

Regional Transportation Planning Organizations

This section of the NMDOT Program Procedures Manual (PPM) discusses the Regional Transportation Planning Organizations (RTPOs) in New Mexico and their participation in the comprehensive and collaborative statewide planning process.

RTPO Structure in New Mexico

Nonmetropolitan transportation planning is governed by 23 USC § 135(m) and the RTPOs are established by state statute and New Mexico State Transportation Commission Policy 68. The passage of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) established the requirement for a consultative planning process involving local elected and appointed officials in rural areas, which New Mexico meets through its relationships with the Councils of Government (COGs) and RTPOs. ISTEA also made federal transportation funding available to support RTPO planning programs.

The NMDOT establishes 4-year Cooperative Agreements (CAs) with regional COGs/Economic Development Districts (EDDs) to act as fiscal agents and administer the RTPOs. The CA identifies the respective roles and responsibilities of the COG/EDD, RTPO, and NMDOT. The NMDOT and RTPOs collaborate to continually refine and update a standard Regional Work Program (RWP) format. The NMDOT establishes an annual planning budget for the RTPOs to use for RWP activities.

The Moving Ahead for Progress in the 21st Century (MAP-21) federal authorization act of 2012 was the first federal action to formally discuss the designation “RTPOs” (although the previous transportation bill SAFETEA-LU, referred to Regional Planning Organizations). MAP-21 makes it optional for states to designate RTPOs “...to enhance the planning, coordination, and implementation of statewide strategic long-range transportation plans and transportation improvement programs, with an emphasis on addressing the needs of nonmetropolitan areas of the State.”¹¹⁵ MAP-21 and the subsequent Fixing America’s Surface Transportation (FAST) Act stipulate that states must consult with RTPOs representing an area with a population greater than 5,000 people and less than 200,000 people (the Transportation Management Area threshold) before obligating funding.¹¹⁶ RTPOs are required to be multijurisdictional organization of nonmetropolitan local officials and representatives of local transportation systems who volunteer to participate in the organization.¹¹⁷ The following seven RTPOs representing the rural, nonmetropolitan areas of New Mexico (see map in Appendix A):

- Mid-Region (MRRTPO)
- Northeast (NERTPO)
- Northern Pueblos (NPRTPO)
- Northwest (NWRTPPO)
- South Central (SCRTPPO)
- Southeast (SERTPO)
- Southwest (SWRTPPO)

¹¹⁵ 23 USC § 135(m)(1) – Designation of Regional Transportation Planning Organizations – In General

¹¹⁶ 23 USC § 133(d)(3) – Consultation with Regional Transportation Planning Organizations

¹¹⁷ 23 USC § 135(m)(2) – Designation of Regional Transportation Planning Organizations – Structure

Communication Protocol

The NMDOT Government to Government (GTG) Unit in the Statewide Planning Bureau (Bureau) of the Asset Management and Planning Division (Division) maintains liaison staff assignments with all of the RTPOs in the state.¹¹⁸ RTPO Planning Program Managers should contact the assigned GTG Liaison with questions or concerns and for additional information. This informal contact can be in person or via telephone, email, letter, or fax as appropriate. RTPO fiscal agents are responsible for notifying the GTG Liaison in writing of any staff changes that affect the RTPO and ensuring that the GTG Liaison has the most current contact information for the Planning Program Manager.

The NMDOT assumes certain responsibilities of the New Mexico Division of the Federal Highway Administration (FHWA-NM) for administering the Federal-Aid Highway Program (FAHP) under a Stewardship and Oversight Agreement.¹¹⁹ Therefore, RTPO staff should direct requests for general information and/or federal code interpretations to their respective GTG Liaison. The liaison will coordinate a response on behalf of the NMDOT. As needed, the NMDOT will seek guidance from the FHWA-NM.

NMDOT uses email to communicate with the RTPOs on procedural changes until these changes are formalized via amendment to this manual. Additionally, emails such as (but not limited to) the “GTG Update” email from the GTG Supervisor are used to relay direction, deadlines and other information to the RTPOs and are considered formal notification.

Internal Structure

Federal code establishes the following minimum governance/structural requirements for RTPOs:¹²⁰

- A Policy Committee, the majority consisting of nonmetropolitan local officials (and their designees) and as appropriate, additional representatives from State agencies, private business, transportation service providers, economic development practitioners and the public in the region.
- A fiscal and administrative agent such as an existing regional planning and development organization (in New Mexico, these are the COGs/EDDs) to provide professional planning, management and administrative support.

Although the details may vary, the structural elements common to all of the RTPOs in New Mexico include the following items. RTPOs are responsible for reviewing and updating the following documents and submitting current versions to their GTG Liaison, as well as posting them on the applicable RTPO website. Therefore, all of the following documents can be found on the RTPO websites. Examples of some of the Work Products are included in Appendix D.

Bylaws

RTPOs are required to maintain Bylaws that define the ongoing operational structure of the organization and establish the relationships between the RTPO and member organizations. RTPO Planning Program Managers must schedule an RTPO Policy Board review of the Bylaws as needed and submit documentation of any updates to their assigned NMDOT GTG Liaison. Triggers for review of the by-laws

¹¹⁸ Refer to NMDOT website for current MPO/RTPO Contact List

¹¹⁹ Refer to NMDOT website for current Stewardship and Oversight Agreement with FHWA-NM

¹²⁰ 23 USC § 135(m)(3)

include implementation of new federal legislation and/or formation of a new member agency, which is eligible for membership within the RTPO jurisdiction. Appendix D contains an example of RTPO bylaws.

The Bylaws should be specific to each RTPO based on the geographical area and member organizations, but generally include the following sections:

1. **Membership:** The Membership section defines the member entities' and their representation on the Policy Board/Committee (each RTPO has either a Policy Board or a Policy Committee thus these terms are used interchangeable throughout this section), as well as any other committees. Official membership can also include representation from allied organizations such as Regional Transit Districts, school districts, law enforcement, NMDOT, land grants and others. In some RTPOs, these representatives are considered affiliated advisory (non-voting) members. Membership should also include representatives of agencies that receive public transportation funds if any.¹²¹
2. **Member Policy Training:** The Bylaws should specify types of trainings for new members to the Policy and Technical Committees, as well as training required by the adoption of new state and federal regulations, policies, and procedures (see the text box below for more information). A training plan may be more detailed in the Regional Work Program (RWP) as far as schedule and specific trainings provided, but should, at a minimum, include the following:
 - a. the transportation planning process and the role of the RTPO, RTPO members, NMDOT, FHWA and FTA Region 6 in this process;
 - b. overview of state and federal regulations, policies and procedures governing the RTPOs;
 - c. overview of the Regional Transportation Improvement Program Recommendations (RTIPR) and Transportation Improvement Program (TIP) process; and
 - d. overview of this PPM including the RTPO's responsibilities.
3. **Policy and Decision-Making:** The Policy and Decision-Making section establishes the process for how policy and decisions are to be arrived at in the conduct of RTPO business. There is a range of structure throughout New Mexico's RTPOs from a very formal (for example, Robert's Rules of Order) to a less formal operational style. All RTPOs use motions, seconds, and a call for votes for their action items.
4. **Voting Basis:** The Voting Basis issue may be included in the *Policy and Decision Making* section and covers what constitutes a quorum for voting on decisions. It may also include a varying majority for different types of decisions.
5. **Officers:** The Officers section includes lists the officer positions for the RTPO committees and how they are to be selected. The section also includes when officers are to be elected.
6. **Committee Structure and Function:** The Committee Structure and Function section lists the various committees and explains their function. As noted above, each RTPO has its own name for its various committees. The general committee structure is:
 - a. *Policy Board/Committee* – this committee is required by statute¹²² and is the decision making authority of the RTPO. The Policy Committee membership should consist of nonmetropolitan local officials and additional representatives, as appropriate, from NMDOT, private business, transportation service providers, economic development practitioners, and the local public.

¹²¹ 23 USC § 135(m)(2) - Structure

¹²² 23 USC § 135(m)(3)(A) - Requirements

- b. *Technical Advisory Committees* – the membership of these committees usually includes city/county/tribal engineers, road managers, and planning staff. They function as an advisory group, which reviews and makes recommendations on actions and information that is to be presented to the Policy Committee. These committees are not required.
 - c. *Standing Committees* – these committees are determined by the individual RTPO and meet at specified intervals. These committees are not required. RTPOs may choose to operate these committees as separate or joint groups.
7. **Meeting Schedules:** This section identifies when the regular meeting schedule is set each year.
 8. **Compliance with New Mexico Open Meetings Act:** This section specifies that the Policy Committee will adopt a resolution addressing compliance with the New Mexico Open Meetings Act requirements on an annual basis.
 9. **Staff Structure and Function:** All RTPOs have the equivalent of an RTPO fiscal/administrative agent, though the titles may vary. The fiscal/administrative agent could be from an existing regional planning and development organization. Its role is to provide professional planning, management, and administrative support. This agent is empowered to enter into contractual agreements and has operational financial authority with regard to the RTPO. The RTPO agent acts at the direction of and on behalf of the Policy Committee. At minimum, the RTPO agent provides oversight and direction to RTPO staff, and may take an active role in the on-going functions of the RTPO.

Policy Committee Member Development and Training

The RTPO Planning Program Manager is responsible for ensuring that new Policy Committee members become well versed in their role and responsibilities and cognizant of the breadth and scope of state and federal regulations pertaining to statewide transportation planning as practiced in the state of New Mexico. The GTG Liaison will assist by providing background information and presentation materials and can bring in other Departmental staff to assist with presentations on special programs, District Office responsibilities, priorities and budgets, transit planning, Regional Design Center responsibilities and activities, design parameters, funding opportunities, environmental certifications, and many other transportation-related topics.

Policy Committee member training is an on-going activity, triggered not only by the introduction of new Committee members, but also by the adoption of new state and federal regulations, policies, and procedures. The RTPO Program Manager is responsible for providing and tracking the training that he/she provides, addressing, at a minimum, the following topics:

1. **Who** – How does the RTPO fit into the big picture of statewide transportation planning, and what is the role of an RTPO Policy Committee member, staff member, COG Board member, the role of NMDOT, FHWA-NM, and FTA Region 6?
2. **Why** – Overview of state and federal regulations, policies and procedures governing RTPOs. How can local entities benefit from participation in the RTPO?
3. **What** – What products are required of RTPOs? What programming, recommending authority does the RTPO have? What belongs on an RTPO agenda and what does not? How do projects move from the RTIPR to the STIP? What criteria govern project selection on the STIP?
4. **When** – When are these products expected, what are critical milestones and target dates in the RWP?

RTPO Responsibilities

The core responsibilities of an RTPO are to:¹²³

- Develop and maintain, in cooperation with the State, regional long-range multimodal transportation plans (RTPs);
- Develop regional transportation improvement program recommendations (RTIPR) for consideration by the State;
- Foster the coordination of local planning, land use, and economic development plans with State, regional, and local transportation plans and programs;
- Provide technical assistance to local officials;
- Provide training to Board/Committee members (see text box above);
- Participate in national, multistate, and State policy and planning development processes to ensure the regional and local input of nonmetropolitan areas;
- Provide a forum for public participation in the statewide and regional transportation planning processes;
- Consider and share plans and programs with neighboring regional transportation planning organizations, metropolitan planning organizations, and tribal organizations;
- Maintain an RTPO website that includes current information such as meeting agendas and minutes, as well as current planning documents, such as the Long-Range Regional Transportation Plan, Regional Work Program, Title VI Plan, etc.
- Conduct other duties, as necessary, to support and enhance the regional and statewide planning process; and
- Maintain, in an organized fashion, all applicable records per the federal and state archiving requirements (identified in a following section) and to make those records constantly accessible and available to NMDOT, FHWA-NM and FTA Region 6 to review (see section on Quality Assurance Reviews for more information).

RTPOs are also expected to maintain a working knowledge of State and local transportation projects in their RTPO area and provide assistance with local-lead projects from planning stages and funding through construction. RTPOs are also expected to participate in the following:

- **Roundtable Meetings (as needed).** The RTPOs alternate hosting periodic “roundtable” meetings in the various RTPO regions of the state, generally hosted once a quarter, but only occur when there are items for discussion and review. Agenda items typically include discussion items identified by the RTPOs, updates from the Bureau (such as current projects, guidance on reporting, and how to access technical assistance), as well as reports from the RTPOs. The host RTPO is responsible for arranging the meeting location, working with the Bureau to develop the agenda, distributing meeting information by email to all contacts, running the meeting and writing and distributing meeting notes. Meeting notes from the previous meeting should be reviewed and approved at the subsequent meeting.

¹²³ 23 USC § 135(m)(4) – Duties

- **Joint Meeting (as needed).** The NMDOT Bureau will organize and host an annual (or as needed) joint meeting between the staff of the Bureau, RTPOs, and MPOs as well as other NMDOT and FHWA-NM personnel. RTPO staff are expected to attend these meetings and contribute to the development of the agenda. For the Joint Meetings, the Bureau arranges the meeting location, develops the agenda with the MPOs/RTPOs, distributes meeting materials, runs the meeting and writes and distributes meeting notes. Meeting notes from the previous meeting should be reviewed and approved that the subsequent Roundtable (and MPO Quarterly) meeting.

RTPO Work Products and Submittal Process

In general, work products required of the RTPO are detailed in this PPM, established by the CA between NMDOT and the COG/EDD, and outlined in the RWP, approved by both the NMDOT and FHWA-NM. The work products are listed below and explained in more detail in the following sections:

- Long-Range Regional Transportation Plan (RTP)
- Public Participation Plan (PPP)
- Title VI Plan
- Regional Work Program (RWP) and Budget
- Rural Transportation Improvement Program Recommendations (RTIPR)
 - Project Feasibility and Prospectus Forms
- Reimbursement Packets (Cover Letters, Quarterly Reports, Invoices and backup documentation)
- Annual Performance and Expenditure Report (APER)
- Roadway Functional Classification
- Participate in annual Quality Assurance Reviews
- Traffic Counts (optional for RTPOs)
- Special Studies Generated by Task Forces and Committees

Most work products require review by the Bureau (via the GTG Liaison) for approval and concurrence that planning activities and fund expenditures comply with Federal regulations and the RWP. Table 5 summarizes the submittal and review process for the various RTPO work products. All work products should be submitted to the GTG Liaison unless otherwise specified. The following subsections discuss the work products and their specific submittal and review requirements in addition to those outlined in Table 5. Appendix D contains boilerplates for developing some of these work products and examples of some of these items.

TABLE 5
RTPO Work Product Submittals

RTPO Work Product	Submittal Frequency to NMDOT	Submittal Date to NMDOT	Designee Responsible to Submit to NMDOT	NMDOT Recipient	Submittal Format	Submittal Review and Approval Process (RTPO/NMDOT)	Submittal Review and Approval Process (NMDOT/Governor, FHWA-NM, FTA Region 6)
Long Range Regional Transportation Plan (RTP)							
	Update as necessary based on Federal legislation or New Mexico Long-Range Statewide Transportation Plan updates.	GTG Liaison and RTPO Planning Program Manager agree upon a schedule for drafting and reviewing versions of the RTP.	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext Examples: 2014_0530_SWRTPO_RTP_Draft1.docx 2014_0930_SWRTPO_RTP_Final.docx	1. RTPO Planning Program Manager works with GTG Liaison to review drafts and incorporate comments according to the outlined schedule. 2. RTPO Policy Committee formally approves final Plan. 3. RTPO Planning Program Manager submits approved RTP to GTG Liaison. 4. RTPO staff post approved RTP on RTPO website.	None – RTP provided for informational purposes only. The GTG Liaison follows internal protocol to notify the FHWA-NM and FTA Region 6 by email that the NMDOT reviewed and approved the RTP in terms of compliance with federal regulations and attaches the approved RTP to the email.
Public Participation Plan (PPP)							
	Review and update as needed based on following conditions: • In conjunction with a revised RTP. • 5 years since previous PPP. • As necessary based on federal legislation or public input.	GTG Liaison and RTPO Planning Program Manager agree upon a schedule for drafting and reviewing versions of the Plan.	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext Examples: 2014_0530_NWRTPO_PPP_Draft1.docx 2014_0930_NWRTPO_PPP_Final.docx	1. RTPO Planning Program Manager works with the appropriate GTG Liaison to review the current PPP to ensure compliance with applicable Federal regulations and determine needed revisions, including revisions based on public input received. 2. RTPO issues the draft PPP or revisions for a 45-day public comment period. 3. RTPO Policy Committee formally approves the revised or new PPP. 4. RTPO Planning Program Manager submits the approved PPP to the GTG Liaison. 5. RTPO staff post the approved PPP on the RTPO website.	None – PPP provided for informational purposes only. The GTG Liaison follows internal protocol to notify the FHWA-NM and FTA Region 6 by email that the NMDOT reviewed and approved the PPP in terms of compliance with federal regulations and attaches the approved PPP to the email.
Title VI Plan							
	3 years since previous Title VI Plan	GTG Liaison and RTPO Planning Program Manager agree upon a schedule for drafting and reviewing versions of the Title VI Plan.	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext Examples: 2014_0530_NPRTPO_TitleVI_Draft1.docx 2014_0930_NPRTPO_TitleVI_Final.docx	1. RTPO Planning Program Manager works with GTG Liaison and NMDOT Title VI Coordinator to review the current Title VI Plan to ensure compliance with applicable federal regulations and determine needed revisions, including revisions based on public input received. 2. RTPO issues the draft Title VI Plan or revisions for a 45-day public comment period and posts on website. 3. The RTPO Policy Committee formally approves the revised or new Title VI Plan. 4. RTPO Planning Program Manager submits the approved Title VI Plan to the GTG Liaison. 5. GTG Liaison sends approved Title VI Plan to NMDOT Title VI Coordinator for review and concurrence. 6. RTPO staff post the approved Title VI Plan on the RTPO website.	None – Title VI Plan provided for informational purposes only. The NMDOT Title VI Coordinator follows internal protocol to notify the FHWA-NM and FTA Region 6 by email that the NMDOT reviewed and approved the Title VI Plan in terms of compliance with federal regulations.

TABLE 5
RTPO Work Product Submittals

RTPO Work Product	Submittal Frequency to NMDOT	Submittal Date to NMDOT	Designee Responsible to Submit to NMDOT	NMDOT Recipient	Submittal Format	Submittal Review and Approval Process (RTPO/NMDOT)	Submittal Review and Approval Process (NMDOT/Governor, FHWA-NM, FTA Region 6)
Regional Work Program (RWP) and Budget							
Draft Program	2 years	Coordination schedule to develop program is detailed in Month-by-Month Work Program and PPM Timeline. Draft due on or before June 1 in even-numbered FFYs.	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext Examples: 2014_0430_NERTPO_FFY15RWP_Draft2.docx	Submittal and review process is detailed in Month-by-Month Work Program and PPM Timeline.	None
Final Program	2 years	Coordination schedule to develop program is detailed in Month-by-Month Work Program and PPM Timeline. Final due on or before July 1 in even-numbered FFYs	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext Examples: 2014_0930_NERTPO_FFY15RWP_Final.docx	Submittal and review process is detailed in Month-by-Month Work Program and PPM Timeline. RTPO staff post the approved RWP on the RTPO website.	1. FHWA-NM and FTA Region 6 provide review comments and/or determination of acceptance in writing to Division Director. 2. FHWA-NM and FTA Region 6 provide determination of acceptance for revised UPWP in writing to Division Director, if necessary.
Amendments-Formal	Quarterly or as needed	March 15 June 15 September 15 (odd-numbered FFYs) December 15	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext Example: 2014_0430_NERTPO_FFY15RWP_Q1Amendment1.docx	Submittal and review process is detailed in Month-by-Month Work Program and PPM Timeline. Formal RWP Amendments require Policy Committee approval prior to submitting to GTG Liaison. RTPO Planning Program Manager must use the MPO/RTPO Work Program Amendment Request Form when submitting an amendment to the GTG Liaison.	1. FHWA-NM and FTA Region 6 provide review comments and/or approval in writing for RWP quarterly amendment to Division Director.

TABLE 5
RTPO Work Product Submittals

RTPO Work Product	Submittal Frequency to NMDOT	Submittal Date to NMDOT	Designee Responsible to Submit to NMDOT	NMDOT Recipient	Submittal Format	Submittal Review and Approval Process (RTPO/NMDOT)	Submittal Review and Approval Process (NMDOT/Governor, FHWA-NM, FTA Region 6)
Amendments - Administrative	As needed	As needed	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXMPO_FFYWorkProduct_version.ext Example: 2014_0430_FMPO_FFY15UPWP_Q1Amendment1.docx	<ol style="list-style-type: none"> Using the MPO/RTPO Work Program Amendment Request Form, the RTPO Planning Program Manager submits proposed administrative amendment and summary to GTG Liaison for consideration. The RTPO Planning Program Manager must include the amended RWP and Budget with the Form. The Form should be submitted as a Word document. GTG Liaison submits amendment information to GTG Supervisor and Bureau Chief for review and concurrence, as well as updates NMDOT files with amended RWP and Budget. GTG Liaison notifies the RTPO Planning Program Manager of concurrence within 10 calendar days. RTPO Planning Program Manager should share the Administrative Amendment with the Policy Committee as an informational item only. 	None
Indirect Cost Plan							
	Annual (Optional)	Plan is submitted annually. For years that have an RWP submission, the Plan is submitted with the RWP. Final due on or before July 1.	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext Example: 2014_0501_MRRTPO_FFY15CAPICA_Draft3.docx 2014_0701_MRRTPO_FFY15CAPICA_Final.docx	Submittal and review process is detailed in Month-by-Month Work Program Timeline via process outlined for submission of RWP, though it happens annually.	<ol style="list-style-type: none"> FHWA-NM and FTA Region 6 provide review comments and/or determination of acceptance in writing to Division Director. FHWA-NM and FTA Region 6 provide determination of acceptance for Plan in writing to Division Director, if necessary.
Regional Transportation Improvement Program Recommendations (RTIPR)							
RTIPR	As determined by RTPO, but should be every other year to correspond with STIP development. Schedule must be included in the RTIPR section of the RWP.	As needed	RTPO Planning Program Manager	GTG Liaison and District Technical Support Engineer	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext Example: 2014_0415_MRRTPO_FFY15RTIPR_Final.docx	As outlined in RTPO RWP and as coordinated with the respective NMDOT District office. 1.	None

TABLE 5
RTPO Work Product Submittals

RTPO Work Product	Submittal Frequency to NMDOT	Submittal Date to NMDOT	Designee Responsible to Submit to NMDOT	NMDOT Recipient	Submittal Format	Submittal Review and Approval Process (RTPO/NMDOT)	Submittal Review and Approval Process (NMDOT/Governor, FHWA-NM, FTA Region 6)
Reimbursement Packets (Cover Letter, Quarterly Report, and Invoice)							
	Quarterly	January 25 April 25 July 12 October 25	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext	<ol style="list-style-type: none"> 1. RTPO Planning Program Manager submits packet to GTG Liaison for review. 2. If approved, GTG Liaison submits approved packet to Bureau Financial Manager. If not approved, GTG Liaison emails RTPO Planning Program Manager within 5 working days to request additional information or provide grounds for rejecting the packet. 3. Bureau Financial Manager reviews package. If approved, the packet is then submitted to the GTG Supervisor for final approval. 4. GTG Supervisor reviews. If approved, the Bureau Financial Manager then processes for payment. If not approved, the GTG Liaison emails RTPO Planning Program Manager to request additional information. If the packet is rejected, the GTG Liaison emails a rejection letter to both the RTPO Planning Program Manager and the COG/EDD Executive Director. 5. RTPO Planning Program Manager resubmits packet with required materials and/or required revisions. 	None
Annual Performance and Expenditure Report (APER)							
Draft/Final Report	Annual	Draft due November 15 Final due November 30	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext Example: 2014_1201_SERTPO_FFY14APER_Final.docx	<ol style="list-style-type: none"> 1. RTPO Planning Program Manager submits draft to GTG Liaison for review. 2. GTG Liaison requests any changes, if needed, to the report by November 20. 3. RTPO Planning Program Manager revises report and resubmits to GTG Liaison by November 30. 4. RTPO posts report on RTPO website. 5. The NMDOT Bureau compiles the Division APER, the MPO and RTPO APERs in one submittal to FHWA-NM/FTA Region 6 for informational purposes within 90 days following the close of the Federal fiscal year, December 30. 	None – report provided for informational purposes only.
Roadway Functional Classification							
	Update based on following conditions: • In conjunction with an RTP update. • When requested as part of a statewide update.		RTPO Planning Program Manager	Various	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention: Refer to <i>PPM for Statewide Planning Bureau</i> for information.	Refer to PPM for information.	None

TABLE 5
RTPO Work Product Submittals

RTPO Work Product	Submittal Frequency to NMDOT	Submittal Date to NMDOT	Designee Responsible to Submit to NMDOT	NMDOT Recipient	Submittal Format	Submittal Review and Approval Process (RTPO/NMDOT)	Submittal Review and Approval Process (NMDOT/Governor, FHWA-NM, FTA Region 6)
	<ul style="list-style-type: none"> As necessary based on development / changes in traffic patterns and volumes. 						
Quality Assurance Reviews (QAR)							
Financial Audit of Fiscal Agents	Annual	30 days after the audit is posted to the State Auditor's Office website, saonm.org	RTPO Planning Program Manager	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files File Naming Convention Year_MonthDay_XXRTPO_FFYWorkProduct_version.ext	<ol style="list-style-type: none"> RTPO Planning Program Manager submits copy of annual financial audit of their respective fiscal agent to GTG Liaison. GTG Liaison reviews audit and reports any deficiencies identified and / or the need for corrective action to the GTG Unit Supervisor. GTG Unit Supervisor will notify the Bureau Chief and Division Director about the audit review results. 	None
Site Review	Annual	Date scheduled by GTG Liaison.	RTPO Planning Program Manager	GTG Liaison	RTPO staff are required to participate in the site review and provide access to electronic files pertaining to the expenditure of state and federal funds.	Refer to QAR section of <i>PPM</i> for information.	None

Long-Range Regional Transportation Plan

Long-Range Regional Transportation Plans¹²⁴ (RTPs) assess transportation needs and identify projects that could potentially be implemented using federal, State and local funds that are reasonably expected to be available over a 20-year (or longer) period. Each RTPO is expected to develop and maintain its RTP in cooperation with NMDOT, consistent with the socioeconomic projections, travel demand forecasts, scenario testing, revenue projections, prioritization process, evaluation criteria and performance measures established in the NMDOT Long-Range Statewide Transportation Plan (LRSTP). Triggers for updating RTPs are new Federal legislation and LRSTP updates.

The RTPO's assigned NMDOT GTG Liaison will provide technical guidance regarding the cooperative process and the development of the RTP. This can include suggestions for obtaining GIS support, socioeconomic projections, travel demand data, traffic counts, crash records and other statistical data and analysis to help maintain consistency between the RTPO RTP and the LRSTP.

See Table 5 for submittal/review process.

Public Participation Plan

The NMDOT requires every RTPO to develop a Public Participation Plan (PPP) in consultation with citizens and other interested parties. To the maximum practicable extent, all RTPOs must develop a public participation framework that:

- Includes representatives for all transportation modes, including non-motorized;
- Holds public meetings at convenient and accessible locations and times;
- Employs visualization techniques to describe plans;
- Provides information in electronic formats and by means (such as the Internet) that afford reasonable opportunity for public consideration; and
- Complies with all applicable federal and state laws, including the New Mexico Open Meetings Act.¹²⁵

The PPP specifies how the RTPO will address these federal requirements and how the RTPO will provide reasonable opportunities for public and agencies to comment on work products, including RTPs and RTIPRs. The PPP must address federal requirements regarding the length of time allotted for public reviews of various RTPO work products and any exceptions allowed. Appendix D contains a boilerplate and best practices to serve as a guide.

At a minimum, a PPP must include the following elements:

- Procedures for informing the public about meetings and agendas;
- Location where current and archived documents can be accessed;
- Framework for public participation in the development of plans (unique to each plan or work product);
- Timeframes for public comment review periods;
- Brief description of the RTPO and its organizational structure; and

¹²⁴ 23 USC § 135(m)(4)(A)

¹²⁵ NMSA 1978, Chapter 10, Article 15

- Tools and activities for informing and educating the public (media, social media, visualization, response to comments, workshops, emails, newsletters, etc.).

PPPs should be reviewed prior to development of the RTP, when new federal legislation is adopted, and/or every five years at a minimum, and updated as necessary.

See Table 5 for submittal/review process.

Title VI Requirements

Title VI Plan

The Title VI Plan details how an RTPO will comply with federal environmental justice and limited English proficiency (LEP) requirements mandated in Title VI of the Civil Rights Act of 1964 and all related regulations and directives. The Title VI Plan generally includes the efforts to be taken by the RTPO to prevent discrimination and the methods for how it will achieve compliance for work products, planning activities, and public participation. The Title VI Plan serves as the assurance to the U.S. Department of Transportation that persons are not excluded from the planning process.¹²⁶ The Title VI Plan also details the complaint process for any person believing he or she has been excluded from, denied participation in, denied the benefits of, or otherwise has been subjected to discrimination under any transportation service, program or activity (whether federally-funded or not) due to that person's race, color, national origin, gender, age, disability, economic status, or limited English proficiency.

When developing their Title VI Plan, RTPOs may wish to conduct a self-assessment to determine their progress in providing language assistance to Limited English Proficiency (LEP) persons.¹²⁷ The assessment results may help revise the plan to better serve the LEP population. The assessment considers the following four factors:

- **Demography:** the number or proportion of LEP persons eligible to be involved in programs and services or likely to be encountered;
- **Frequency of Contact with the Program:** the frequency with which LEP persons access or come into contact with programs and services;
- **Nature and Importance of the Program:** the nature and importance of the program, activity, or service in LEP individuals' lives; and
- **Resources Available:** the resources and cost for providing assistance to LEP populations.

Appendix E contains a boilerplate that provides guidance for addressing Title VI requirements. The Title VI Plan addresses the following considerations:

- Compliance with federal environmental justice and LEP requirements mandated in Title VI of the Civil Rights Act of 1964;
- Best practices to be considered by the RTPO to prevent discrimination and the methods for how the compliance will be achieved for:
 - Work products;
 - Planning activities;
 - Public participation; and
- Primary contact person to handle complaints and method to process and address complaints.

¹²⁶ 23 CFR § 200.9(a)(1) – Assurance required by federal law

¹²⁷ Department of Justice website (<http://www.lep.gov/selfassesstool.htm>)

The RTPO Title VI Plan should be reviewed every 3 years,¹²⁸ and/or when new federal legislation is implemented and/or when the LRSTP is updated, and updated as necessary. RTPOs may use their COG's/EDD's Title VI Plan, provided it includes specific information about the transportation program in the Plan. RTPOs may also have stand-alone plans.

See Table 5 for submittal/review process.

Title VI Reporting

RTPO Title VI Coordinator (as identified in the RTPO Title VI Plan) must submit an annual update to the NMDOT Title VI Coordinator. The annual update should include, but is not limited to, any changes in procedure and organizational structure, as well as a record of any Title VI complaints. All Title VI complaints should also be reported to the NMDOT Title VI Coordinator as they occur. Annual updates are due by October 1. Even if there are no changes or complaints, formal correspondence should be submitted to the NMDOT Title VI Coordinator indicating that there are no changes or complaints.

Regional Work Program and Budget

Every RTPO must adopt a detailed Regional Work Program (RWP) and associated budget describing the transportation planning activities of the RTPO over a 2-year period. The NMDOT consulted with the RTPOs to develop a standard boilerplate for the RWP (provided in Appendix D). The Work Program Review Checklist in Appendix D also provides useful information for developing an RWP. Once approved as part of the NMDOT PWP, the RWP serves as the template for the Quarterly Reports. As Quarterly Reports are cumulative, they form the basis for the Annual Performance and Expenditure Report (see below) which is due after the close of each FFY.

The RTPO budget is developed using the RWP Budget and Invoicing Templates, which can be found in Appendix D. The Budget Template is inserted into the RWP boilerplate, along with the RTPO Glossary of Budget Categories, also found in Appendix D. The directions for the Glossary specify for the RTPO to include both direct/actual and allocated costs in their explanation. The RTPO budget is comprised of direct and allocated costs. Budgets must be developed in accordance with 2 CFR 200. If the fiscal agent for an RTPO chooses to do an Indirect Cost Plan (optional), the plan must comply with the requirements outlined in 2 CFR 200. The Indirect Cost Plan is submitted annually and follows the review/approval process outlined in Table 5.

Note that unexpended funds can carry-forward between the two years of one RWP (e.g. from FFY17 to FFY18 of the FFY17/18 RWP), but not between two different RWPs (e.g. from the FFY17/18 RWP to the FFY19/20 RWP).

All parties are bound by the approved RWP currently in effect unless administratively or formally amended as described in the following bullets:

- **Administrative Amendment.** An administrative amendment to the RWP may be accomplished unilaterally by the RTPO if it meets the following criteria.
 1. The RWP revision will not significantly impact approved work program priorities and work product delivery schedules (by causing other project delivery schedules to be set back by more than a month);
 2. The RWP revision will result in a change (increase or decrease) of 20% or less of the approved budgeted amount (staff hours or cost) for a specific function or budget line item; and

¹²⁸ NMDOT's Construction and Civil Rights Bureau requires all subrecipients of federal funds to update or review their Title VI Plan at least every three years

3. The RWP revision will result in a cost change (increase or decrease) of 10% or less to the total RWP budget.

The RTPO Planning Program Manager must notify the GTG Liaison of any Administrative Amendments in writing via email and by completing the MPO/RTPO Work Program Amendment Request Form (see Appendix E). The RTPO Planning Program Manager must submit the amended RWP and Budget with the MPO/RPO Work Program Amendment Request Form. The GTG Liaison has 10 working days to review the Administrative Amendment to ascertain that it meets the criteria, or comment, also via email, if he/she believes it does not. The GTG Liaison alerts the GTG Supervisor and Bureau Chief of any Administrative Amendments that he/she receives, as well as updates NMDOT's files with the amendment information and updated RWP and Budget. RTPOs should share Administrative Amendments with their Policy Committees as informational items; Administrative Amendments do not require Policy Committee action. Administrative Amendments are included in the next Amendment submittal to FHWA-NM and FTA Region VI for review and concurrence.

- **Formal Amendment.** A formal amendment is required if there are substantive changes to work elements funded by the RWP, as defined by the following criteria:
 1. The RWP revision will impact approved work program priorities by causing other project delivery schedules to slip by more than one month;
 2. The RWP revision will result in a change (increase or decrease) of more than 20% of the approved budgeted amount (staff hours or cost) for a specific function or budget line item; or
 3. The RWP revision will result in a change (increase or decrease) of more than 10% to the total RWP budget.

Formal Amendments require action by the RTPO Policy Committee prior to the amendment being submitted to the GTG Liaison. Formal Amendments must be submitted to the GTG Liaison via email and by completing the MPO/RTPO Work Program Amendment Request Form (see Appendix E). The RTPO Planning Program Manager must submit the amended RWP and Budget with the MPO/RTPO Work Program Amendment Request Form. The Formal RWP Amendment may be implemented upon receiving formal approval of the corresponding PWP amendment by the FHWA-NM, FTA Region VI and NMDOT.

The Month-by-Month Work Program and PPM Timeline (Figure 1 in Appendix B) provides a schedule for coordinating the development of, and amendment to, the Regional Work Program with the NMDOT.

See Table 5 for submittal/review process.

Regional Transportation Improvement Program Recommendations (RTIPR) and Statewide Transportation Improvement Program

The Statewide Transportation Improvement Program (STIP) is a federally mandated, fiscally constrained, four year planning document that lists all regionally significant and federally funded projects. This document is approved by the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) every two years and all projects awarded to T/LPAs are required to be in the STIP. The Regional Transportation Improvement Program Recommendations (RTIPR) is a prioritized list of projects that each of the RTPOs develops on a regularly-scheduled basis for possible inclusion in the STIP, and is developed in accordance with New Mexico State Transportation Commission Policy 68. RTIPRs should be completed at least every other year and the RTIPR development schedule must be outlined in the RTIPR section of the RWP. The specific process for development of the RTIPR varies slightly among each RTPO, as does the project ranking criteria. However, the role of the RTIPR generally follows the Standardized RTIPR Process, as included in Appendix D.

Projects on the RTIPR are submitted by the participating Tribal/Local Public Agencies (T/LPAs), or other eligible entities, and are prioritized based on criteria set by each RTPO. Prioritization criteria should be derived from the goals and performance measures listed in the RTPO's RTP and demonstrate how each project meets those goals and measures. Many of the RTPOs also use the RTIPR as a place to list projects that are considered regional priorities including safety, planning, active transportation and roadway projects.

The Project Feasibility Form (PFF) opens the dialogue between the NMDOT Districts and the T/LPAs or other eligible entities regarding projects for possible inclusion in the RTIPR/STIP. RTPO member agencies complete and submit PFFs to the RTPO Planning Program Manager. Following the RTPO-established submittal deadline, the RTPO Planning Program Manager distributes the completed PFF and organizes a meeting at the member agency's location to discuss the overall feasibility of the project and likelihood of the project for receiving funding from the NMDOT. A feasibility meeting is required for any project that is to be included in the RTIPR. The RTPO Planning Program Manager invites the following to the feasibility meeting: T/LPA, NMDOT District Technical Support

Statewide Transportation Improvement Program

The Statewide Transportation Improvement Program (STIP) is the state's transportation capital improvement program. Federally funded and/or regionally significant projects in the MPO/RTPO areas are reflected in the MPO Transportation Improvement Program (TIP) or the RTPO list of recommended projects. The New Mexico STIP is a 6-year plan and includes specific funding levels by year for project implementation. The first four years of the STIP are fiscally constrained so that program costs do not exceed estimated revenues. The STIP must be consistent with the Long-Range Statewide Transportation Plan (LRSTP) and the MPO Metropolitan Transportation Plans (MTPs). The FHWA-NM approves the STIP every 2 years. Refer to the *State Transportation Improvement Program (STIP) Manual* on the NMDOT website for more information about the STIP and TIP procedures, including transfer of funds between programs, and FHWA to FTA.

Under the FAST Act, the NMDOT is required to develop statewide performance based measures and targets which will establish investment priorities. This PPM, the *STIP Manual*, and the STIP database will be updated as the NMDOT develops, and FHWA-NM/FTA Region 6 approve, the plans, targets, and evaluation criteria required under the FAST Act.

Engineer (or alternate as identified by the District), GTG Liaison, and as needed the NMDOT Environmental Bureau T/LPA Liaison, and the Regional Design Center T/LPA Coordinator. Other NMDOT staff may be invited as appropriate for the project type.

The NMDOT requires T/LPAs and other eligible entities to submit a Project Prospectus Form (PPF) as part of the application process for transportation infrastructure projects including roadways, bridges, sidewalks, multi-use paths, and corridor/feasibility studies. If the T/LPA is applying for federal funding through the NMDOT, the sponsoring agency must submit a PPF form and receive District concurrence before the PPF is submitted. The purpose of a standardized PPF is to provide NMDOT with a project description that is as complete as possible so that, if the project is selected for funding, NMDOT staff can begin drafting the contract/agreement promptly after the start of a new fiscal year. In addition, the STIP Unit and District Offices enter the project information from the PPF into the STIP.

The current PPF and PPF can be found in the Statewide Planning Bureau section of the NMDOT website.

There are a number of opportunities for RTPOs to move projects from their RTIPR to the STIP, or from the RTIPR to implementation via a funding source that does not require listing on the STIP:

- The District Office(s) may select RTPO projects for inclusion in the STIP using Federal highway funds appropriated to the NMDOT, based on State priorities and evaluation criteria; or
- The T/LPA applies for and is awarded discretionary funds from programs such as Local Government Road Fund (LGRF), Highway Safety Improvement Program (HSIP), Transportation Alternatives Program (TAP), Recreational Trails Program (RTP), Congestion Mitigation and Air Quality Improvement Program (CMAQ) Non-Mandatory, Public Lands Access, Community Development Block Grant (CDBG), Economic Development Administration (EDA), U.S. Department of Housing and Urban Development (HUD), and/or U.S. Environmental Protection Agency (EPA) grant, Colonias Infrastructure Fund, etc.

For each area under the jurisdiction of an Indian Tribal government, RTPOs must develop the RTP and RTIPR in consultation with any affected Tribal governments and the Secretary of the Interior consistent with 23 USC § 135(f)(2)(C). The current NMDOT Tribal Consultation protocol is to include representatives of all tribal entities within the RTPO planning jurisdiction as voting members of the RTPO Policy Committee. Additional and more direct tribal consultation with a tribal entity may be necessary on a project-specific basis. The NMDOT provides the services of its Tribal Liaison to assist RTPOs whenever an issue or concern involving tribal lands and entities arises. RTPOs are directed to the NMDOT website for the Tribal Liaison's contact information.

RTPO Program Managers must become well-versed in the NMDOT's *STIP Manual* and the *T/LPA Handbook*, posted on the NMDOT website, in order to provide solid technical assistance to member entities and the RTPO Policy Committee vis-à-vis refining local project selection criteria and prioritizing projects for inclusion on the RTIPR. Because the RTIPR is considered advisory, and because RTPOs are not granted the same programming responsibility under federal law as the MPOs are, RTPOs must work very closely with their GTG Liaison, Transit and Rail Division staff, and, in particular, their District Office(s) to develop a strong candidate list of potential transportation improvement projects in the RTIPR in order for local priority projects to make their way onto the STIP.

NMDOT periodically offers training on the T/LPA Handbook, which provides information on all stages of project development and oversight. The GTG Unit Supervisor will distribute information on these trainings as they are scheduled by NMDOT. RTPO Planning Program Managers are expected to have a general understanding of the T/LPA project development process in order to help guide their entities, particularly through the application process.

Reimbursement Packets

The Federal-Aid Highway Program is a reimbursement program and requires a local match. Therefore, the RTPOs must expend local transportation planning funds initially then seek reimbursement from the NMDOT for the federal portion. The NMDOT reimburses the RTPOs for the federal portion using State Road funds then seeks reimbursement from FHWA-NM for the federal portion. All costs related to federal awards must comply with 2 CFR § 200.

RTPOs must submit via email a Reimbursement Packet that includes the items listed below. Reimbursement Packets are due to the NMDOT by the 25th of the month following the close of the quarter. (Exception: The third quarter Reimbursement Packet is due July 12 to meet deadlines for state fiscal year closeout procedures.) The NMDOT prefers receiving quarterly invoices. However, an RTPO may request approval to submit monthly invoices for a set period to address cash flow problems that may arise.

RTPOs are required to submit the following as part of each Reimbursement Packet (NMDOT provides all RTPOs with the sample Excel workbook and will provide the workbook to others upon request):

1. **Signed Cover Letter** – The signed cover letter requests reimbursement from the NMDOT. It must include the following:
 - ✓ Date
 - ✓ RTPO contact and contact information
 - ✓ Vendor Number
 - ✓ Control Number(s)
 - ✓ Unique Invoice or Reimbursement Number
 - ✓ Invoice Period of Performance (Quarter or Month)
 - ✓ Amount of reimbursement requested
 - ✓ Notification/Request to Close in the case of Final Invoice

2. **Quarterly Report** - The Quarterly Report documents the work performed to date, and billed to federal transportation funds, to meet the tasks outlined in the RTPO's RWP. The Report for the first quarter should be derived from the most recently approved RWP. Under each Function and staff hours budget in the RWP, RTPO staff need to provide an itemization of hours spent and work accomplished that quarter on each Function, the remaining budgeted hours for that Function, as well as any other specific costs that apply directly to that Function (e.g. costs incurred for consultant services for long-range planning). RTPO staff should also explain when they are not progressing on certain Functions, and explain any schedule changes encountered and how the RTPO intends to address the changes.

The Quarterly Report does not need to incorporate the total amount invoiced; rather it is considered the documentation of the staff hours line item, as well as showing how other specific costs are assisting in fulfilling various Functions.

For subsequent quarters, the Quarterly Report must be cumulative; therefore, the previous quarter's Quarterly Report will serve as the starting point for the next quarter's (i.e. use the Quarterly Report from the first quarter as the starting point for the second quarter's). Please note that if the RWP has been amended since the last Quarterly Report, those amendments need to be manually integrated into new Quarterly Report. The fourth quarter's Quarterly Report will ultimately serve as the basis for the Annual Performance and Expenditure Report.

3. **Quarterly Invoice** – Using the template provided by NMDOT Bureau, RTPOs must submit quarterly invoices showing the total costs incurred by the RTPO that quarter, and the amount it is billing for (80% federal SPR funds, 20% match). Each invoice must include:
 - ✓ Date (this must be updated every time an invoice is resubmitted)
 - ✓ Fiscal Agent and contact information
 - ✓ Unique Invoice or Reimbursement Number
 - ✓ Vendor Number
 - ✓ Control Number(s)
 - ✓ Billing Period (Quarter or Month)
 - ✓ Amount of reimbursement requested with Local Match clearly identified
 - ✓ Entity Certification and Signature with Date (fiscal agent representative)
4. **Quarterly Expenditure Summary** - The purpose of this report is to provide a comparison between budgeted line items and quarterly expenditures. It also shows the balance for each line item, as well as the balance of the total FFY authorized funds and the local match paid. RTPOs should use the template Excel workbook provided by the GTG Liaison.
5. **Timesheet Summary** – This is the quarterly summary of all RTPO staff timesheets. This should match the itemized hour by function in the Quarterly Report. A sample is provided as part of the RTPO Time Tracking workbook.
6. **Consultant/Vendor Services Summary worksheet** – If applicable, RTPOs must document by function any consultant or vendor services utilized and paid throughout the FFY. The Excel workbook provided by each RTPO's GTG Liaison contains a template.
7. **Backup documentation as required** – backup documentation must be organized and clearly explain the expenditures. If necessary, documentation should include page numbers and a summary of expenditures. Backup documentation is needed for the following:
 - ✓ Written, detailed explanation of any non-personnel line item on the QES that total more than \$500
 - ✓ Invoices and proof of payment for any purchases over \$500

RTPO staff are not required to submit Timesheets (or Personnel Activity Reports) with each reimbursement packet; however all RTPO and COG/EDD staff who charge time to a federally funded task are required to maintain internal accurate and current time records using database and spreadsheets comparable to the RTPO Time Tracking workbook. (RTPOs are welcome to modify the sample spreadsheet or develop their own, provided it includes the same information as outlined in the sample.) The timesheets do not need to be included in the Reimbursement Packet, unless the GTG Liaison specifically requests this information. GTG Liaisons will review timesheets as part of the annual Quality Assurance Reviews. In the event that work hours involve multitasking among several federally funded tasks, the RTPO is required to obtain preapproval by the NMDOT (through its Liaison) of a cost allocation plan to address the specifics of each situation. RTPO Planning Program Managers are also encouraged to track their activities using the Daily Log template provided in Appendix D or something similar.

Both the Quarterly Report and Quarterly Expenditure Summary provide the RTPO the opportunity to assess whether an amendment to its RWP is needed. Should the RTPO decide an amendment is warranted, they should pursue it according to the Quarterly Amendment Process, outlined elsewhere in the PPM.

Submittal and Review Process – The NMDOT requires RTPO Planning Program Managers to submit a complete and accurate Reimbursement Packet to the assigned NMDOT GTG Liaison, according to the list above. The GTG Liaison has 5 working days to review and approve, or reject for cause, the Reimbursement Packet. The GTG Liaison then forwards an approved Reimbursement Packet to the Division Financial Manager, who independently reviews and approves, or rejects for cause, the Reimbursement Packet. The Financial Manager then provides the invoice to the GTG Unit Supervisor for final review. Once all approvals are received, the Financial Manager processes the approved Reimbursement Packet for payment. The NMDOT has a total of 30 calendar days¹²⁹ to process and pay approved reimbursement requests. The clock stops at each step in the review process when the reviewer sends an email to the RTPO Planning Program Manager requesting additional information or providing grounds for rejecting the packet.

If a submitted Reimbursement Packet is incomplete or incorrect, NMDOT will send a formal rejection letter to the Executive Director of the Fiscal Agent. It is then up to the RTPO Planning Program Manager to resubmit the required materials and/or revisions with an updated date on the invoice. If the GTG Liaison has minor questions or clarifications, they may send a request via an email to the RTPO Planning Program Manager to get additional information.

GTG Liaisons will use this section and the Reimbursement Packet Checklist (included in Appendix E) to review the Reimbursement Packet for accuracy and completeness. As the pass-through agency, NMDOT is allowed to ask for additional information, as needed, prior to approving reimbursement requests.¹³⁰

See Table 5 for submittal/review process.

Annual Performance and Expenditure Report

The NMDOT monitors the activities of New Mexico's RTPOs and MPOs to assure that work supported by FHWA-NM planning funds "is being managed and performed satisfactorily and that time schedules are being met."¹³¹ To meet this requirement, every RTPO must prepare an Annual Performance and Expenditure Report (APER) that documents how the RTPO accomplished the work outlined in the RWP and provides a final accounting of expenditures made during the past federal fiscal year. The activities and tasks should be presented in a clear and detailed manner that is consistent with the RWP and allows the NMDOT to track progress with implementing the RWP.

The APER should be derived from the fourth quarter Quarterly Report for that FFY. As the Quarterly Reports are cumulative, they provide an itemization of work done for each task in the RWP, as well as provide a quarter-by-quarter expenditure breakdown. This serves as a helpful basis for the APER,

¹²⁹ 2 CFR § 200.305(b)(3)

¹³⁰ 2 CFR § 200.331(a)(3)

¹³¹ 23 CFR § 420.117(a)

although additional information is required, as outlined below. The APER should also utilize the following templates, included in Appendix D:

- Budgeted Staff Hours Summary;
- Budget Summary by Line Item;
- Summary of Consultant/Vendor Services; and
- Narrative Summary by Function.

The Annual Performance and Expenditure Report must contain at a minimum.¹³²

- Comparison of actual performance and accomplishments with established goals as outlined in the RTP and RWP;
- Progress in meeting schedules;
- Status of expenditures in a format compatible with the work program, including a budgeted (approved) amounts and actual cost incurred;
- Cost overruns or underruns;
- Approved RWP revisions;
- Any amount of federal funds not spent during the fiscal year for implementation of the RWP; and
- Other pertinent supporting data.

See Table 5 for submittal/review process.

Functional Classification

All roadways have a designated functional classification based on factors such as volume, connectivity, adjoining land uses, functionality as part of an interconnected system, number of lanes, and intersection spacing. Updates to the functional classifications may be necessary as new development occurs or as roadways are improved and/or carry increasing traffic volume. RTPOs should review their functional classification systems when updating their RTPs and when requested as part of a statewide functional classification update effort, which the NMDOT will conduct following each decennial census.

Submittal/Review Process. There are two standard procedures pertaining to updating the functional classification of roadways in New Mexico:

1. **Statewide Functional Classification Review** – every 10 years following U.S. Census publication of decennial census, identification of new urban area boundaries:
 - The Bureau Chief or designee oversees state’s review, coordinates with the District Engineers, FHWA-NM, FTA Region 6, state and federal land management agencies, and tribal entities; ensures federal regulations addressed at the statewide level regarding evaluation criteria, public involvement.
 - MPOs and RTPOs lead the discussion within their jurisdictions, ensuring the public has access to hearings as called for in their Public Participation Plan.
 - The Bureau Chief/designee compiles statewide analysis, GIS shapefiles, supporting data and submits NMDOT’s recommendations to FHWA-NM/FTA Region 6 for formal review and approval.
 - FHWA-NM has up to 90 days to review, comment, and/or approve the requested changes.
 - The Bureau Chief notifies all parties of approved changes, including the MPOs, RTPOs, District Engineers, any impacted state and federal land management agencies, tribal entities, the NMDOT GIS Unit, and Data Management Bureau Chief.

¹³² 23 CFR § 420.117(b)(1)

2. MPO/RTPO-initiated proposals submitted to NMDOT in the interim between statewide reviews:
 - The Bureau provides guidance on meeting federal criteria, submittal requirements – posted on NMDOT website and available in Appendix E.
 - MPO and RTPO Policy Boards/Committees review entity submittals in a public hearing and submit adopted/recommended functional classification revision package to their respective NMDOT GTG Liaison.
 - The Bureau technical planner reviews the proposal on behalf of the NMDOT, with input from the GTG Liaison and Unit Supervisor, Bureau Chief, District Engineer and other NMDOT managers, then adds NMDOT’s recommendation(s) to the submittal package, keeping MPO/RTPO Planner/Program Manager informed throughout the process.
 - The Bureau technical planner prepares a submittal letter to FHWA-NM for signature by the Division Director.
 - FHWA-NM has a minimum 30 days to review, comment and/or approve the requested changes.
 - The Bureau technical planner notifies all parties of approved changes, including the MPO/RTPO, District Engineer, GIS Unit, and Data Management Bureau Chief.

Special Studies Generated by Task Forces and Committees

RTPOs are commonly involved in some manner with special studies or committees, some generated by the RTPO itself, others commissioned by NMDOT, or both. Examples of studies generated by the RTPO Policy Committees are bicycle and pedestrian plans, as well as access management plans for the RTPO region. Some RTPOs have standing committees that meet regularly to provide input to the RTPO on specific areas of interest to their particular region and context. At times, the RTPOs have been called upon to participate in statewide studies of transit services commissioned and conducted by the NMDOT Transit and Rail Division.

Traffic Counts

RTPOs are not required to conduct traffic counts. However, should an RTPO conduct traffic counts, the NMDOT requires that counts are performed in accordance with the most current NMDOT *State Traffic Monitoring Guide*, so that the counts can be coordinated with and accepted by the NMDOT Data Management Bureau. The RTPOs are referred to the SERTPO for current best practices regarding RTPO-initiated traffic counts.

NMDOT Agreements, Authorizations and Responsibilities to the RTPOs

The NMDOT acts on behalf of FHWA-NM in carrying out the statewide planning process, as prescribed in the Stewardship and Oversight Agreement between NMDOT and FHWA-NM (see the Statewide Planning Bureau chapter in this PPM for more information). Each RTPO is assigned a GTG Liaison to serve as the initial point of the NMDOT contact for the RTPO. The GTG Liaison also serves as a resource to the RTPO, and facilitates coordination and communication between the RTPO and the different areas of the NMDOT, including the District Offices. RTPO Program Managers should follow established protocol by first contacting their assigned GTG Liaison with questions or concerns and for additional information. This informal contact can be in person or via telephone, email, letter, or fax as appropriate. The NMDOT administers its responsibilities in relation to the FHWA-NM and the RTPOs in part by preparing, distributing and enforcing the following documents or actions (which are described in the following subsections):

- Cooperative Agreement
- Notice to Proceed
- Quality Assurance Review Process

Cooperative Agreement

The Cooperative Agreement (CA) is the contractual agreement between the NMDOT and the RTPO that delineates the responsibilities of each organization. NMDOT will prepare new CAs in response to recurring “triggers”:

- A new federal transportation authorization bill introduces new requirements;
- Significant future revisions to this PPM, which may trigger the need to update CAs absent a change in Federal transportation legislation; or
- Expiration of Cooperative Agreements.

Notice to Proceed

Upon FHWA-NM approval of the NMDOT Division PWP and obligation of federal funds, the NMDOT issues a Notice to Proceed (NTP) to each RTPO as a notice to start work on its RWP. The NTP authorizes the RTPO to seek reimbursement for the federal portion of the approved RWP budget for the term of the RWP. The NMDOT Bureau sends out the Notice to Proceed by September 30 so that RTPOs can begin work on October 1. The NTP authorizes the funding from October 1 through Year 2 of the current RWP (i.e. the NTP for Year 1 of the FFY19/20 RWP will authorize funds from October 1, 2018 to September 30, 2020 and the NTP for Year 2 of the FFY19/20 RWP will authorize funds from October 1, 2019 to September 30, 2020). The NMDOT Bureau uses the “Advanced Construction” process, in order to authorize funds for the federal fiscal year, prior to that year beginning. The Advanced Construction process is described in further detail in the NMDOT *STIP Manual*, available on the NMDOT website.

Quality Assurance Review Process

GTG Liaisons will meet with their assigned RTPOs on a regular basis (quarterly at a minimum) to review RWP progress and discuss any issues. In addition to regular meetings between the GTG Liaison and the RTPO, the NMDOT will engage in a four-tiered, quality assurance review process of RTPO administrative functions. The first two steps are mandatory and are performed annually. The NMDOT will enact Steps 3

and 4 as conditions warrant:

1. Review financial audits of RTPO fiscal agents;
2. Quality Assurance Site Review;
3. Quality Assurance Site Review Follow-Up; and
4. Office of Inspector General Audit.

Step 1 – Review Financial Audits of Fiscal Agents

RTPO Program Managers are required to submit copies of annual financial audits of their respective fiscal agent to their GTG Liaison within 30 days of approval by the RTPO’s fiscal agent and the state auditor.

If the audit contains any findings, the GTG Liaison will review with the GTG Supervisor. They will determine if the findings require a response by the fiscal agent, to be presented at the QAR site review (Step 2). Unaddressed audit findings may impact eligibility to receive federal funds.

Step 2 – Quality Assurance Site Review

The GTG Liaison will schedule an annual Quality Assurance Site Review with each RTPO for which the GTG Liaison is responsible. The objectives for the NMDOT annual quality assurance review are to:

- Verify that the RTPO planning process complied with current transportation planning law;
- Determine if the RTPO planning process is a continuing, cooperative, and comprehensive process;
- Review RWP progress, including accomplishments, issues, schedule changes, etc.;
- Identify noteworthy practices to share with other RTPOs;
- Enhance the RTPO planning process and improve the quality of the transportation decision-making; and
- Determine the administration systems in place for the sound oversight management of federal funds in the operation of the RTPO.

The GTG Liaison will first attempt to schedule the onsite visit with sufficient advance notice to ensure that all required documentation and RTPO staff are available to facilitate the review. It is incumbent upon the RTPO Program Manager to cooperate and assist with the scheduling on behalf of their entity. However, the GTG Liaison is responsible for conducting the site visit, and will proceed whether or not the RTPO Program Manager chooses to facilitate the process. The NMDOT, FHWA-NM, and FTA Region 6 possess the authority to inspect all documentation pertaining to the expenditure of State and Federal funds at any time. Therefore, RTPO Planning Program Managers are required to keep electronic and hard copy files constantly up to date, well-organized, and accessible for viewing. Appendix D contains a checklist that provides additional information and that will assist RTPO staff with preparing for the quality assurance site reviews.

The GTG Liaison will submit a report on the Quality Assurance Site Review to the GTG Unit Supervisor who will review and discuss the report with the GTG Liaison. The GTG Liaison will provide the final report to the RTPO Planner. If the report indicates that the proper administrative systems are in place and fully operational, no further action is required.

Step 3 – Quality Assurance Site Review Follow-Up

If the GTG Liaisons’ Quality Assurance Review (QAR) report indicates that the proper administrative systems are in place and fully operational, no further action is required. If the report raises any

concerns, the GTG Unit Supervisor will discuss the report with the Bureau Chief and, ultimately, the Division Director, to determine the appropriate course of action to take depending upon the severity of the concerns. Possible follow-up actions include:

- Requiring the RTPO Planning Program Manager to identify corrective actions (along with a timeline that includes major milestones);
- Requiring a RWP amendment or modification to address the corrective actions, if necessary;
- Conducting another Quality Assurance Site Review in 6 months or less to confirm improvements; and
- Proceeding to Step 4.

Step 4 – Office of Inspector General Audit

The Division Director will determine if a formal audit by the NMDOT Office of Inspector General is necessary. If so, the Division Director makes the request in writing, typically by email, to the Office of Inspector General. The Division Director then follows the Office of Inspector General directives from that point forward, and the Division becomes responsible for enforcing the findings and recommendations of the resulting audit.

Consequences of Non-Conformance by an RTPO

The following section outlines the procedure for addressing non-conformance by an RTPO. Examples of non-conformance include, but are not limited to, the following:

- Not meeting deadlines as outlined in this PPM (and specified on the Month-by-Month Work Program Timeline). *Note that some deadlines have automatic consequences if missed, such as if an RTPO does not submit an RWP amendment by the stated deadline. The consequence of this is that the amendment is not included in the PWP amendment, thus is not approved. This does not count as non-conformance on the part of the RTPO;*
- Continuously submitting incorrect or incomplete information; and
- Refusing to follow and/or comply with the procedures outlined in this PPM.

Table 6, seen below, outlines the procedures the NMDOT will follow when addressing non-conformance on the part of an RTPO. Non-conformances are tracked cumulatively over the course of the federal fiscal year (FFY). Every instance of non-conformance results in the entity increasing the non-conformance level. For example, if an RTPO a Reimbursement Packet after the deadline and then misses a deadline for another work product, the RTPO is considered to be at Level 2. If an RTPO is at Level 1 or 2 at the close of the FFY, the RTPO will start off at Level 1 at the beginning of the following FFY. Level 3 and above, including Corrective Action Plan, carry forward into the following FFY.

Table 6
Non-Conformance Procedures

Non-Conformance Level	NMDOT Action	Notifications
Level 1	GTG Liaison notifies RTPO Planning Program Manager in writing of non-conformance	GTG Unit Supervisor copied on email

Level 2	GTG Liaison notifies RTPO Planning Program Manager in writing of non-conformance	GTG Unit Supervisor, Bureau Chief, Division Director, RTPO COG Executive Director copied on email
Level 3	The RTPO develops a Corrective Action Plan in response to the findings outlined by NMDOT and submits to the GTG Liaison for review/concurrence by the Bureau Chief and Division Director	GTG Unit Supervisor, Bureau Chief, Division Director, RTPO COG Executive Director copied on submittal email for Corrective Action Plan RTPO Planning Program Manager sends final Corrective Action Plan to RTPO Policy Board/Committee Chair
Level 4 (a “new” incident of non-conformance or failure to follow CAP) and any additional non-conformances	GTG Unit Supervisor notifies RTPO Planning Program Manager in writing of failure to follow Corrective Action Plan Division informs RTPO Policy Committee of pending loss of funds	Bureau Chief, Division Director, COG Executive Director copied on email Division Director notifies DOT Secretary of situation
Level 5 (a “new” incident of non-conformance or failure to follow Corrective Action Plan) and any additional non-conformances	1) GTG Unit Supervisor, Bureau Chief and Division Director set up hearing with RTPO Planning Program Manager, COG Executive Director and RTPO Policy Committee Chair to discuss suspension of payment	NMDOT Secretary, FHWA-NM and FTA Region 6 are provided notification of the hearing
	2) If a determination is made to suspend payment to the RTPO, DOT Cabinet Secretary sends letter to RTPO COG Executive Director	RTPO Policy Committee Chair and FHWA and FTA copied on letter
	3) If the RTPO elects to appeal the decision, a meeting will be arranged with all parties, as well as the appropriate FHWA and FTA representatives	

Please note that other types of non-conformance, such as on-going lack of communication or failure to meet deadlines outside of those specifically listed in the PPM may be grounds for NMDOT to follow the steps outlined above and/or issue a Corrective Action Plan.

Regional Transportation Planning Organizations Checklists

This list is intended to summarize the work products of the RTPOs. Note that every item may not be required/undertaken.

Monthly

- Record hours worked per task identified in Regional Work Program (RWP) – keep log and timesheet (known as the Personnel Activity Report (PAR))
- Coordinate with GTG Liaison

Quarterly

- Meet with GTG Liaison to discuss progress on the RWP
- Prepare and submit Reimbursement Packet with cover letter, Invoice and Quarterly Report to GTG Liaison
- Prepare and submit RWP quarterly amendments to GTG Liaison, as needed, for approval by NMDOT, FHWA-NM and FTA Region 6
- Participate in quarterly RTPO meetings
- Prepare and distribute quarterly meeting minutes (RTPO meeting host only)
- Monitor and participate in, if necessary, the quarterly STIP amendment process

Annually

- Prepare and submit Annual Performance and Expenditure Report (APER) to GTG Liaison, provided to FHWA-NM and FTA Region 6 for informational purposes only
- Prepare and submit Rural Transportation Improvement Program Recommendations (RTIPR) to GTG Liaison, consistent with the New Mexico Transportation Plan (NMTP)
- Review Notice to Proceed received from NMDOT
- Participate in Quality Assurance Review (QAR)
- Participate in annual meeting with NMDOT and MPOs
- Issue calls for projects (e.g. TAP, RTP and other discretionary programs)
- Assist member governments with preparing and submitting Project Feasibility Forms (PFF), and applications as needed
- Prepare and submit functional classification changes to NMDOT, as needed outside of the post Decennial Census statewide functional classification update
- Prepare and submit annual Title VI Report to NMDOT Title VI Coordinator, due October 1

Every 2 Years

- Prepare and submit draft two-year RWP and budget to GTG Liaison
- Prepare and submit final two-year RWP and budget to GTG Liaison, for approval by NMDOT, FHWA-NM and FTA Region 6
- Prepare and submit Cost Allocation Plan, for approval by FHWA-NM and FTA Region 6

Every 3 Years

- Review Title VI Plan and update as necessary

Every 5 Years

- Update Regional Long Range Transportation Plan (RTP) in coordination with the development of the New Mexico Long-Range Statewide Transportation Plan (LRSTP)
- Prepare and submit draft RTP to GTG Liaison
- Prepare and submit final RTP to GTG Liaison, provided to FHWA-NM and FTA Region 6 for informational purposes only

- Prepare and submit Public Participation Plan (PPP) to GTG Liaison, provided to FHWA-NM and FTA Region 6 for informational purposes only

Every 10 Years

- Prepare and submit functional classification changes to NMDOT, in coordination with processing data after the Decennial Census with the statewide functional classification update

RTPO As-Needed Checklist

- Review and update bylaws, as necessary (for example, after new federal transportation legislation is passed)
- Review and coordinate as necessary with NMDOT to update Cooperative Agreement with NMDOT

Archiving Requirements

Archiving is the process of accumulating and storing documents that record the function and work products of the NMDOT, MPOs and RTPOs. Documents and work products must be archived according to either the federal or state requirements and must comply with whichever has the more stringent archiving requirements. Below are some of the major laws pertaining to records archiving; however, this list is not exhaustive and NMDOT, MPOs and RTPOs should independently confirm archiving requirements for their records.

New Mexico Administrative Code (NMAC)

Title 1	General Government Administration
Chapter 21	Functional Records Retention and Disposition Schedules
Part 2	Retention and Disposition of Public Records

This NMAC section (1.21.2) is the complete code governing public records retention for the State of New Mexico. Below are some pertinent excerpts.

1.21.2.112 Program and Project Files *(Replaces 1.15.2.151 Feasibility Studies)*

- A. **Category:** Administration - general management.
- B. **Description:** Records related to administrative programs and projects not identified in other classifications.
- C. **Retention:** destroy five years from date file closed.

1.21.2.114 Publications *(Replaces 1.15.2.114 Manuals of Procedures, 1.15.2.307 Publications)*

- A. **Category:** Administration - general management.
- B. **Description:** Agency publications intended for distribution to the public.
- C. **Retention:** permanent, transfer to state library when published.

1.21.2.116 Reports – General *(Replaces 1.18.805.31 Federal and State Apportionment Reports and Files)*

- A. **Category:** Administration - general management.
- B. **Description:** General reports not identified in other classifications.
- C. **Retention:** destroy two years from date file created

1.21.2.117 Reports – Historical *(Replaces 1.15.2.117 Reports)*

- A. **Category:** Administration - general management.
- B. **Description:** Historical reports including, but not limited to the following subject matter: vital records, natural resources, emissions, professional licensure registries, disease management, rural health care, student nutrition, emergency response, homeland security, infrastructure, tribal education and statutorily required reports; and not identified in other classifications.
- C. **Retention:** permanent, transfer to archives one year from date file created.

1.21.2.122 Grant Administration *(Replaces 1.15.4.208 Revenue Contracts and Grants)*

- A. **Category:** Administration - general management.
- B. **Description:** Records related to grant administration.
- C. **Retention:** destroy three years from the date file closed.

1.21.2.413 Federal Compliance and Reporting *(Replaces 1.18.805.24 Federal Planning Reports)*

- A. **Category:** Governance and compliance - audit, oversight and compliance.
- B. **Description:** Records related to oversight and federal compliance reporting.
- C. **Retention:** destroy three years from date file closed.

1.21.2.608 Goods and Services (*Replaces 1.15.4.307 Contract/Agreement Files*)

- A. **Category:** Legal and judiciary - contract management.
- B. **Description:** Records related to contracting of goods and services.
- C. **Retention:** destroy six years from date file closed.

U.S. Code of Federal Regulations (CFR)

2 CFR § 200.333 Retention Requirements for Records

Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained for a period of three years from the date of submission of the final expenditure report or, for Federal awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, respectively, as reported to the Federal awarding agency or pass-through entity in the case of a subrecipient. Federal awarding agencies and pass-through entities must not impose any other record retention requirements upon non-Federal entities. The only exceptions are the following:

(a) If any litigation, claim, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(b) When the non-Federal entity is notified in writing by the Federal awarding agency, cognizant agency for audit, oversight agency for audit, cognizant agency for indirect costs, or pass-through entity to extend the retention period.

(c) Records for real property and equipment acquired with Federal funds must be retained for 3 years after final disposition.

(d) When records are transferred to or maintained by the Federal awarding agency or pass-through entity, the 3-year retention requirement is not applicable to the non-Federal entity.

(e) Records for program income transactions after the period of performance. In some cases recipients must report program income after the period of performance. Where there is such a requirement, the retention period for the records pertaining to the earning of the program income starts from the end of the non-Federal entity's fiscal year in which the program income is earned.

(f) Indirect cost rate proposals and cost allocations plans. This paragraph applies to the following types of documents and their supporting records: indirect cost rate computations or proposals, cost allocation plans, and any similar accounting computations of the rate at which a particular group of costs is chargeable (such as computer usage chargeback rates or composite fringe benefit rates).

(1) *If submitted for negotiation.* If the proposal, plan, or other computation is required to be submitted to the Federal Government (or to the pass-through entity) to form the basis for negotiation of

the rate, then the 3-year retention period for its supporting records starts from the date of such submission.

(2) *If not submitted for negotiation.* If the proposal, plan, or other computation is not required to be submitted to the Federal Government (or to the pass-through entity) for negotiation purposes, then the 3-year retention period for the proposal, plan, or computation and its supporting records starts from the end of the fiscal year (or other accounting period) covered by the proposal, plan, or other computation.