2016-2020 Infrastructure Capital Improvement Plan
ICIP Guidelines

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

The ICIP database is available at http://www.state.nm.us/capitalprojects/
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I. Creating the Infrastructure Capital Improvement Plan
FY 2016-2020

Introduction

The local Infrastructure Capital Improvement Plan (ICIP) is a plan that establishes planning priorities for anticipated capital projects. The need for this kind of planning has reached critical proportions in New Mexico, where local governments are faced with pressing demands for multiple capital improvements and limited funding to support them. 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 ICIP.

Annually, New Mexico counties, municipalities, special districts, local governments and tribal entities evaluate their infrastructure priorities and participate in the ICIP process. Workshops teach entities 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 each year. 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 Description/Scope of Work, Priority Rank of all projects, Project Budget, Phasing information and Phasing Budget (if applicable), and Operating Budget.

Each participating entity must update their project information in the database and submit hard copies of their plan, and other required documents as described on pages 4 and 5 to DFA/LGD. The final ICIP report is available to view on the DFA/LGD website for entity, legislature, governor and funding agency use.
II. General Information

Coordinator – The Department of Finance and Administration/Local Government Division (DFA/LGD) coordinates the Local Infrastructure Capital Improvement Plan (ICIP) process. If you would like to participate in the process or need help in developing a plan, please contact Carmen Morin at CarmenB.Morin@state.nm.us 505-827-4957 at DFA/LGD or your local Council of Governments (COG).

FY 2016-2020 ICIP DEADLINES:

SPECIAL DISTRICTS - JUNE 16, 2014 by 5:00 p.m.

NATIVE ENTITIES - JULY 14, 2014 by 5:00 p.m.

COUNTIES AND MUNICIPALITIES - SEPTEMBER 2, 2014, by 5:00 p.m.

Enter planning information into the ICIP database at www.state.nm.us/capitalprojects/.

REQUIRED Documents for a Compliant Submission:

1. Entity Information. Provide contact person name, address, telephone, fax number, email address. Also include COG District number, entity type, and Financial Compliance information.
   a. Project Priority Process. Provide information on the process of how your entity planned and prioritized the projects included in your ICIP.
   b. Capital Improvement Goals. Identify the project goals to include timing, costs of design, site preparation, equipment, furnishing, maintenance and operation.
   c. Factors/Trends Considered. Provide information on trends and factors in your community and how they were taken into consideration during the planning process.
3. Capital Description Report For Top Five (5) Projects. This is the individual report for each of your top five (5) projects located in the Projects List page.
4. Written approval of ICIP by governing body. Provide a Resolution of Approval from entity governing body. Native entities that are not able to obtain a Resolution may provide Letter of Approval from a Governor, President, or Chapter President. If an adopted Resolution or Letter of Approval is not included with your original submission packet it will not be accepted. See Appendix E for a template of an approval resolution.

Additional documents. DO NOT submit any additional documents unless required and/or requested by DFA/LGD. (i.e. Resolution, Federal/State/Judicial Mandate, and/or specific requested documents)

Submissions missing ANY of these documents will be considered Non-Compliant, and will risk your ICIP not be included in the final ICIP publication.

Submit your completed ICIP Packet in a sealed envelope clearly marked:

2016-2020 ICIP

REMIT TO:
DFA/LGD
407 Galisteo, Bataan Memorial Bldg. Rm 202
Santa Fe, NM 87501
Attention: Carmen B. Morin

ICIP DELIVERY SPECIFICATIONS

- ICIP submissions sent via mail or certified courier and must be received at the DFA/LGD office by specific deadlines listed per entity type.
- ICIP submissions hand delivered must be received at the DFA/LGD on or before specific deadlines listed per entity type.
- Please retain proof of delivery for verification of meeting the deadline.
- There is no electronic submission option.
- Do Not Staple or Bind Packet.
UNACCEPTABLE ICIP SUBMISSION

- Fax or email ICIP submissions will not be accepted.
- ICIP submissions received after the deadline will not be accepted.
- ICIP submissions missing any of the documents listed above as REQUIRED will be deemed non-compliant.

ICIP submissions 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 Carmen.B.Morin@state.nm.us. Extension requests must be received by DFA/LGD as listed below. A maximum of two weeks will be allowed if approved.

ICIP Extension Deadline for Native: June 30, 20124. Extensions no later than July 28th.

A Submission Check List is provided in Appendix I to assist you in gathering the information needed for your 2016-2020 ICIP.

ICIP Database - Plans are updated by completing the information on the web at: www.state.nm.us/capitalprojects/. Entities that participated in the ICIP process last year will use their previously assigned codes and passwords. Entities that did not participate last year, and wish to participate this year, and entities that have lost or forgotten their passwords should contact Carmen Morin via email at Carmen.B.Morin@state.nm.us.

ICIP Worksheets are available in Word and PDF format. The worksheets contain most of 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.

The current plan is a State Fiscal Year 2016-2020 plan - This means that the 5 year cycle of the current plan should be from July 1, 2015 to June 30, 2020.

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, 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. The financial compliance fields in the ICIP are mandatory. However, 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.

Projects listed must require partial or total funding - Projects that are fully funded should not be part of this plan.

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.

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.

**Fire districts and departments should no longer 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.

**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 2016-01 project and a 2016-03 project without also including a 2016-02 project. **Only list one project per priority ranking. The database will no longer let you list multiple projects with the same priority rank.**

**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.

**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.

**ICIP Publication** - The complete ICIP Publication will be available before the Legislative Session in 2015. The ICIP Publication will include the project summary and 2016 top 5 projects of all participating entities and will be available on the web at [http://nmdfa.state.nm.us/ICIP.aspx](http://nmdfa.state.nm.us/ICIP.aspx). 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 entities.

**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, please contact DFA/LGD. If you wish to delete any of your projects, please contact Carmen Morin via email at CarmenB.Morin@state.nm.us.

**Amendments to ICIP** – There is no amendment process to the ICIP. Your ICIP projects and rankings that are submitted to DFA/LGD by the deadline cannot be modified or changed in any way. DFA/LGD staff may contact you after your deadline to seek clarification on specific projects. If you change priorities, add or remove projects after the deadline your initial submission is what will be published. From your entity’s specific deadline through the end of the Legislative Session entities cannot make changes to their project information or ranking. In addition, a printed copy of the entire ICIP must be received by Local Government Division/DFA on or before the entity specific deadline date.

Benefits of completing the ICIP include:

- Encourages 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. Because funding sources, in general, favor entities that plan, the ICIP is a perfect tool to add to 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. In order 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.
• Changes cannot be made to the ICIP project information or ranking from September 30th through the end of the Legislative Session. There is no amendment process to the ICIP. In addition, a printed copy of the entire ICIP must be received by DFA/LGD on or before deadline date as required.

Benefits of submitting the local plan to the state include:

• New Mexico Capital Outlay - Each entity can earmark which of its prioritized projects (a maximum of five 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 from your entity is published, and the ICIP is placed on the DFA website so that the planning data for each entity is made readily available for use by participants, government officials, funders, engineering and architectural firms, and researchers.
• A letter is distributed to each state representative and senator at the prior to each legislative session notifying them the final publication is available at the DFA/LGD website.
• Federal representatives and senators, agencies, and other interested parties are also informed of the publication.
• 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 funders look to the ICIP when considering funding to see whether entities making proposals have completed an ICIP, such as: Water Trust Board (WTB), and Tribal Infrastructure Fund (TIF) also request ICIP information when awarding entities.
III. 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 today. 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.

### Developing the Local Infrastructure Capital Improvement Plan

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#### 1. Determine the Process/Involve the Public

- If you wish for your entity’s planning data to be published in the ICIP publication review the submission requirements in Appendix I. Establish a relationship with your assistance providers, 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 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 hard copies of your ICIP as stated in Appendix I.
- 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.
Determine who will be involved. Determine role of committee(s), elected officials, staff, particular citizen groups and others.

Make sure adequate resources are in place to complete your plan.

Create a timetable for completing your plan.

Determine your community’s definition of infrastructure and the basic issues that will be discussed.

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, and specifically and to varying degrees, the following. The ICIP should include, but is not limited to, the construction and/or improvements of the following local types of projects:

- Administrative Facilities
- Airports
- Arts (other than museum)
- Clean Energy
- Community Service Facilities (e.g., senior centers, daycare facilities, domestic violence facilities, health facilities, youth activity centers)
- Convention Facilities
- Cultural Facilities (including museums)
- Design
- Economic Development Projects
- Equipment
- Fair Facilities
- Housing
- Land and Site Acquisition
- Landfills
- Libraries
- Lighting
- Medians
- Museums
- Overpasses
- 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, and Bicycle Facilities
- Transit
- Utilities (publicly-owned)
- Water Quality, Supply, Treatment and Distribution
Water Rights and Protection

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
- Water Rights/Water Supply

Note: The items above 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

Utilize existing citizen participation mechanisms in the process. 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: http://www.nmag.gov/consumer/publications/openmeetingsactcomplianceguide.

- 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 infrastructures 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.

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

A mission is a short statement of direction. Goals are overarching 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, etc.**

Procurement Code: 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: [http://www.generalservices.state.nm.us/statepurchasing/default.aspx](http://www.generalservices.state.nm.us/statepurchasing/default.aspx).

May 2013, Governor Susana Martinez issued an Executive Order 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 at [http://www.nmdfa.state.nm.us/Capital_Outlay_Bureau.aspx](http://www.nmdfa.state.nm.us/Capital_Outlay_Bureau.aspx).

Budget reports due to DFA/LGD can be accessed at the DFA/LGD Budget and Finance Bureau website at [http://www.nmdfa.state.nm.us/Forms_and_Pilot_Project_Forms_1.aspx](http://www.nmdfa.state.nm.us/Forms_and_Pilot_Project_Forms_1.aspx).

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 in light of 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 using the capital inventory component of the ICIP Program. Use the 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.

Inventories can be maintained in the ICIP database. If your entity does not have an inventory management tool (on an Excel spreadsheet, for example), the ICIP Database is a tool you may utilize to track and manage your inventory. Be sure to check the Inventory Box on the Entity Information Page in the ICIP database if your entity has a regularly maintained inventory process.

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, the 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. In order 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.

8. **The local governing officials set priorities based on factors affecting the entity and 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 as a whole. Often, the departmental rankings are prioritized in an entity-wide official meeting and reviewed by the 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 in Appendix D.

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, 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 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 operating departments are considering their capital priorities, a financial assessment should be made of the entity’s fiscal capacity by a finance officer. 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.**
For suggested funding sources and financing mechanisms, see the Appendix G. 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.

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 website provides a format for creating a plan and, when planning data has been entered and reports are printed, the site provides a narrative report for the entity.

12. **Seek feedback on the draft from all interested parties.**
The Chief Administrative Officer (CAO), Manager, or Chief Executive Officer (CEO) may 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. **Reevaluate 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 (see Appendix E for Resolution Template).

15. **Enter Final ICIP into the ICIP Database.**
ICIP worksheets are provided in Word format in Appendix A and available on the ICIP Website at [http://nmdfa.state.nm.us/ICIP.aspx](http://nmdfa.state.nm.us/ICIP.aspx) to assist in organizing your projects. The next step is to input project information into the ICIP database.

16. **Submit the plan to Local Government Division.**
All ICIP required documents must be received by the DFA/LGD on or your specific entity deadline as determined by DFA/LGD.
IV. Implement the Plan / 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. A list of funding sources is located in these guidelines on Appendix H.

The methods to obtain funding are as diverse as the number of programs. In order to match needs and goals with available resources, the Catalog of Local Assistance 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 and pueblos, non-profit organizations and school districts. This catalog may be accessed at http://nmdfa.state.nm.us/Catalog_Of_Assistance.aspx.

There are also many programs administered by federal or private agencies. Some are listed at the end of each chapter of DFA/LGD’s catalog and are identified by the code used in the Catalog of Federal Domestic Assistance. The federal catalog, 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. It may also be accessed online at www.cfda.gov.

Entities interested in learning more about public infrastructure in New Mexico may wish to attend the New Mexico Infrastructure Finance Conference. Held annually, this conference brings together approximately fourteen financing agencies, which sponsor the conference, with attendees from local governments throughout New Mexico. The New Mexico Infrastructure Finance Conference (NMIFC) was created to help support the planning and funding of sustainable infrastructure projects throughout New Mexico. The conference offers local entities and individuals the opportunity to meet with key funding agency contacts that can answer questions and provide guidance as they bring their capital projects to reality. Conference participants include local entities, special districts, school districts, tribes and pueblos and private organizations. The 2013 conference will be held in Albuquerque, New Mexico. Visit the NMIFC website at http://www.nmenv.state.nm.us/cpb/InfFinCon/index.html for more information.

For information on private and public sources of funding, contact the 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.
Appendix A: Local Government ICIP Worksheets

2016-2020 Infrastructure Capital Improvement Plan

To: Local Government ICIP Coordinators
From: Carmen Morin, DFA/LGD

The following worksheets will 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 of 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 inputted into the ICIP database to be included in the final document. **DO NOT submit the ICIP worksheets.**

The database can be accessed at [http://www.state.nm.us/capitaloutlay](http://www.state.nm.us/capitaloutlay), you will use your entity’s code and password from last year; if you are new participants, email Carmen Morin at CarmenB.Morin@state.nm.us to request and entity code and password. Please provide your entity name, county, 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 via email. If you do not have internet connection, you can call your local COG or DFA/LGD; 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 in Appendix F.

To be included in the ICIP publication printed by the DFA/LGD, your project information must be entered into the database, and the required documents in Appendix I must be received no later than 5:00 p.m. on your specific entities deadline as determined by DFA/LGD. **Documents must be mailed or hand delivered to DFA/LGD at 407 Galisteo, Bataan Memorial Bldg. Rm 202, Santa Fe, NM 87501. There is no electronic submission option.**

**FY 2016-2020 ICIP DEADLINES:**

**SPECIAL DISTRICTS - JUNE 16, 2014 by 5:00 p.m.**

**NATIVE ENTITIES - JULY 14, 2014 by 5:00 p.m.**

**COUNTIES AND MUNICIPALITIES - SEPTEMBER 2, 2014, by 5:00 p.m.**
(Form to be completed by coordinator)

Entity Information. 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. Be sure to enter your email address, if you have one.)

Local Government Name: __________________________________________________________ (auto)

Entity Type: Acequia ☐; County ☐; Fire District ☐; Flood Control District ☐; Land Grant ☐; Municipality ☐; Native American ☐; Other Special District ☐; Soil & Water District ☐; State Agency ☐; Water Assoc. ☐

COG District: EPCOG ☐; MRCOG ☐; NCNMEDD ☐; NWNMCOG ☐; SCNMCOG ☐; SENMEDD ☐; SWNMCOG ☐

ICIP Coordinator/Contact Name: _______________________________________________________

Address: _________________________________________________________________________

City, State, Zip: ___________________________ County: ___________________________

Email: ________________________________________________________________

Phone: (___)________________________ Fax: (___)________________________

Provide your entity’s most current Audit opinion.

Unqualified ☐  Qualified ☐  Adverse ☐  Disclaimer ☐  N/A ☐

For what fiscal year was that opinion issued? _________

Is your entity REQUIRED to report to the NM State Auditor’s office? Y ☐  N ☐  N/A ☐

Does your entity fall under the Tiered System Reporting? Y ☐  N ☐  N/A ☐

If yes, Tiered No. 1, 2, 3, 4, 5 or 6 _____(drop down)

If your entity fall under Tiers 1 or 2, have you provided a copy of your certification to: (check all that apply)

☐ NM State Auditor’s Office  ☐ LGD

If your falls under Tiers 3-6, provide the number of findings. _____

For what fiscal year were the findings issued? _____

Is your entity REQUIRED to submit budgets/quarterly reports to DFA/LGD? Y ☐  N ☐  N/A ☐

For what year was the most current budget approved by DFA/LGD. _________

Provide the year and quarter of your most current quarterly report approved by DFA/LGD. Yr ____Qtr _____

Does your entity have an asset management plan/inventory listing? Y or N
This section is MANDATORY.

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?

________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________

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

________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________

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?

________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
(Form to be completed by coordinator)

**Inventory Information OPTIONAL.** The inventory database is available for you to utilize to manage your capital assets. (It is not mandated to use the ICIP Inventory database, but it is highly encouraged to use a similar tool to manage your assets.)

The inventory of assets should include all buildings and major equipment and, if possible, utilities, roads, and sewers. It should document the need for replacement, expansion, or repair of all physical assets in the community.

Review each inventory item to determine whether, given your entity’s needs over the next 5 years:

- Its use/condition is efficient and effective. If not, consider whether it should be 1) improved, rehabilitated, or renovated, 2) adapted for re-use, 3) enlarged, or 4) disposed of, etc. If there are departments in your entity, it would be good to have each department involved in this review.
- The item should have any capital improvements (such as renovations, rehabilitations, preservation, additions, etc.) during 2016-2020. If so, determine the improvement’s priority among the entity’s other ICIP capital improvements for that timeframe and list them as projects in the project section of this ICIP.

The ICIP inventory forms in this section are offered as a convenient format in which to store your inventory information, but you are not required to use these forms.

**Inventory Item Details** (Fill out this form for each inventory item.)

This is a worksheet for only one inventory item. If you would like more blank worksheets for additional inventory items, please copy this form before you fill in the blanks. If your entity has departments, it would be good to have those departments review inventory used or controlled by them so that they can determine whether those items need capital improvement.

Inventory Title: (Inventory Title should be written in initial cap/lowercase. Good: “Senior Center”, Not Good: Senior center; senior center; SENIOR CENTER): ___________________________________________________

Location (Address, City, Zip) ________________________________________________________________

Year Acquired: ______ Latest Improvement/Year: ______

Condition (physical condition): Adequate/Inadequate

Utilization (space and configuration good considering use?): Adequate/Inadequate

Code Deficiencies? Yes/No

The use/condition should be efficient and effective. If not, consider whether the item should be
1) Improved, rehabilitated, or renovated
2) Adapted for re-use
3) Expanded/made smaller
4) Disposed of
5) Other: _____________________
**Future Capital Improvements By Year**

<table>
<thead>
<tr>
<th><strong>Future Capital Improvement</strong> (not maintenance; do not list repairs)</th>
<th><strong>Year</strong> (if the year is any year from 2016-2020 and this is not a fully funded project, be sure to list this improvement as a project in the project section of this ICIP)</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>
**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 beginning during state fiscal years 2016-2020 (July 1, 2015 to June 30, 2020). **DO NOT INCLUDE ANY FULLY FUNDED PROJECTS.** This worksheet provides pages for only one 2016-2020 project. If you would like more blank worksheets for additional projects, please copy this form before you fill in the blanks. Ultimately this information must be entered into the website.

Project Title: **MANDATORY** (50 maximum characters allowed) Provide a short, but descriptive title. Example: 2nd Street Improvements or WWTP Upgrades.

Sub Code: **OPTIONAL**- Use the Sub Code to input the code used to identify project internally from entity)

**Year:** List year project will begin. This year must match the budget. Example: Project begins in 2016 – first budget item should begin in 2016.

**Plan Project Priority Year and Rank:** (Enter the appropriate project year (**2016-2020**), then rank your projects **1-401**): 201____-____ (The database will not allow you to list the same rank for multiple projects. The first 2016 top 5 projects listed may begin with preference if your entity is seeking State Capital Outlay funds.)

**Project Type:** **MANDATORY** New [ ] ; Replacing Existing [ ] ; or Renovate/Repair [ ]

**Category:** (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.)

- [ ] Acequias
- [ ] Adm/Service Facilities
- [ ] Arts (other than museums)
- [ ] Clean Energy
- [ ] Cultural Facilities
- [ ] Convention Facilities
- [ ] Daycare Facilities
- [ ] Domestic Violence Facilities
- [ ] Economic Development
- [ ] Fair Facilities (state only)
- [ ] Fire
- [ ] Higher Education (state only)
- [ ] Health-Related Cap Infrastructure
- [ ] Housing-Related Cap Infrastructure
- [ ] State Gov. Facilities (not local)
- [ ] Utilities (publicly owned)
- [ ] Water Rights
- [ ] Water Supply
- [ ] Wastewater
- [ ] Landfills
- [ ] Lighting
- [ ] Libraries
- [ ] Medians
- [ ] Museums
- [ ] Other
- [ ] Overpasses
- [ ] Public Education (state only)
- [ ] Public Parks (local)
- [ ] Public Safety Equipment
- [ ] Public Safety Vehicles
- [ ] Rest Areas
- [ ] State Parks (not local)
- [ ] Senior Facilities
- [ ] Solid Waste
- [ ] Highways/Roads/Bridges
- [ ] Transit
- [ ] Airports
- [ ] Storm/Surface Water Control

**Colonia:** (Answer “Yes” only if this project is located in a community that qualifies as a Colonia. Colonia communities are unincorporated settlements along the U.S. - Mexico border that lack basic infrastructure. They tend to be geographically isolated neighborhoods that must rely on informal social networks to access information regarding educational programs, health and social services.):  [Y] [N]

**Legislative Language:** **MANDATORY** (500 maximum characters allowed) Provide recommended Legislative language. Include action words, such as "to plan and design" or "to design and construct" 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. Anticipate any expenses that may arise that are not included in your project budget; i.e., Equipment and Furnishings. Do not include justification for the project.

__________________________________________________________________________________________________
__________________________________________________________________________________________________
__________________________________________________________________________________________________
Description/Scope of Work: **MANDATORY** (1000 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)

__________________________________________________________________________________________________
__________________________________________________________________________________________________

Does the project have 10 years or more of actual use? Y ☐ N ☐

Is the project necessary to address population growth? Y ☐ N ☐

Has the land and all necessary easement or right of ways been acquired to complete the project? Y ☐ N ☐ N/A ☐

Street/Waterline Project: (1000 maximum characters allowed) Name the streets, if applicable, and/or specific areas that will be affected) ______________________________________

__________________________________________________________________________________________________
__________________________________________________________________________________________________

Project Location: **MANDATORY.** (50 characters maximum) (list mid-point address if city/county wide project)
Address: ________________________________ State: ____ Zip: __________
City: __________________________
Latitude: __________ Longitude: __________ **MANDATORY** (20 maximum characters allowed each)
(Go to http://itouchmap.com/latlong.html for Latitude and Longitude.) List Degrees, minutes, and seconds. Example: Latitude 35.683263; Longitude -105-942546.

Is the project necessary to eliminate potential or actual issue? (Check all that apply):
  Health ☐ Safety ☐ Liability ☐ Other ☐

Is the project required by Federal, State, or Judicial Mandate? Y ☐ N ☐ N/A ☐

Issued by: ____________________________ (50 characters maximum) Mandate must be a Court, State or Federal Agency.

Date of Order: _____/____/______ (01/01/2016)

Is this project tied to another funding source as a match component? Y ☐ N ☐

If yes, name funding Source: (35 maximum characters allowed) ____________________________
(If yes, list the funding source. Must also include in the Funded to Date Budget and match to Project Budget).

Has project been funded previously by Legislative funding? Y ☐ N ☐ N/A ☐
(Has this project received previous legislative funding? List most recent years funded and amount. The amount funded should also be listed in the Funded to Date table, match the amount in the Funded to Date column in the Project Budget, and provide more detail in the Description/Scope of Work.)

If yes, please provide year and amount funded.

Year Funded _______  Amount $_________
Year Funded _______  Amount $_________
Year Funded _______  Amount $_________
Year Funded _______  Amount $_________
Funded to Date: If you have secured funding to assist in the completion the project, fill out the table below. Note: Total amount listed in this section must equal the total Funded to Date in the Budget on next page. (Do not use commas, decimals, or $ signs when inputting dollar amounts in to ICIP database)

<table>
<thead>
<tr>
<th>Funded to Date (drop down)</th>
<th>Amount</th>
<th>Secured Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>F1 _________________________</td>
<td>$ ______</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>F2 _________________________</td>
<td>$ ______</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>F3 _________________________</td>
<td>$ ______</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>F4 _________________________</td>
<td>$ ______</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>F5 _________________________</td>
<td>$ ______</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>Other ______________________</td>
<td>$ ______</td>
<td>Yes ☐ No ☐</td>
</tr>
</tbody>
</table>

Total Funded To Date $___________
(Must equal funded to date in budget)

**Funding Sources Drop Down List**

<table>
<thead>
<tr>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALTSD Grant</td>
</tr>
<tr>
<td>Capital Outlay</td>
</tr>
<tr>
<td>Community Development Block Grant</td>
</tr>
<tr>
<td>DFA Grant</td>
</tr>
<tr>
<td>DOT Grant</td>
</tr>
<tr>
<td>Federal Grant</td>
</tr>
<tr>
<td>Federal Loan</td>
</tr>
<tr>
<td>General Obligation Bond</td>
</tr>
<tr>
<td>Indian Affairs Grant</td>
</tr>
<tr>
<td>Local Bonds</td>
</tr>
<tr>
<td>Local Funds</td>
</tr>
<tr>
<td>NMED Grant</td>
</tr>
<tr>
<td>NMED Loan</td>
</tr>
<tr>
<td>NMEDD Grant</td>
</tr>
<tr>
<td>NMEDD Loan</td>
</tr>
<tr>
<td>NMFA Grant</td>
</tr>
<tr>
<td>NMFA Loan</td>
</tr>
<tr>
<td>Other</td>
</tr>
<tr>
<td>Other State Grant</td>
</tr>
<tr>
<td>Other State Loan</td>
</tr>
</tbody>
</table>
**Project Budget MANDATORY.** Complete the Project Budget Below only unfunded or unsecured funds under project years. Note: Funded to Date must equal amounts listed above. *(Do not use commas, decimals, or $ signs)*

### PROJECT BUDGET

<table>
<thead>
<tr>
<th>Completed</th>
<th>Funded to Date</th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
<th>2019</th>
<th>2020</th>
<th>Total Project Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Water rights</td>
<td>✓</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Easements and Rights of way</td>
<td>✓</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Acquisition</td>
<td>✓</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Archaeological Studies</td>
<td>✓</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Environmental Studies</td>
<td>✓</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Planning</td>
<td>✓</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Design(Engineer/Architect)</td>
<td>✓</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Construction</td>
<td>✓</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Furnishing/Equipment</td>
<td>✓</td>
<td>0</td>
<td>0</td>
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<td>0</td>
<td>0</td>
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<td><strong>TOTALS</strong></td>
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<tr>
<td>Amount Not Yet Funded</td>
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<td>0</td>
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</table>
Can this project be phased? Y ☐  N ☐  (If yes, please complete table below)

**Phase**: A project phase is a fundable, 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.

**Project Phases: MANDATORY IF YOU ARE PHASING YOUR PROJECT.** Provide the unfunded amount, category, and # of months to complete for each phase. (Do not use commas, decimals, or $ signs) (Total Phase Amount Must Equal Amount Not Yet Funded in Budget)

### PHASING BUDGET

<table>
<thead>
<tr>
<th>Phase</th>
<th>Amount</th>
<th>Plan</th>
<th>Design</th>
<th>Construct</th>
<th>Furnish/Equip</th>
<th>Other (Water Rights, Easements, Acquisitions)</th>
<th># Mos to Complete</th>
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</thead>
<tbody>
<tr>
<td>Phase 1</td>
<td>0</td>
<td>☐</td>
<td>☐</td>
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<td>☐</td>
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<tr>
<td>Phase 2</td>
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<tr>
<td>Phase 3</td>
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<td>☐</td>
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<td>☐</td>
<td>0</td>
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<tr>
<td>Phase 4</td>
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<td>0</td>
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<tr>
<td>Phase 5</td>
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<td>☐</td>
<td>0</td>
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</tbody>
</table>

(Auto sum) (Total Phase Amount must equal amount Not Yet Funded above.)
Potential Future Funding for Amounts Not Yet Funded. All projects in the ICIP should be those projects that are partially funded or unfunded. If a project is fully funded, do not put it in the ICIP project list. Because not all funds for this project have been secured, part of the planning for the project includes a search for possible sources of funds. In the database, there will be space to put in five choices from the following list:

Potential Funding Sources: MANDATORY. Identify up to five (5) future potential funding sources you will seek to complete your project.

Note: List at least one potential funding source. List amount for all sources listed. A list of state and federal funding sources is provided for you below and in the ICIP Guidelines on pages 38 and 39. Choose from the funding source list below that represent where your entity might go to find the money needed to complete this project. Do not list sources where you have already received money, unless you will seek additional funds from that source.

<table>
<thead>
<tr>
<th>Potential Funding Sources</th>
<th>Amount</th>
<th>Applied for</th>
</tr>
</thead>
<tbody>
<tr>
<td>F1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>F2</td>
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<td>F4</td>
<td></td>
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<tr>
<td>F5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Funding Sources Drop Down List

ALTSD Grant
Capital Outlay
Community Development Block Grant
DFA Grant
DOT Grant
Federal Grant
Federal Loan
General Obligation Bond
Indian Affairs Grant
Local Bonds
Local Funds
NMED Grant
NMED Loan
NMEDD Grant
NMEDD Loan
NMFA Grant
NMFA Loan
Other
Other State Grant
Other State Loan
Will project promote economic development? **OPTIONAL**  Y □  N □  N/A □

If yes, will it - □ Create Jobs  □ Retain Jobs  □ Attract New Business (check all that apply)

List the number of direct project beneficiaries. __________. **MANDATORY** (List the number of people that will be affected and/or will benefit from your project. This could be the total population or a select number of individuals.)

Is this a Regional or Statewide project?  □ Regional  □ Statewide  □ Neither

If a Regional project, list all entities that will be affected, include each entity’s ICIP Project ID #, and indicate who will be the fiscal agent. (300 maximum characters allowed)

Identify who will assume the following responsibilities related to this project:

- Own ____________________________ (50 maximum characters allowed)
- Operate ____________________________ (50 maximum characters allowed)
- Fiscal Agent ____________________________ (50 maximum characters allowed)

Has your local government/agency budgeted for operating expenses for the project when it is completed? **MANDATORY**  Y □  N □

1. If Yes – please complete operating budget below. (No Commas, Decimals, or $ signs)
2. If no – please explain why (150 maximum characters allowed)

---

**ANNUAL OPERATING BUDGET**

<table>
<thead>
<tr>
<th></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 Expenses plus Debt Service</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>Annual Operating Revenues</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
</tbody>
</table>

Will the project produce operating savings or operating efficiencies resulting in a reduction in net operating costs?  Y □  N □  N/A □  If yes, approximate estimated savings per year $ _________________
Legislators. **MANDATORY.** (Choose your Legislators by District affected by the project. Choose County that project is located. Drop down lists are available for your convenience.)

**Provide the District(s) and County(s) affected by this project.**

<table>
<thead>
<tr>
<th>House</th>
<th>Senate</th>
<th>County</th>
</tr>
</thead>
</table>

Legislators that are in support of project. **OPTIONAL. (25 Characters Maximum in each field)**

(List all Legislators in that are in support and/or are affected by the project.)

Note: It is important to contact your Legislators and ask for their support of your projects if you are seeking Legislative or Capital Outlay funds. This is also what we will use in order to distribute the ICIP Publication to each Legislator that may be affected by projects in their area.
Appendix B: Sources of Assistance in Developing the ICIP

**General Assistance--Local Government Division**

Carmen Morin  
ICIP Program Manager--Local Governments Division  
Department of Finance & Administration/State of NM  
407 Galisteo, Bataan Memorial Bldg. Rm 202  
Santa Fe, NM 87501  
505 827-4957 (phone); 505-827-4948 (fax)  
CarmenB.Morin@state.nm.us

**Native American Tribes/Nations/Chapters**

**Indian Affairs Department, State of New Mexico/Santa Fe**  
Rosemary Whitegeese, Rosemary.Whitegeese@state.nm.us 505-476-1612

**Navajo Nation (chapters)/Shiprock**  
Denise Copeland, drecopeland@nncio.org; 505-368-1059

**Acequias**

**NM Acequia Association/Santa Fe**  
Janice Varela, Community Organizer organizer@lasacequias.org; 505-995-9644

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

**Land Grant**

**Land Grant Council**  
Juan Sanchez, Chair; sanchezj@chilili.org; 505-249-6759
NM Council of Governments

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, 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, colonias, 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; schancey@ep cog.org; 575-762-7714; or Ray Mondragon; rmondragon@epcog.org; or Renee Ortiz; rortiz@epcog.org

Mid Region COG /Albuquerque: Sandoval, Bernalillo, Valencia, and Torrance counties;
Dewey Cave; dcave@mrcog-nm.gov; 505-247-1750; Sandra Gaiser; sgaiser@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;
Tim Armer, tima@ncnmedd.com; 505-395-2668; Eric Ghahate; ericg@ncnmedd.com; 505-395-2681 ; or Lesah Sedillo; l sedillo@ncnmedd.com; 505-395-2683

Northwest NM COG/Gallup: San Juan, McKinley and Cibola counties;
Jeff Kiely; jkiely@nwnmcog.com; 505-722-4327; or Evan Williams; ewilliams@nwnmcog.com; or Prestene Garnenez, pgarnenez@nwnmcog.com

Southwest NM COG /Silver City: Catron, Hidalgo, Luna, and Grant counties;
Priscilla C. Lucero; priscillalucero@swmcog.org; 575-388-1509

Southeastern NM Econ. Dev. Dist. /Roswell: Lincoln, Otero, Chaves, Eddy and Lea counties;
Hubert Quintana; hqsnmedd@plateautel.net; 575-624-6133; or Pansy Moffitt; pmsnmedd@plateautel.net; 575-624-6131

South Central NM COG /Elephant Butte & Mesilla: Socorro, Sierra, and Dona Ana counties;
Jay Armijo; jarmijo@sccog-nm.com; 575-740-0726; or Tiffany Goolsby; tigoolsby@sccog-nm.com; 575-740-2926
Appendix C: Permission for Access Form

2016-2020 ICIP Permission for Access Form

__________________________________________, a New Mexico local government, county, special district, or tribe, gives the following:

☐ Eastern Plains Council of Government  
☐ Mid-Region Council of Government  
☐ North Central NM Economic Development District  
☐ Northwest NM Council of Government  
☐ South Central Council of Government  
☐ Southeastern NM Economic Development District  
☐ Southwest NM Council of Government  
☐ New Mexico Acequia Association  
☐ Other _________________________________(please specify)

the right to enter the Infrastructure Capital Improvement Plan website and manipulate the 2016-2020 Infrastructure Capital Improvement Plan database for this entity.

Person with local entity signatory authority to give such permission:

__________________________________________
Print Name/Title

__________________________________________ Date
Signature

Agreed to by: (Please provide person with assisting Agency signatory authority to enter into such agreement):

__________________________________________
Name of Agency

__________________________________________
Print Name/Title

__________________________________________ Date
Signature
## Appendix D: 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></td>
<td>3</td>
<td>2</td>
</tr>
<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 E: Resolution Template

County, Municipality/Tribal Entity/Chapter/Special District of

COUNTY OF__________________________

Resolution No.________________________

A RESOLUTION
ADOPTING AN INFRASTRUCTURE CAPITAL IMPROVEMENT PLAN (ICIP)

WHEREAS, the county/municipality/tribal entity/chapter/special district 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 COUNTY/MUNICIPALITY/TRIBE/CHAPTER/SPECIAL DISTRICT_______ that:

1. The county/municipality/tribal entity/chapter/special district has adopted the attached 2016-2020 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___________________, 20xx.

Mayor/County Commission Chair/Board Chair

ATTEST:

_____________________________________

Municipal/County Clerk/Other Testator
## Appendix F: 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</td>
<td>PO Box 4192 Santa Fe, NM 87502</td>
<td>(505) 466-8813 <a href="mailto:gottconsulting@qwestoffice.net">gottconsulting@qwestoffice.net</a></td>
<td>(505) 466-8813</td>
</tr>
<tr>
<td>Robert Gott, Consultant (no website)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>American Council of Engineering Companies (ACEC) NM &amp; Professional Technical Advisory Board</td>
<td>PO Box 3773 Albuquerque, NM 87190-3773</td>
<td>(505) 888-6161 <a href="mailto:ptab@acecnm.org">ptab@acecnm.org</a></td>
<td>n/a</td>
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<tr>
<td><a href="http://www.ptabnm.org">www.ptabnm.org</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bureau of Business and Economic Research</td>
<td>1920 Lomas Blvd NE University of New Mexico Albuquerque NM 87131-6021</td>
<td>(505) 277-2216 <a href="mailto:dbinfo@unm.edu">dbinfo@unm.edu</a></td>
<td>(505) 277-7066</td>
</tr>
<tr>
<td><a href="http://www.unm.edu/~bber/">www.unm.edu/~bber/</a></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>New Mexico Rural Water Association</td>
<td>3413 Carlisle NE Albuquerque, NM 87411</td>
<td>(505) 884-1031 (800) 819-9893</td>
<td>(505) 884-1032</td>
</tr>
<tr>
<td><a href="http://www.nmrwa.org">www.nmrwa.org</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Environmental Services Center</td>
<td>West Virginia University PO Box 6064 Morgantown, WV 26506-6064</td>
<td>(800) 624-8301 <a href="mailto:info@mail.nesc.wvu.edu">info@mail.nesc.wvu.edu</a></td>
<td>(304) 293-3161</td>
</tr>
<tr>
<td><a href="http://www.nesc.wvu.edu">www.nesc.wvu.edu</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rural Community Assistance Corporation</td>
<td>811 St. Michaels Dr./Ste 202 Santa Fe, NM 87505</td>
<td>(505) 983-5074 <a href="mailto:bsurgeon@rcac.org">bsurgeon@rcac.org</a></td>
<td>n/a</td>
</tr>
<tr>
<td><a href="http://www.rcac.org">www.rcac.org</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Environmental Finance Center Mark P. Cal, Ph.D., P.E., BCEE Chair and Professor</td>
<td>New Mexico Tech Civil &amp; Environmental Engineering 801 Leroy Place 115 Jones Hall Annex Socorro, NM 87801</td>
<td>(505) 349-3542 <a href="mailto:mcal@nmt.edu">mcal@nmt.edu</a></td>
<td>n/a</td>
</tr>
<tr>
<td><a href="http://nmefc.nmt.edu">http://nmefc.nmt.edu</a></td>
<td></td>
<td></td>
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<tr>
<td>INTERNATIONAL ORGANIZATIONS</td>
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<tr>
<td>-----------------------------------------------------------------</td>
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<td>---</td>
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</tr>
<tr>
<td>Border Environment Cooperation Commission (BECC)</td>
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<tr>
<td><a href="http://www.cocef.org">http://www.cocef.org</a></td>
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<tr>
<td>North American Development Bank (NAD Bank)</td>
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<td><a href="http://www.nadb.org">http://www.nadb.org</a></td>
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<tr>
<td>FEDERAL AGENCIES</td>
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</tr>
<tr>
<td>U.S. Army Corps of Engineers (ACOE)</td>
<td>X</td>
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<td>X</td>
</tr>
<tr>
<td>Bureau of Indian Affairs, U.S Department of the Interior (BIA)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><a href="http://www.bia.gov">http://www.bia.gov</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bureau of Reclamation, U.S. Department of the Interior (BOR)</td>
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<td></td>
</tr>
<tr>
<td><a href="http://www.usbr.gov">http://www.usbr.gov</a></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Community Planning and Development, U.S. Department Housing and</td>
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<td>Urban Development (CPD)</td>
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<td><a href="http://www.hud.gov/offices/cpd/about/index.cfm">http://www.hud.gov/offices/cpd/about/index.cfm</a></td>
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<td></td>
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</tr>
<tr>
<td>U.S. Department of Transportation (USDOT)</td>
<td>X</td>
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<td>U.S. Environmental Protection Agency (EPA)</td>
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<td><a href="http://www.epa.gov">http://www.epa.gov</a></td>
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</tbody>
</table>
### Agency Technical Assistance Funding Contacts

<table>
<thead>
<tr>
<th>Agency</th>
<th>Community Development</th>
<th>Colonia’s</th>
<th>Economic Development</th>
<th>Emergency</th>
<th>Housing</th>
<th>Loan/Grant Guarantee</th>
<th>Planning</th>
<th>Solid Waste</th>
<th>Transportation</th>
<th>Water/Wastewater</th>
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</thead>
<tbody>
<tr>
<td>Federal Emergency Management Administration (FEMA) <a href="http://www.fema.gov">http://www.fema.gov</a></td>
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### STATE AGENCIES

<table>
<thead>
<tr>
<th>Agency</th>
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<th>Colonia’s</th>
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<th>Emergency</th>
<th>Housing</th>
<th>Loan/Grant Guarantee</th>
<th>Planning</th>
<th>Solid Waste</th>
<th>Transportation</th>
<th>Water/Wastewater</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction Programs Bureau, New Mexico Environment Department (NMED-CPB) <a href="http://www.nmenv.state.nm.us/cpb/cpbtop.html">http://www.nmenv.state.nm.us/cpb/cpbtop.html</a></td>
<td>X</td>
<td></td>
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<td>X</td>
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<td>X</td>
<td>X</td>
<td></td>
<td></td>
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</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>
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<td></td>
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</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</td>
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<td>X</td>
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<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Agency Technical Assistance Funding Contacts

| Agency | Website | Contacts
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>NM Finance Authority (NMFA): <a href="http://www.nmfa.net/">http://www.nmfa.net/</a></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>NM Indian Affairs Department (IAD) <a href="http://www.iad.state.nm.us">http://www.iad.state.nm.us</a></td>
<td></td>
<td></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></td>
<td></td>
</tr>
<tr>
<td>NM Mortgage Finance Authority (MFA) <a href="http://www.housingnm.org/">http://www.housingnm.org/</a></td>
<td></td>
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</tbody>
</table>

*Agency facilitates funding from NM Legislature, acts as liaison for Nations, promotes economic, environmental, health and safety programs.*
## Appendix G: 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>
A Note on Funding Sources

Certain activities are linked technically, by policy, or traditionally, with financing mechanisms and revenue sources. The Capital Financing Table (also found in this document) 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. A list of resource providers is located in these guidelines.

The methods to obtain funding are as diverse as the number of programs. In order to match the unique needs and goals with available resources, Capital Outlay Bureau-Local Government Division compiles the Catalog of Local Assistance Programs (published biennially) 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 and pueblos, non-profit organizations and school districts. This catalog may be accessed at http://www.nmdfa.state.nm.us/Catalog_Of_Assistance.aspx.

There are also many programs administered by federal or private agencies. Some are listed at the end of each chapter of DFA/LGD’s catalog and are identified by the code used in the Catalog of Federal Domestic Assistance. The federal catalog, 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. It may also be accessed online at www.cfda.gov.

Entities interested in learning more about public infrastructure in New Mexico may wish to attend the New Mexico Infrastructure Finance Conference. Held annually, this conference brings together approximately fourteen financing agencies, which sponsor the conference, with attendees from local governments throughout New Mexico. The 2013 18th Annual New Mexico Infrastructure Finance Conference will be held in Albuquerque, New Mexico on October 23-25, 2013. For more information, visit their website at: http://www.nmenv.state.nm.us/cpb/InfFinCon/index.html.

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.
## Appendix H: ICIP Funding Sources Table

<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), Native American, or entitlement. <a href="http://www.nmdfa.state.nm.us/CDBG_Information_1.aspx">http://www.nmdfa.state.nm.us/CDBG_Information_1.aspx</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), 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="http://www.nmdfa.state.nm.us">http://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>NMFA 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>NMFAA Loan</td>
<td>NM Finance Authority (NMFA) <a href="http://www.nmfa.net/">http://www.nmfa.net/</a></td>
</tr>
<tr>
<td>NMEDDD 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: 2016-2020 ICIP Submission Check List

☐ Enter entity contact and project information into the ICIP database at www.state.nm.us/capitalprojects/.

REQUIRED Documents for a Compliant Submission:

☐ Entity Information Page.
  - ICIP Coordinator/Contact person name
  - Address
  - Telephone, fax number, & email address
  - COG District number
  - Entity type
  - Financial Compliance information
  - Document Project Priority Process
  - Capital Improvement Goals
  - Factors/Trends Considered

☐ Written Approval. Provide a Resolution of approval from entity governing body. Native entities that are not able to obtain a Resolution may provide Letter of Approval from a Governor, President, or Chapter President. If an adopted Resolution or Letter of Approval is not included with your original submission packet it will not be accepted.

☐ Capital Description Report for Top Five (5) Projects.

☐ Printed Copy of ICIP Summary Page(s)

Additional documents. Please do not submit any additional documents unless required and/or requested by DFA/LGD, (i.e. Resolution, Federal/State/Judicial Mandate, and/or specific requested documents).

Submissions missing ANY of these documents will be considered Non-Compliant. Non-Compliant submissions will not be included in the final ICIP publication.

Submit your completed ICIP Packet in a sealed envelope clearly marked:
2016-2020 ICIP

REMIT TO:
DFA/LGD
407 Galisteo, Bataan Memorial Bldg. Rm. 202
Santa Fe, NM 87501.
Attention: Carmen Morin

ICIP DELIVERY SPECIFICATIONS
• ICIP submissions sent via mail or certified courier and must be received at the DFA/LGD office by specific deadlines listed per entity type.
• ICIP submissions hand delivered must be received at the DFA/LGD at or before specific deadlines listed per entity type.
• Please retain proof of delivery for verification of meeting the deadline.
• There is no electronic submission option.
• Do Not Staple or Bind Packet.
UNACCEPTABLE ICIP SUBMISSION
- Fax or email ICIP submissions will not be accepted.
- ICIP submissions received after the deadline will not be accepted.
- ICIP submissions missing any of the documents listed above as REQUIRED will be deemed non-compliant.

EXTENSION REQUEST
ICIP submissions 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 weeks will be allowed if approved.