be addressed by each local government or tribe. The basic elements are common in planning. While the process for developing a local plan is not mandated, the following are suggested points for charting the development of the local plan and participating in the ICIP process.
1. Determine the Process/Involve the Public

- Determine your community’s definition of infrastructure and the basic issues that will be discussed.
- Establish a relationship with your assistance providers (i.e., COG, etc.), who can guide you through the process and help you with the entry of the data.
- Determine who will lead this process. A committee of citizens, or a staff member, or both could be selected to guide this process and be the central focal point for the plan’s coordination. Decide how long the process will take and when the committee will be disbanded.
- Determine who will be involved. Determine role of committee(s), elected officials, staff, particular citizen groups and others.
- Determine ground rules and discuss the importance of each participant in the committee. Determine how their group decisions will be determined; consider voting/consensus options. Once data is entered into the database, the planning information can be printed in a report for local use. The ICIP database must be used, and you must submit to DFA/LGD as stated in Appendix V.
- Make sure adequate resources are in place to complete your plan.
- Create a timetable for completing your plan.
- Determine when this plan will be revisited and when the next planning process will begin. This will assure that citizens who have missed giving their input for the current plan will know when they will be given the opportunity to give their input in the future.

Some general characteristics of infrastructure capital improvement projects include:

- Long life cycle (at least 10 years).
- Not part of annual budget.
- New systems/buildings, or major renovations/repairs.
- For purposes of this plan, under the control (ownership or long-term lease) of the entity doing the planning.

Local governments have direct responsibility for capital programs, specifically and to varying degrees. The ICIP should include, but is not limited to, the construction and/or improvements of the following types of local projects:

- Administrative Facilities
- Airports
- Arts (other than museum)
- Broadband
- Clean Energy
- Community Service Facilities (e.g., senior centers, adult care facilities, child daycare facilities, domestic violence facilities, health facilities, youth activity centers, wellness center)
- Convention Facilities
- Cultural Facilities (including museums)
- Design
- Economic Development Projects
- Equipment
- Fair Facilities
- Housing
- Land and Site Acquisition
- Landfills
- Libraries
- Lighting
- Medians
- Museums
- Public Parks and Trails (local)
• Planning
• Public Housing
• Public Safety and Emergency (e.g. fire stations, law enforcement, and ambulance equipment and facilities)
• Public Utilities
• Regional Projects
• Renovation
• Rest Areas
• Sanitary Wastewater (Sewer) Collection and Treatment
• Solid Waste Transfer, Disposal and Collection
• Special District Projects (e.g., water/sanitation, flood control, hospitals, fire, acequias)
• Storm and Surface Water Control
• Streets, Roads, Sidewalks, Curbs, Gutters, Bridges, Overpasses, and Bicycle Facilities
• Transit
• Utilities (publicly owned)
• Water Quality, Supply, Treatment and Distribution, and Water Rights & Protection

**Public input** is an important part of the planning process. The more public support for a plan, often the easier it will be to develop and fund the projects. Public input is best solicited throughout the planning process. It is suggested that entities receive input of suggested projects at the beginning of the planning process and that the public be given an opportunity to comment on the final draft of the ICIP. Communities often feel that public hearings are not well attended. Some of the alternatives below may provide useful methods for improving/encouraging citizen participation. (Note: Communities are advised to follow their attorney’s advice with regard to the requirements of the Open Meetings Act while using these methods. The Open Meetings Act can be found in New Mexico statutes at NMSA 1978, Sections 10-15-1 to 10-15-4; information on the Open Meetings Act is available at the New Mexico Attorney General’s website at: [https://www.nmag.gov/oma-and-ipra-nm-sunshine-laws.aspx](https://www.nmag.gov/oma-and-ipra-nm-sunshine-laws.aspx).

- **Public Hearing(s).** Note that a community can have meetings that are devoted to the infrastructure plan or may incorporate such hearings into the agenda of regular meetings, such as council, commission, or board meetings. Some entities have found it easy to include a discussion of infrastructure projects in the required Community Development Block Grant hearings or other such community hearings. Some communities have had good attendance where the mayor or chair has sent written invitations to community organizations to take part in these hearings.
- **Surveys.** For example, communities have included public opinion surveys regarding infrastructure needs and priorities in their water bills.
- **Committees.** It is customary to solicit input from several groups when developing the ICIP. Your community may have committees that review community priorities for senior citizens, youth, health organizations or other issues. If not, such committees might be established. Consideration of the opinions of these groups is an important component of any planning process, especially because the end users of infrastructure improvements are the citizens of your community.
- **Consultation with interested organizations and individuals.**
- **Consultation with elected officials, including state and federal representatives.** Remember, your officials – federal, state, and local – are a very important part of your public. Encourage their support and input by inviting them to meetings, including them in project plan review, and site visits.
- **Forums.** Your community may want to have a gathering that will bring people together to discuss infrastructure without finalizing any priorities.

You may find it useful to make public meetings serve several purposes. Required CDBG meetings in advance of submitting a proposal for funding can be broadened to a discussion of all infrastructure needs – both those projects that can, and those that cannot, be funded by CDBG. Regularly scheduled meetings of councils, boards, and commission can have an agenda item for public discussion of infrastructure needs and priorities.
State infrastructure is generally not listed in a local ICIP. At times, however, the local government will enter into a partnership with a state agency to make an improvement on an infrastructure owned and managed by the state. To the extent that the local government contributes funds to that project, the project would be considered a local project and should be listed in the ICIP.

Examples of areas of state capital obligation, which are generally not included in the local government ICIP, include the following:

- State Government Buildings, Facilities, Equipment
- Highways
- Higher Education Building and Facilities
- State Parks
- Wildlife
- State Water Rights/Water Supply

Note: These items have been identified as key areas of state (in contrast to local) capital obligation are programs, facilities, and activities that have traditionally been regarded as being primarily the responsibility of the State. These should not be in a local ICIP plan.

In addition to these direct state programs, the state has historically provided assistance to local governments in the following capital programs that follow a planning process separate from the ICIP. To the extent that these are state programs, they would not be included in a local ICIP plan:

- Public School Construction

2. Formulate current mission, goals, objectives, policies, and strategies.

A mission is a short statement of direction. Goals are primary statements describing the direction that an entity wants to go. Objectives are statements describing how these goals should be reached. Policies are statements of actions and specific directions or approaches that should be taken to achieve the objectives. Strategies are statements of specific actions that should be taken, identifying the responsible party or parties, the timeframe within which the action should occur, and other details considered necessary to prepare for implementation to occur.

3. Review Existing Plans, Regulations, Budget, etc.

Review existing plans, regulations, and mandates for all existing infrastructure and planned new infrastructure. Assure that your entity is in compliance with all financials, procurement code guidelines, and reporting responsibilities.

May 2013, an Executive Order was issued to all state agencies that grant State capital outlay appropriations to another entity. Executive Order 2013-06 directs DFA to establish uniform funding criteria and grant management and oversight requirements for a grantee to be eligible for a grant of State capital outlay appropriation. You may view the Executive Order in the DFA/Capital Outlay Bureau website at https://www.nmdfa.state.nm.us/budget-division/capital-outlay-bureau/.

Budget reports due to DFA/LGD can be accessed at the DFA/LGD Budget and Finance Bureau website at https://www.nmdfa.state.nm.us/local-government/budget-finance-bureau/budget-forms/

Procurements Codes: All purchases made by a New Mexico State agency, commission, institution, political subdivision or local public body allowed by law shall be governed by the Procurement Code, Sections 13-1-28 through 13-1-199 NMSA 1978. The Procurement Code imposes civil and misdemeanor criminal penalties for its violation. A copy of the Procurement Code can be found at: https://www.generalservices.state.nm.us/
4. **Analyze factors that will affect your community’s future.**

Because capital needs are often immediate, project priorities are often based only on current needs. Unless trends are considered, there is a risk of building inadequate facilities that do not meet future demand requirements, whether increasing or decreasing, and which may not be able to be supported by the population. Assess the adequacy of current plans and facilities considering these trends and modify as appropriate. Trends to be considered include but are not limited to:

- Interest rates
- Population trends
- Land use
- Unemployment statistics
- Changes in laws (changes in environmental and ADA laws, for example, can be determining factors in assessing project priorities)

5. **Inventory existing facilities. Utilize current inventory to consider future projects and/or note needed repairs.**

The ICIP includes major renovations/restorations of current inventory, not just new projects. An inventory is a list of infrastructure with the repair/replace schedules. Entities that do not have an inventory are encouraged to establish one. Determine the condition and status of the inventory items. Include the location, ownership, year acquired, latest improvement, condition (whether the physical condition of the facility is meeting entity needs), utilization (whether the facility is meeting the space needs, i.e., office space, meeting rooms, parking, etc.), code deficiencies, and future improvements by year. Some inventory items will need major repairs; some will need to be demolished, etc. Major changes to inventory qualify as infrastructure projects and should be included in your ICIP.

6. **Identify Specific Projects.**

Usually each department or division of the entity prepares its own planning information and a project needs list. In developing the community’s comprehensive list, consideration should be given to the goals and trends of the entire entity, public input, and the efficiency and technical options and the capability of each project. Collaboration with entity officials occurs throughout this step. Development and maintenance/operating estimates must be included.

When identifying projects, be as specific as possible. Do not include general or “place holder projects”. **Do not generalize.** For example, “street improvements” should be identified as “Street Name” Improvements.

7. **Obtain accurate costs and technical options.**

Costs can be determined by consulting with appropriate planning, engineering, design, and construction firms, or by conferring with other communities. Design and technical professionals can offer technical options such as phasing information.

**Operating and Maintenance Expenses.** Remember the initial capital cost is only part of the cost of the infrastructure. For an entity to be able to use the proposed facility for its expected life, the entity will need to be able to cover operation and maintenance costs. Operating and maintenance costs must be considered when preparing the ICIP and must be included in the Operating Annual Budget section of the ICIP.

8. **The local governing officials set priorities based on factors affecting the entity, entity needs, and capacity. These priorities are priorities for the entire entity, not just a local department or division.**

All local governmental department priorities are brought together so that the entity can determine which projects are the highest ranked projects for the entity. Often, the departmental rankings are prioritized in an entity-wide
official meeting and reviewed by the local ICIP coordinating staff/committee. At this point the public could comment on the entity-wide priority project rankings.

Each entity uses different factors in prioritizing projects. Consider the value of each project and create a prioritized list based on the relative value of each project. You may find an evaluation sheet useful in developing relative scores for each project. A sample evaluation sheet is available on page 38 in the ICIP Guidelines.

Considerations may include:

- Is the project necessary for compliance with court orders, consent decrees, health and safety codes, or other laws and regulations?
- Is the project an implementation objective of an approved plan?
- Will the project eliminate sizable future costs for major construction, repair, fuel, or those associated with serious injury, illness or death?
- Does the project satisfy an approved replacement schedule?
- Is the project urgent enough that postponement will cause the local entity to lose an immediate opportunity or will it substantially increase development costs?
- Has the project been fully developed as to the amount and timing of costs for design and construction, site preparation, equipment, furnishing, operations and maintenance?
- Will the project foster the local entity’s goals, such as creating, preserving or enhancing its infrastructure, reducing the cost of operation, reducing the cost of energy consumption, fostering economic vitality, or supporting development efforts in areas with a majority of low and moderate income households?
- Will the long-run benefits outweigh the costs of implementation of operations and maintenance?
- Are funds sufficient to complete the entire project or a fully functional phase?
- Can funds from other sources (such as impact fees), including the private sector, be leveraged?
- Does the project place excessive burdens on the local government’s operating budget?
- Have other alternatives for meeting the need been thoroughly explored?

9. Analyze capacity.
When entities or departments are considering their capital priorities, a financial assessment should be made of the entity’s fiscal capacity by a finance officer or equivalent. This will determine the amount of capital investment the entity can maintain while still retaining its credit. A draft list of tasks to completion should be listed with timeframes and the person or position that should carry out the task. Tasks can be, for example: 1.) Secure funding; 2.) Complete planning, design and architectural plans; 3.) Initiate and manage bid process; 4.) Manage construction; 5.) Internal capacity to administer project during implementation; 6.) Operate and maintain facility upon completion.

10. Identify funding needs and possible funding sources. Establish a Preliminary Implementation Plan (a timetable) for each project.
After the projects have been evaluated, prioritized, and linked to a potential funding source, each project should be planned from funding to completion. Include funding sources, timelines, and project phases. For suggested funding sources and financing mechanisms, see page 23-24 of the ICIP Guidelines.

11. Develop a draft ICIP.
Staff prepares a preliminary five-year project priority list and draft plan, including a summary of how the entity developed the plan (the process), goals, trends, inventory, and projects. The ICIP database provides a format for creating a plan and, when planning data has been entered and reports are printed, the database provides a narrative report for the entity.

12. Seek feedback on the draft from all interested parties.
The entity’s Chief Administrative Officer (CAO), Manager, or Chief Executive Officer (CEO) will review the preliminary ICIP. Final consultation is held with those in the community who volunteered to review the plan.
Public hearings may be held again to show the community the final draft and to receive last minute additions or corrections.

13. **Re-evaluate prioritization of needs, if necessary. Finalize the ICIP.**
The local coordinator accommodates suggested revisions to ICIP from top management, department heads, technical experts, and the public. A finalized timetable for completion of each project is established, including each task needed to complete the project, the person responsible for completing the task, and the timeframe in which the task should be completed.

14. **Submit ICIP to Governing Body and adopt plan.**
Formally adopt ICIP by resolution (Resolution Template Sample - Appendix II is available on pg. 30 and can be downloaded on the ICIP website at [https://www.nmdfa.state.nm.us/local-government/icip/](https://www.nmdfa.state.nm.us/local-government/icip/)).

15. **Enter Final ICIP into the ICIP Database.**
ICIP worksheets are provided in Word format in Appendix IV (pg. 28-37) and available on the ICIP Website at [https://www.nmdfa.state.nm.us/local-government/icip/](https://www.nmdfa.state.nm.us/local-government/icip/) to assist in organizing your projects. The next step is to input project information into the ICIP database at [http://https://https://www.state.nm.us/capitalprojects/](http://https://https://www.state.nm.us/capitalprojects/).

16. **Submit the plan to Local Government Division.**
All ICIP required documents must be received by the DFA/LGD as determined on the FY 2023-2027 ICIP Submission Checklist (pg. 39) for each entity.
1. **Sources of Assistance in Developing the ICIP**

**General Assistance--Local Government Division**

Carmen Morin, Bureau Chief  
Community Development Bureau  
Department of Finance & Administration/State of NM  
407 Galisteo, Bataan Memorial Bldg. Rm 202  
Santa Fe, NM 87501  
(505) 470-8979  
CarmenB.Morin@state.nm.us

**Tribal Governments/Nations/Chapters**

**Indian Affairs Department, State of New Mexico/Santa Fe**  
Chandler Kahawai, CPO - Capital Outlay & TIF Administrator, chandler.kahawai@state.nm.us, (505) 476-1600  
Lawrence John, TIF/Capital Outlay Administrator, lawrence.john@state.nm.us, (505) 690-2997

**Navajo Nation (Chapters)/Shiprock**  
Denise Copeland, drecopeland@nndcd.org, (505) 368-1059 (provides assistance for Chapters)  
Kyle Rockbridge, Division of Aging & Long Term Care Support (DALTCS), kylerockbridge@navajo-nsn.gov, (928) 871-6248 (provides assistance for Chapter Senior Citizen Centers)

**Acequias**

**NM Acequia Commission**  
Ralph Vigil, Chair, molinodelaisla@gmail.com, (505) 603-2879

**NM Acequia Association/Santa Fe**  
Serafina Lombardi, serafina@lasacequias.org, (505) 995-9644

**Land Grant**

**Land Grant Council**  
Juan Sanchez, Chair, chililinmlgc@gmail.com, (505) 249-6759

**Other Sources of Assistance**

*Engineering Firms; Architectural Firms; and/or Construction Management Companies*
The NM Council of Governments (COG), are organized as NewMARC: the New Mexico Association of Regional Councils. NewMARC’s mission is to promote and support the prosperity of New Mexico’s communities through regional planning and collaboration, coordination of federal and state programs and resources, and locally tailored planning and technical assistance services. The COG in your region has expressed a commitment to help ICIP qualified entities complete the ICIP process. Please consult these entities for help in understanding the process and in completing the database.

These organizations were created by state and federal legislation (Article 58, Planning Districts and NMSA 1978, Section 4-58-1 through 4-58-6, "Planning District Act"). There are seven (7) regional planning districts in New Mexico with the basic mission of assisting local governments. Each of the seven planning districts is unique, however, not in services provided. By virtue of the direction given them by their respective boards, commissions or councils, each has special areas of concentration, such as programs related to seniors, housing, transportation, Colonia’s, business development, community development, economic development and planning.

Planning districts assist in the development and review of local government applications for capital projects and financial assistance from state and federal governments. They provide review and comment on state plans for highways, public works projects and planning within their region to promote coordination with governmental agencies and activities. Counties, municipalities, other political subdivisions and quasi-governmental agencies may receive assistance from the planning districts.

### Councils of Government by County

**Eastern Plains COG/Clovis:** Union, Harding, Quay, Curry, Roosevelt, Guadalupe and De Baca counties;  
Sandy Chancey, Executive Director [schancey@epcog.org](mailto:schancey@epcog.org), (575) 762-7714; Vincent Soule [vsoule@epcog.org](mailto:vsoule@epcog.org), and Raymond Mondragon [rmondragon@epcog.org](mailto:rmondragon@epcog.org)

**Mid Region COG/Albuquerque:** Sandoval, Bernalillo, Valencia, Torrance and southern Santa Fe counties;  
Dewey Cave, Executive Director [dcave@mrcog-nm.gov](mailto:dcave@mrcog-nm.gov), (505) 247-1750; Maida Rubin [mrubin@mrcog-nm.gov](mailto:mrubin@mrcog-nm.gov), (505) 247-1750

**North Central NM Econ. Dev. Dist./Santa Fe:** Rio Arriba, Santa Fe, Taos, Los Alamos, Colfax, Mora and San Miguel counties; Monica Abeita, Executive Director [monicaa@ncnmedd.com](mailto:monicaa@ncnmedd.com); (505) 395-2668

**Northwest NM COG/Gallup:** San Juan, McKinley and Cibola counties; Evan Williams, Executive Director [ewilliams@nwnmcog.org](mailto:ewilliams@nwnmcog.org); (505) 722-4327, Carrie House, [chouse@nwnmcog.org](mailto:chouse@nwnmcog.org) (San Juan Area); Angelina Grey, [agrey@nwnmcog.org](mailto:agrey@nwnmcog.org) (McKinley Area); and Robert Kuipers, [rkuipers@nwnmcog.org](mailto:rkuipers@nwnmcog.org) (Cibola Area)

**Southwest NM COG/Silver City:** Catron, Hidalgo, Luna, and Grant counties;  
Priscilla C. Lucero, Executive Director [priscillalucero@swmncog.org](mailto:priscillalucero@swmncog.org), (575) 388-1509

**Southeastern NM Econ. Dev. Dist./Roswell:** Lincoln, Otero, Chaves, Eddy and Lea counties;  
Dora Batista, Executive Director [dbsnmedd@plateautel.net](mailto:dbsnmedd@plateautel.net) (575) 624-6131; Hubert Quintana, [QandA.inc@outlook.com](mailto:QandA.inc@outlook.com)

**South Central COG/Elephant Butte & Mesilla:** Socorro, Sierra, and Dona Ana counties;  
Jay Armijo, Executive Director [jarmijo@sccog-nm.com](mailto:jarmijo@sccog-nm.com), (575) 744-4857; and Tiffany Goolsby [tigoolsby@sccog-nm.com](mailto:tigoolsby@sccog-nm.com), (575) 740-2926
## 2. Technical Assistance Providers

<table>
<thead>
<tr>
<th>Name</th>
<th>Director/Address</th>
<th>Phone / Email</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Mexico State University Water Utilities Technical Assistance Program&lt;br&gt;Robert Gott, Consultant (no website)</td>
<td>PO Box 4192&lt;br&gt;Santa Fe, NM 87502</td>
<td>(505) 466-8813&lt;br&gt;<a href="mailto:gottconsulting@qwestoffice.net">gottconsulting@qwestoffice.net</a></td>
<td>(505) 466-8813</td>
</tr>
<tr>
<td>American Council of Engineering Companies (ACEC) NM &amp; Professional Technical Advisory Board&lt;br&gt;www.ptabnm.org</td>
<td>PO Box 3773&lt;br&gt;Albuquerque, NM 87190-3773</td>
<td>(505) 888-6161&lt;br&gt;<a href="mailto:ptab@acecnm.org">ptab@acecnm.org</a></td>
<td>n/a</td>
</tr>
<tr>
<td>Bureau of Business and Economic Research&lt;br&gt;Jeff Mitchell, Director&lt;br&gt;<a href="http://bber.unm.edu/">http://bber.unm.edu/</a></td>
<td>1920 Lomas Blvd NE&lt;br&gt;University of New Mexico&lt;br&gt;Albuquerque NM 87131-6021</td>
<td>(505) 277-2216&lt;br&gt;or (505) 277-3038&lt;br&gt;<a href="mailto:dbinfo@unm.edu">dbinfo@unm.edu</a>&lt;br&gt;<a href="mailto:jeffm@unm.edu">jeffm@unm.edu</a></td>
<td>(505) 277-7066</td>
</tr>
<tr>
<td>New Mexico Rural Water Association&lt;br&gt;www.nmrwa.org</td>
<td>3413 Carlisle NE&lt;br&gt;Albuquerque, NM 87411</td>
<td>(505) 884-1031&lt;br&gt;(800) 819-9893</td>
<td>(505) 884-1032</td>
</tr>
<tr>
<td>National Environmental Services Center&lt;br&gt;www.nesc.wvu.edu</td>
<td>West Virginia University&lt;br&gt;PO Box 6064&lt;br&gt;Morgantown, WV 26506-6064</td>
<td>(800) 624-8301&lt;br&gt;<a href="mailto:info@mail.nesc.wvu.edu">info@mail.nesc.wvu.edu</a></td>
<td>(304) 293-3161</td>
</tr>
<tr>
<td>Rural Community Assistance Corporation&lt;br&gt;www.rcac.org</td>
<td>811 St. Michaels Dr./Ste 202&lt;br&gt;Santa Fe, NM 87505</td>
<td>(505) 983-5074&lt;br&gt;<a href="mailto:bsurgeon@rcac.org">bsurgeon@rcac.org</a></td>
<td>n/a</td>
</tr>
<tr>
<td>Environmental Finance Center&lt;br&gt;Dr. Clinton P. Richardson, P.E., BCEE&lt;br&gt;Department Chair and Professor&lt;br&gt;<a href="https://www.nmt.edu/academics/ceeng/">https://www.nmt.edu/academics/ceeng/</a></td>
<td>New Mexico Tech Department of Civil &amp; Environmental Engineering&lt;br&gt;801 Leroy Place&lt;br&gt;Socorro, NM 87801</td>
<td>Office: Jones Hall Annex 111 ·&lt;br&gt;Phone: (575) 835 - 5467&lt;br&gt;<a href="mailto:clinton.richardson@nmt.edu">clinton.richardson@nmt.edu</a></td>
<td>n/a</td>
</tr>
<tr>
<td>Agency Technical Assistance Funding Contacts</td>
<td>Community Development</td>
<td>Colonia’s Economic Development</td>
<td>Emergency</td>
</tr>
<tr>
<td>---------------------------------------------</td>
<td>-----------------------</td>
<td>-------------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>Federal Emergency Management Administration (FEMA) <a href="http://www.fema.gov">http://www.fema.gov</a></td>
<td></td>
<td></td>
<td>X X X</td>
</tr>
<tr>
<td>U.S. Small Business Administration (SBA) <a href="http://www.sba.gov">http://www.sba.gov</a></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td><strong>STATE AGENCIES</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Construction Programs Bureau, New Mexico Environment Department (NMED-CPB) <a href="http://www.nmenv.state.nm.us/cpb/cpbttop.html">http://www.nmenv.state.nm.us/cpb/cpbttop.html</a></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NM Department of Transportations (NMDOT) <a href="http://dot.state.nm.us/">http://dot.state.nm.us/</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NM Economic Development Department (NMEDD) <a href="http://www.edd.state.nm.us">http://www.edd.state.nm.us</a></td>
<td>X X X</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Agency Technical Assistance Funding Contacts continued…

<table>
<thead>
<tr>
<th>Agency</th>
<th>Funding Areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>NM Indian Affairs Department (IAD) <a href="http://www.iad.state.nm.us">http://www.iad.state.nm.us</a></td>
<td>Agency facilitates funding from NM Legislature, acts as liaison for Nations, promotes economic, environmental, health and safety programs.</td>
</tr>
<tr>
<td>Local Government Division, NM Department of Finance &amp; Administration (DFA-DFA/LGD) <a href="http://local.nmdfa.state.nm.us">http://local.nmdfa.state.nm.us</a></td>
<td>X, X, X, X, X, X, X, X, X, X</td>
</tr>
<tr>
<td>INTERNATIONAL ORGANIZATIONS</td>
<td></td>
</tr>
<tr>
<td>-------------------------------</td>
<td></td>
</tr>
<tr>
<td>Border Environment Cooperation Commission (BECC) [<a href="http://www.becc.org/">http://www.becc.org/</a>]</td>
<td>X</td>
</tr>
<tr>
<td>North American Development Bank (NAD Bank) [<a href="http://www.nadb.org">http://www.nadb.org</a>]</td>
<td>X</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FEDERAL AGENCIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>U.S. Army Corps of Engineers (ACOE) [<a href="http://www.usace.army.mil/">http://www.usace.army.mil/</a>]</td>
</tr>
<tr>
<td>Bureau of Indian Affairs, U.S Department of the Interior (BIA) [<a href="http://www.bia.gov">http://www.bia.gov</a>]</td>
</tr>
<tr>
<td>U.S. Department of Transportation (USDOT) [<a href="http://www.dot.gov">http://www.dot.gov</a>]</td>
</tr>
<tr>
<td>U.S. Environmental Protection Agency (EPA) [<a href="http://www.epa.gov">http://www.epa.gov</a>]</td>
</tr>
</tbody>
</table>
### 3. Capital Financing Table

<table>
<thead>
<tr>
<th>TYPE OF CAPITAL PROGRAM</th>
<th>REVENUE SOURCES</th>
<th>FINANCING MECHANISM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Municipal &amp; County Roads, Bridges</td>
<td>Gas taxes, tolls, vehicle registration fees, Federal Aid (FAU) grants, property tax</td>
<td>Revenue bonds, General Obligation bonds</td>
</tr>
<tr>
<td>Sanitary Wastewater Collection &amp; Treatment</td>
<td>User charges, system development charges, connection charges, grants, property tax</td>
<td>Revenue bonds, Revolving Loan Funds, Federal Loan/Grants, General Obligation bonds</td>
</tr>
<tr>
<td>Storm &amp; Surface Water Control</td>
<td>User charges, system development charges, connection charges, grants, property tax</td>
<td>Revenue bonds, Block grants, Federal Loan/Grants, General Obligation bonds, General Obligation mill levy</td>
</tr>
<tr>
<td>Water Supply, Treatment, Distr.</td>
<td>User charges, system development charges, connection charges, grants, property tax</td>
<td>Revenue bonds, Block Grants, Federal Loan/Grants, Revolving Loan Funds, General Obligation bonds</td>
</tr>
<tr>
<td>Local Improvements</td>
<td>Assessments, impact fees</td>
<td>Assessment bonds, Public Improvement Districts</td>
</tr>
<tr>
<td>General Municipal/County Facilities &amp; Equipment</td>
<td>General fund revenues, property taxes, gross receipt taxes, special revenue funds</td>
<td>Federal Loans, Revolving Loan Funds, General Obligation bonds, Revenue bonds</td>
</tr>
<tr>
<td>Transit</td>
<td>Sales taxes, fare box revenue, payroll taxes, property taxes, vehicle registration fees, UMTA grants</td>
<td>Revenue bonds, General Obligation bonds</td>
</tr>
<tr>
<td>Solid Waste</td>
<td>System development charges, tipping fees, user charges, privatization, property tax</td>
<td>Block grants, Federal Loan/Grants, Revolving Loan Funds, Revenue bonds, General Obligation bonds</td>
</tr>
<tr>
<td>Airports</td>
<td>Airport revenues, property taxes, passenger surcharges, FAA grants</td>
<td>Revenue bonds, General Obligation bonds</td>
</tr>
<tr>
<td>Cultural Facilities</td>
<td>Sin taxes, operational revenues, lodgers tax</td>
<td>Revenue bonds</td>
</tr>
<tr>
<td>Parks &amp; Recreation</td>
<td>Property taxes, system development fees</td>
<td>General Obligation bonds, Revenue bonds</td>
</tr>
<tr>
<td>Public Assembly/Convention Facilities</td>
<td>Lodgers tax, sin taxes, property taxes, operational revenues, private sponsorships</td>
<td>Revenue bonds, Certificates of Participation, General Obligation bonds</td>
</tr>
<tr>
<td>Housing</td>
<td>Rental, mortgage payments</td>
<td>Revenue bonds, Revolving Loan Funds, Federal NOFAs</td>
</tr>
<tr>
<td>Economic Development</td>
<td>Tax increment, developer loan repayments, assessments</td>
<td>Urban renewal &amp; redevelopment bonds, assessment bonds, Block grants</td>
</tr>
</tbody>
</table>
E. Potential Project Funding Sources

More often than not, projects that appear on the ICIP will require the leveraging of multiple funding sources. There are several funding agencies and technical assistance providers that can assist in matching their funding programs with your capital priorities. Certain activities are linked technically, by policy, or traditionally, with financing mechanisms and revenue sources. The Capital Financing Table (pg. 22) provides a common linkage of facilities or capital activities with financing mechanisms and with revenue sources; however, there is not a definite funding formula for any type of project. More often than not, projects that appear on the ICIP will require the leveraging of multiple funding sources. There are several funding agencies and technical assistance providers that can assist in matching their funding programs with your capital priorities. The FUNDIT program, available through the NM Economic Development Department can be a great resource when searching for funding sources for projects. More information is available on their website at https://gonm.biz/business-resource-center/edd-programs-for-business/finance-development/fundit/.

The methods to obtain funding are as diverse as the number of programs. In order to match needs and goals with available resources, the DFA/Capital Outlay Bureau compiled the Catalog of Local Assistance Programs that puts into one format the dozens of diverse programs offered by the State of New Mexico. This catalog is the first step in providing local governments with a guide to working with state programs to meet local needs. Although primarily designed for use by municipalities, counties, and special districts, the catalog includes a number of programs available to Indian tribes, pueblos, and nations, as well as non-profit organizations and school districts. This catalog may be accessed at https://www.nmdfa.state.nm.us/budget-division/capital-outlay-bureau/.

There are also many programs administered by federal or private agencies. The Catalog of Federal Domestic Assistance, which provides a comprehensive list of all federal funding availabilities, may be found in many local and university libraries. The catalog is also at the State Library, which acts as the main depository for information on federal programs, legislation and information.

Entities interested in learning more about public infrastructure in New Mexico may wish to attend the New Mexico Infrastructure Finance Conference (NMIFC). Held annually, this conference brings together approximately fourteen financing agencies, which sponsor the conference, with attendees from local governments throughout New Mexico. The 25th Annual New Mexico Infrastructure Finance Conference will be held virtually on October 27 & 28, 2021. Visit the NMIFC website at http://www.nmifc.com/ for more information.

For information on private and public sources of funding, contact Janet Dombrowski, Foundation Center, State Library of New Mexico at 505-476-9702; 1209 Camino Carlos Rey (off Cerrillos), Santa Fe. Please make an appointment to assure that the center’s librarian will have time to guide you through the information.
<table>
<thead>
<tr>
<th>FUND</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community Development Block Grants</td>
<td>Community Development Block Grants (CDBG). Small Cities (administered by Local Government Division) <a href="https://www.nmdfa.state.nm.us/local-government/community-development-bureau/cdbg-information/">https://www.nmdfa.state.nm.us/local-government/community-development-bureau/cdbg-information/</a></td>
</tr>
<tr>
<td>Federal Grants</td>
<td>Federal grants such as those from USDA-Rural Utilities Service (RUS), Economic Development Assistance Program (EDA), Environmental Protection Agency (EPA), or U.S. Department of Housing and Urban Development (HUD), GRANTS.GOV <a href="http://www.grants.gov/">http://www.grants.gov/</a>, etc.</td>
</tr>
<tr>
<td>Federal Loans</td>
<td>Federal loans such as Transportation Infrastructure Finance and Innovation Act (TIFIA); U.S. Department Housing and Urban Development (HUD); RUS, EDA</td>
</tr>
<tr>
<td>Local Funds</td>
<td>Local general funds including taxes, user fees and miscellaneous other funds.</td>
</tr>
<tr>
<td>Local Bonds</td>
<td>Local bonds such as revenue or general obligation.</td>
</tr>
<tr>
<td>NMED Grant</td>
<td>NM Environmental Department (NMED) <a href="http://www.nmenv.state.nm.us/">http://www.nmenv.state.nm.us/</a></td>
</tr>
<tr>
<td>DFA Grant</td>
<td>Department of Finance Administration (DFA) <a href="https://www.nmdfa.state.nm.us/">https://www.nmdfa.state.nm.us/</a></td>
</tr>
<tr>
<td>NMFA Grant</td>
<td>NM Finance Authority (NMFA) <a href="http://www.nmfa.net/">http://www.nmfa.net/</a></td>
</tr>
<tr>
<td>DOT Grant</td>
<td>State Highway Department (NMSHTD) <a href="http://dot.state.nm.us/en.html">http://dot.state.nm.us/en.html</a></td>
</tr>
<tr>
<td>ALTSD</td>
<td>NM Aging &amp; Long-Term Services (ALTSD) <a href="http://www.nmaging.state.nm.us/">http://www.nmaging.state.nm.us/</a></td>
</tr>
<tr>
<td>IAD</td>
<td>Indian Affairs Department (IAD) <a href="http://www.iad.state.nm.us/">http://www.iad.state.nm.us/</a></td>
</tr>
<tr>
<td>NMEDDD Grant</td>
<td>NM Economic Development (NMEDD) <a href="http://www.gonm.biz/">http://www.gonm.biz/</a></td>
</tr>
<tr>
<td>State Grants</td>
<td>State grants including NM Mortgage Finance Authority (MFA), and Tribal Infrastructure Fund (TIF).</td>
</tr>
<tr>
<td>NMED Loan</td>
<td>NM Economic Development (NMED) <a href="http://www.nmenv.state.nm.us/">http://www.nmenv.state.nm.us/</a></td>
</tr>
<tr>
<td>NMFA Loan</td>
<td>NM Finance Authority (NMFA) <a href="http://www.nmfa.net/">http://www.nmfa.net/</a></td>
</tr>
<tr>
<td>NMEDD Loan</td>
<td>NM Economic Development (NMEDD) <a href="http://www.gonm.biz/">http://www.gonm.biz/</a></td>
</tr>
<tr>
<td>Capital Outlay</td>
<td>Capital outlay funds are used to build, improve or equip physical property that will be used by the public. Roads, computers, museums, playgrounds, schools, irrigation ditches, hospitals, lands, and furniture can all be capital outlay projects. In New Mexico, state capital outlay is authorized by the Legislature and generally is nonrecurring – one-time – money. Because of provisions in the New Mexico Constitution, capital outlay can only be used for government-owned facilities.</td>
</tr>
<tr>
<td>General Obligation Bonds</td>
<td>Legislative appropriations either state general funds, state general obligation bonds for severance tax bonds.</td>
</tr>
</tbody>
</table>
Appendix I: ICIP Completion Certification Form Example

FY 2023-2027 ICIP Completion Certification Form

This certifies that

[ ] Official Entity Name
[ ] ICIP Entity Code

has completed and entered the information required for the FY 2023-2027 Infrastructure Capital Improvement Plan (ICIP), to include the following for each project (please check mark each item completed):

1. Entity Information.
[ ] ICIP Officer, Procurement Officer, Financial Officer: name, telephone, email
[ ] COG District number
[ ] Address Information
[ ] Entity type
[ ] Compliant with Executive Order 2013-006
[ ] Asset management plan and/or inventory listing of capital assets
[ ] Project Priority Process
[ ] Capital Improvement Goals
[ ] Factors/Trends Considered

2. Capital Project Detail.
[ ] Priority
[ ] Year/Rank
[ ] Project Title
[ ] Project Contact Information
[ ] Total Project Cost
[ ] Class
[ ] Type/Subtype
[ ] Project Location (include Latitude/Longitude)
[ ] Legislative Language
[ ] Scope of Work
[ ] Secured/Potential Funding Budget
[ ] Project Budget
[ ] Phasing Budget
[ ] Operating Budget
[ ] Who will Own, Operate, Fiscal Agent, Own Land, Own Asset, and Maintain?
[ ] #19 Answer all questions as related to each specific project

______________________________________________    _______________________
Authorized Signature                                      Date (xx/xx/yyyy)

______________________________________________
Printed Name
Appendix II: Resolution Template Example

County, Municipality/Tribal Government/Special District of

______________________________________________

COUNTY OF ____________________________

Resolution No. ____________________________

A RESOLUTION
ADOPTING THE FY 2023-2027 INFRASTRUCTURE CAPITAL IMPROVEMENT PLAN (ICIP)

WHEREAS, the ____________________________ of ____________________________ recognizes that the financing of public capital projects has become a major concern in New Mexico and nationally; and

WHEREAS, in times of scarce resources, it is necessary to find new financing mechanisms and maximize the use of existing resources; and

WHEREAS, systematic capital improvements planning is an effective tool for communities to define their development needs, establish priorities and pursue concrete actions and strategies to achieve necessary project development; and

WHEREAS, this process contributes to local and regional efforts in project identification and selection in short and long range capital planning efforts.

NOW, THEREFORE, BE IT RESOLVED BY THE ____________________________ that:

1. The county/municipality/tribal government/special district has adopted the attached FY 2023-2027 Infrastructure Capital Improvement Plan, and

2. It is intended that the Plan be a working document and is the first of many steps toward improving rational, long-range capital planning and budgeting for New Mexico's infrastructure.

3. This Resolution supersedes Resolution No. ____________.

PASSED, APPROVED and ADOPTED by the governing body at its meeting of ________________, 2020.

______________________________________________

Mayor/County Commission Chair/Board Chair

ATTEST:

______________________________________________

Municipal/County Clerk/Other Testator
Appendix III: Permission for Access Form Example

FY 2023-2027 ICIP Permission for Access Form
(Must be a political subdivision of the state - municipality, county, special district, tribe, or senior center facility.)

__________________________________________ (Entity Name) agrees to provide the following agency or individual the authority to enter the Infrastructure Capital Improvement Plan (ICIP) website and manipulate the FY 2023-2027 Infrastructure Capital Improvement Plan database for this entity.

Person with signatory authority for this local government entity to give such permission:

Name: _______________________________ Title: _______________________________
Entity/Agency Name: _______________________________
Address: _______________________________
City: __________________ State: ______ Zip: _______ County: _______________
Phone: __________________ Email: __________________
Signature: ___________________________ Date: ___________________________

Agency or individual who has been given authority to enter the ICIP data on behalf of said entity:

Name: _______________________________ Title: _______________________________
Entity/Agency Name: _______________________________
Address: _______________________________
City: __________________ State: ______ Zip: _______ County: _______________
Phone: __________________ Email: __________________
Signature: ___________________________ Date: ___________________________
Appendix IV: Local Government ICIP Worksheets

FY 2023-2027 Infrastructure Capital Improvement Plan

To: Local Government ICIP Coordinators
From: DFA/LGD

The following worksheets include the questions in the ICIP database and will help you get started with the ICIP process. It may be helpful to distribute the worksheets to departments, board members, staff and other interested parties. The worksheets will provide you with information you need to coordinate your plan. All the questions may not be relevant to all interested parties. It might be necessary to provide each department with only the forms that are relevant to them. Ultimately, all information received must be entered into the ICIP database to be included in the final document. DO NOT submit the ICIP worksheets.

The database can be accessed at https://www.state.nm.us/capitalprojects/. The entity’s code and password are assigned for each entity. If you are new participants to the ICIP, email Carmen Morin at CarmenB.Morin@state.nm.us to request and entity code and password. Please provide your contact name, entity name, address, telephone, email address, and county your entity is located in, and if you have a preferred password name. Your entity code will be provided by DFA/LGD. Entities that wish to change their passwords should contact Carmen Morin via email at CarmenB.Morin@state.nm.us. If you do not have internet access, you can call your local COG or assisting agency; they will be able to assist you enter data from the worksheets to the database.

A list of Councils of Government, the New Mexico Acequia Association, the Navajo Nation Capital Improvement Technical Assistance Provider, other assistance providers, and agency funders can be found on page 16-21 of the ICIP Guidelines.

To be included in the ICIP publication printed by the DFA/LGD, your project information must be entered into the ICIP database, and the required hard copy documents in Appendix V (pg. 39-40), must be submitted no later than 5:00 p.m. on your specific entities deadline as determined by DFA/LGD. For extension and/or amendment information, please go to page 40.

FY2023-2027 ICIP Submission Deadlines:

- **Special Districts** – Friday, September 3, 2021
- **Tribal Governments** – Friday, September 17, 2021
- **Counties and Municipalities** – Friday, September 17, 2021
- **Senior Citizen Facilities** – Friday, October 1, 2021

Do not mail or fax ICIP submission to DFA/LGD. Follow instructions for submission as stated on Appendix V on page 39 of ICIP Guidelines.
**Entity Profile. All fields are MANDATORY.** (Provide the following basic information about your entity. It is not necessary to re-enter this information each year, but please update and make changes as necessary. Some fields will automatically populate when you log in to database.)

Local Government Name: ____________________________________________________________

Address: __________________________________________________________________________

City, State, Zip: ___________________________________________________________ County: __________________________

Email: __________________________ Phone: (____) _____________

ICIP Officer Name: ________________________________________________________________

Email: __________________________ Phone: (____) _____________

Procurement Officer Name: __________________________________________________________

Email: __________________________ Phone: (____) _____________

Financial Officer Name: ____________________________________________________________

Email: __________________________ Phone: (____) _____________

Entity Type:

☐ County
☐ Municipality
☐ Tribal Government
☐ Special District (add drop down)
  ▪ Acequias/Ditches
  ▪ Flood Control District
  ▪ Land Grants
  ▪ Mutual Domestic Water Consumer Associations
  ▪ Soil & Water District
  ▪ Solid Waste Authority
  ▪ Water & Sanitation
  ▪ Water Association
  ▪ Other Special District
☐ Senior Citizen Facility

**Executive Order 2013-006 Compliance.**
Is your entity compliant with Executive Order 2013-006? (https://www.nmdfa.state.nm.us/budget-division/capital-outlay-bureau/) Yes ☐ No ☐

Does your entity have an asset management plan and/or inventory listing of capital assets? Yes ☐ No ☐ (A copy of asset management plan or inventory listing may be requested by funding agency.)
Entity Planning: Process, Nature/Effect/Options/Recommendations of Trends:  (Provide this “Entity Planning” information as it applies to your entire entity.)

**Process:** (4,000 maximum characters allowed) What was the process used to develop the plan? Describe involvement of departments, staff, officials, and outside consultants. What public input did you have? Did you have public hearings? If so, when? How did you prioritize your projects?

Type response in Box.

**Goals:** (2,000 maximum characters allowed) What are the entity’s overall capital improvement goals?

Type response in Box.

**Factors/Trends Considered:** (2,000 maximum characters allowed) What are the major factors/trends in your community? How were they taken into consideration during the planning process? How will your community respond to them?

Type response in Box.
**Project Information** For purposes of the ICIP, a project is any partially funded or unfunded capital improvement for which the entity plans to have funding in place during state fiscal years FY 2023-2027 (July 1, 2022 to June 30, 2027). **DO NOT INCLUDE ANY FULLY FUNDED PROJECTS or PLACEDHOLDER PROJECTS.** This worksheet provides pages for only one FY 2023-2027 project. If you would like more blank worksheets for additional projects, please copy this form before you fill in the blanks. Information must be entered into the website. Do not submit these worksheets with the ICIP submission.

1. **Priority**-Please select High, Medium, or Low. (drop down list)

2. **Rank:** (Enter the appropriate project year (FY 2023-2027), then rank your projects 1-10): _____-____ (The database will not allow you to list the same rank for multiple projects. The first 2023 top 5 projects listed may begin with preference if your entity is seeking State Capital Outlay funds or other state funding.)

3. **Title:** Provide a short succinct title. Example: Gold Street Improvements or WWTP Upgrades. Use sentence title structure - Senior Center Renovations.

   (50 maximum characters allowed)

4. **Contact Information:** (Please provide contact information of individual who can provide detailed information on the project) Project Contact Name: ______________________ Phone __________ Email __________

5. **Total project cost:** _________________________________ (Will self-populate when Project Budget is saved)

6. **Proposed project start date:** ____________ Example, July 2022.

7. **Class:** (If your project is a brand-new project you will choose the category – “New”. If you are upgrading or renovating an existing building, choose “Renovate/Repair; if you are relining lagoons or replacing waterline, choose Replacing Existing.) New ☐; Replacing Existing ☐; or Renovate/Repair ☐

8. **Type:** (Choose one of the following categories. Note that several categories may fit your project; however, choose the BEST, most descriptive category. Each category includes buildings, vehicles, equipment, land acquisition, and other infrastructure. All categories apply to both state and local infrastructure unless otherwise indicated.)

   - Facilities ☐
   - Transportation ☐
   - Water ☐
   - Vehicles ☐
   - Equipment ☐
   - Other ☐

   **Subtype:** Please select subtype that best fits project.

   - Facilities ☐
   - Administrative Facilities ☐
   - Arts (other than museums) ☐
   - Convention Facilities ☐
   - Cultural Facilities ☐
   - Daycare Facilities ☐
   - Domestic Violence Facilities ☐
   - Fire Facilities ☐
   - Health-Related Cap Infrastructure ☐
   - Housing-Related Cap Infrastructure ☐
   - Libraries ☐
   - Museums ☐
   - Senior Facilities ☐
   - Other ☐
### Transportation
- [ ] Airports
- [ ] Bike/Pedestrian/Equestrian
- [ ] Highways/Roads/Bridges
- [ ] Lighting
- [ ] Medians
- [ ] Rest Areas
- [ ] Transit
- [ ] Other

### Water
- [ ] Storm/Surface Water Control
- [ ] Wastewater
- [ ] Water Rights
- [ ] Water Supply
- [ ] Other

### Vehicles
- [ ] Public Safety Vehicle
- [ ] Senior Facility Vehicle
- [ ] Other

### Equipment
- [ ] Public Safety Equipment
- [ ] Senior Center Equipment
- [ ] Other

### Other
- [ ] Landfills
- [ ] Solid Waste
- [ ] Utilities (publicly owned)
- [ ] Other

### Project Location: MANDATORY.
(50 characters maximum) (Physical address or mid-point address if city/county wide project of project)
Address: ____________________________________________
City: ____________________________ State: _____ Zip: ____________

### Latitude: _______________ Longitude: _______________ MANDATORY

### Legislative Language: (500 maximum characters allowed) Provide recommended Legislative language. Use descriptors, such as: “To Acquire” or "To plan and design" or "To design and construct" or “To equip and furnish” as well as what the project is, such as "a multipurpose center". Provide a broad statement of the work to be completed in this section. Include only specifics on the projected use of the requested funding. It is important to complete this section, as it is tied to how funding may be used.

Type Response in Box.
Example: to plan, design, construct, furnish and equip a new fire station for (entity name), in _____________ county.
12. **Scope of Work:** (2500 maximum characters allowed) Provide a brief description of work to be completed. Must match budget categories. (i.e., complete Environmental Studies, plan, design, and construct). Do not include justification for the project, only specifics on the project itself and any funds that may have already been expended, and what is being requested in order to complete next phase or complete the project. If street/roads/hwy. project, include street name(s).

Type in response in Box:
Example – New Fire Station
Plan, design, and construct a new Fire Station. The building will be 10,000 sq. ft. pre-engineered metal building with a cultured stone/EIFS finish on exposed exterior areas, with two '40' X 80' apparatus bays. The project will be completed in three phases. Phase I will include the easements, cultural resource inventory, environmental assessment, the planning, design and the first half of the construction. The phase will take 12 months with some of the studies being completed concurrently. Phase II consists of the second half of the construction and will be completed in 12 months. Phase III will include the purchase of furnishings and equipment to include furnishings and equipment include tables, chairs, office desks and furniture, commercial kitchen appliances, cots, storage lockers and fire safety equipment. The project will be designed by a registered professional engineer and construction services procured through a sealed bid process.

13. **Secured & Potential Funding Budget**

[State Grant Funding should only be requested when all other funding sources have been exhausted if entity is providing matching funds, i.e. Federal, Local Taxes, Fees, NM Finance Authority Loans (NMFA), Tribal Infrastructure Fund (TIF), Water Trust Board (WTB), Public School Facility Authority (PSFA), Colonia's Infrastructure Board (CIB), etc. Amount Secured must match Funded to Date column in the Project Budget.]

Please complete table below with all secured and potential funding sources. (No decimals or dollar symbols $) Instructions are available on the ICIP Data Entry manual, pages 17-18 which can be found on the ICIP website at [https://www.nm DFA.state.nm.us/local-government/icip/](https://www.nm DFA.state.nm.us/local-government/icip/).

<table>
<thead>
<tr>
<th>Funding Source(s)</th>
<th>Funding Amount</th>
<th>Applied For? Yes or No</th>
<th>Amount Secured</th>
<th>Amount Expended to Date</th>
<th>Date(s) Received</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
14. **Project Budget (Estimated Budget)** Complete the Budget below. Include only unfunded or unsecured funds under each project year. Note: Funded to Date column must equal the amount secured listed in the Funding Budget. (No decimals or $ signs.). All projects must include an amount not yet funded and cannot be Place Holder projects. Instructions available in the ICIP Data Entry manual, pages 19-22, which can be found on the ICIP website at [https://www.nmdfa.state.nm.us/local-government/icip/](https://www.nmdfa.state.nm.us/local-government/icip/).

**PROJECT BUDGET**

Project Budget – Complete the Budget below. Only include unfunded or unsecured funds under each project year. Note: Funded to Date column must equal the amounts received above.

<table>
<thead>
<tr>
<th>Category</th>
<th>Completed (Yes, No, N/A)</th>
<th>Funded to Date</th>
<th>2023</th>
<th>2024</th>
<th>2025</th>
<th>2026</th>
<th>2027</th>
<th>Total Project Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Water Rights</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Easements &amp; ROW</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Acquisition</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Archeological Studies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Environmental Studies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planning</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Design (Engineer/Architect)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Construction</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Furnish/Equip/Vehicles</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTALS</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Amount Not Yet Funded</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
15. PHASING BUDGET

Can this project be phased?  Y ☐  N ☐  (If yes, please complete table below if project is Multi-Phased)

Phasing- Please select Stand Alone or Multi Phase
☐ Stand Alone
  • A project single phase approach is used for projects that can be completed with one process because it is manageable, affordable, and will not require any foreseeable additional resources or activities to be fully operational when complete.

☐ Multi-Phased
  • A project multi-phased approach is used for breaking down very large projects into manageable standalone parts that are independently functional and easier to fund.
  • If the multi-phase approach is being used it is required to provide accurate dates, costs, and funding sources for prior phases, and be able to provide reasonable projections of dates, costs, and funding sources for future phases.
  • In addition, each multi-phase has three main levels: Planning, Design, and Construction. Each level can be funded individually, however strong emphasis is put on completing all three levels.

<table>
<thead>
<tr>
<th>Phase Number</th>
<th>Amount</th>
<th>Plan</th>
<th>Design</th>
<th>Construct</th>
<th>Furnish/Equip</th>
<th>Other Rights, ROW, Easements, Acquisition</th>
<th># Months to Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phase 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phase 3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phase 4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phase 5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Totals</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
16. Has your local government/agency budgeted for operating expenses for the project when it is completed?

Y ☐ If Yes – please complete operating budget below.
N ☐ If No – please explain. (150 maximum characters)

Type response in box.

ANNUAL OPERATING BUDGET

<table>
<thead>
<tr>
<th>Annual Operating Expenses plus Debt Service</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Year 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Operating Revenues</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

17. Does the project lower operating costs?  Y ☐ N ☐

If yes, explain and provide estimates of operating savings. (Include amount of savings.)

Type response in box.

18. Identify who will assume the following responsibilities related to this project
(50 maximum characters for each.)

Fiscal Agent:  ____________________________________________________________

Own:  ___________________________________________________________________
If private entity or non-profit, is a lease or operating agreement in place with the local government?  Y ☐ N ☐

Operate:  ________________________________________________________________
If private entity or non-profit, is a lease or operating agreement in place with the local government?  Y ☐ N ☐

Own Land:  ___________________________________________________________________
If private entity or non-profit, is a lease or operating agreement in place with the local government?  Y ☐ N ☐

Own Asset:  ___________________________________________________________________
If private entity or non-profit, is a lease or operating agreement in place with the local government?  Y ☐ N ☐

Maintain:  ___________________________________________________________________
If private entity or non-profit, is a lease or operating agreement in place with the local government?  Y ☐ N ☐
20. **Additional questions specifically on project.**

(1.) Life Span – How many years is the requested project expected to be in use before needing Renovate/Repair or Replacement?  
Please select  
☐ 1-9 years  
☐ 10-15 years  
☐ 16 years or more.

(2.) Has the project had public input and buy-in? Y ☐  N ☐

(3.) Is the project necessary to address population or client growth, and if so, will it provide services to that population or clientele? Y ☐  N ☐

(4.) Regionalism - Does the project directly benefit an entity other than itself? If yes, please list the other entity.  
Y ☐  N ☐

**Type response in box.**

(5.) Are there oversight mechanisms built in that would ensure timely construction and completion of the project on budget?  
Y ☐  N ☐

**Type response in box.**

(6.) Other than the temporary construction jobs associated with the project, does the project maintain or advance the region’s economy?  
Y ☐  N ☐

**Type response in box.**

(7.) Does the project benefit all citizens within a recognized region, district or political subdivision?  
Y ☐  N ☐  Provide the number of people the project will benefit. _____

(8) Does the project eliminate a risk or hazard to public health and/or safety that immediately endangers occupants of the premises such that corrective action is urgent and unavoidable? Emergencies must be documented by a Subject Matter Expert. (If mandatory, provide summary page of the Federal State or Judiciary Agency who issued the mandate, such as Declaration of Emergency, Administrative Order, Notice of Violation, or other.)

**Type response in box.**
## Sample Evaluation Sheet--Criteria--Ranking of Projects

**Project Title**

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>NUMERICAL SCORING VALUE</th>
<th>SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Public Health and Safety</td>
<td>Project is needed to alleviate existing health or safety hazard (multiply shaded cell x 2).</td>
<td>Project is needed to alleviate potential health or safety hazard.</td>
</tr>
<tr>
<td>2. External Factors</td>
<td>Project is required by law, regulation or court mandate (multiply shaded cell x 2).</td>
<td>Project is required by agreement with another agency or governmental unit.</td>
</tr>
<tr>
<td>3. Protection of Capital Investments</td>
<td>Project is critical to save structural integrity of existing facility(ies) or to repair significant structural deterioration.</td>
<td>Project is needed to repair various systems important to facility operations.</td>
</tr>
<tr>
<td>4. Operating Budget Impact</td>
<td>Project will result in decreased costs in the operating budget.</td>
<td>Project will have minimal or no additional operating and maintenance costs.</td>
</tr>
<tr>
<td>5. Scheduling</td>
<td>Project is to be started within 1 year.</td>
<td>Project is to be started within 2 to 3 years.</td>
</tr>
<tr>
<td>6. Financing</td>
<td>Project own-source revenue will be sufficient to support most project expenses.</td>
<td>A project financing plan has been identified and a proposal has been developed.</td>
</tr>
<tr>
<td>7. Goals</td>
<td>Project has been fully developed. (Timing, costs of design, site preparation, equipment, furnishing, maintenance, and operation.)</td>
<td>A project development plan and proposal has been developed.</td>
</tr>
</tbody>
</table>

Total Score: __________
Appendix V: FY2023-2027 ICIP Submission Check List

*NOTE: Do not submit the ICIP Submission Checklist with the ICIP submission documents. The sole purpose of the checklist to assist entities with proper ICIP submission requirements.

ICIP Planning Information - Completion of planning information in ICIP database to include the following:

Entity Information
☐ ICIP Officer, Procurement Officer, Financial Officer: name, telephone, email
☐ COG District number
☐ Address Information
☐ Entity type
☐ Compliant with Executive Order 2013-006
☐ Asset management plan and/or inventory listing of capital assets
☐ Project Priority Process
☐ Capital Improvement Goals
☐ Factors/Trends Considered

Capital Project Detail
☐ Priority
☐ Year/Rank
☐ Project Title
☐ Project Contact Information
☐ Total Project Cost
☐ Class
☐ Type/Subtype
☐ Project Location (include Latitude/Longitude)
☐ Legislative Language
☐ Scope of Work
☐ Secured/Potential Funding Budget
☐ Project Budget
☐ Phasing Budget
☐ Operating Budget
☐ Who will Own, Operate, Fiscal Agent, Own Land, Own Asset, and Maintain?
☐ #19 Answer all questions as related to each specific project

ICIP SUBMISSION SPECIFICATIONS - Do not mail or fax ICIP submission.
REMIT VIA EMAIL TO: lgd.icip@state.nm.us
Send the following documents when all entity information and project description information has been entered into ICIP database. Do not email the ICIP reports as they will be reviewed from the ICIP database by the coordinator.

ICIP Submission Specifications - Do not mail or fax ICIP submission.
Remit the following via email only to: lgd.icip@state.nm.us
Send the required submission documents when all entity information and project description information has been entered into ICIP database. Do not email the ICIP reports as they will be reviewed online from the ICIP database by the coordinator. Do not include any additional documents, i.e., minutes, agendas, etc.
Required Documents for ICIP Submission: (Submission documents available on the ICIP website at https://www.nmdfa.state.nm.us/local-government/icip/) A Check List is provided in Appendix V. (pg. 38), to assist you in gathering the information needed for your FY 2023-2027 ICIP annual submission. Please do not submit the check list with your ICIP submission.

1. **Completion Certification form** – Appendix I. (Certifies that all information was provided Entity Profile and Project information (sample on pg. 24))

2. **Written approval of ICIP by governing body.** Provide a Resolution of Approval- Appendix II. (sample on pg. 25), from entity governing body. Tribal Governments that are not able to obtain a Resolution may provide a Letter of Approval from a Governor, President, or Chapter President. If an adopted Resolution or Letter of Approval is not included, the ICIP will not be accepted. Senior Citizen facilities must provide a copy of their fiscal agent’s resolution and a letter from director endorsing their ICIP.

3. **Permission for Access Form** - Appendix III. (sample on pg. 26) Complete form to include information Signatory Authority for entity and the individual who will input the ICIP information into the database on behalf of the entity. This person may be contacted by the coordinator if additional information is required.

UNACCEPTABLE ICIP SUBMISSION
1. ICIP submissions received after the deadline will not be accepted.
2. ICIP submissions missing any of the documents listed above as REQUIRED will be deemed non-compliant.

ICIP SUBMISSION EXTENSIONS
ICIP submission extensions will only be accepted after the deadline if an extension request has been approved by DFA/LGD. Extension requests will be reviewed and granted on a case by case basis. In order to be considered for an extension, requests must be submitted in writing via email to Carmen Morin at CarmenB.Morin@state.nm.us. Extension requests must be received by DFA/LGD as listed below. A maximum of two-week extension will be allowed if approved.

AMENDMENT PROCESS
After the final ICIP is published on the DFA website, changes and/or additions are not allowed on your ICIP unless approved by DFA/LGD. All amendment requests must be submitted to DFA/LGD via email and include detail on why the change and/or addition to the ICIP is needed. Once approved, the LGD ICIP Coordinator will provide technical assistance to assure that all required information is included. This will allow DFA/LGD to provide the entity the approved documentation for the funding agency as the addition and/or change will not be included in the final ICIP Publication if it has been published on the LGD/ICIP website.

Submissions missing ANY of the required documents will be considered Non-Compliant, and will risk your ICIP not be included in the final ICIP publication which is published annually on the ICIP website at https://www.nmdfa.state.nm.us/local-government/icip/.