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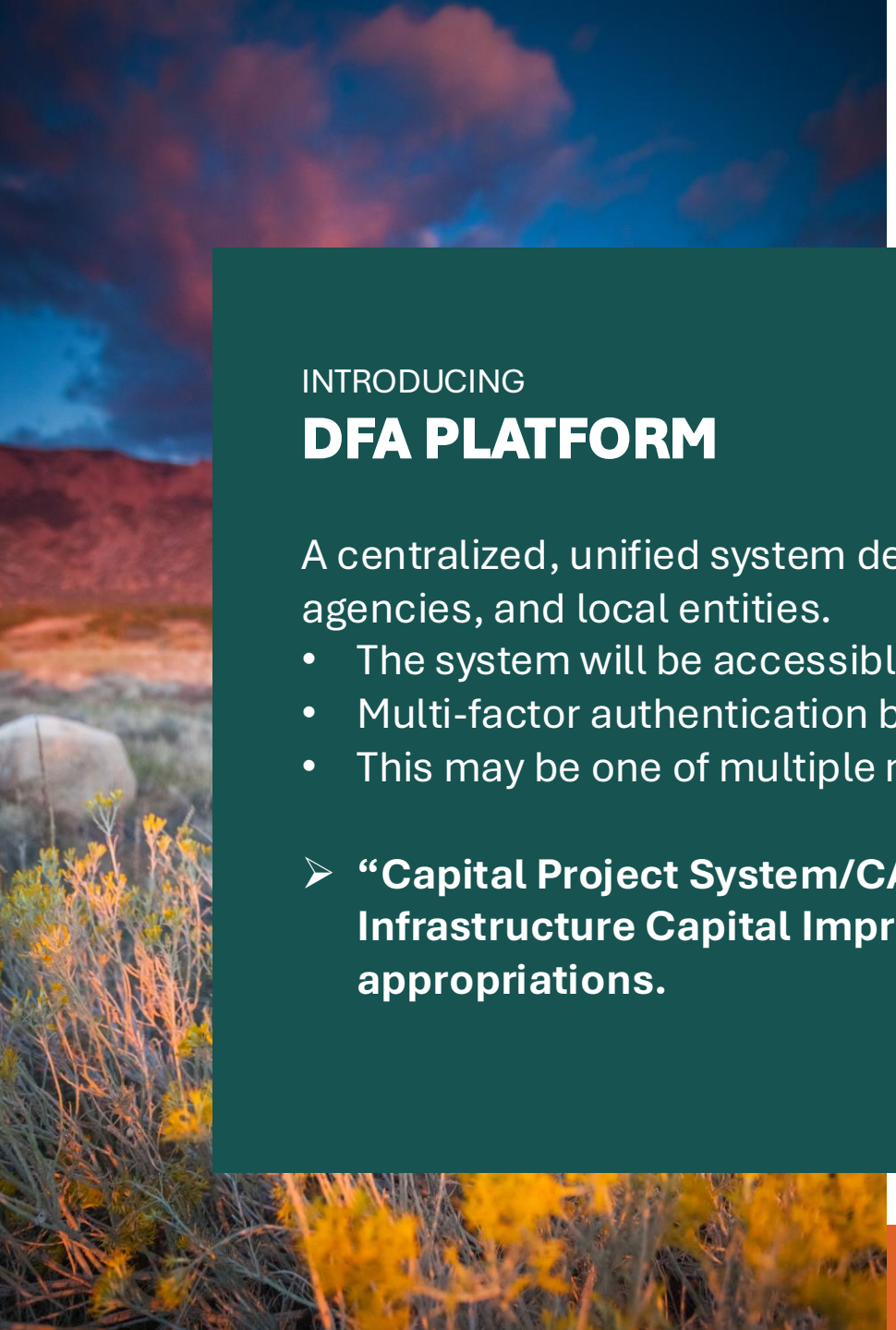
How to use the DFA Platform: Capital Project System (“CAPS”)

Hosted by DFA Infrastructure Planning and Development Division (IPDD)



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INTRODUCING

DFA PLATFORM

A centralized, unified system designed for managing processes between DFA, state agencies, and local entities.

- The system will be accessible from an internet browser at platform.dfa.nm.gov
- Multi-factor authentication by text or email is required
- This may be one of multiple modules a user will have access to

➢ **"Capital Project System/CAPS" within the DFA Platform is used to complete Infrastructure Capital Improvement Plans (ICIP) and report on capital appropriations.**

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CAPS: Training Agenda

HISTORICAL OVERVIEW

NEW CAPS SYSTEM

SYSTEM DEMO

NEXT STEPS

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Historical Overview

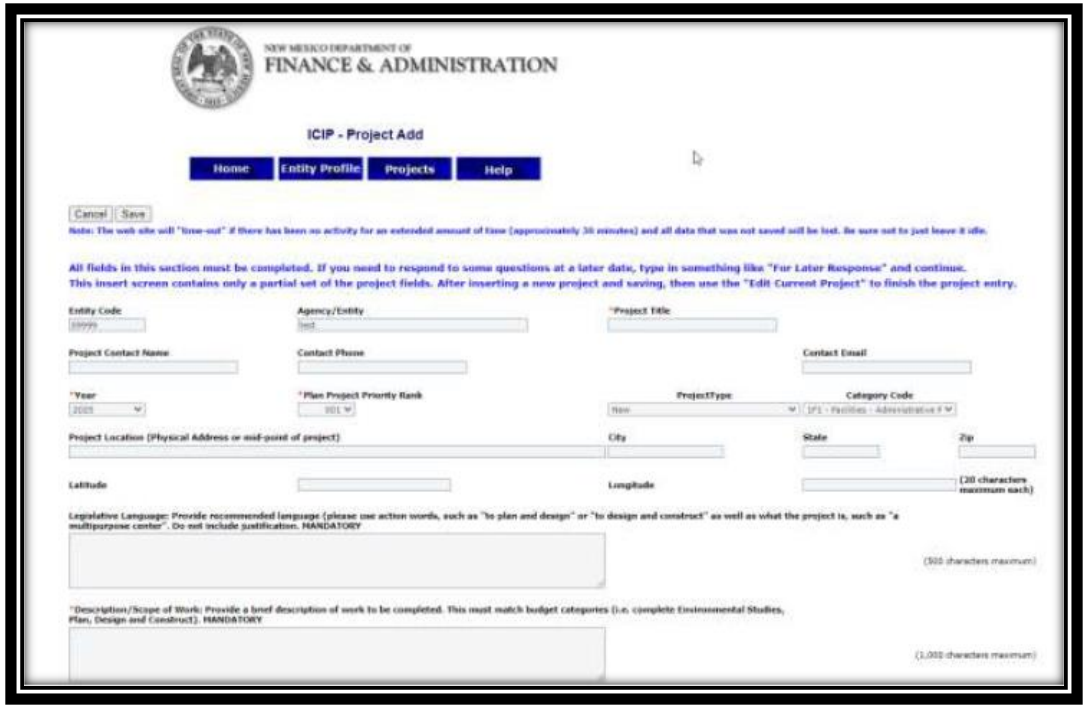
CAPS: Historical Overview

Chapter 5, Article 8, Section 6, NMSA 1978

- Entities shall use qualified professionals to prepare the capital improvements plan.

Infrastructure Capital Improvement Plan (ICIP)

- 5-year planning tool that is developed/updated annually (at a minimum)
- Establishes organizational capital priorities & increases funding opportunities
- Entities that submit ICIPs:
  - State agencies
  - Counties
  - Municipalities
  - Nations, Pueblos, and Tribes
  - Special districts (acequias, land grants, etc.)
  - Senior citizen facilities



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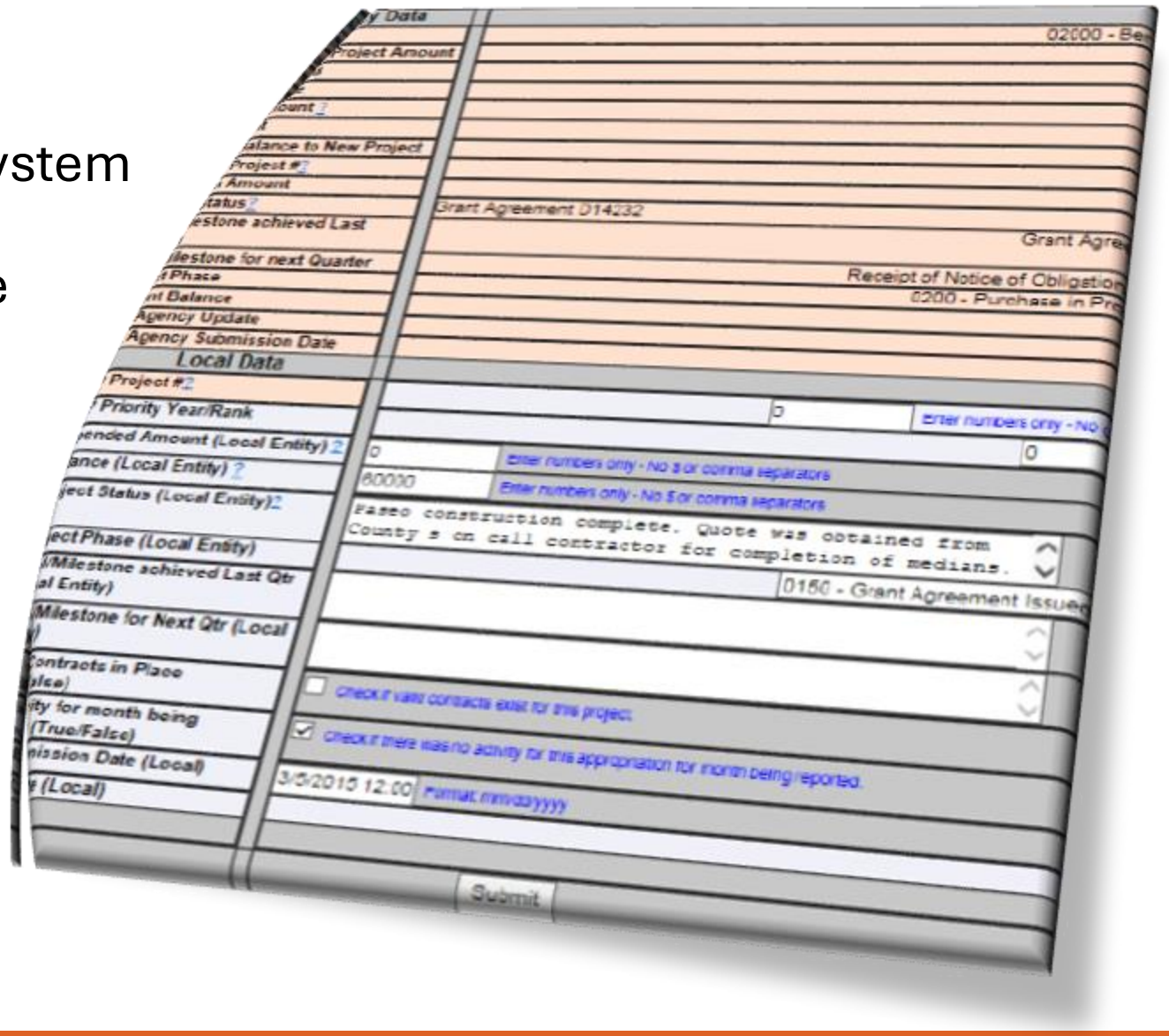
CAPS: Historical Overview

- Capital Outlay Quarterly Reporting
- Reports must be entered into DFA system (formerly CPMS)
- Failure to report can (will) jeopardize funding
- Quarterly reports due:
  - Q1 (September 30)
  - Q2 (December 31)
  - Q3 (March 31)
  - Q4 (June 30)



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New System
DFA Platform: CAPS

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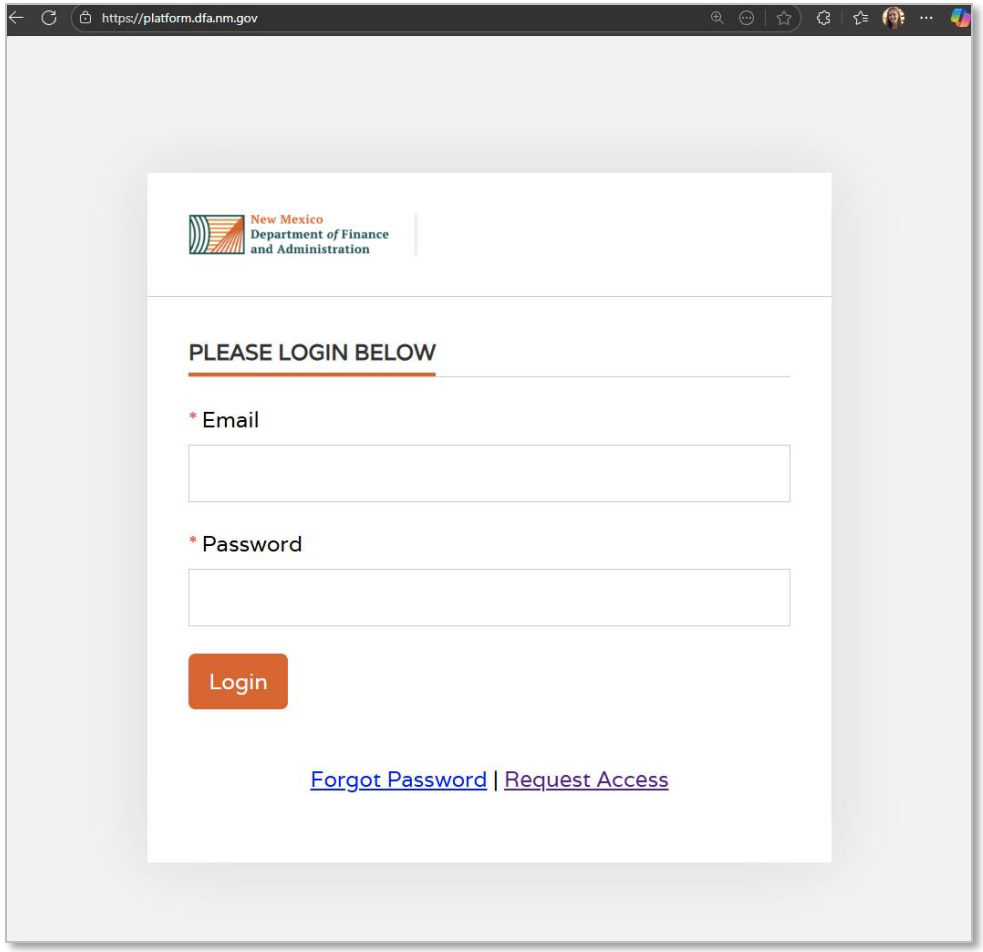
CAPS: New System

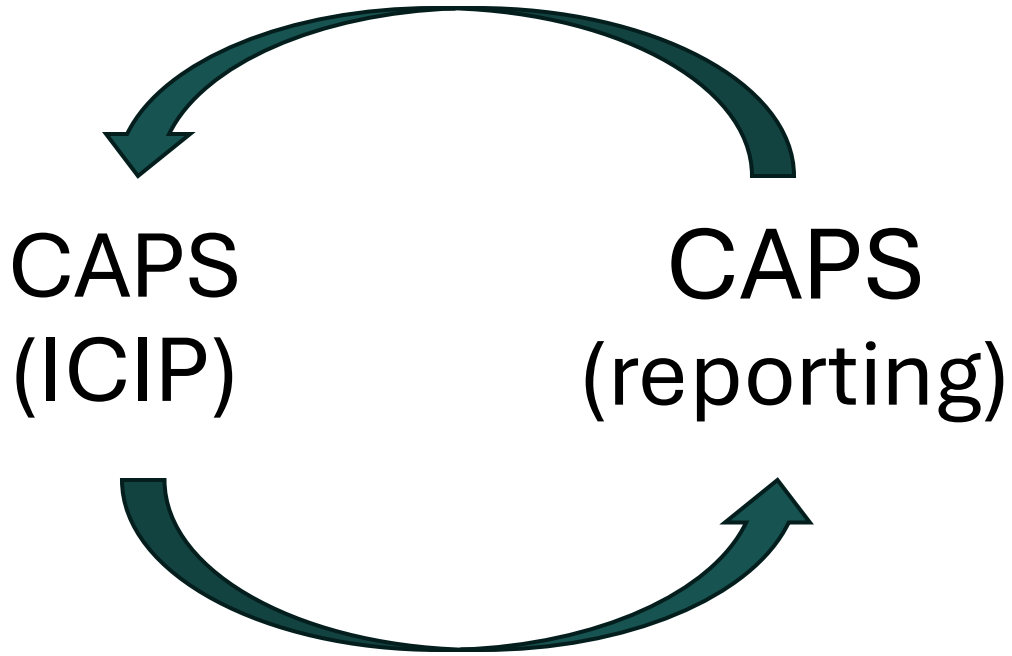
- Capital Project System (CAPS)
- Capital means infrastructure which may/may not include legislative appropriations
- Former ICIP & CPMS systems were disabled so that projects could be uploaded into CAPS
  - Upload process is not perfect, entities will need to review projects in the new system
- CAPS combines ICIP & CPMS



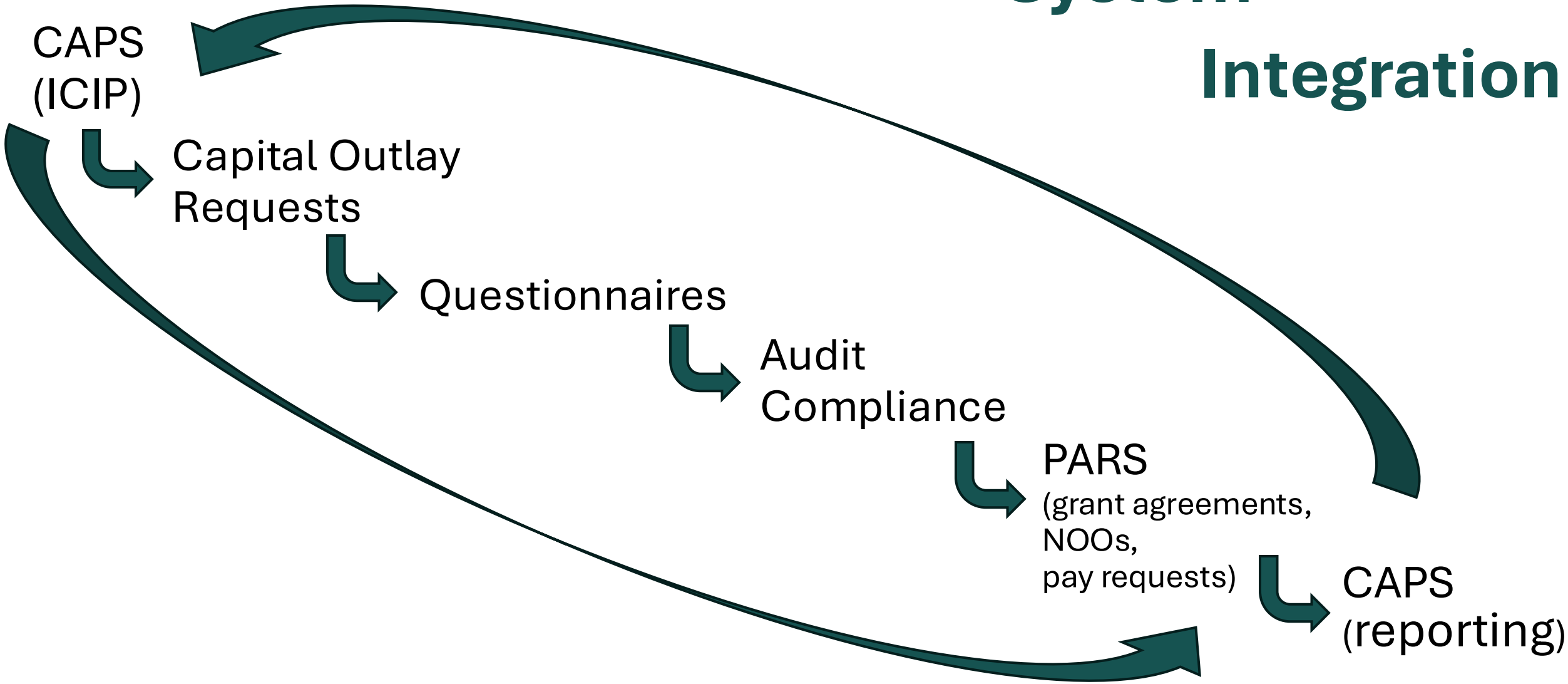
CAPS: New System

CAPS combines ICIP & CPMS

- Not all ICIPs are connected to capital outlay and vice versa
  - If an ICIP project is funded through capital outlay, the appropriation will be automatically assigned to the ICIP project
  - If a capital appropriation is not connected to an ICIP, an ICIP will be created/generated (in the future)



System Integration



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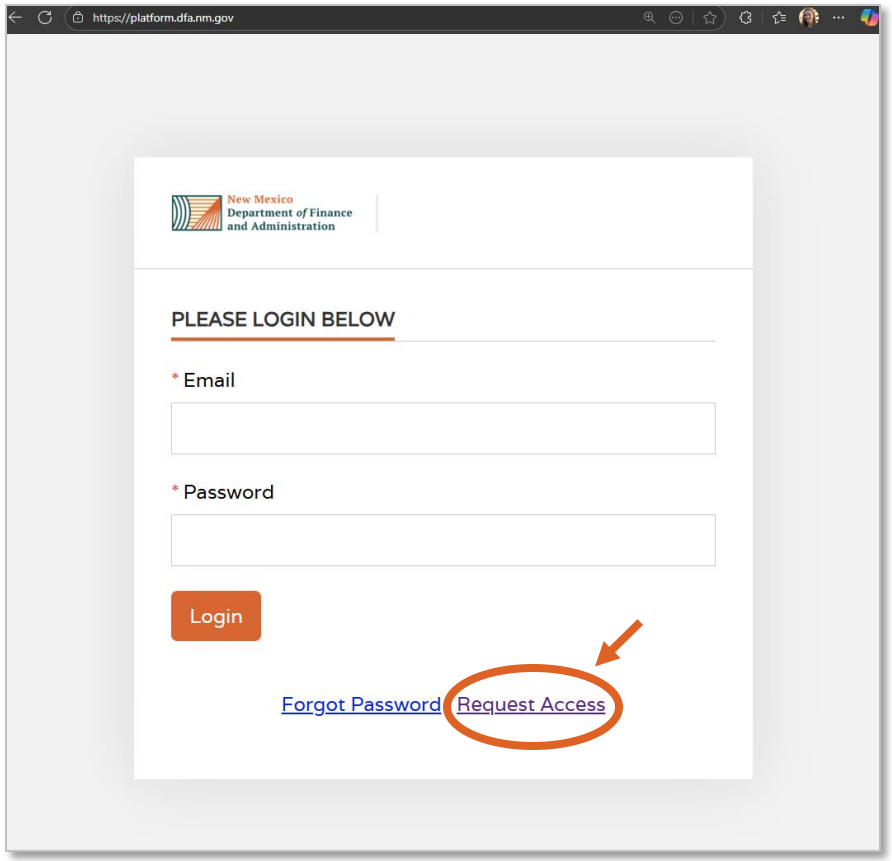
CAPS: New System

- System location: https://platform.dfa.nm.gov/
- Multi-factor Authentication (MFA) required
- User request types:
  - New account
    - If you completed user registration, you received a temporary password email from platform@dfa.nm.gov. Log in to reset password.
  - Existing account
    - CAPS was added to your account (dropdown)
  - Didn't request an account
    - Go to https://platform.dfa.nm.gov/ and "Request Access" to the CAPS module
- Login Issues: Contact ***support@rtsolutions.com***



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CAPS: New System

CAPS empowers DFA and local entities to manage ICIP projects from start to finish. The system's components include:

1

Entity Profile

Entity profiles highlight entity details and resources including address, points of contact, planning tools, and grant information.

2

Project Profile

Project profiles are created for any partially funded or unfunded capital improvement for which the entity plans to have funding in place during state fiscal years FY 2027-2031.

3

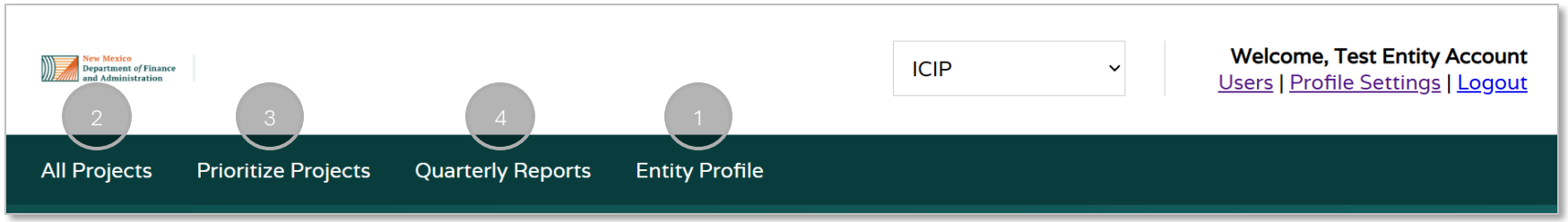
Project Prioritization

Project prioritization is used to prioritize/rank projects based on what the entity feels is most important/ urgent in the upcoming five years.

4

Reporting

Quarterly and other reporting on appropriations is required for projects with an appropriation, including funds obligated/expended, project phase goals/ milestones, etc.



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System Demo

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Entity Profile

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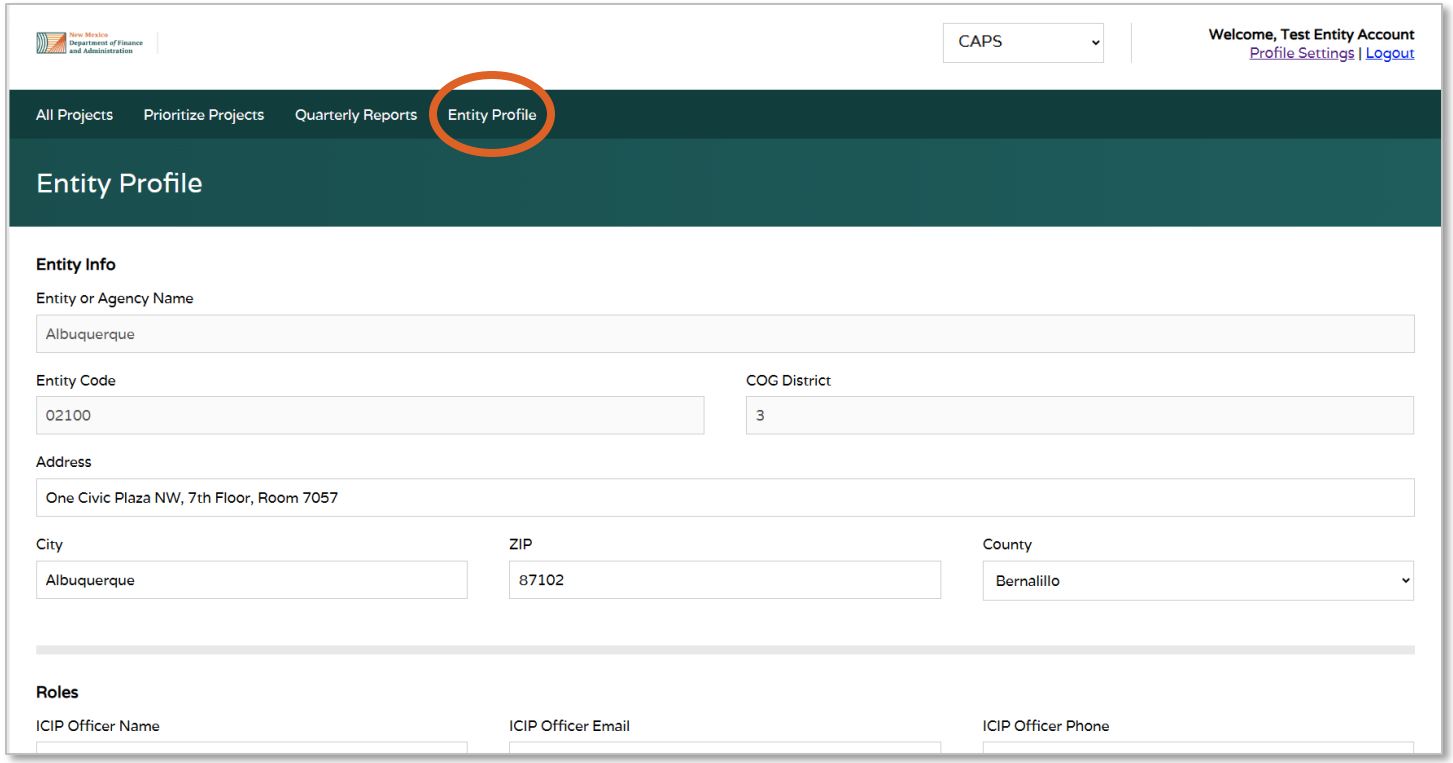
CAPS: Entity Profile

- The first step to using CAPS will be to complete/update the “Entity Profile” tab
- Any user associated with the entity can make updates
- CAPS will require entities to update this information annually



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Project Profiles

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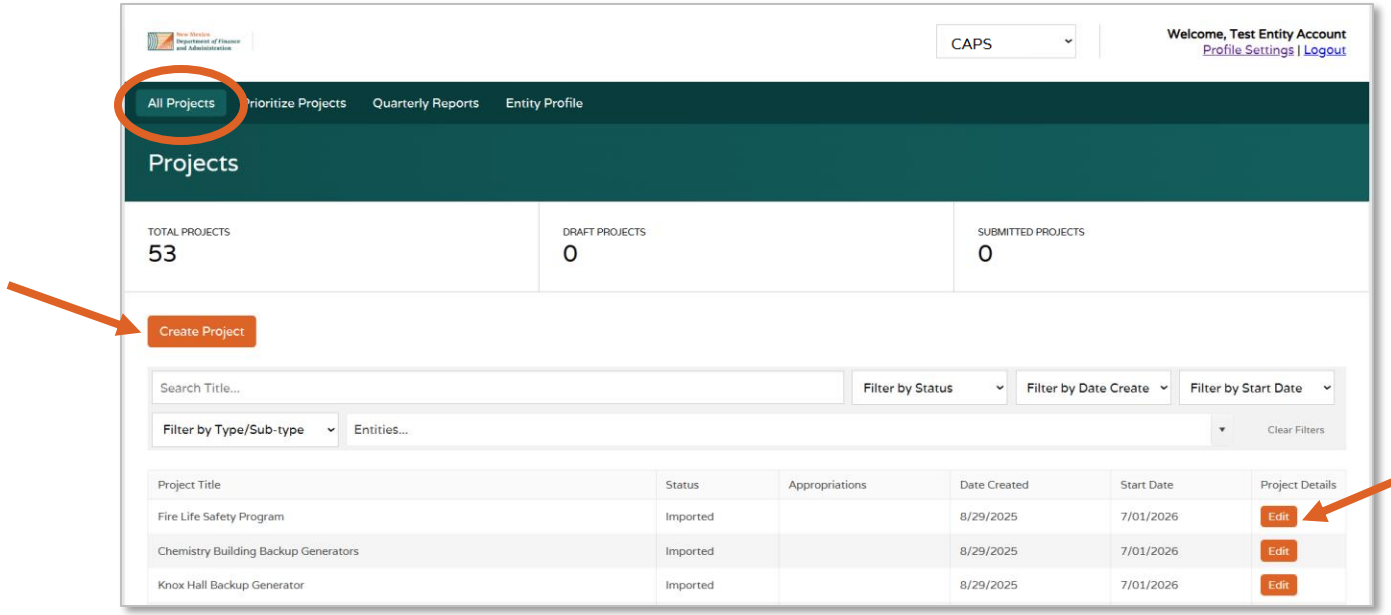
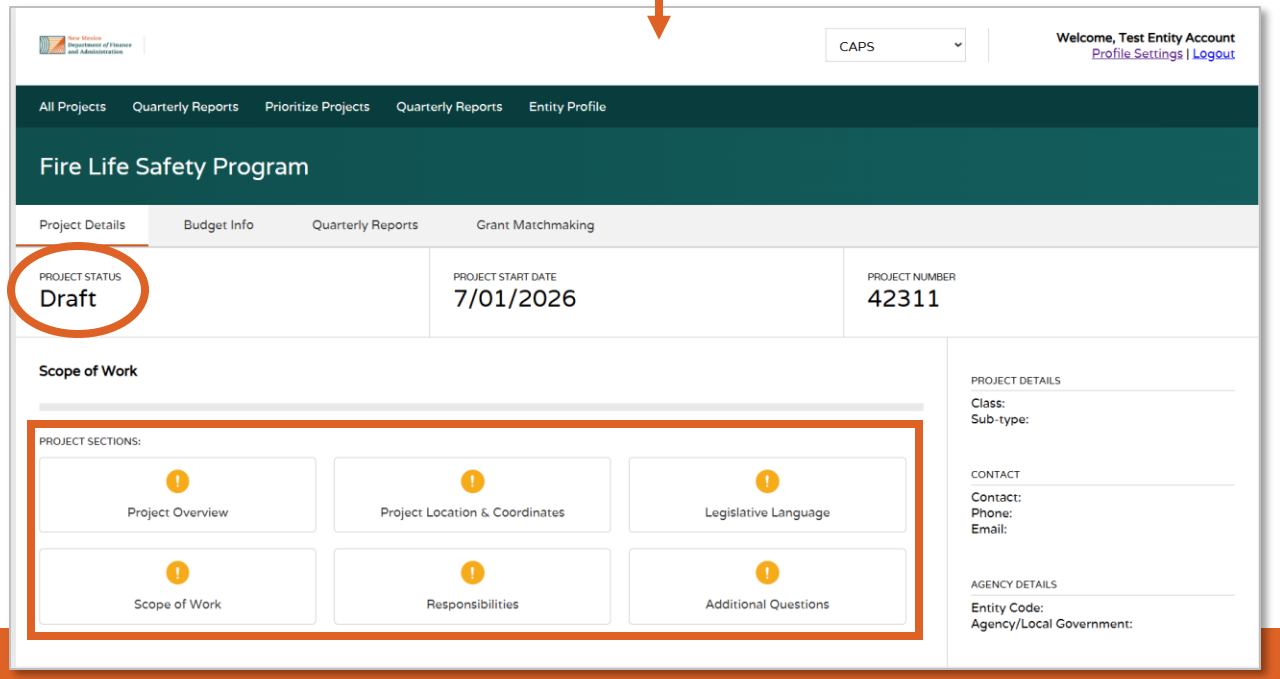
CAPS: Project Profiles

- In the “All Projects” tab, you can:
  - Create a project
  - Edit a project
- Either option will open the Project Profile in “Draft” status until each section is submitted





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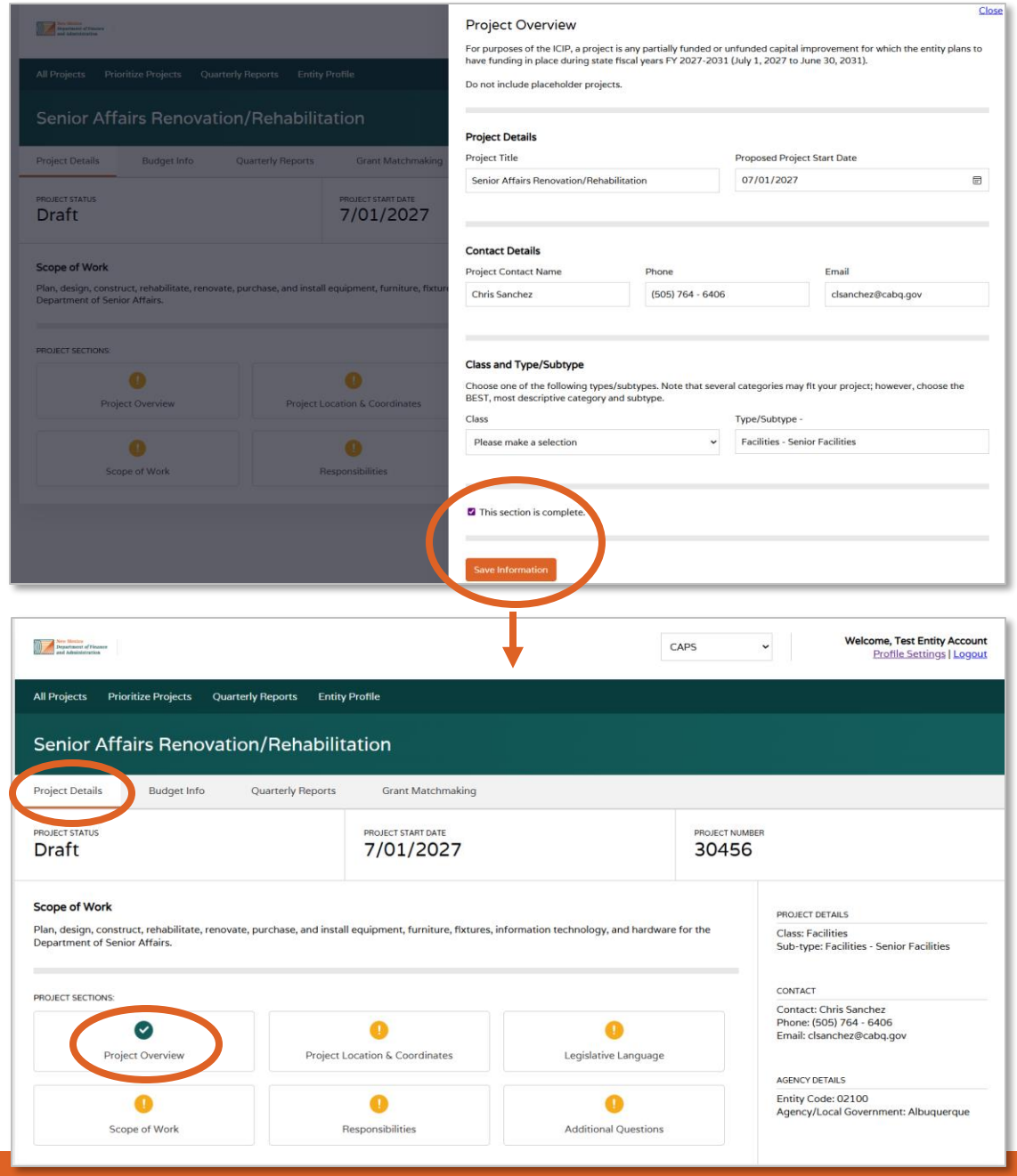
CAPS: Project Profiles

- Clicking into a section will open a modal window to the right
- Any user associated with the entity can make updates
- “Save Information” at any time will save the information in draft
- “This section is complete.” must be checked to finalize the section



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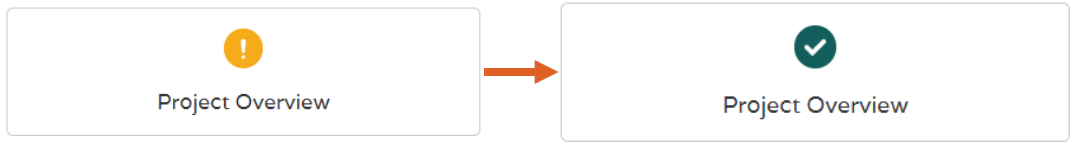
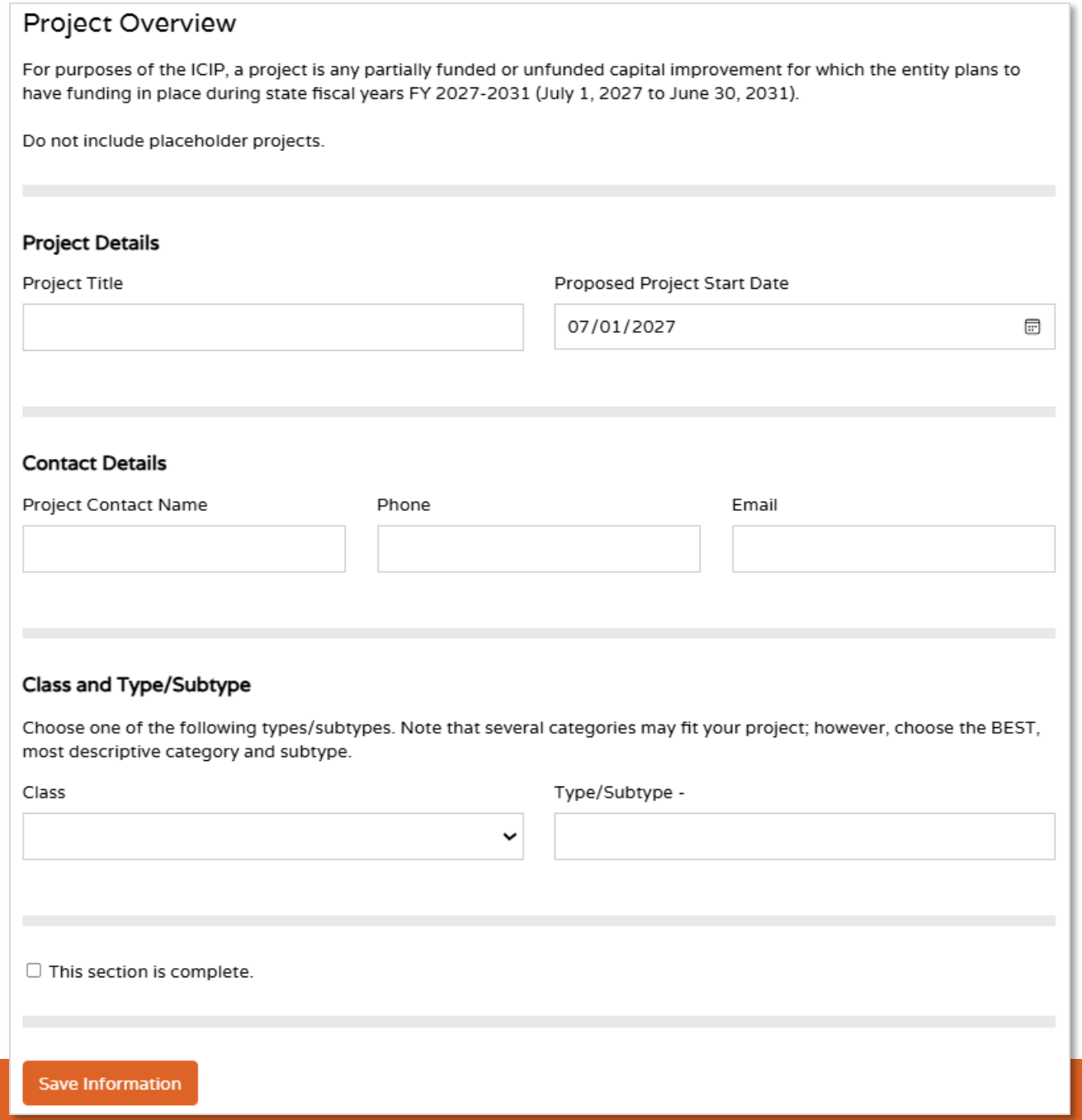
CAPS: Project Profiles



- 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 2027-2031 (July 1, 2027 to June 30, 2031)
- Do not include placeholder projects



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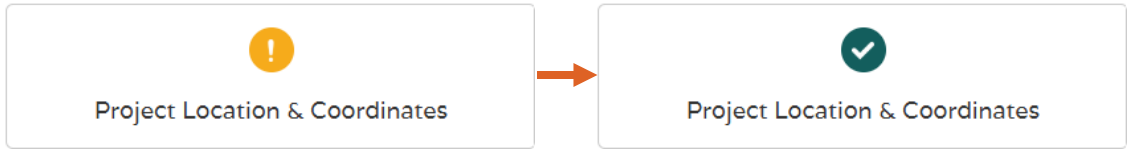
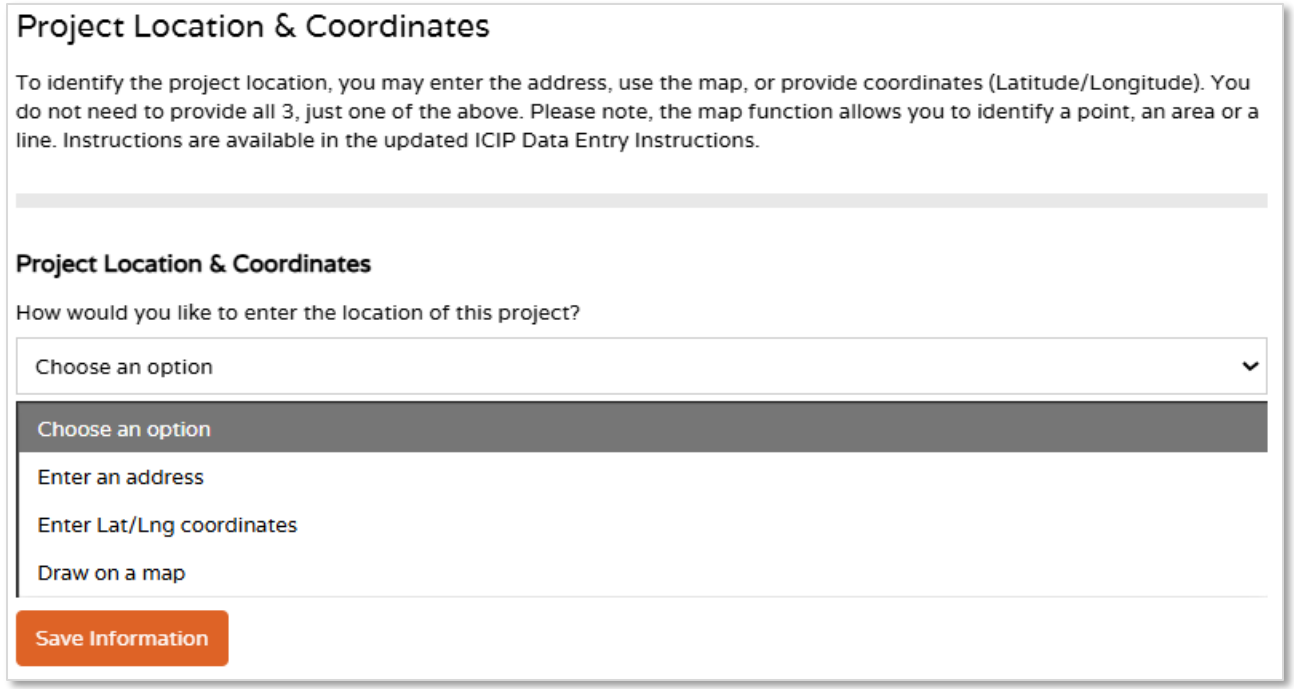
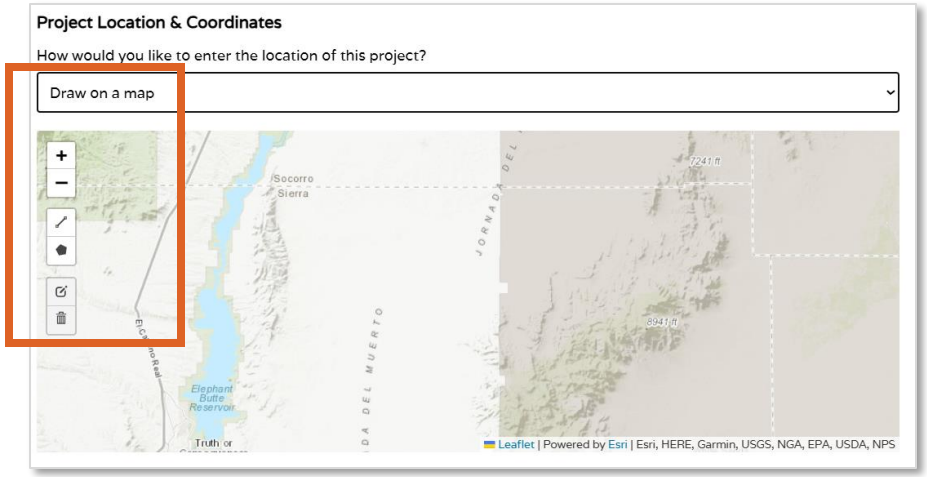
CAPS: Project Profiles



- To identify the project location, you may enter the address, use the map, or provide coordinates
- Please note, the map function allows you to identify a point, an area or a line





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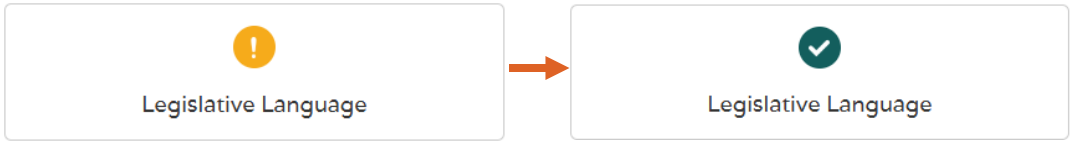
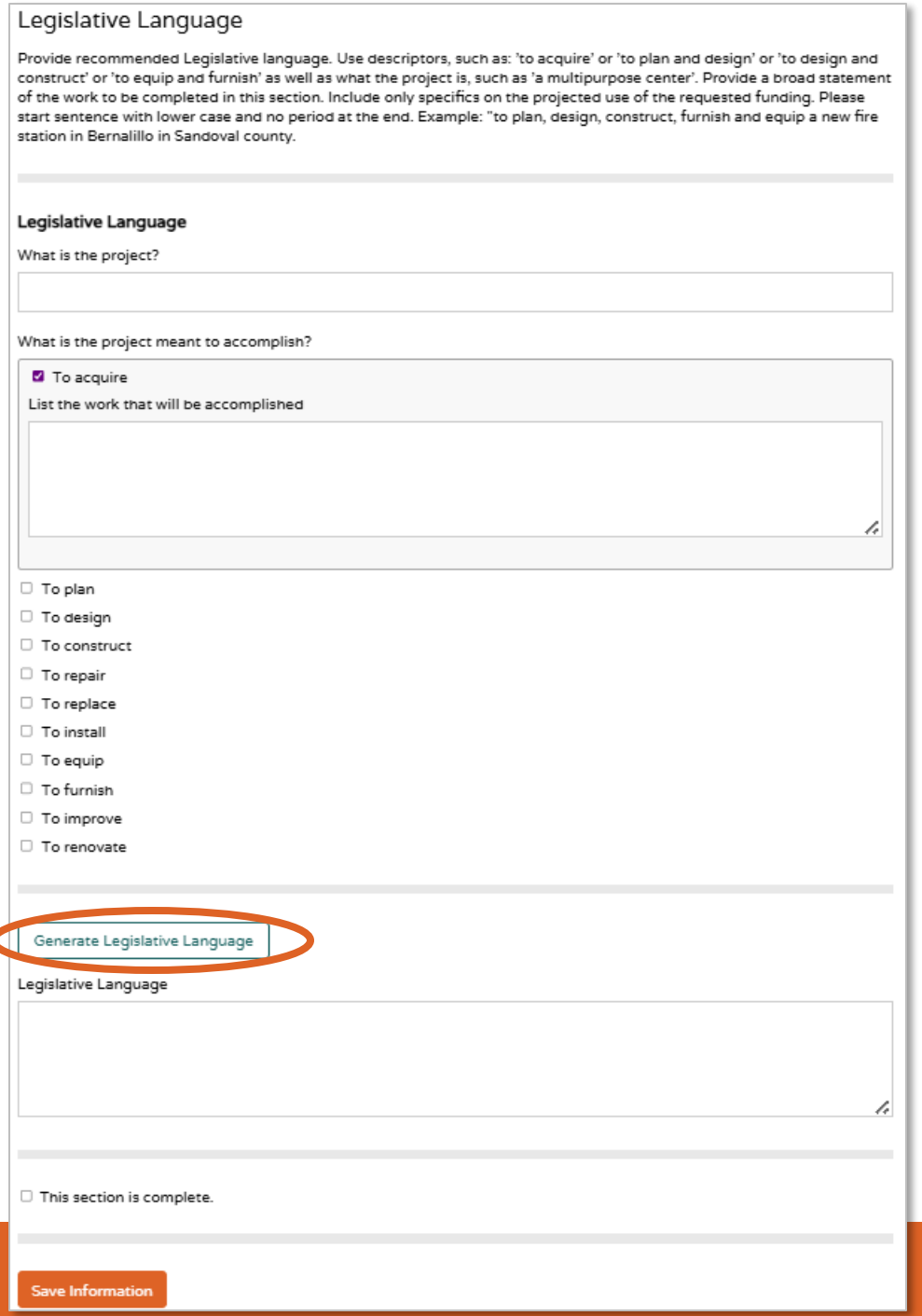
CAPS: Project Profiles



- This section is intended to draft recommended Legislative language for the project
- "Generative Legislative Language" will use AI to draft the language based on the answers to the above questions
  - *This is a tool, not a replacement; Always proofread and edit AI narratives for accuracy!*
- Tips for proofreading AI narrative or writing Legislative language on your own:
  - 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
  - Please start sentence with lower case and no period at the end
    - Example: "to plan, design, construct, furnish and equip a new fire station in Bernalillo in Sandoval county.



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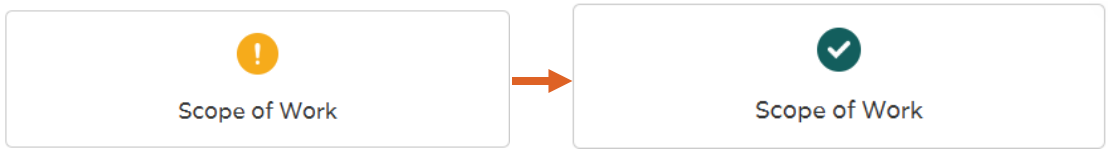
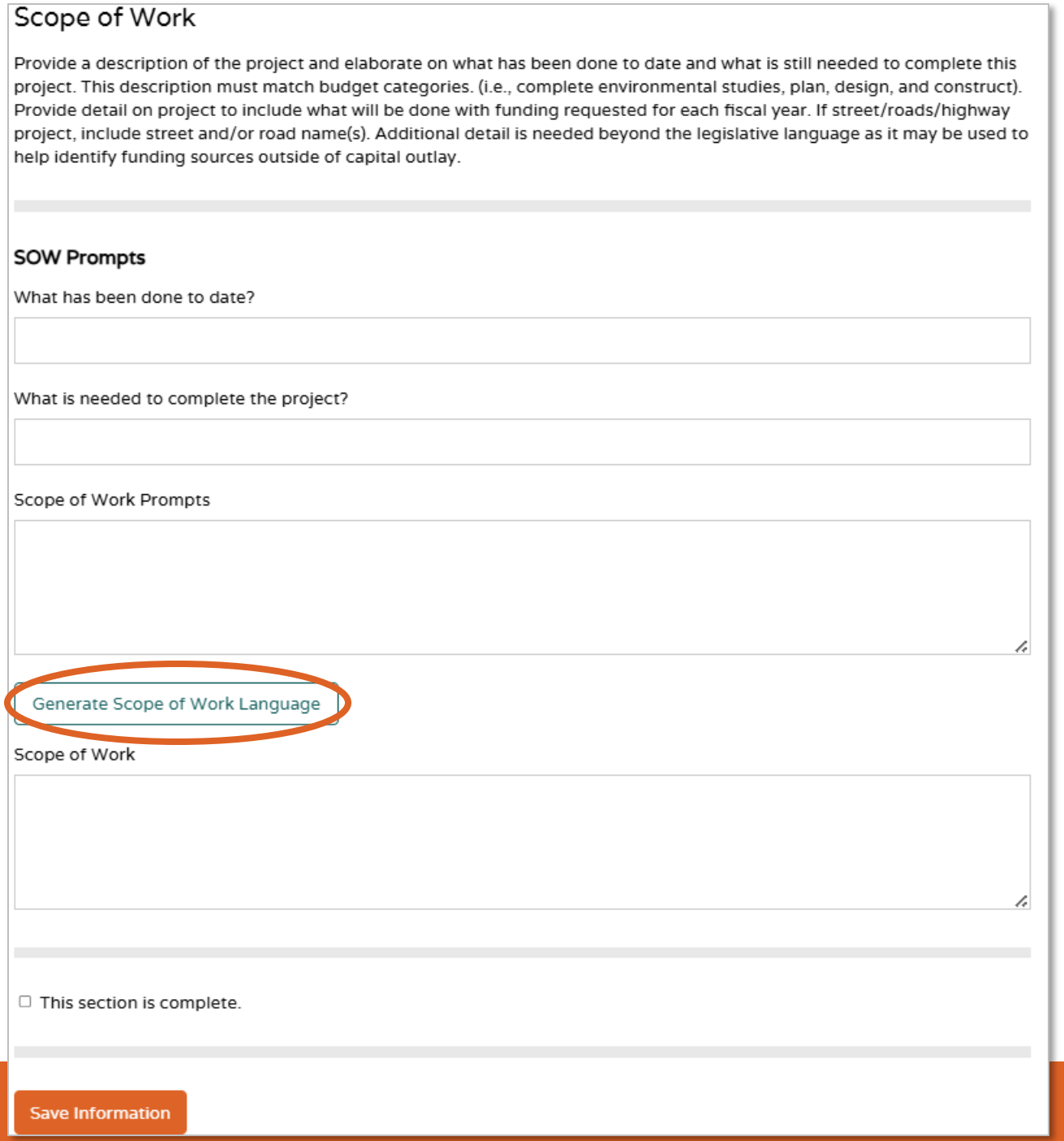
CAPS: Project Profiles



- Provide a description of the project and elaborate on what has been done to date and what is still needed to complete this project
- "Generative Scope of Work Language" will use AI to draft the language based on the answers to the above questions
  - *This is a tool, not a replacement; Always proofread and edit AI narratives for accuracy!*
- Tips for proofreading AI narrative or writing SOW on your own:
  - This description must match budget categories. (i.e., complete environmental studies, plan, design, and construct)
  - Provide detail on project to include what will be done with funding requested for each fiscal year. If street/roads/highway project, include street and/or road name(s)
  - Additional detail is needed beyond the legislative language as it may be used to help identify funding sources outside of capital outlay



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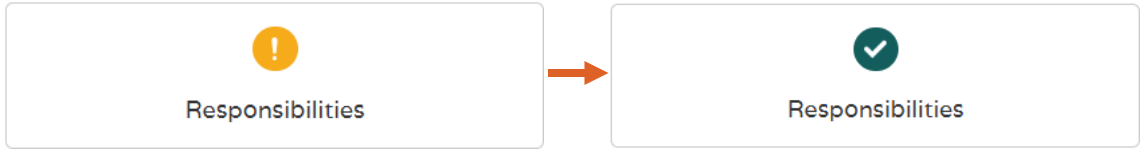
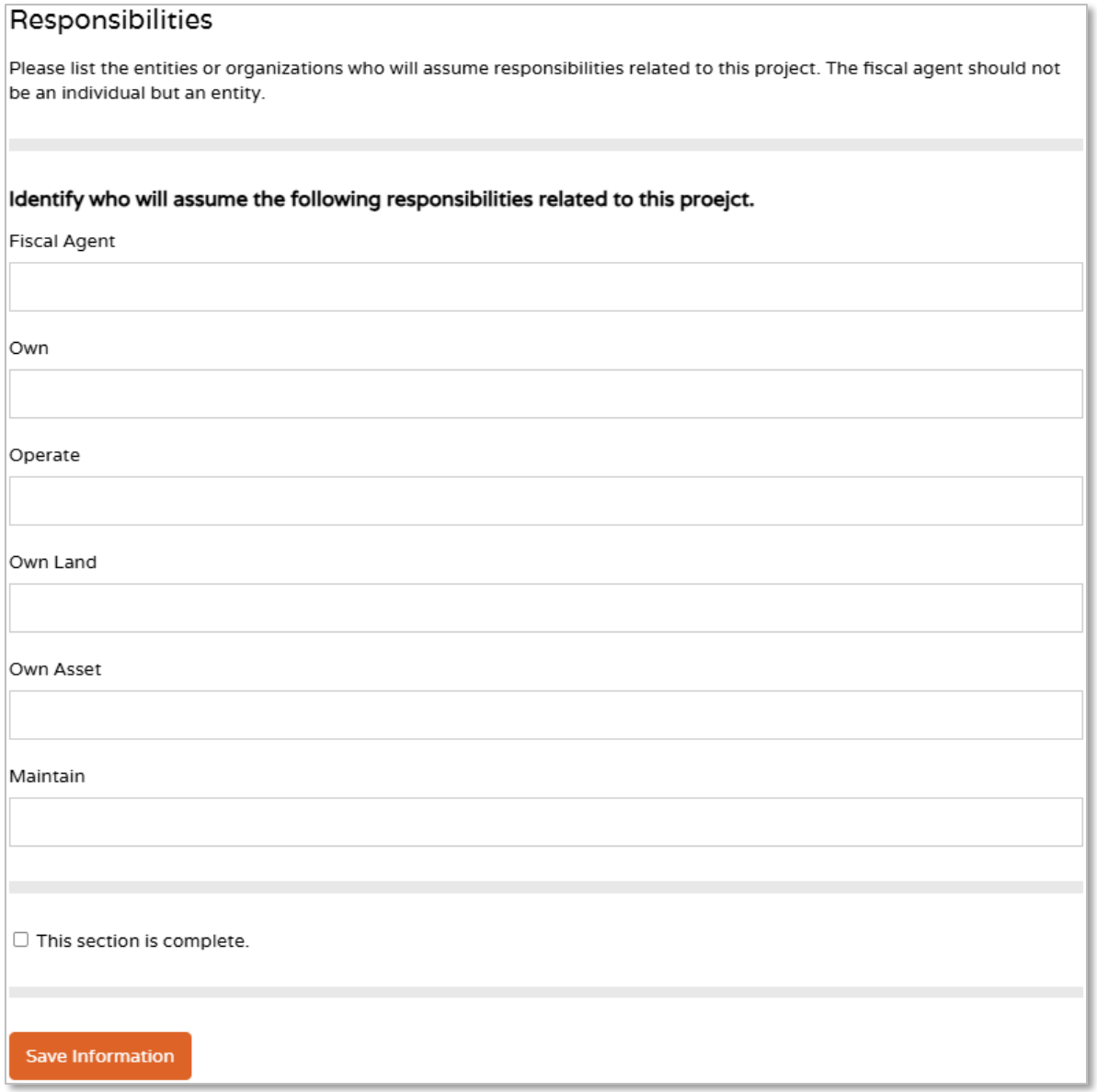
CAPS: Project Profiles



- List the entities or organizations who will assume responsibilities related to this project
- The fiscal agent should not be an individual but an entity



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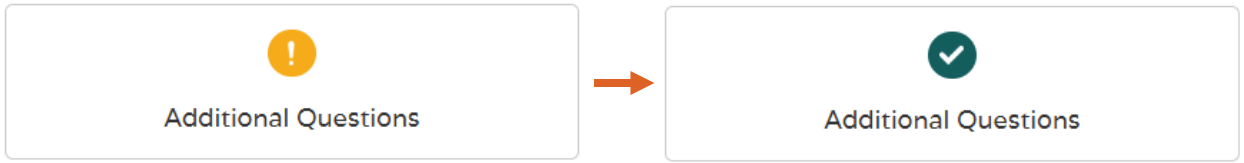
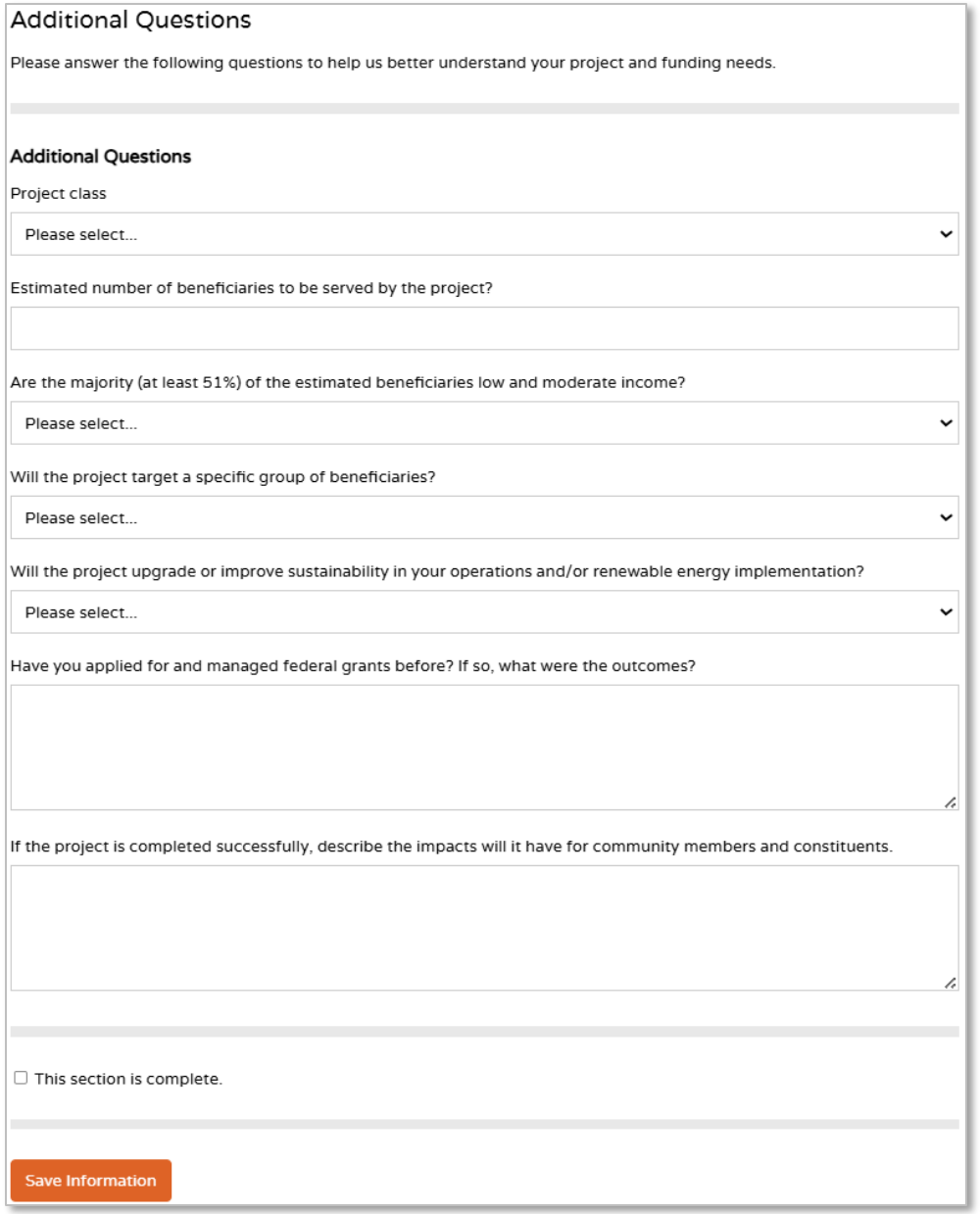
CAPS: Project Profiles



- These questions help us better understand your project and funding needs



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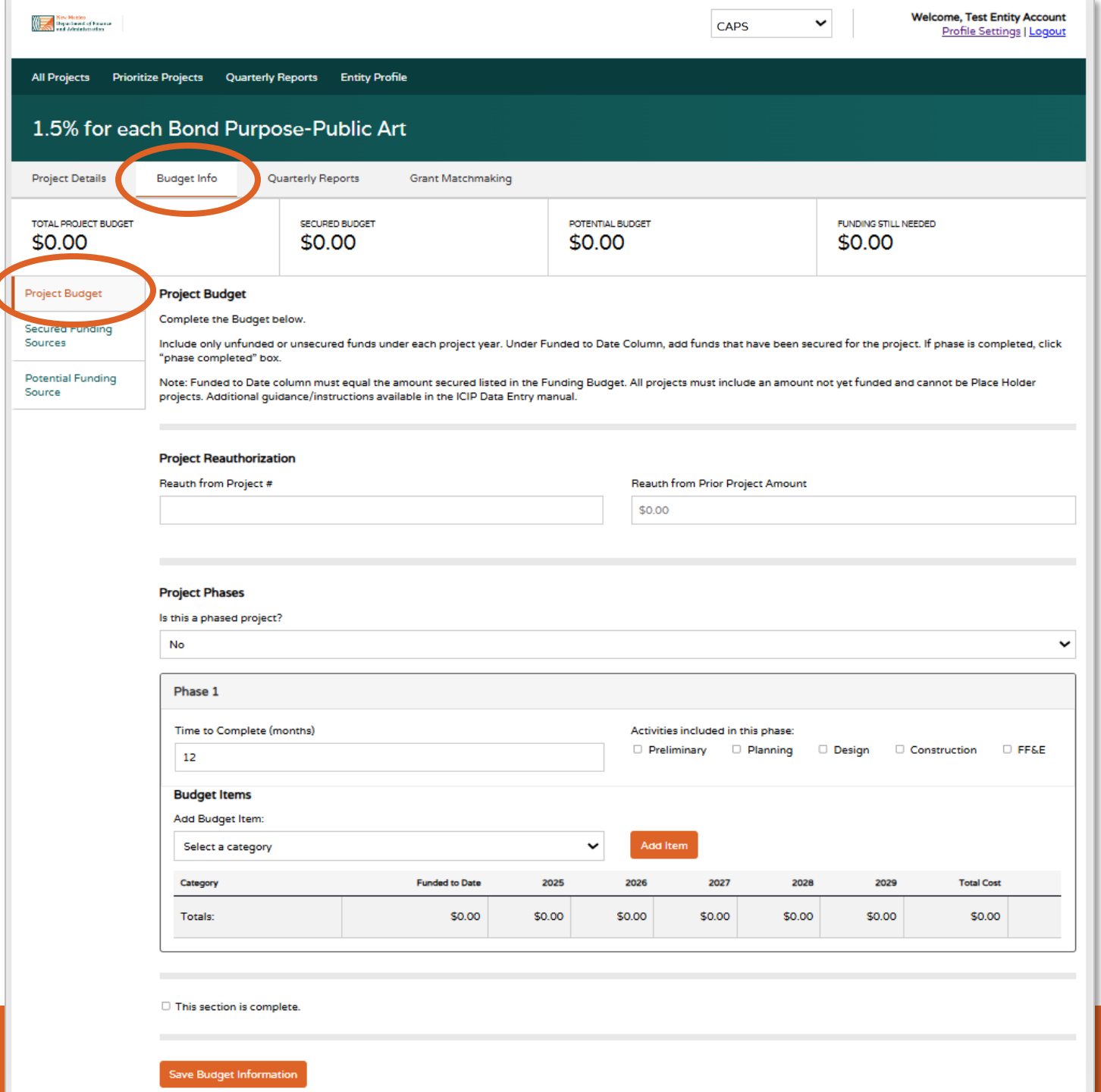
CAPS: Project Profiles

Project Budget

- Include only unfunded or unsecured funds under each project year
- Under Funded to Date Column, add funds that have been secured for the project
- If phase is completed, click “phase completed” box

Note: Funded to Date column must equal the amount secured listed in the Funding Budget

- All projects must include an amount not yet funded and cannot be Place Holder projects
- Additional guidance/instructions available in the ICIP Data Entry manual



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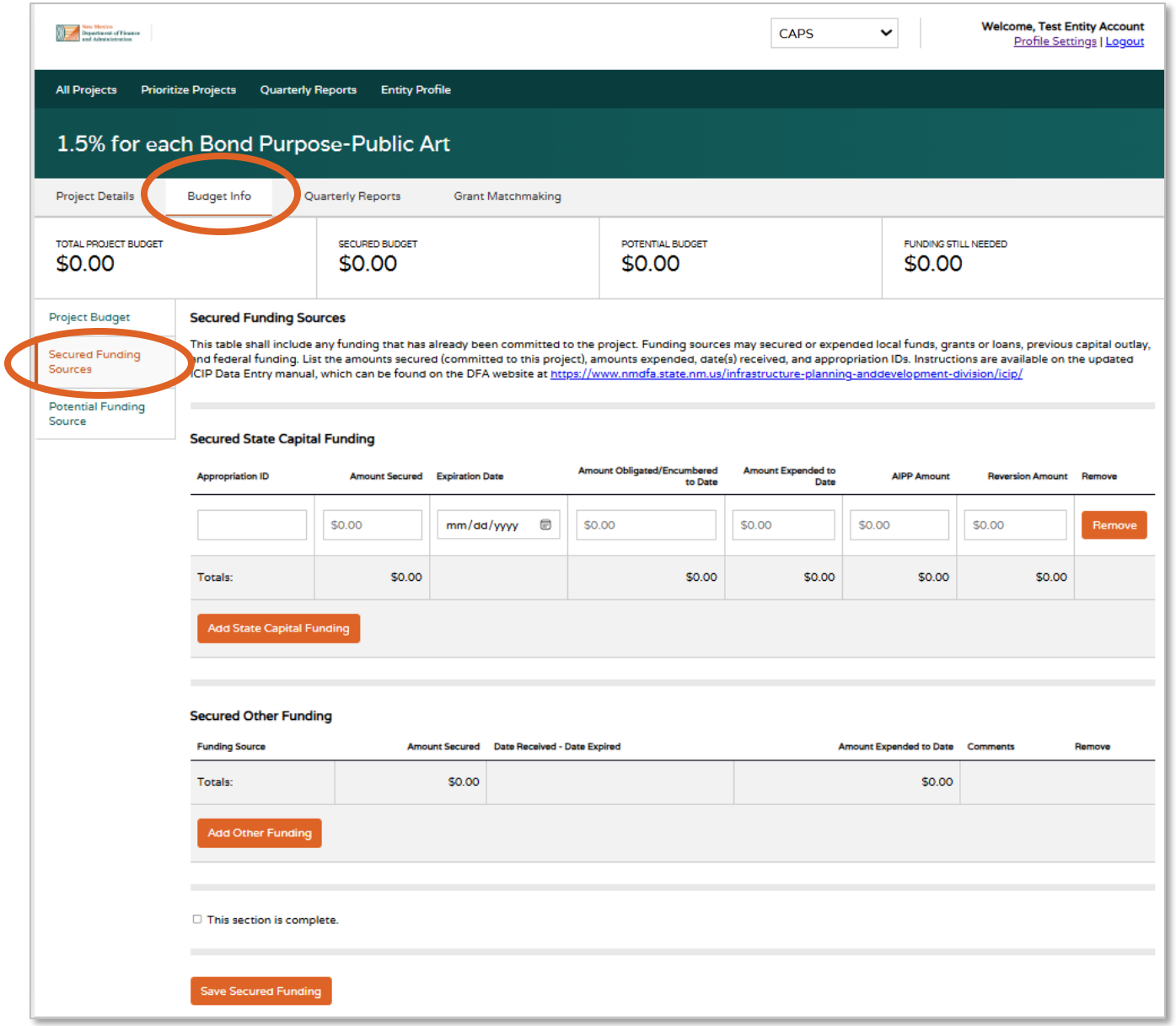
CAPS: Project Profiles

Secured Funding Sources

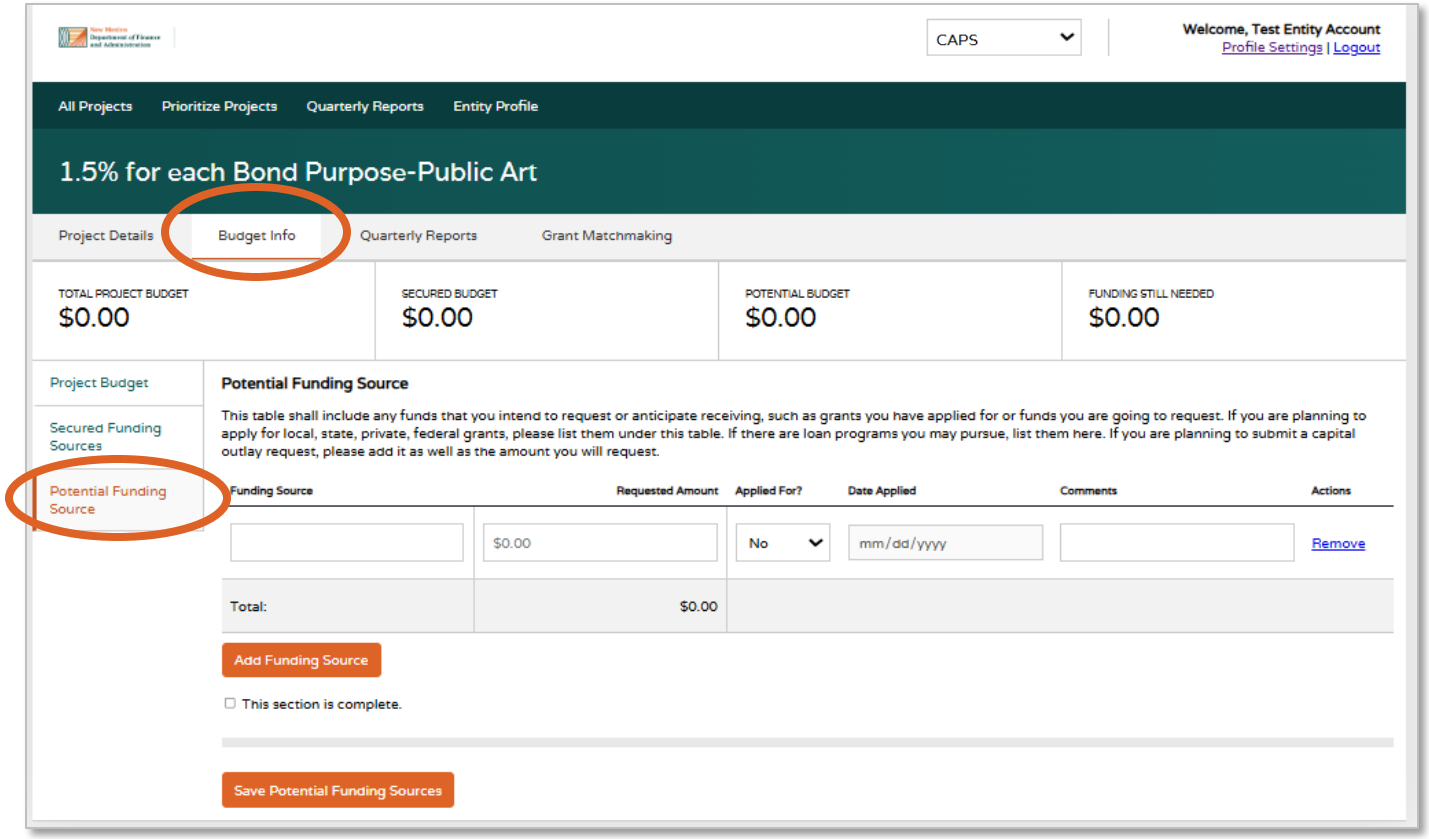
- This table shall include any funding that has already been committed to the project
- Funding sources may secured or expended local funds, grants or loans, previous capital outlay, and federal funding
- List the amounts secured (committed to this project), amounts expended, date(s) received, and appropriation IDs
- Instructions are available on the updated ICIP Data Entry manual, which can be found on the DFA website at https://www.nmdfa.state.nm.us/infrastructure-planning-anddevelopment-division/icip/



CAPS: Project Profiles

Potential Funding Sources

- This table shall include any funds that you intend to request or anticipate receiving, such as grants you have applied for or funds you are going to request
- If you are planning to apply for local, state, private, federal grants, please list them under this table
- If there are loan programs you may pursue, list them here
- If you are planning to submit a capital outlay request, please add it as well as the amount you will request



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Prioritize Projects

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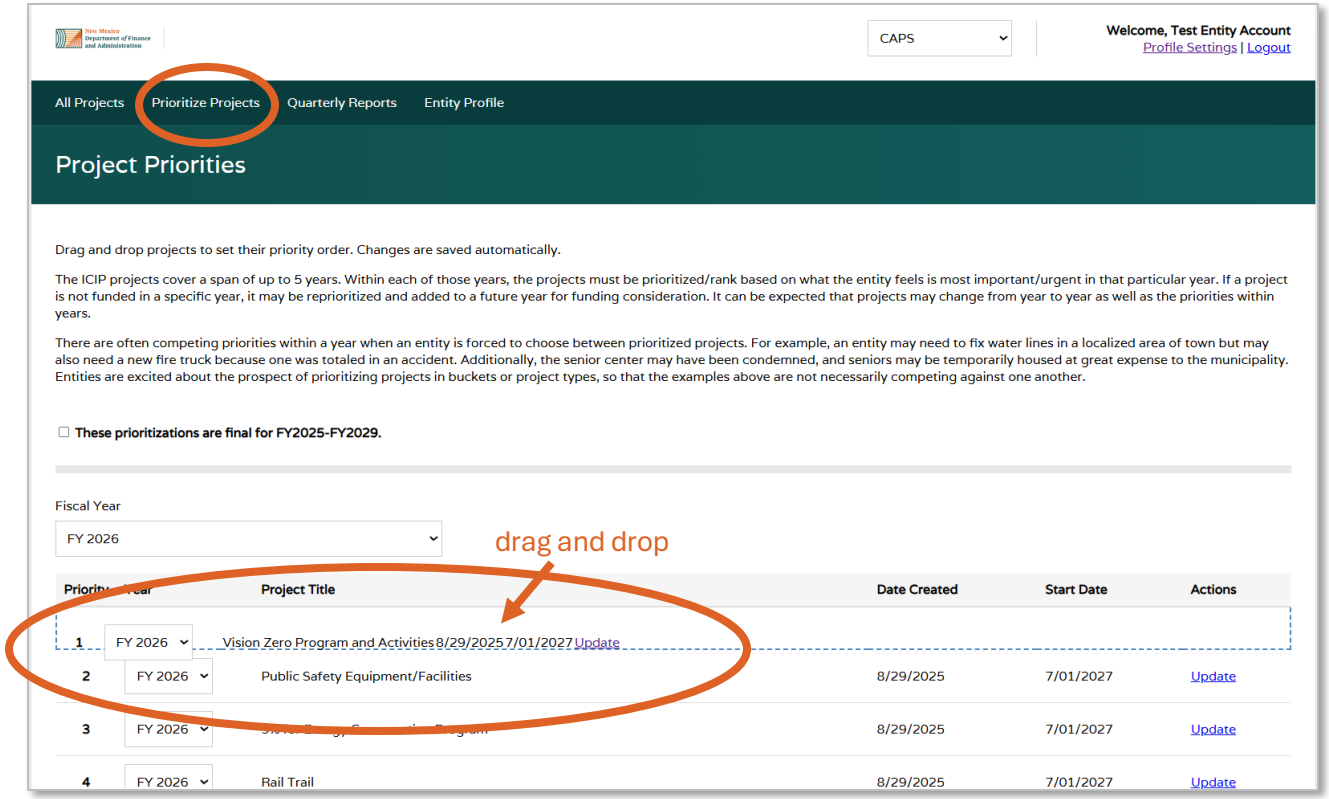
CAPS: Prioritizing Project

- Prioritizing projects is now as easy as dragging and dropping!
- Any user associated with the entity can make updates
- Changes are saved automatically as you re-prioritize and move projects from FY to FY
- Mark the checkbox to confirm prioritizations are complete
  - Checking the box will lock edits
  - Unchecking the box will allow edits



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Quarterly Reports

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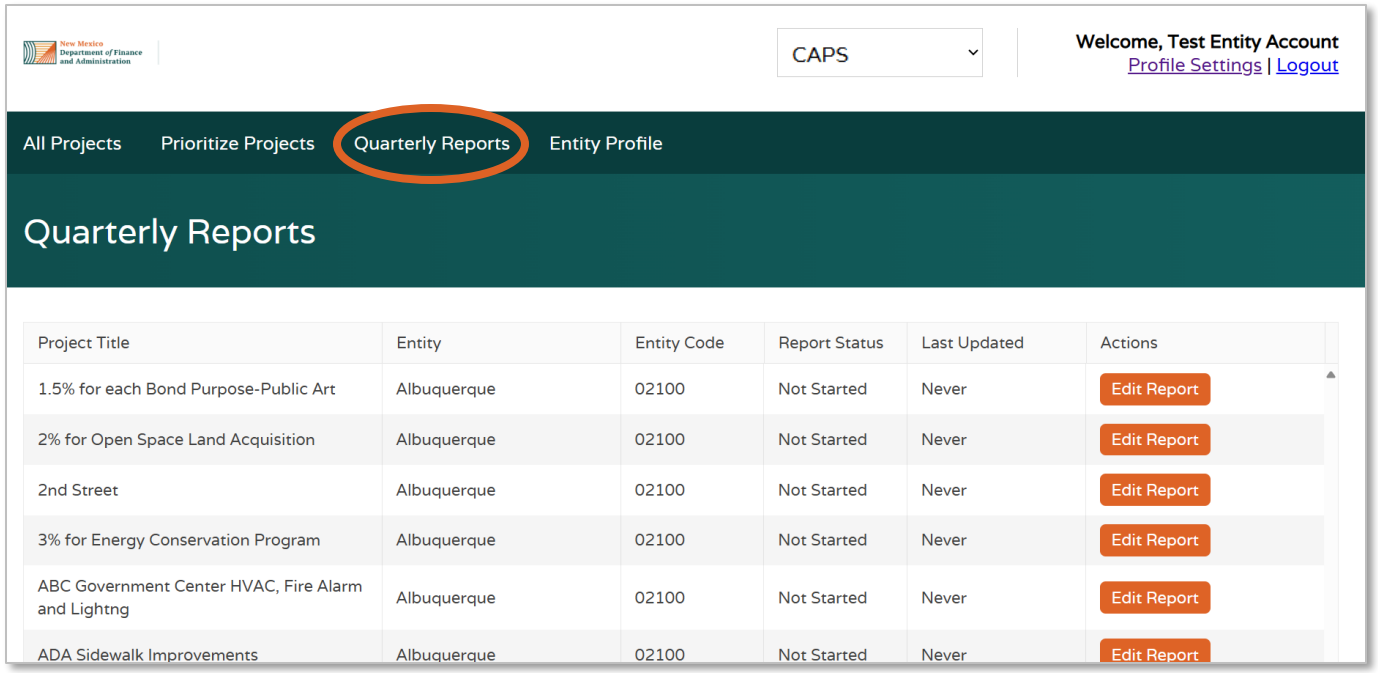
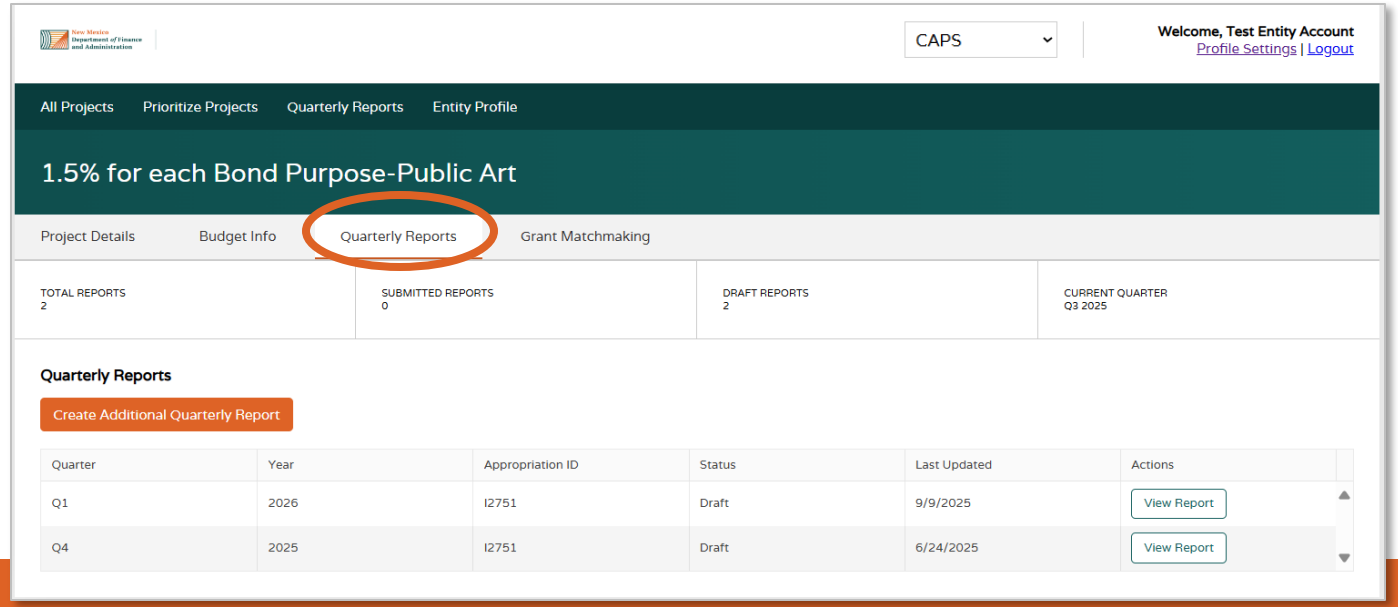
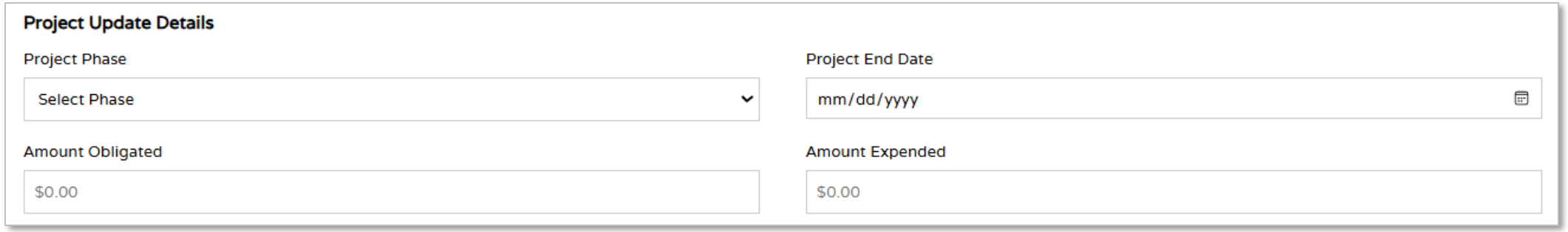
CAPS: Quarterly Reports

- Find and complete Quarterly Reports via:
  - “Quarterly Reports” tab in the navigation bar
  - “Quarterly Reports” tab in the project profile
- Quarterly reports due:
  - Q1 (September 30)
  - Q2 (December 31)
  - Q3 (March 31)
  - Q4 (June 30)

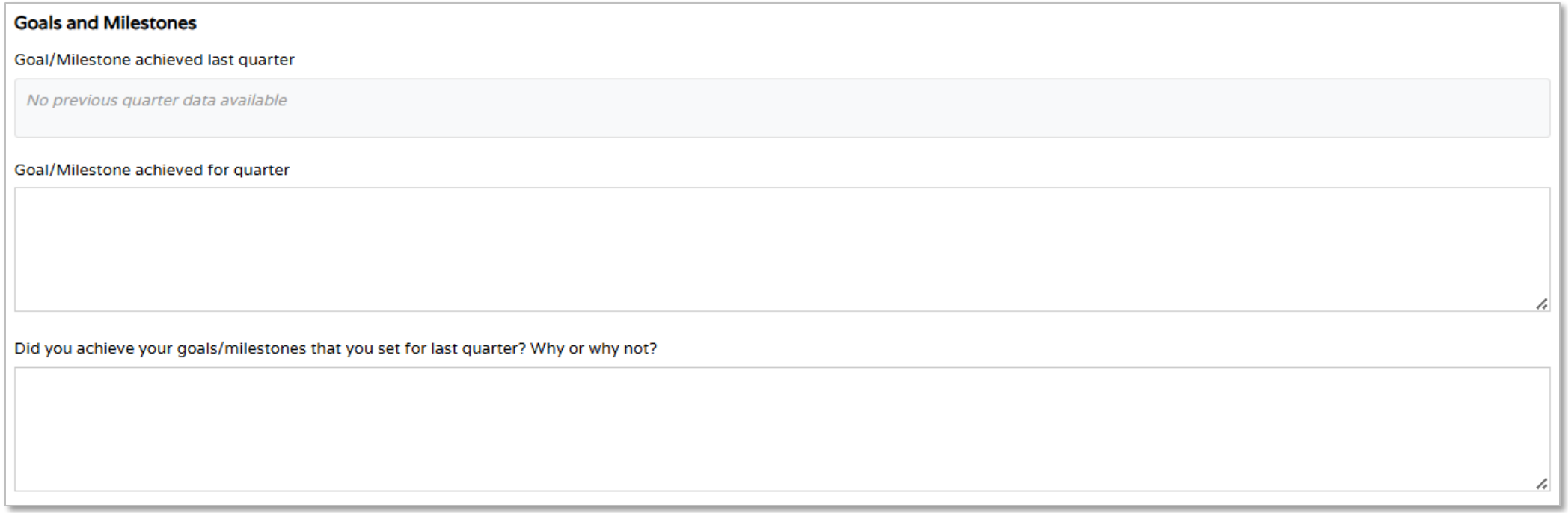




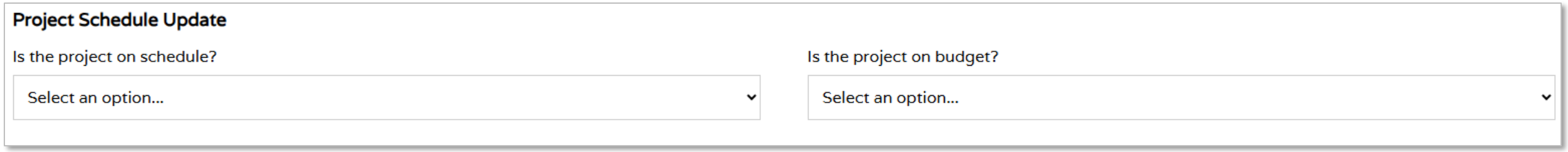
Quarterly Report Section 1: Project Update Details



Quarterly Report Section 2: Goals and Milestones



Quarterly Report Section 3: Project Schedule Update



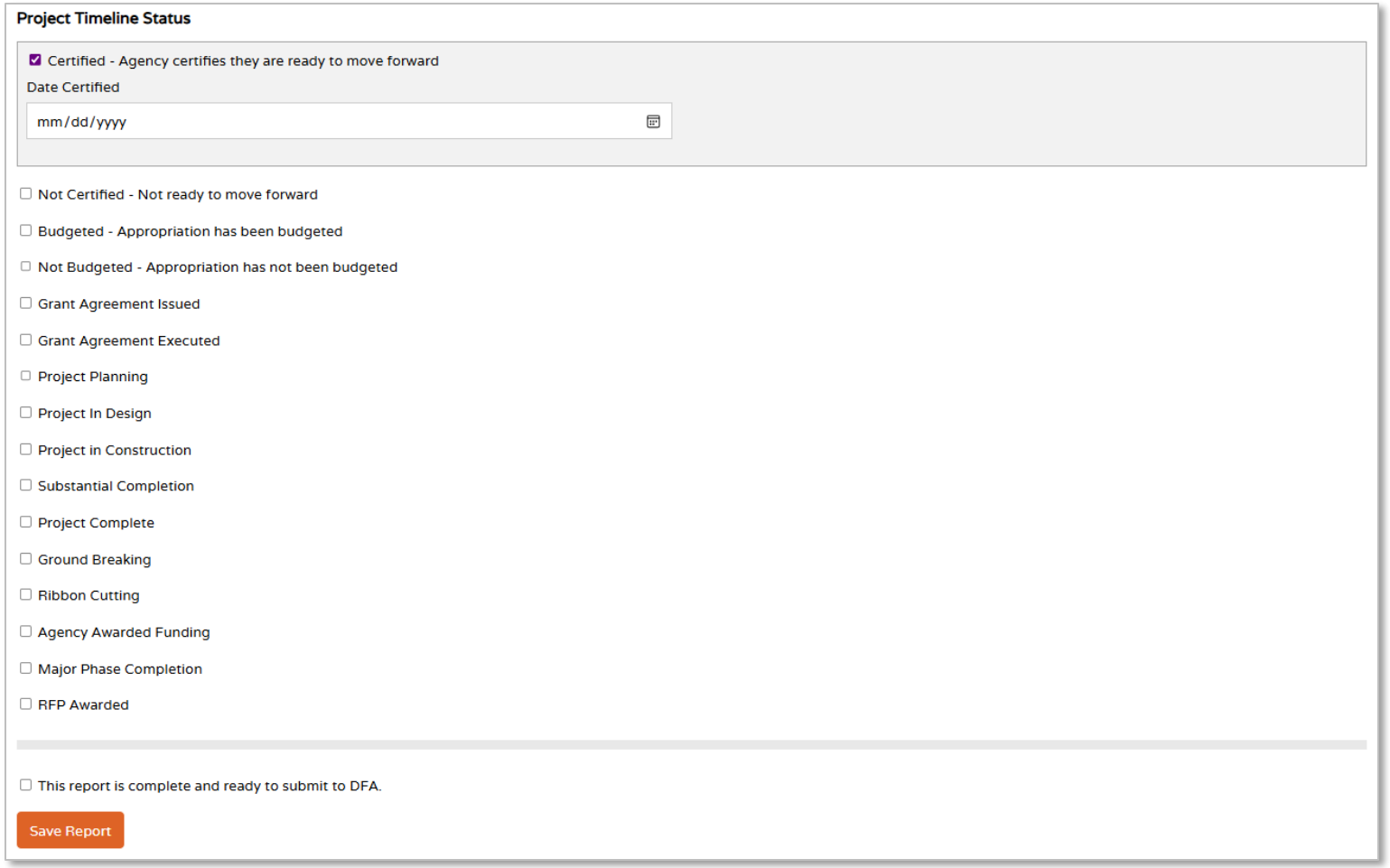
Quarterly Report Section 4: Current Challenges/Sources of Delay

Current Challenges / Sources of Delay

- [ ] No challenges or delays
- [ ] Local staff turnover
- [ ] Planning incomplete
- [ ] Additional funding needed to start design or construction
- [ ] Bids over budget
- [ ] Design RFP did not yield enough bids
- [ ] Construction RFP did not yield enough bids
- [ ] Waiting for state approvals
- [ ] Waiting for local government approvals
- [ ] Right-of-way not secured
- [ ] Land or property acquisition in progress
- [ ] Other:

Describe other challenges

Quarterly Report Section 5: Project Timeline Status



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Closing

CAPS: New System

Order of Operations:

1. Set up username & password
2. Complete entity profile or request to add entity
3. Navigate and explore CAPS
4. Submit quarterly reports by September 30th deadline
5. Complete missing info and/or update ICIP projects

Incremental improvements will take place over time

- Linking reporting data from CAPS into PARS
- Batch uploads

New Mexico Department of Finance and Administration

CAPS: Support

Login or technical issue: support@rtsolutions.com

ICIP

- State agencies: Ryans.Serrano@dfa.nm.gov
- Local public bodies, Pueblos, Nations, Tribes: MaryAnn.Maestas@dfa.nm.gov

Quarterly Reports

- State agencies: Ryans.Serrano@dfa.nm.gov
- Local public bodies, Pueblos, Nations, Tribes: State agencies (DFA/LGD, NMED, ALTSD, IAD, OSE, PED, HED, ECECD)

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DFA Survey Opportunity

CAPS training survey is open for your feedback:

- https://forms.office.com/pages/responsepage.aspx?id=9GuqBDbUb0K_pAS3pw5g_41iQl72axRGmVUF4JqFPIdUNUNEWTlSM0xJMTlOQUpOQlhHVEdZSTZMSy4u&route=shorturl

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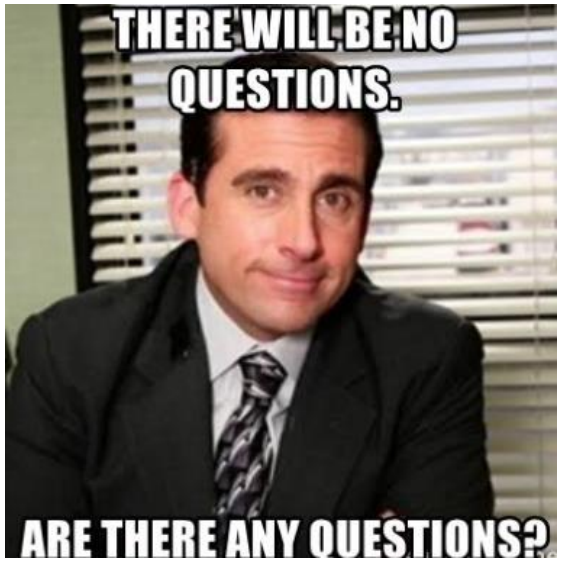

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Thank you!