

Planning Procedures Manual



As Adopted by NMDOT October 30, 2013

Amendment 1 – As Adopted by NMDOT August 8, 2014

Amendment 2 – As Adopted by NMDOT July 2, 2015

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Introduction and Purpose

The New Mexico Department of Transportation (NMDOT) provides infrastructure and services to enable people to travel by car, bus, train, airplane, foot, and bicycle. We've strengthened our commitment to safety for all modes, environmental excellence, decision-making transparency, fiscal accountability, visionary planning, thoughtful design, and sound engineering practices. Multimodal transportation choices invigorate the economy, connect people in small towns and cities, and facilitate the movement of goods and people both within the state and to other states and nations. Our vision and mission statements and core values describe NMDOT's commitment to assisting the people of New Mexico with their mobility needs.

The purpose of this Planning Procedures Manual (PPM) is to clarify the roles and responsibilities of the New Mexico Division of the Federal Highway Administration (FHWA-NM), Federal Transit Administration Region 6 (FTA Region 6), NMDOT, Metropolitan Planning Organizations (MPOs), and Regional Transportation Planning Organizations (RTPOs) in carrying out the state's federally mandated statewide transportation planning program. NMDOT and its transportation planning partner agencies – FHWA-NM, FTA Region 6, MPOs, and RTPOs – concur that there is a pressing need to update, standardize, consolidate, and streamline NMDOT's internal processes, external guidance, and reporting templates to better administer the state transportation planning process and address new reporting requirements in the Moving Ahead for Progress in the 21st Century Act (MAP-21).

Organization of the Planning Procedures Manual

This PPM includes guidance for the planning partners involved in the comprehensive, cooperative, and collaborative statewide planning process in New Mexico. The PPM is divided into the following sections:

- Introduction and Purpose
- Planning Bureau
- Metropolitan Planning Organizations
- Regional Transportation Planning Organizations
- Statewide Transportation Improvement Program
- Process for Releasing Funds

The appendices provide additional information relative to funding sources along with examples of and various forms needed by MPOs and RTPOs to produce work products and reimbursement documentation.

Updates and Revisions to the Planning Procedures Manual

The PPM is a living document, meaning that NMDOT anticipates making updates as necessary to reflect changes to state or federal regulations or procedures. To facilitate updating and revising the PPM in a timely manner, the PPM is distributed through the NMDOT website as an electronic document only. The Asset Management and Planning Division (here after referred to as the "Division") and the Planning Bureau (here after referred to as the "Bureau") encourage suggestions for revisions and

recommendations to improve the document or make it more user-friendly. Questions or suggestions can be submitted via email (Jessica.Griffin@state.nm.us) to the Government to Government (GTG) Unit Supervisor, who is responsible for maintaining a current version of the PPM on the NMDOT website. In the interest of maintaining an accurate and current PPM, updated contact information for MPO/RTPO staff should be submitted as soon as possible to the GTG Unit Supervisor.

Administrative Amendments

The NMDOT, FHWA-NM, an MPO, or an RTPO may propose administrative amendments to this PPM via email or in discussions held during MPO or RTPO Quarterly or Joint Meetings. If consensus is reached among all parties, as indicated by the absence of comments received by the NMDOT and/or comments are sufficiently addressed without the need to bring the proposed amendment to a MPO or RTPO Quarterly meeting for discussion, the PPM may be amended administratively. . The GTG Unit Supervisor is responsible for updating the PPM, notifying all parties of new amendments, and posting updates on the NMDOT website.

Formal Amendments

In the event that all parties cannot agree to a proposed amendment to this document, the proposed change will require a formal amendment. The same parties listed above may submit a proposed amendment(s) in writing (via email) to the GTG Unit Supervisor for consideration at the next round of MPO/RTPO Quarterly or Joint Meetings. The GTG Unit Supervisor will ask the hosting entity to add the amendment to the agenda as a discussion item, time allowing. If there is insufficient time available on an agenda, the item will be mentioned under new business and posted for discussion at the next round of MPO/RTPO Quarterly or Joint Meetings.

Final approval authority over proposed amendments rests with NMDOT with concurrence required from FHWA-NM. The GTG Unit Supervisor is responsible for updating the PPM, notifying all parties of new, NMDOT-approved amendments, providing written explanation of the amendment via email, and posting updates of the PPM on the NMDOT website.

Conflict Resolution

The NMDOT, FHWA-NM, FTA Region 6, MPOs, and RTPOs agree to resolve disagreements regarding the interpretation and implementation of this PPM at the lowest possible level. The Conflict Resolution process is initiated by an email from the MPO Planner or RTPO Planning Program Manager to the GTG Liaison, or from the GTG Liaison or GTG Supervisor to the MPO Officer or RTPO Program Manager. If a disagreement cannot be resolved at the lowest level, then the Conflict Resolution process listed below in Table 1 will be followed. The rows represent equivalent levels within the organizations. Any equivalent level-position within a row may participate in the discussion at their level. If Level Five is reached, at which FHWA-NM and FTA Region 6 become involved, the appropriate FHWA-NM/FTA Region 6 staff shall be identified by their organizations. When both parties at the lowest organizational level of the agencies have agreed to escalate, a meeting date will be established within 5 working days involving Level Two staff. If an agreement cannot be reached, then the issue will be escalated to the next level and a meeting date established within 3 working days, and so on according to Table 1. MPOs and RTPOs should note that FHWA/FTA do not become involved unless and until Level Five is reached. The goal is to achieve resolution at the lowest possible level. Mediation and facilitation may be used at any level to help expedite resolution. Mediation will occur with NMDOT concurrence up to and including Level Four. At Level Five, the FHWA-NM/FTA and NMDOT executive staff must concur that mediation is needed. The GTG Liaison will provide documentation of all disagreements and resolutions to all involved agencies and include the documents in the agency's file at NMDOT. The FHWA-NM supports NMDOT in

spending Federal-Aid Highway Program (FAHP) funds appropriately within the bounds of regulatory flexibility and will provide an explanation of the rationale and decision making process when flexibility does NOT exist.

TABLE 1

Conflict Resolution Process

NMDOT/FHWA-NM/FTA	MPOs	RTPOs	Days to Respond or Move to Next Level
Level One			
GTG Liaison Project Manager	MPO Planner	Planning Program Manager	5 working days
-at DO, RDC, GO			
Level Two			
GTG Supervisor 1 st	MPO Officer	COG Executive Director	3 working days
(Bureau Chief*) PM Supervisor 1 st (Assistant District Eng. *)	MPO Officer	COG Executive Director	
Level Three			
Division Director RDC Director District Engineer	COG Executive Director**	COG Executive Director	2 working days
Level Four			
Cabinet Secretary	COG Executive Director**	COG Executive Director	2 working days
Level Five			
Cabinet Secretary FHWA-NM/FTA Region 6	COG Executive Director** MPO Policy Board/Committee Chair	COG Executive Director/RTPO Board/Committee Chair	2 working days
<p>Notes:</p> <p>* inclusion of Bureau Chief and/or Assistant District Engineer (ADE) is at the discretion of the GTG Supervisor/PM Supervisor</p> <p>** MPOs not housed in COGs should follow applicable reporting procedures</p> <p>COG = Council of Governments</p> <p>DO = NMDOT District Office</p> <p>FHWA-NM = New Mexico Division of the Federal Highway Administration</p> <p>FTA Region 6 = Federal Transit Administration Region 6</p> <p>GO = NMDOT General Office (Santa Fe)</p> <p>GTG = Government to Government Unit</p> <p>MPO = Metropolitan Planning Organization</p> <p>PM = Project Manager</p> <p>RDC = Regional Design Center</p> <p>RTPO = Regional Transportation Planning = Transportation Management Area</p>			

Consequences of Non-Conformance by an MPO/RTPO

The following section outlines the procedure for addressing non-conformance by an MPO/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 MPO/RTPO does not submit a Work Program amendment by the stated deadline. The consequence of this is that the amendment is not included in the NMDOT Planning Work Program amendment, thus is not approved. This does not count as non-conformance on the part of the MPO/RTPO. In addition, the NMDOT Division will make allowances for MPO/RTPO delays if NMDOT misses a deadline that affects the MPOs/RTPOs.*
- continuously submitting incorrect or incomplete information; and
- failing to adhere to the procedures outlined in this PPM.

Table 2, seen below, outlines the procedures the NMDOT will follow when addressing non-conformance on the part of an MPO/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 MPO/RTPO submits a Reimbursement Packet after the deadline and then misses a deadline for another work product, the MPO/RTPO is considered to be at Level 2. If an MPO/RTPO is at Level 1 or 2 at the close of the FFY, the MPO/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 2
Non-Conformance Procedures

Non-Conformance Level	NMDOT Action	Notifications
Level 1	GTG Liaison notifies MPO Planner/RTPO Planning Program Manager in writing of non-conformance	GTG Unit Supervisor copied on email
Level 2	GTG Liaison notifies MPO Planner/RTPO Planning Program Manager in writing of non-conformance	GTG Unit Supervisor, Bureau Chief, Division Director, MPO Officer/RTPO COG Executive Director copied on email

Level 3	The MPO/RTPO develops a Corrective Action Plan and submits to the GTG Liaison for review/concurrence by the Bureau Chief and Division Director.	GTG Unit Supervisor, Bureau Chief, Division Director, MPO Officer/RTPO COG Executive Director copied on submittal email for Corrective Action Plan MPO Planner/RTPO Planning Program Manager sends Corrective Action Plan to MPO/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 MPO Planner/RTPO Planning Program Manager in writing of failure to follow Corrective Action Plan. Division Director informs MPO/RTPO Policy Board/Committee of pending loss of funds.	GTG Unit Supervisor, Bureau Chief, Division Director, MPO Officer/RTPO 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 MPO Planner/RTPO Planning Program Manager, MPO Officer/RTPO COG Executive Director and MPO/RTPO Policy Board/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 MPO/RTPO, DOT Cabinet Secretary sends letter to MPO Officer/RTPO COG Executive Director.	MPO/RTPO Policy Board/Committee Chair and FHWA and FTA copied on letter

	3) If the MPO/RTPO elects to appeal the decision, NMDOT will arrange a meeting with all parties, as well as the appropriate FHWA and FTA representatives.	
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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 require a Corrective Action Plan from the MPO/RTPO.

Transportation Planning Process in New Mexico

Federal law under 23 USC § 135(a) requires states to carry out a continuing, cooperative, and comprehensive statewide transportation planning process (3-C Process) that considers all modes of transportation and provides for consideration and implementation of projects, strategies, and services that will:

- Support the economic vitality of the United States;
- Increase the safety and security of the transportation system for both motorized and non-motorized users;
- Increase accessibility and mobility of people and freight;
- Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns;
- Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight;
- Promote efficient system management and operation; and,
- Emphasize the preservation of the existing transportation system.¹

Transportation planning is a cooperative process designed to foster involvement by all users of the system (such as the business community, community groups, environmental organizations, the traveling public, freight operators, and the general public) through a proactive public participation process.² In New Mexico, the process is conducted jointly by the NMDOT, MPOs, RTPOs, and public transit operators. Transportation planning involves a number of activities, including the following:

- Monitoring existing conditions
- Forecasting future population and employment growth, including assessing projected land uses in each region and identifying major growth corridors
- Identifying current and projected future transportation problems and needs and analyzing, through detailed planning studies, various transportation improvement strategies to address those needs
- Developing long range plans and short-range programs of alternative capital improvement and operational strategies for moving people and goods

¹ 23 USC § 135(d) – Statewide Transportation Planning: Scope of Planning Process

² Federal Highway Administration and Federal Transit Administration. *The Transportation Planning Process: Key Issues – A Briefing Book for Transportation Decisionmakers, Officials, and Staff*. A Publication of the Transportation Planning Capacity Building Program (Publication Number: FHWA-HEP-07-039, updated September 2007). <http://www.planning.dot.gov/documents/BriefingBook/BBook.htm#2BB>

- Estimating the impact of recommended future improvements to the transportation system on environmental features, including air quality
- Developing a financial plan for securing sufficient revenues to cover the costs of implementing strategies³

In New Mexico, the Planning Bureau (Bureau) within the NMDOT Asset Management and Planning Division (Division) oversees the statewide transportation planning process. The Bureau also works cooperatively with the MPOs, RPTOs, and transit operators to conduct the planning activities required by federal law. The Bureau also monitors MPO and RTPO activities to assure the metropolitan and non-metropolitan planning functions are carried out pursuant to 23 USC § 134, 23 USC § 135, and 49 USC § 5305 et. seq.

New Mexico funds transportation planning activities in the state using federal-aid dollars. The Federal-Aid Highway Program is a cost reimbursement program that typically requires a local match, with funds generally apportioned to each state by means of a statutory formula. NMDOT currently funds planning activities using two different categories of federal dollars:

- Statewide Planning and Research (SPR) dollars may be used to fund MPO and RTPO planning activities that meet the eligibility requirements.
- Metropolitan Planning (PL) dollars are used to fund MPO planning activities and operations. NMDOT sub-allocates the PL funds to the MPOs using a statewide formula developed cooperatively by the MPOs and NMDOT. The statewide formula for sub-allocating PL funds to the MPOs can be revisited upon request of an MPO or if federal actions change funding levels.

See Appendix A for more information on Federal-Aid Highway Program funding as well as other sources of transportation funding.

Metropolitan Planning Organization Structure in New Mexico

The MPOs are federally designated forums for cooperative decision making in metropolitan areas with populations over 50,000 people. The five New Mexico MPOs are as follows:

- El Paso Metropolitan Planning Organization (EPMPO)
- Farmington Metropolitan Planning Organization (FMPO)
- Mesilla Valley Metropolitan Planning Organization (MVMPO)
- Mid-Region Metropolitan Planning Organization (MRMPO)
- Santa Fe Metropolitan Planning Organization (SFMPO)

The NMDOT contracts with EPMPO for transportation planning in southern Doña Ana and Otero counties. This area includes the cities of Sunland Park and Anthony and the communities of Chaparral and Santa Theresa, all within New Mexico. The EPMPO and MRMPO are designated as Transportation Management Areas (TMAs) by virtue of having populations greater than 200,000 people. The two TMAs receive federal Surface Transportation Program (STP) funding designated for urban areas and, as a result

³ Federal Highway Administration and Federal Transit Administration. *The Transportation Planning Process: Key Issues – A Briefing Book for Transportation Decisionmakers, Officials, and Staff*. A Publication of the Transportation Planning Capacity Building Program (Publication Number: FHWA-HEP-07-039, updated September 2007). <http://www.planning.dot.gov/documents/BriefingBook/BBook.htm#2BB>

of being classified as a nonattainment and/or maintenance TMA for certain air pollutants; they also receive Congestion Mitigation and Air Quality Improvement (CMAQ) Program funding allocated by formula for their metropolitan areas. The NMDOT authorizes the use of these funds and submits the obligation request to FHWA-NM on behalf of MRMPO. The three smaller MPOs are not allocated federal project funds directly and therefore rely on working with the NMDOT to obtain federal funds for projects in their metropolitan areas.

Regional Transportation Planning Organization Structure in New Mexico

The RTPOs are federally designated forums for cooperative planning and decision making in areas with populations of 50,000 or fewer people. The seven New Mexico RTPOs are as follows:

- Mid-Region Regional Transportation Planning Organization (MRRTPO)
- Northeast Regional Transportation Planning Organization (NERTPO)
- Northern Pueblos Regional Transportation Planning Organization (NPRTPO)
- Northwest Regional Transportation Planning Organization (NWRTPO)
- South Central Regional Transportation Planning Organization (SCRTPO)
- Southeast Regional Transportation Planning Organization (SERTPO)
- Southwest Regional Transportation Planning Organization (SWRTPO)

Consistent with federal surface transportation law, the RTPOs have been established and designated by NMDOT 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.⁴

Coordination with MPOs and RTPOs

NMDOT coordinates with the MPOs and RTPOs through the following (see the Metropolitan Planning Organizations and Regional Transportation Planning Organizations chapters of this PPM for more information):

- Cooperative Agreements (CAs)⁵ – These are the basic contractual agreements between the NMDOT and the fiscal agents that oversee the MPOs and RTPOs. The CAs delineate the responsibilities of each organization to carry out the tasks contained in the Work Programs. The CAs are designed to remain in effect for two Work Program cycles. The Transit and Rail Division prepares an Agreement to address FTA planning funds. The Division prepares a CA to address FHWA planning funds. Work Programs –MPOs are required to submit a 2-year Unified Planning Work Program (UPWP) and all RTPOs are required to submit a 2-year Regional Work Program (RWP). In addition, the NMDOT Division will submit a 2-year Planning Work Program (PWP) to the New Mexico Division of the Federal Highway Administration (FHWA-NM) and FTA Region 6. The PWP includes all of the MPO and RTPO work programs as part of the submittal package. All Work Programs include 2-year

⁴ 23 USC § 135(m)(1) – Statewide Transportation Planning: Designation of Regional Transportation Planning Organizations

⁵ Prior to Federal Fiscal Year 2015, Memorandums of Agreement were used.

budgets or funding summaries that address both FHWA and FTA planning funds. See Appendix C (MPO) or D (RTPO) for the Work Program Review Checklist.⁶

- **Notice to Proceed** – Once the FHWA-NM and FTA Region 6 review and approve the entire work program submittal, federal funds are obligated in the FHWA's Fiscal Management Information System (FMIS) and the FTA's Transportation Electronic Award Management (TEAM) system. NMDOT then issues individual Notices to Proceed (NTPs) to notify the MPOs and RTPOs about the availability of FHWA and FTA funds for them to implement their respective work programs. Receipt of FHWA-NM and FTA Region 6 approval and obligation of funds also permits NMDOT to implement its work program.⁷

How is federal transportation funding provided to states and metropolitan areas?

(Excerpted from "The Transportation Planning Process Key Issues: A Briefing Book for Transportation Decisionmakers, Officials, and Staff")

Federal funds are made available through a specific process:

- **Authorizing Legislation:** Congress enacts legislation (such as the current MAP-21) that establishes or continues the existing operation of a federal program or agency, including the amount of money it anticipated to be available to spend or grant to states, MPOs, and transit operators. Congress generally reauthorizes federal surface transportation programs over multiple years. The amount authorized, however, is not always the amount that ends up actually being available to spend.
- **Appropriations:** Each year, Congress decides on the federal budget for the next fiscal year. As a result of the appropriation process, the amount appropriated to a federal program is often less than the amount authorized for a given year and is the actual amount available to federal agencies to spend or grant.
- **Apportionment:** The distribution of program funds among states and metropolitan areas (for most transit funds) using a formula provided in law is called an apportionment. An apportionment is usually made on the first day of the federal fiscal year (October 1) for which the funds are authorized. At that time, the funds are available for obligation (spending) by a state, in accordance with an approved Statewide Transportation Program (STIP). In many cases, the state is the designated recipient for federal transportation funds and the MPO or RTPO is the sub-recipient. In some cases, transit operators are the recipient.
- **Obligation Authority (Limitation):** Congress sets a restriction or "ceiling" to control the rate at which funds may be used. This is a statutory budgetary control mechanism.
- **Determining Eligibility:** Only certain projects and activities are eligible to receive federal transportation funding. Criteria depend on the funding source.
- **Match:** Most federal transportation programs require a non-federal match. State or local governments must contribute some portion of the project cost. This matching level is established by legislation. For many programs the amount the state or local governments have to contribute

⁶ Prior to FFY15 all Work Programs (PWP, UPWP, RWP) covered only one year.

⁷ Prior to FFY16 Work Authorizations were issued by the Bureau documenting how much funding was available to MPOs and RTPOs.

Planning Bureau

The Planning Bureau (Bureau) is one of several bureaus within the NMDOT Asset Management and Planning Division (Division), located in the NMDOT's General Office in Santa Fe (see Appendix A for Division Organizational Chart). The Bureau coordinates New Mexico's statewide transportation planning program and ensures compliance with Federal and state planning regulations governing Metropolitan Planning Organizations (MPOs) and, for the nonmetropolitan consultation process, through working with Regional Transportation Planning Organizations (RTPOs). Therefore, Bureau staff works closely with FHWA-NM and virtually every other functional group within the NMDOT throughout a typical year.

Bureau staff participates in many department-wide studies, including (in recent years):

- Statewide Rail Plan
- Various Moving Ahead for Progress in the 21st Century Act (MAP-21) Implementation Teams
- State/Transportation Improvement Program Procedures Manual
- Strategic Highway Safety Plan (SHSP) (formerly the Comprehensive Transportation Safety Plan [CTSP])

The Bureau leads development of several planning efforts including the New Mexico Transportation Plan (NMTP) and the NMDOT's Public Involvement Process (PIP), as well as administering the Transportation Alternatives Program (TAP) and other federal funding programs. The Bureau developed and maintains the Statewide Travel Demand Model (STDM) and provides geographic information system (GIS) services to augment the statewide planning program. Periodically, the Bureau conducts special GIS studies addressing topics of current need or interest. In recent years, these topics have included a freight study; a tolling study; a border master plan in the area of El Paso/Las Cruces/ Chihuahua; a travel energy study; and an analysis of potential revenue sources as part of a multi-year review of sustainable transportation funding alternatives. Each of these tasks is described in more detail in subsequent sections.

Additionally, the Bureau provides coordination, technical assistance, and training to local and tribal governments for planning and project implementation through the efforts of NMDOT's Tribal Liaison, the Local Technical Assistance Program and the Bicycle/Pedestrian/Equestrian Coordinator.

Organization of the Statewide Planning Bureau

The Bureau is comprised of the Government to Government (GTG) Unit and the Local Technical Assistance Program (LTAP). The Bureau Chief is responsible for the operations of the Bureau. A supervisor oversees each unit and reports to the Bureau Chief. The GTG Unit consists of eight planners in Santa Fe and two in Las Cruces who report to the GTG supervisor. LTAP has two employees who report to the supervisor of that program. Appendix A contains an organization chart for the Bureau.

Government to Government Unit

The Government to Government (GTG) Unit has the following responsibilities:

- Monitoring state and federal legislation pertaining to transportation appropriations and policies
- Conducting research into national best practices related to state transportation planning programs

- Developing and overseeing implementation of the NMTP, the PIP, and other plans required by federal regulations
- Providing technical assistance, including transportation modeling and analysis, to other planning efforts initiated by the NMDOT
- Coordinating local involvement in the Statewide Transportation Improvement Program (STIP)
- Managing the Transportation Alternatives, Highway Safety Improvement, Congestion Mitigation and Air Quality (Flexible), Recreational Trails, Safe Routes to School, Scenic Byways, Bicycle/Pedestrian/Equestrian, Tribal Outreach and International Planning programs

The GTG Unit administers contracts for the seven RTPOs and five MPOs, and works closely with NMDOT's District Offices, STIP Unit, Design Regions, and other Divisions to ensure proactive enforcement of state and federal laws. Several of the GTG planners serve as liaisons to the MPOs and RTPOs. Of the two GTG planners housed in the South Region Design Center in Las Cruces, one works with the MPOs, RTPOs, and districts in the southern part of the state and the International Planner is responsible for border-related projects and activities.

The GTG liaisons to the MPOs/RTPOs are responsible for the following:

- Serving as the NMDOT point of contact for their respective MPOs and/or RTPOs
- Facilitating communication and coordination between the MPOs/RTPOs and the different areas of NMDOT, including the six District Offices
- Reviewing and processing MPO/RTPO Reimbursement Packets (Cover Letters, Quarterly Reports and Invoices)
- Reviewing MPO/RTPO Work Programs and other work products
- Meeting with the MPO/RTPO on a regular basis (quarterly at a minimum) to discuss progress on the Work Program and any other issues
- Conducting Quality Assurance Reviews
- Providing technical assistance to the MPOs and RTPOs on work products and other issues, as needed

Local Technical Assistance Program

The Local Technical Assistance Program (LTAP) provides local and tribal agencies with a variety of adaptable tools (such as training events, technology transfer resources, and personalized onsite heavy equipment training) for improving their transportation operations. The LTAP does not provide engineering services, but does offer proven solutions to many transportation problems. To assist local and tribal agencies, the LTAP performs the following services:

- Publishes a quarterly newsletter
- Maintains the Lending, Multi-Media, and Resource Libraries
- Provides information regarding transportation issues
- Conducts training based on local or tribal needs
- Provides assistance, referrals, or information through onsite, telephone, or email consultation

The LTAP staff includes the Program Manager, an Administrative Assistant, and an in-house Trainer. The LTAP contracts with local and national vendors, including several state educational institutions, to provide training tailored to meet the needs of local entities and Departmental staff.

Statewide Planning Work Products and Activities

The Bureau is responsible for several recurring FHWA-NM planning activities (described previously in this chapter). The Division includes two other bureaus that contribute significantly to statewide planning: the Research Bureau and the Data Management Bureau.

The Research Bureau develops a Planning Work Program (PWP) and oversees the research-project selection process related to the expenditure of federal State Planning and Research (SPR) funds specifically appropriated for statewide research activities. The Research Bureau's PWP is incorporated into the Division's PWP along with the Bureau's components.

The Data Management Bureau plays a key role in acquiring traffic counts, crash and roadway data that feed the NMDOT's Highway Performance Monitoring System (HPMS) annual submittal to FHWA-NM.

Statewide planning is further augmented by staff and work products from the STIP and GIS Units within the NMDOT, as well as the activities of the International Planner, which are also funded by federal SPR funds and incorporated in the Division's PWP. The STIP and GIS Units are housed at the NMDOT's General Office in Santa Fe. The International Planner works out of the South Region Design Center in Las Cruces.

The Bureau work products are as follows:

- Stewardship and Oversight Agreement (SOA) documentation
- Public Involvement Plan (PIP)
- Consultation procedures with nonmetropolitan local officials and tribal governments
- U.S. Census-related
 - 1) "Smoothed" urbanized area boundary map
 - 2) Roadway functional classification map
 - 3) Funding distribution formula revision recommendations
 - 4) Identification of additional transportation management areas (TMAs)
 - 5) MPO/RTPO boundary map
 - 6) Updated Statewide Travel Demand Model
- New Mexico Transportation Plan (NMTP)
- Planning Work Program (PWP) and modifications/quarterly amendments
- Annual Performance and Expenditure Report (APER)
- Self-Certification Documentation
- Notice of Funding and Notice to Proceed Letters to MPOs/RTPOs

Figure 1 in Appendix B shows the activities that the Bureau, MPOs, RTPOs, FHWA-NM, and FTA Region 6 participate in monthly, as part of the comprehensive, cooperative, and coordinated planning process in New Mexico.

Stewardship and Oversight Agreement (with FHWA-NM)

The Stewardship and Oversight Agreement documents the extent to which the NMDOT assumes the responsibilities of the FHWA-NM and where FHWA-NM retains responsibility for administering the Federal-Aid Highway Program (FAHP). The FAHP is a state-administered program and FHWA-NM provides oversight through a risk-based approach at the project and program levels. In order to ensure that the Agreement stays current, a team from NMDOT and FHWA-NM will periodically review the document. Other triggers for review are:

- When significant new legislation, executive orders, or other initiatives affecting the relationship or responsibilities of one or both parties to the Stewardship and Oversight Agreement occurs.
- When leadership or leadership direction changes at the NMDOT or FHWA-NM.
- If priorities shift as a result of audits, public perception, or changes in staffing at either the NMDOT or FHWA-NM office.

The NMDOT Division is required by the Stewardship and Oversight Agreement to prepare and submit an annual report to FHWA-NM at the end of each calendar year.

Public Involvement Process

The Public Involvement Process (PIP) documents the process used by the NMDOT to provide opportunities for public review and comment at key decision points during the development of the main statewide planning products, the NMTP and STIP, and special programs (for example, the Bicycle/ Pedestrian/Equestrian Program, TAP, and Statewide Highway Safety Plan [formerly Comprehensive Transportation Safety Plan]).

While the Bureau is responsible for the PIP at the statewide level, at a project level, the NMDOT Environmental Development Section and its consultants use a more detailed and aligned public involvement plan that combines context sensitivity and the National Environmental Policy Act (NEPA) requirements. The plan is intended to be a “living” document and may be adjusted as the project design evolves. Such adjustments include the goals of collaboration with the community, a thorough analysis of project context before commencement of engagement with the public, a review of modal considerations and connectivity, as well as opportunities to express local values such as review of the functional classification, the design speed, and aesthetic gateway and place-making treatments. The use of multidisciplinary study teams, transparent decision-

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 STIP is fiscally constrained so that program costs do not exceed estimated revenues. The STIP must be consistent with the New Mexico Transportation Plan (NMTP) and the MPO Metropolitan Transportation Plans (MTPs). The FHWA-NM approves the STIP every 2 years. Refer to the *State/Transportation Improvement Program Procedures Manual* on the NMDOT website for more information about the STIP and TIP procedures, including transfer of funds between programs, FHWA to FTA, and state to state.

Under MAP-21, the NMDOT is required to develop statewide performance based measures and targets which will establish investment priorities. This PPM, the *State/Transportation Improvement Program Procedures 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 MAP-21.

making, and the flexibility of design guidelines, and consensus with a wide-range of stakeholders on the purpose and need, evaluation criteria, preferred alternatives development, and impacts identification and mitigation are core to this process.

According to federal requirements, both public involvement processes must at a minimum:⁸

- Establish early and continuous public involvement opportunities that provide timely information about transportation issues and decision-making processes.
- Provide reasonable public access to technical and policy information used in the development of the NMTP and STIP.
- Provide adequate public notice of public involvement activities and time for review and comment at key decision points, including but not limited to a reasonable opportunity to comment on the proposed NMTP and STIP.
- To the maximum extent practicable, ensure that public meetings are held at convenient and accessible locations and times.
- To the maximum extent practicable, use visualization techniques to describe the proposed long range statewide transportation plan and supporting studies.
- To the maximum extent practicable, make public information available in electronically accessible format and means, such as the worldwide web/internet, as appropriate to afford reasonable opportunity for consideration of public information.
- Demonstrate explicit consideration and response to public input during the development of the NMTP and STIP.
- Include a process for seeking out and considering the needs of those traditionally underserved by existing transportation systems, such as low-income and minority households, who may face challenges accessing employment and other services.
- Provide for the periodic review of the effectiveness of the public involvement process to ensure that the process provides full and open access to all interested parties and revise the process, as appropriate.

The PIP should ideally align with the Public Participation Plans developed by New Mexico's MPOs. To accomplish this, the PIP addresses these key components:

- Visualization techniques
- Performance measures/evaluation
- Process/strategies
- Language translation
- Environmental justice issues (Title VI⁹)
- Branding/marketing
- Public participation tools and strategies

⁸ 23 CFR §450.210(a)(1) – Interested Parties, Public Involvement, and Consultation

⁹ The NMDOT Title VI Plan is prepared by the Title VI Coordinator with input from all NMDOT divisions, including the Asset Management and Planning Division (Division).

- How public comments will be addressed

While there is no federal requirement for how often the PIP is updated, the NMDOT reviews the process every 4 years in coordination with the NMTP and/or when new federal legislation takes effect. At minimum, the state is required to allow 45 days for public review and written comment before new procedures and any major revisions to existing procedures are adopted.¹⁰

The final PIP is adopted by NMDOT after public comments are incorporated following the 45-day public comment period and is submitted to FHWA-NM and FTA Region 6 for informational purposes. The current PIP is available on the NMDOT website.

Review and Report on Nonmetropolitan Local Officials Consultation Procedures

Federal regulations require states to develop and document a process (es) for consulting with nonmetropolitan, local officials representing units of general purpose local government and/or local officials with responsibility for transportation that is separate and discrete from the public involvement process. The process should provide opportunity for their participation in the development of the NMTP and STIP.¹¹ The state meets this federal requirement through its RTPO structure.

At least once every 5 years, the Bureau solicits comments from nonmetropolitan local officials and other interested parties for a period of not less than 60 calendar days regarding the effectiveness of the current consultation process and any proposed changes. The Division Director or the Bureau Chief sends out a request for comments in the form of a survey distributed via email and/or regular mail to the RTPOs, their member entities, and other local government entities that are not currently participating in the RTPO process. The Bureau Chief conducted the most recent review in 2010. The Bureau Chief compiles all survey responses and distributes the compilation to the RTPO Planners. The Bureau Chief reports on the compilation at an RTPO quarterly meeting in order to solicit additional comments and make a consensus-based determination whether any changes are needed to the current nonmetropolitan, local officials' consultation procedure. The resulting documentation is then submitted to FHWA-NM/FTA Region 6 for informational purposes. The next formal review is due in 2015.

Review and Report on Tribal Governments and Secretary of the Interior Consultation Procedures

Under federal law, the NMDOT is required to develop a process for consulting with Indian Tribal Governments and the Secretary of Interior during development of the NMTP and STIP. The process should outline roles, responsibilities, and key decision points for consulting with Indian Tribal Governments and federal land management agencies¹². Comments about the current process(es) are solicited from the Tribal governments and the Secretary of the Interior at least once every 5 years. After the close of the 60-calendar day comment period, the Bureau determines whether to adopt any proposed changes. If a proposed change is not adopted, the Bureau provides the reasons for not accepting the proposed change, including notification to Tribal governments and the Secretary of the Interior. The revised procedures document is distributed to Tribal governments who participated in the survey. The final review document is submitted to the FHWA-NM and FTA Region 6 for informational purposes.

¹⁰ 23 CFR §450.210(a)(2) – Interested Parties, Public Involvement, and Consultation

¹¹ 23 CFR §450.210(b)(1),(2)– Interested Parties, Public Involvement, and Consultation

¹² 23 CFR §450.210(c) – Interested Parties, Public Involvement, and Consultation

The NMDOT Tribal Liaison, housed in the GTG Unit of the Bureau, utilizes a formal tribal consultative process. This process is outlined in the Public Involvement Process Project, completed under the FFY2014 Planning Work Program. The benefits of the effective consultation that NMDOT has with the Tribal entities demonstrates how strong communication and well-established partnerships are essential for developing and maintaining a solid Tribal consultation processes. The NMDOT Tribal Liaison is proactive in conducting outreach, coordinating agreements, mediating misunderstandings, and building close relationships based on experience and accountability. The Tribal Liaison fosters partnership agreements between NMDOT and the Tribes by facilitating communication between Tribal transportation staff and NMDOT District Offices. Overall, New Mexico's active approach to partnering with Tribes is essential for planning projects and implementing policies that best serve the needs of Tribal members and other users of transportation infrastructure on Tribal lands.

The NMDOT Tribal Liaison reports on Planning Work Program activities in the Annual Performance and Expenditure Report submitted to FHWA-NM/FTA Region 6.

FHWA-NM / FTA Region 6 - Initiated Audits and Risk Assessments

FHWA-NM and FTA Region 6 have the authority to conduct a Risk Assessment of the Bureau on an as-needed basis at their determination. The assessment process varies depending on the nature and severity of the perceived risk.

An example is the joint FHWA-NM/NMDOT Transportation Management Area (TMA) federal certification reviews conducted every four years. To prepare for the Risk Assessments, Bureau staff involved in oversight of the expenditure of federal planning funds and grant programs reviews and compiles hard copies of related communications, agreements, invoices, work products, etc., in standardized file format. The Bureau Chief and GTG Supervisor then conduct an initial review of the compiled files for completeness and accuracy.

Planning Activities Triggered by U.S. Decennial Census

The final release of U.S. Census data is a catalyst for a number of federally mandated planning activities. These activities typically occur within the two fiscal years following the final U.S. Census data release. These activities are conducted in coordination with the state's MPOs and RTPOs. The following subsections describe these non-annual recurring activities.

Revision of Funding Distribution Formulas. New population statistics for existing MPOs necessitate the need to review and adjust planning and transit funding distribution formulas used for planning purposes. This review is conducted in a cooperative process that involves the NMDOT Bureau, FHWA-NM, and MPOs. The Division Director submits recommendations to FHWA-NM for review and approval. **It is important to note that a review of the funding distribution formula may also be initiated at the request of the MPOs or the NMDOT at any time and as often as needed.**

Note:

A review of the funding distribution formula may also be initiated at the request of the MPOs or the NMDOT at any time and as often as needed.

Identification of Additional Transportation Management Areas. When the final census data is released, the U.S. Census concurrently publishes the FHWA-NM/FTA Region 6 list of TMAs in the Federal Register. This action necessitates reviewing the list to determine if any new TMAs (or potential MPOs for that matter) have been identified for New Mexico. If any are identified, the Bureau is responsible for

following through by coordinating the establishment of new TMAs and/or MPOs with affected local officials and FHWA-NM.

Creation of a New MPO/MPO Boundary Changes. An MPO shall be designated for each urbanized area with a population of more than 50,000 individuals (as determined by the U.S. Census). MPO designation shall be made by agreement between the Governor and units of general-purpose local government that together represent at least 75 percent of the affected population (including the largest incorporated city, based on population, as named by the U.S. Census) or in accordance with procedures established by applicable state or local law.¹³

MPO boundaries are required by federal regulation¹⁴ to, at a minimum, encompass the entire existing urbanized areas as defined by the U.S. Census plus the contiguous area expected to become urbanized with a 20-year forecast period for the Metropolitan Transportation Plan (MTP).

Therefore, it is important to note that the decennial U.S. Census, the adoption of a new MTP, or a request from a municipality to be included within the MPO, may result in the identification of new or expanded urban area boundaries that necessitate a review and potential expansion of MPO boundaries.

The NMDOT is responsible for notifying an MPO of the need for such a review upon receiving notice of final demarcation of urban areas published by the U.S. Census. The MPO is responsible for noting the potential need to expand its boundaries within the context of an updated MTP. In the case of a potential boundary expansion, the NMDOT and the MPO will jointly prepare and present information pertaining to statewide transportation planning, the Federal-Aid Highway Program, and the MPO process in a public forum to residents and elected/appointed officials residing within the newly defined urban areas.

The formal submittal and approval process for revising an MPO's boundaries requires the Governor's approval. Following boundary approval by the MPO and the Governor, the NMDOT Division Director will forward the new boundary description(s) to the FHWA-NM and FTA Region 6 for informational purposes.¹⁵

Urbanized Area Boundary Smoothing. Concurrently with the release of the final Census data, the U.S. Census also releases the Topologically Integrated Geographic Encoding and Referencing (TIGER)/Line shapefiles for the urbanized area and Urban Cluster (UC) boundaries. These new boundaries are analyzed to determine if current MPO boundaries need to be revised or "smoothed." If revisions are necessary, the Bureau works with the MPOs to ensure their urbanized area boundaries are modified prior to their next regularly scheduled Metropolitan Transportation Plan update or within 4 years of the final release of census data (whichever comes first). The MPO must follow its PPP and the criteria reported in Section 6.4 of *Highway Functional Classification Concepts, Criteria and Procedures – 2012 Edition* (FHWA, 2012). Proposed boundary adjustments are submitted to the Bureau for review/approval and to FHWA-NM for concurrence before being finalized and officially incorporated into subsequent planning activities. The final boundary revisions are also incorporated in the NMDOT GIS database. Resulting changes to MPO boundaries must be approved by the Governor.

Note:

The decennial U.S. Census, the adoption of a new MTP or a request from a municipality to be included within the MPO, may result in the identification of new or expanded urban area boundaries that necessitate a review and potential expansion of MPO boundaries.

¹³ 23 CFR §450.310 – Metropolitan Planning Organization Designation and Redesignation

¹⁴ 23 CFR §450.312 – Metropolitan Planning Area Boundaries

¹⁵ 23 CFR §450.312(a-j) – Metropolitan Planning Area Boundaries

Statewide Functional Classification Review. Revisions to the urbanized area and UC boundaries may cause revisions to the functional classification of the state's roadways (for example, a rural collector may now be inside an urbanized area, necessitating an urban classification and in some cases, a new jurisdictional owner, for the roadway). Changes to functional classifications and roadway owners may impact federal funding eligibility for the roadways whose functional classifications are modified through the boundary smoothing process.

This statewide review is led by the Bureau. The GTG Liaisons provide guidance and training to the MPOs and RTPOs about new functional classification definitions and funding eligibility requirements to assist them with the functional classification review. The MPOs assume the lead for their planning areas and the NMDOT Bureau leads the review for the nonmetropolitan areas. In addition, the Bureau develops and updates guidance regarding functional classification eligibility, submittal and review criteria for MPOs and RTPOs to use as needed in between decennial census reporting periods, in response to new development or travel patterns within the metropolitan planning area.

Statewide Travel Demand Model Updates. The Statewide Travel Demand Model is updated using the early release of census data, which provides key socioeconomic inputs useful for updating the model. The Model's Transportation Analysis Zones (TAZs) are reviewed and updated as necessary upon the final release of the Census data and the urbanized area/UC boundaries. TAZ updates are completed in collaboration with the MPOs so the TAZs are consistent between the statewide and MPO travel demand models.

New Mexico Transportation Plan

The New Mexico Transportation Plan (NMTP) addresses the movement of both people and goods throughout New Mexico. It provides a visionary, performance-based, and strategic framework to guide decision-making at all levels in NMDOT and by New Mexico's MPOs and RTPOs. The framework helps ensure that New Mexico's transportation system supports the well-being of all of the state's citizens and visitors, and that transportation projects, programs, and policies are rational, fiscally responsible, environmentally sustainable, and accountable to taxpayers and system users.

The NMTP outlines a future vision for multimodal transportation in the state and defines realistic goals, objectives, performance measures and targets to achieve that vision. The NMTP integrates, harmonizes, builds upon, and refines existing studies, plans, and policies from the NMDOT, MPOs, RTPOs, and other agencies. The plan identifies (1) strategies and actions needed to connect all elements of the state's transportation system; (2) elements of the system needing improvement; and (3) new elements (including programs) needed to ensure that New Mexico's multimodal transportation system is safe, efficient, and effective. An actionable and fiscally constrained implementation strategy is an important component of the NMTP.

A key function of the NMTP is to help ensure that NMDOT has sufficient fiscal resources to build, operate and maintain the state's transportation system on a long-term, sustainable basis. The plan is a useful tool for helping ensure that New Mexico's existing transportation assets are properly managed and maintained over time, and that future system additions and programs are both cost-effective and consistent with demonstrated transportation needs.

The NMTP has a minimum 20-year time horizon and is updated every 4 years. Updates occur in coordination with updates of Metropolitan Transportation Plans by the MPOs and Regional Transportation Plans (RTPs) by the RTPOs. Typical update activities include:

- Cooperating closely with the MPOs and RTPOs throughout the plan development process.
- Forming committees and working groups to guide and inform the update effort.

- Reaching out broadly to transportation stakeholders and the general public throughout the plan development process.
- Monitoring and analyzing new transportation-related legislation for planning implications.
- Researching best national transportation planning practices for applicability to the NMTP.
- Synthesizing existing NMDOT data, plans, and studies.
- Updating inventories and assessing the existing condition and performance of the statewide transportation system.
- Developing forecasts of population, economic activity, travel demand, revenue, and other key planning variables and analyzing their transportation implications.
- Developing planning scenarios, a future vision for the transportation system, etc., based on public and stakeholder input.
- Reviewing and revising goals, objectives, targets, and performance measures based on the future vision and with substantive public and stakeholder input.
- Developing plan alternatives and adopting a final plan.

A Statewide Freight Plan is a component of the NMTP that provides a comprehensive plan for the immediate and long range planning activities and investments with respect to freight.¹⁶ The Freight Plan is updated in conjunction with the NMTP update. Per federal regulations, the Freight Plan includes at a minimum:¹⁷

- Identification of significant freight system trends, needs, and issues with respect to the state.
- Analysis and description of how international freight entering the New Mexico ports will affect the overall freight corridors and systems (rail and truck).
- Description of the freight policies, strategies, and performance measures that will guide the freight-related transportation investment decisions of the state.
- Description of how the plan will improve the ability of the state to meet the national freight goals established under 23 USC § 167.
- Evidence of consideration of innovative technologies and operational strategies, including intelligent transportation systems that improve the safety and efficiency of freight movement.
- Description of improvements that may be required to reduce or impede the deterioration on the routes on which travel by heavy vehicles (including mining, agricultural, energy cargo or equipment, and timber vehicles) is projected to substantially deteriorate the condition of roadways.
- Inventory of facilities with freight mobility issues, such as truck bottlenecks, within the State, and a description of the strategies the state is employing to address those freight mobility issues.

The review/approval process for the NMTP as outlined in MAP-21 requires that the NMDOT develop the NMTP in cooperation with the state's MPOs and RTPOs.¹⁸ In addition, New Mexico State Law requires that the NMDOT obtain the approval from the New Mexico State Transportation Commission (STC) for

¹⁶ MAP-21 Subtitle A Section 1118(a) – State Freight Plans: General

¹⁷ MAP-21 Subtitle A Section 1118(b) – State Freight Plans: Plan Contents

¹⁸ See 23 USC § 134(f)(2)(A) and 23 USC § 134(f)(2)(B).

any changes in transportation policy proposed in the NMTP.¹⁹ For these reasons, both the MPO/RTPO policy boards and the STC must give concurrence to the NMTP. Formal approval by FHWA-NM and FTA Region 6 is not required. However, the Bureau Chief is ultimately responsible for ensuring that both of these agencies are engaged during the plan development process and receive copies of the final approved plan for informational purposes.

Asset Management and Planning Division Planning Work Program

The Planning Work Program (PWP) identifies the planning activities the NMDOT Asset Management and Planning Division (Division) and the state's MPOs and RTPOs will accomplish during the fiscal year. As of FFY15, the NMDOT Division will submit 2-year PWPs to the FHWA-NM and FTA Region 6. The PWP is a compilation of several work programs and associated budgets from different NMDOT bureaus including Statewide Planning, Data Management, and Research as well as the Local Technical Assistance Program Work Program, the MPO Unified Planning Work Programs (UPWPs) and the RTPO Regional Work Programs (RWPs). All of these are two-year plans.

The production of the PWP and subsequent quarterly amendments is a collaborative effort between program managers, bureau chiefs, and the Division Director. Planners/Liaisons in the GTG Unit work with MPO/RTPO staff to assist them with the production of their work programs (see Appendix C [MPO] or D [RTPO] for the Work Program Review Checklist). The Division Director coordinates with the FHWA-NM Division Administrator and FTA Region 6 for document reviews and approvals. The PWP is submitted every two years (with budgets submitted annually) to FHWA-NM and FTA Region 6 in compliance with 23 CFR §§ 420.101-121 and 450.200-208 and MAP-21. This regulation requires that state DOTs develop a program that documents the work to be accomplished within each fiscal year for approval by the FHWA-NM Division Administrator and FTA Region 6 Regional Office Administrator. The FHWA-NM and FTA Region 6 submit a letter to the Division Director confirming approval of the PWP. The Bureau Chief or designee forwards this letter to the MPOs and RTPOs.

Statewide Planning Funding Sources

The NMDOT uses the following federal funding sources to accomplish its Statewide Planning Program (as outlined in the PWP):

- Metro-Planning (PL)²⁰
 - Distributed to the MPOs by agreed upon, FHWA-NM-approved formula predicated on multiple planning factors in addition to population
 - Subject to the NMDOT's annual spending authority/obligation limitation
 - Authorized for the federal fiscal year associated with the current, approved MPO Work Program
 - Local match is 14.56%, federal share is 85.44%
- State Planning and Research (SPR)²¹
 - Funds the NMDOT Statewide Planning Program (as identified in PWP)
 - Funds RTPO planning activities as identified in the Regional Work Plans (RWPs)

¹⁹ "The state transportation commission has charge of all policy matters pertaining to the expenditure of the state road fund in the construction, improvement and maintenance of state highways and bridges in the state." (67-3-14 NMSA)

²⁰ Governed by 23 USC § 104(f) – Apportionment; 23 USC § 134 – Metropolitan Transportation Planning

²¹ Governed by 23 USC § 505 – State Planning and Research; 23 USC §§ 420.101-121 – Subpart A: Administration of FHWA Planning and Research Funds; 23 USC § 420.105 – What is the FHWA's policy on use of FHWA planning and research funds?

- Funds certain eligible elements of the MPO Unified Planning Work Programs (UPWPs) if adequate funds are available
- Subject to state’s annual spending authority/obligation limitation
- Local match is 20% and federal share is 80%
- Metropolitan Transportation (FTA)²²
 - Distributed to the MPOs by agreed upon formula, FHWA-FTA approved formula predicated on multiple planning factors in addition to population
 - Subject to the NMDOT’s annual spending authority/obligation limitation
- Statewide and Nonmetropolitan Transportation Planning (FTA)²³
 - Available to NMDOT and rural transit agencies for planning purposes leading to implementation of service or to meet an FTA or State regulatory requirement for rural transit agencies
 - Subject to the NMDOT’s annual spending authority/obligation limitation
- Surface Transportation Program - Large Urban (STP-L)
 - Distributed to the MPOs by population; subject to the NMDOT district targets and fiscal constraint
 - Unspent funds are subject to the NMDOT’s annual spending authority/obligation limitation
 - Local match is 14.56%, federal share is 85.44%

Since the Federal-Aid Highway Program is a reimbursement program, and because it requires a match, the State Road Fund is used to pay expenses up-front.

SPR and PL funds are designated specifically for statewide planning and research and MPO planning, respectively, and cannot be transferred to other programs for construction projects. Per federal regulations, a minimum of 25 percent of the SPR funds must be used for research, development, and technology funds related to highway, public transportation, and intermodal transportation systems.²⁴ Therefore, the NMDOT applies the other 75 percent of SPR towards statewide planning activities, including funding the RTPOs. The federal funds require a 20-percent state match, and this match is provided by either the MPO/RTPO or the New Mexico State Road Fund. The state applies its sliding scale to the match required for PL and STP funds distributed to the MPOs (federal share is 85.44% and local match is 14.56%).

FTA Metropolitan (Section 5303) and statewide and Nonmetropolitan (Section 5304) Transportation Planning programs provide funding and procedural requirements for multimodal transportation planning in metropolitan areas and states that is cooperative, continuous, and comprehensive, resulting in long range plans and short-range programs of transportation investment priorities, Federal share is 80% with a required 20% non-federal math. MPOs in large urbanized areas designated as transportation management areas (TMAs) must include transit officials on their policy boards.²⁵

The regulatory controls on the use of Federal-Aid Highway Program

Note:

FHWA-NM approval of a report constitutes acceptance of the report as evidence of work performed, but does not imply endorsement by the FHWA-NM of a report’s findings or recommendations.

²² 49 USC § 5303 – Metropolitan Transportation Planning

²³ 49 USC § 5304 – Statewide and Nonmetropolitan Transportation Planning

²⁴ 23 CFR §420.107(a) – What is the minimum required expenditure of State planning and research funds for research development and technology transfer?

²⁵ 23 USC § 134(d)(2) – Structure

funds are too extensive to list in their entirety in this PPM. Therefore, GTG Liaison, MPO Planners, and RTPO Program Managers are all expected to know, comply with, and advise their respective entities on the Cost Principles for State, Local, and Indian Tribal Governments (2 CFR Part 200) and the Uniform Administrative Requirements for Grants and Cooperative Agreements to State, Local and Indian Tribal Governments (49 CFR Part 18).

The PWP (as well as the UPWPs and RWP) includes a budget outlining cost estimates for each planning activity or task that show federal, state, local, and other matching share. The PWP includes the MPO and RTPO work programs since the NMDOT receives the SPR funds for metropolitan and regional planning activities, and then distributes these funds to the organizations. The annual amount of SPR funding authorized to New Mexico is calculated as a 2-percent set-aside from the National Highway Performance Program (NHPP), STP, HSIP, and CMAQ apportionments. The annual amount of PL funds authorized is established as an independent program in the authorization legislation. Both SPR and PL funding apportionment amounts are reduced by the annual obligation limitation, which varies from year to year based on the funding levels of Federal Highway Trust Fund. This percentage is provided to NMDOT by the federal agencies at the beginning of the fiscal year.

All reports that document the results of activities performed with federal funds must be prepared by the NMDOT or MPOs/RTPOs (or contractors employed by them) and submitted for approval by the FHWA-NM Division Administrator prior to publication (the Division Administrator may waive the requirement for prior approval). FHWA-NM approval of a report constitutes acceptance of the report as evidence of work performed, but does not imply endorsement by the FHWA-NM of a report's findings or recommendations.

Beginning in FFY 2014, all new transit projects utilizing CMAQ and STP funds through NMDOT will be transferred to FTA for grant making purposes, and administered directly with FTA by the lead agency (NMDOT, large urban transit agency or small urban transit agency).

Planning Project Database

The Planning Project Database is similar to the STIP but it contains all planning projects for the state (which are not necessarily included in the main STIP), including:

- RTPO and MPO contracts
- Tasks listed in the Bureau PWP
- All other projects funded by SPR or PL funds

The database is updated on a quarterly basis and follows the PWP amendment cycle. Amendments can include changes to the scope of work or task description in the PWP or MPO UPWPs, changes in budget, and moving tasks between fiscal years in 2-year AWP and UPWPs.

Authorization of Funds for the PWP and Notice to Proceed Letters for MPOs and RTPOs

Upon receiving FHWA and FTA approval of the PWP, the GTG Unit works with other sections of NMDOT (Funding Control and Division Financial Section) to initiate authorization of the federal funds for the projects and programs identified in the PWP, including the MPO and RTPO work programs. The process is as follows:

1. The GTG Planner responsible for administering the Planning Project Database assigns an appropriate Control Number for each project/program and enters the information into the database. Control Numbers typically cover one year of funding except in the case of multi-year projects and for MRMPO STP-L funds which are assigned Control Numbers for two years.

2. At the request of the project manager identified in the Planning Project Database, a request is sent to NMDOT Funding Control for a final check and entry into the Federal Management Information System (FMIS). The funding request then goes to FHWA for final approval, at which time the funding is obligated. Funding Control or FHWA may request additional information from the project manager before processing or approving the forms in FMIS. This process can take several weeks.
3. The GTG Unit Supervisor or designee drafts the MPO and RTPO Notice to Proceed letters. Typically, these letters authorize the to proceed with work on the Work Program and seek reimbursement for the federal portion of the approved Work Program budget for the current federal fiscal year (i.e. October 1, 2014 through September 30, 2015). MRMPO has two federal fiscal years to spend the STP-L funds authorized.
4. The Notice to Proceed letters are submitted to NMDOT upper management for review and approval and then sent via email) to the MPOs and RTPOs.
5. The GTG Liaisons work with Division Financial Section to issue Purchase Orders (POs) for each MPO and RTPO Work Authorization/project and the POs are emailed by the GTG Liaisons to the appropriate MPO/RTPO.

The Notice to Proceed is required in order for the MPOs, and RTPOs to proceed with work activities funded by the federal State Planning and Research (SPR) Program and Metropolitan Planning (PL) funds.

PWP Amendments

All parties are bound by the approved PWP currently in effect unless Administratively or Formally Amended as described in the following bullets:

- **Administrative Amendment.** An administrative amendment to the PWP may be accomplished unilaterally by the Division if it meets the following criteria.
 1. The study or task 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), and
 2. The study or task will result in a cost change (increase or decrease) of 20% or less of the approved budgeted amount for a specific project or task; or a cost change (increase or decrease) of 3% or less for an entire, program budget (Division, IT, STIP or other NMDOT program budget).

The Division Director must notify the FHWA-NM and FTA Planners of any Administrative Amendments in writing (email will suffice). The FHWA and FTA Planners have 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.

- **Formal Amendments.** A formal amendment is required if there are substantive changes to work elements funded by the PWP, as defined by the following criteria:
 1. The new study or task will impact approved work program priorities by causing other project delivery schedules to slip by more than one month, and
 2. The study or task will result in a cost change (increase or decrease) of more than 20% of the approved budgeted amount for a specific project or task; or a cost change (increase or decrease) of more than 3% for an entire, program budget (Division, IT, STIP or other NMDOT program budget).

Formal Amendments follow the same process required for PWP Amendment submittals and may be made quarterly. The FHWA-NM, FTA Region VI or the NMDOT may initiate a request for an out-of-cycle

work program amendment based on justification provided along with the written (generally via email) request; and implement the amendment upon receiving formal approval by the FHWA-NM and NMDOT.

Schedule for Producing the Planning Work Program

The PWP process for the subsequent fiscal year typically begins in February or March with the drafting of a list of potential tasks and estimated costs. In April, the NMDOT Division bureaus begin compiling individual draft work programs and GTG Liaisons initiate communication with the MPOs/RTPOs to provide any assistance with compiling UPWPs and RWP, respectively. In July, the bureau chiefs submit the first draft of the PWP to the Division Director. After reviewing the first draft PWP with NMDOT executive management, the Division Director reviews the draft with the FHWA-NM Planner.

In compliance with federal regulations,²⁶ the NMDOT Division Director submits the final PWP and budget to the FHWA-NM Planner and FTA Region 6 office by August 1. The FHWA-NM Division Administrator has up to 30 days to review and approve the PWP. Once the PWP is formally approved by the FHWA-NM Division Administrator, the NMDOT Deputy Director signs the Notice to Proceed for distribution to the MPO/RTPOs by September 30.

The Month-by-Month Work Program Timeline (Figure 2 in Appendix B) provides information on submittal dates for work program products and other items.

Monitoring Progress on the Work Program

Departmental staff is required by federal regulations to monitor all activities performed with SPR, PL, STP and FTA funds (if used for UPWP tasks) to assure the work is managed satisfactorily within the time schedules proposed in the PWP.²⁷

Monitoring Progress on PWP. During the year, the Division Director meets with the FHWA-NM Planner on a quarterly basis to review the status of each task and report progress vis-à-vis meeting the major milestones and target dates identified in the PWP.

Monitoring Progress on the MPO/RTPO Work Programs. GTG Liaisons meet with their assigned MPOs/RTPOs on a regular basis (quarterly at a minimum) to review progress on the Work Programs including accomplishments, issues, changes, etc. that have taken place.

Quality Assurance Reviews

In addition to regular meetings between the GTG Liaisons and their assigned MPOs/RTPOs, the NMDOT will engage in a four-tiered, quality assurance review process of MPO/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 MPO/RTPO fiscal agents
2. Conduct Quality Assurance Site Review
3. Conduct Quality Assurance Site Review Follow-Up
4. Conduct Office of Inspector General Audit

Step 1 – Review Financial Audits of MPO/RTPO Fiscal Agents

MPO Planners and RTPO Planning Program Managers are required to submit copies of annual financial

²⁶ 23 CFR Part 420§§111 and 113 – Planning and Research Program Administration; and 23 CFR Part 450 – Planning Assistance and Standards

²⁷ 23 CFR §420.117(a) – What are the program monitoring and reporting requirements?

audits of their respective fiscal agent to their GTG Liaison within 30 days of approval by the MPO's/RTPO's fiscal agent.

The GTG Liaison will review the audit and report in the QAR any audit findings identifying deficiencies and/or the need for corrective action to the GTG Unit Supervisor. The GTG Unit Supervisor will bring the audit findings to the attention of the Bureau Chief and, ultimately, the Division Director, who will determine the course of action to be undertaken in addition to the GTG Liaison proceeding to conduct the annual Quality Assurance Site Review. (Current and prior audits can be reviewed at the New Mexico State Auditor's website: http://www.saonm.org/financial_audits.)

Step 2 – Conduct Quality Assurance Site Review

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

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

The GTG Liaison will first attempt to schedule the onsite visit with sufficient advance notice to ensure that all required documentation and MPO/RTPO staff are available to facilitate the review. It is incumbent upon the MPO Planner/RTPO Planning 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 MPO Planner/RTPO Planning 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, MPO Planners and RTPO Planning Program Managers are required to keep electronic and hard copy files constantly up to date, well organized, and accessible for viewing. Checklists are provided in Appendix C (MPOs) and Appendix D (RTPOs) to assist MPO and 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 MPO Planner/RTPO Planning Program Manager. If the report indicates that the proper administrative systems are in place and fully operational, no further action is required.

Step 3 – Conduct Quality Assurance Site Review Follow-Up

If the GTG Liaison's Quality Assurance Review 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 MPO Planner/RTPO Planning Program Manager to identify corrective actions (along with a timeline that includes major milestones)

- Requiring a Work Program amendment or modification to address the corrective actions, if necessary
- Conducting another Quality Assurance Site Review in 6 months or less to confirm improvements
- Proceeding to Step 4

Step 4 – Conduct 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.

Annual Performance and Expenditure Report (APER)

As documentation of the Work Program monitoring effort, the Division is required to submit an Annual Performance and Expenditure Report (APER) to the FHWA-NM within 90 days from the close of the federal fiscal year (per federal regulations)²⁸ the FHWA-NM Division Administrator can require more frequent reporting). The APER must contain the following information at a minimum:

- Comparison of actual performance with established tasks
- Progress in meeting schedules
- Status of expenditures in a format compatible with the PWP, including comparison of budgeted (approved) amounts and actual costs incurred
- Cost overruns or under-runs
- Approved work program revisions
- Other pertinent supporting data
- Report from each sub-grantee (MPO or RTPO)

In addition to the APER, the Division Director must report to the FHWA-NM Division Administrator and Planner as soon as possible regarding any events that may significantly impact the tasks listed in the PWP. Events may include problems, delays, or adverse conditions that will affect the ability of the NMDOT to attain program objectives identified in the PWP. Disclosure must be accompanied by a statement of the action taken or a request for federal assistance needed to resolve the situation.

Programs Administered by the NMDOT Planning Bureau

This subsection discusses statewide programs administered by the NMDOT Planning Bureau (Bureau).

Recreational Trails Program²⁹

The New Mexico Recreational Trails Program (RTP) is administered by the RTP Coordinator in the Government to Government (GTG) Unit. The RTP is a program of the Federal Highway Administration (FHWA) that provides funding for eligible entities to develop and maintain trails and trail-related facilities for both non-motorized and motorized uses. The RTP was previously administered by the State Parks Division of the Energy Minerals and Natural Resources Department. The Governor transferred

²⁸ 23 CFR §420.117(c) – What are the program monitoring and reporting requirements?

²⁹ 23 USC § 206 and § 213(f) and (g)

administrative responsibility to the NMDOT effective January 1, 2014. The NMDOT coordinates and consults with the state's federally-mandated, Governor-appointed Recreational Trails Advisory Board (RTAB) on issues of program administration and project selection.³⁰

Federal regulations require 40% of New Mexico's apportioned funds to be used for diverse-use projects (any combination of motorized and/or non-motorized uses), 30% for non-motorized projects, and 30% for motorized projects. An amount not to exceed 5% may be used for publications and educational programs to promote safety and environmental protection; and an amount not to exceed 7% may be used for program administration. New Mexico's estimated annual apportionment for the RTP is approximately \$1.4 million. Funds are generally awarded to entities by NMDOT on a biannual basis. The NMDOT programs two years-worth of funding in each award cycle, which allows for the phasing of infrastructure projects into preliminary engineering/design and construction phases. The application process, timeline, and other program details are outlined in the RTP Guide.

Transportation Alternatives Program

The New Mexico Transportation Alternatives Program (TAP) is administered by the TAP Coordinator in the Government to Government (GTG) Unit. TAP is a Federal-Aid program authorized through MAP-21; each state's department of transportation administers the program using its own competitive process, in accordance with the law.³¹ The NMDOT coordinates with the state's seven RTPOs and five MPOs on programming TAP funds.

The TAP-Large Urban funds are awarded directly by MRMPO and EPMPO, and NMDOT awards the TAP-Small Urban, TAP-Rural, and TAP-Flexible funds via a statewide competitive process. Funds are generally awarded to entities by NMDOT on a biannual basis. NMDOT programs two years-worth of funding in each award cycle, which allows for the phasing of infrastructure projects into preliminary engineering/design and construction phases. The application process, timeline and other information is outlined in the TAP Guide.

The NMDOT conducts a biannual review of the TAP program and process with input from the MPOs and RTPOs. The TAP Coordinator revises the TAP Guide based on this review.

Safe Routes to School Program

Under MAP-21, the former Safe Routes to School (SRTS) program is no longer funded as a standalone program. However, certain project eligibility criteria were incorporated into TAP and follow the TAP program guidelines and requirements. Projects and programs initiated and funded under SAFETEA-LU are still administered by GTG staff, subject to meeting SAFETEA-LU requirements, until those projects are completed. Construction projects within this category follow the local-lead project process where the NMDOT Local Government Agreement Unit (LGAU) oversees proposed amendments to existing agreements; the appropriate Regional Design Center assists sub-grantees with obtaining required project certifications and requesting federal fund obligation; and the appropriate District Office then oversees the reporting, invoicing, reimbursement, and final closeout of construction project agreements.

³⁰ 23 USC § 206(c)

³¹ 23 USC § 213.1122 – Reservation of funds to administer TAP

Scenic Byways Program

The Scenic Byways program is no longer funded under MAP-21. Some projects—such as turnouts, scenic overlooks, and viewing areas—are eligible for TAP funds.³² Some Scenic Byways projects funded under SAFETEA-LU remain underway. Therefore, NMDOT has a Scenic Byways Coordinator, housed in the GTG Unit of the Bureau, to oversee these projects as they move from initiation to completion, subject to meeting all applicable SAFETEA-LU regulations.

Highway Safety Improvement Program

The goal of the federally-funded Highway Safety Improvement Program (HSIP) (as authorized in MAP21) is to achieve a significant reduction in traffic fatalities and serious injuries on all public roads, including non-State-owned public roads and roads on tribal lands. The HSIP requires a data-driven, strategic approach to improving highway safety on all public roads that focuses on performance. Approximately \$22 million is available to the NMDOT per federal fiscal year. Eligible entities include NMDOT Districts, and Tribal and Local Public Agencies (T/LPAs). Application information is distributed by the NMDOT through the MPOs and RTPOs. The funds are also programmed through the MPO/RTPO planning process and distributed through Cooperative Agreements with the T/LPAs.

Congestion Mitigation and Air Quality Improvement Program – Flex

Congestion Mitigation and Air Quality (CMAQ) funding is a category of Federal Aid funding targeted to address air quality problems from mobile sources (cars, trucks, and buses). The CMAQ category is divided into two parts – mandatory funds and flexible funds. Federal references for CMAQ are found in 23 CFR, Part 450, Subpart C: Metropolitan Transportation Planning and Programming. The FHWA website provides background information (for example, *A Summary: Air Quality Programs and Provisions of the Intermodal Surface Transportation Efficiency Act of 1991*) that may be useful for public officials, staff, and interested citizens who have limited knowledge about federal transportation funding and planning. The following subsection discusses the CMAQ-Flex funding parts. CMAQ-Mandatory is discussed in more detail in the MPO section.

Flexible funds. Outside of nonattainment or maintenance areas, the NMDOT can elect to use CMAQ flexible funds on projects that are likely to reduce or mitigate air quality issues, contingent upon FHWA-NM approval. Federal regulations require all CMAQ-funded projects to demonstrate a positive quantitative or qualitative impact on air quality. Required reporting for CMAQ funds is generally more extensive than other local programs to ensure that funds are used on projects that demonstrate an ability to further the goals of the program. Examples of CMAQ projects in New Mexico include bicycle and pedestrian project components (such as sidewalks, bike lanes, and multi-use paths) and transit services and facility projects, both of which are designed to reduce vehicle miles traveled (VMT); and signal interconnect and timing projects to reduce congestion at urban intersections. In other states, CMAQ flexible funds have been used to pave unpaved roads and to conduct public awareness programs such as air-quality alert days. FHWA-NM has final approval of all projects proposed to be funded by CMAQ flexible funds. Selection and review of CMAQ-Flex projects are done conjointly by the Chief Engineer's office and Planning.

³² 23 USC § 101(29)(D) – Eligibility of Turnouts, Overlooks, and Viewing Areas as Transportation Alternatives

Tribal Liaison Program

The goal of the NMDOT Tribal Liaison Program is to promote Tribal involvement in the Statewide Planning Process. The Tribal Liaison encourages active Tribal participation in the Metropolitan Planning Organization (MPO) and Regional Transportation Planning Organization (RTPO) transportation planning processes, resulting in the inclusion of Tribal projects in the State Transportation Improvement Program (STIP). The Tribal Liaison also offers information and guidance on Tribal topics to MPOs, RTPOs, and other state and local agencies that provide services to the New Mexico Tribes. The Tribal Liaison established a strategy to accomplish this goal, including conducting monthly or quarterly meetings between NMDOT District staff and Tribal planning offices; assisting NMDOT Headquarters' and Districts' staff in communicating with the Tribes; providing support to Tribes applying for state and Federal grant funding; and directly responding to concerns from Tribal entities on cultural resource issues and/or other matters. The Tribal Liaison established key contacts for both Tribal entities and NMDOT, in order to initiate and maintain a positive working relationship between the two governments. This relationship facilitated addressing Tribal inquiries of mutual concern by conducting government-to-government meetings with top-level officials as needed to provide guidance to NMDOT on individual transportation projects and policies that affect Tribal relations.

The NMDOT Tribal Liaison, currently housed in the Government to Government Unit of the Planning and Safety Division, serves as a facilitator to provide coordination, communication, and collaboration with the Tribal Entities; New Mexico Department of Transportation; U.S. Department of Interior Bureau of Indian Affairs Department of Transportation; Federal Highway Administration; other New Mexico state agencies; MPOs; RTPOs; cities; counties and local governments in addressing specific transportation needs and concerns of the Tribal entities within their given jurisdictions.

The NMDOT Tribal Liaison is also responsible for preparing the annual State-Tribal Collaboration Act Agency Report for submittal to the Indian Affairs Department. The draft for internal review is due July 1 to the GTG Unit Supervisor. The Tribal Liaison is required to address any comments received and prepare and submit a final report to the Department of Indian Affairs, Policy Analyst, on or before August 1 of each year, with copies of the final report to NMDOT managers as directed. The Tribal Liaison will also post the report on the NMDOT website.

Bicycle-Pedestrian-Equestrian Coordinator

The Bicycle-Pedestrian-Equestrian (BPE) Coordinator is housed within the GTG Unit. The BPE Coordinator's responsibilities may include:

- Managing the BPE Technical Committee, comprised of NMDOT staff
- Mapping and gathering of data on statewide bicycle facilities
- Responding to public inquiries related to BPE facilities around the state
- Providing educational opportunities to NMDOT staff to learn about BPE facilities, laws and best practices
- Long-range BPE planning for NMDOT
- Researching new practices and trends as related to BPE transportation
- Representing New Mexico among the national bicycle / pedestrian coordinator network
- Working with various advocacy groups around the state, such as the New Mexico Healthier Weight Council, the New Mexico Bicycle Coalition, and New Mexico Bicycling Educators

The BPE Coordinator functions broadly within the NMDOT, primarily as an internal resource on bicycle, pedestrian, or equestrian issues.

Data Analysis and Special Studies Conducted by the Statewide Planning Bureau

The Planning Bureau (Bureau) is developing staff and technological capabilities to delve further into statewide modeling, data analysis, socioeconomic projections, and cost-benefit analyses to support the statewide planning program. Specific activities vary from year to year. The following sections describe the analytical services, studies, and technological enhancements currently in use or under consideration.

State Travel Demand Model

State travel demand models provide input for statewide planning activities. By using a microcomputer program, models forecasts traffic volumes on roadways with certain functional classifications based on estimated trip origins and destinations. Inputs to the models include population and urban area census data, existing/proposed geometric configurations of roadways, and socioeconomic data including housing, employment, and other trip producers and attractors.

The Bureau uses the New Mexico Statewide Travel Demand Model (NMSTDM) in PTV Visum modeling software to assist the RTPOs, MPOs, and NMDOT Districts with planning efforts, including forecasting external and through traffic for the MPOs and nine other city models within and adjacent to the state. Freight is included using a combination of the Freight Allocation Framework (FAF3) and local trip generation. The model incorporates from city and MPO travel demand models and can readily update the statewide model using local data.

The Bureau Engineering Coordinator is responsible for updating, maintaining, and performing model runs. The base year used in the NMSTDM is 2006; the model includes 2010, 2020, 2030, and 2040 networks to align with the planning horizons of the NMTP and MPO MTPs. Model runs are used to forecast passenger and freight travel demand volumes and to evaluate the impact of changes of population and employment, as well as the impacts of proposed projects. The level of detail is appropriate for statewide and rural planning, and for developing external and through traffic forecasts for the MPO and city models within New Mexico. This model is a tool used to test different growth assumptions as well as network and facility improvements. The model base year and networks are updated as needed by the Bureau Engineering Coordinator with GIS shape files from the MPOs' transportation networks, Traffic Analysis Zones (TAZs), and socioeconomic datasets. Results are distributed with the Summary Data and Reporting Tools.

The Bureau Engineering Coordinator or designee updates the NMTDSM every 4 years at a minimum. The Bureau Engineering Coordinator works with the GTG Liaisons to contact the MPOs by email requesting their latest travel demand model base year and future year networks, as well as demographics-socioeconomics, internal-external modeled boundaries, and all associated GIS shapefiles from all of the MPOs. Other data may also be requested including ridership data for the Rail Runner and NMDOT Park-and-Ride lot ridership data. One additional effort of NMDOT Planning is to integrate the latest Highway Performance Monitoring System (HPMS) traffic count data into the model update.

Highway Economic Requirements System – State Version Model

The Highway Economic Requirements System – State Version (HERS-ST) is a free engineering/economic analysis tool released by the FHWA that uses engineering standards to identify highway deficiencies, and then applies economic criteria to select the most cost-effective mix of improvements for system-wide implementation. HERS-ST is designed to evaluate the implications of alternative programs and policies on the conditions, performance, and user cost levels associated with highway systems. The model

provides cost estimates for achieving economically optimal program structures, as well as predicting system condition and user cost levels resulting from a given level of investment.³³

Although HERS-ST is a free product and can be used to apply a consistent object evaluation to a variety of projects, as well as suggest improvements and funding priorities through benefit-cost analysis, it is not as robust as other products. As such, HERS-ST has fallen out of favor with many regions and states, thus the Bureau is currently researching other options.

Socioeconomic Reporting and Projections

The NMDOT Bureau does not currently conduct in-house socioeconomic reporting or projections beyond efforts in the NMTP. NMDOT's Economist handles some forecasting and the New Mexico Economic Development Department works with a broader range of economic areas.

Geographic Information Systems

The NMDOT Geographic Information System (GIS) Division is located at the General Office and is not a part of the Planning and Safety Division. The mission of the GIS Division is to provide baseline geospatial data, mapping services, and support to NMDOT users of geospatial technology. Some of their support and mapping services includes Business Support, Programs and Infrastructure, and Highway Operations.

The Bureau uses the GIS Division's statewide database of spatial information for mapping and support services. This information includes census-defined urbanized areas and Urban Clusters; MPO, RTPO, and NMDOT boundary and transportation networks; NMDOT Statewide Planner Assigned Areas; and TAZ and travel demand modeling networks.

The final data release of each decennial census is a catalyst for a number of federally mandated planning activities that impact statewide transportation planning. The Bureau coordinates the analysis with MPOs and RTPOs to ensure that MPOs expand their Metropolitan Planning Areas to include all territory within the census urbanized areas prior to the next regularly scheduled MTP update. Additionally, the Bureau must analyze TIGER/line shapefiles released by the U.S. Census for urbanized areas and by urban cluster boundaries; integrate urban area boundaries changes into the NMDOT GIS database; and analyze, update, and coordinate TAZs with the MPOs and integrate them into the Statewide Travel Demand Model.

Traffic Counts and Safety Data

The Traffic Data Collection Section within the Data Management Bureau monitors and maintains the operation of a statewide network of 120 automatic traffic recorders (ATRs) including Automatic Vehicle Classifications (AVCs) to provide the NMDOT with traffic data required to meet the Department's needs, including compliance with FHWA requirements. The collected traffic data are used in the Highway Performance Monitoring System (HPMS) and Transportation Information Management System (TIMS) programs. The Section also collects short-term portable counts at specified locations for use in the HPMS reports, updating of the TIMS, and special studies for NMDOT personnel as requested. Short-duration count programs are conducted to provide traffic data necessary for determining traffic flow patterns, maintenance needs, and design of state and national highways.

The statewide ATR network has 120 sites distributed across the various roadway functional classifications, volume groups, and area types (urban or rural) to achieve a statistically valid

³³ FHWA Transportation Performance Management Website
<http://www.fhwa.dot.gov/infrastructure/asstmgmt/hersindex.cfm>

representation of all roadway systems. The sites have permanently installed equipment that collects traffic data on a continuous basis (24 hours per day/365 days per year) and transmits the data through phone lines to the NMDOT. The continuous counts provide a variety of useful information, such as classification, speed, and weight of vehicles on the roadways. As the mechanism to convert short-duration counts into accurate estimates of annual conditions, the continuous counts are used to formulate adjustment factors based on time-of-day, day-of-week, and seasonal travel patterns.

ATR locations are selected semi-randomly based on a number of factors: to provide the ability to measure specific trends within specific categories of roads; geographic location of the roadway; availability of power or telecommunications access; or to obtain sufficient numbers of sites within a given factor group. ATR sites are particularly susceptible to maintenance and other efforts that improve the pavement but often damage sensitive equipment without provision for replacement. Staff repairs the ATRs to keep them operational for as long as possible and to ensure accurate reporting of collected traffic data.

The Traffic Data Reporting Section processes and approves the counts. Each MPO has their own submission process, with the Mid-Region Council of Governments (MRCOG) and MVMPO submitting counts monthly, Santa Fe submitting quarterly, and Farmington submitting annually. RTPOs do not submit counts. The Traffic Data Reporting Section uploads count information to TIMS annually around March 15.

Cooperative Processes: Air Quality, Congestion Management Process, Intelligent Transportation Systems

Air Quality and Congestion Management

According to federal regulations, specifically 23 CFR § 450.320, the transportation planning process in a TMA (El Paso and Mid-Region MPOs in New Mexico) shall address congestion management through a process that provides for safe and effective integrated management and operation of the multimodal transportation system based on a cooperatively developed and implemented metropolitan-wide strategy, of new and existing transportation facilities through the use of travel demand reduction and operational management strategies.

The development of a congestion management process (CMP) should result in multimodal system performance measures and strategies that can be reflected in the MTP and the TIP, tailored to the specific needs of the area and established cooperatively by the State DOT, affected MPO, and local officials in consultation with the operators of major modes of transportation in the coverage area.

The CMP management process requires state departments of transportation and TMAs to identify congested travel corridors and adopt strategies to reduce congestion to reduce mobile source emissions and improve air quality. TMAs are required to produce and implement a Congestion Management Plan (CMP). Data is gathered on a network of corridors in the TMA Planning Area. This data identifies the sources and types of congestion experienced, as well as the locations which experience the greatest travel delays in the region. In addition to reducing congestion and its impact on air quality, benefits from Congestion Management may include improved travel times for commuters, improved incident management, enhanced public safety and security, reduced traveller delays, improved traveller information, and in general, a more efficient transportation system.

Conformity Determination Process. The MPO Policy Board, in adopting the MTP and the TIP, must certify that they conform to the MPO's CMP and any pertinent Air Quality Plans. In the case of MRMPO,

which is under a Limited Maintenance Plan for Carbon Monoxide through the year 2016, the MTP and the TIP must conform to the Transportation Conformity State Implementation Plan (SIP) and the 2006-2016 Limited Maintenance Plan for Carbon Monoxide Albuquerque-Bernalillo County. In a TMA designated as a nonattainment area for ozone or carbon monoxide, pursuant to the Clean Air Act, federal funds may not be programmed for any project that will result in a significant increase in the carrying capacity for Single Occupancy Vehicles (SOVs) unless the project is addressed through a congestion management process meeting the requirements of 23 CFR§ 450.320. The CMP shall provide an appropriate analysis of reasonable (including multimodal) travel demand reduction and operational management strategies for the corridor in which such a project is proposed to be advanced with federal funds.

Conformity analysis and determination requires interagency consultation, initiated by the MPO. The MPO relies upon data submitted by the City of Albuquerque Air Quality Division for carbon monoxide (CO) and confirms the one-hour and eight-hour design values with the Environmental Protection Agency (EPA.) The EPA confirms design values by means of a letter to FHWA-NM and FTA Region VI. The FHWA then verifies air quality status via a letter as required by the Limited Maintenance Plan for Carbon Monoxide. The MTB and TIP are approved by resolution certifying conformity, which the MPO Planner then submits to NMDOT (the GTG Liaison) for review and forwarding with recommendations to FHWA and FTA for approval. The MPO Planner also requests that the regional Air Quality Control Board (AQCB) issue a concurrence letter to FHWA regarding the transportation conformity designation. The FHWA and FTA have final authority in making Conformity Determinations. See 40 CFR Part 93 for detailed criteria and procedures regarding conformity determinations for MTPs, TIPs and individual projects.

Additional requirements pertaining to air quality and specific to TMAs include:

- The MPO shall review and update the MTP at least every four years in air quality nonattainment and maintenance areas, and
- In metropolitan areas that are in nonattainment for ozone or carbon monoxide, the MPO shall coordinate the development of the MTP and TIP with the process for developing Transportation Control Measures (TCMs) in a SIP, and
- The financial plan component of the MTP shall address the specific financial strategies required to ensure implementation of TCMs in the applicable SIP, and
- The MPO, the FHWA and the FTA must make a conformity determination on any updated or amended MTP or TIP in accordance with the Clean Air Act and the EPA transportation conformity regulations, 40 CFR part 93 (regulations allow the MPO to prepare an interim MTP as a basis for advancing projects that are eligible to proceed under a conformity lapse, see 23 CFR §450.322(I), and
- Identify TCM projects in the TIP, in sufficient detail for air quality analysis in accordance with the EPA transportation conformity regulations (40 CFR Part 93.)

CMAQ Program Implementation and Reporting. Under the *Stewardship and Oversight Agreement*, the NMDOT is responsible for determining eligibility of projects for federal Congestion Mitigation and Air Quality (CMAQ) funding according to the USDOT-FHWA Guidance Memo dated 10/31/06. FHWA-NM will provide additional review and guidance upon the State's request. The GTG Unit Supervisor is responsible for ensuring that staff is trained on, and has access to the FHWA CMAQ System database via the User Profile and Access Control System (UPACS) in order to enter CMAQ Funds reporting for the state by March 17th of each year (the NMDOT internal deadline is March 1). MRMPO has access to UPACS/CMAQ System reporting portal and enters its regional data independently of NMDOT. NMDOT verifies MPO data prior to FHWA-NM review.

Intelligent Transportation Systems

Pursuant to the *Stewardship and Oversight Agreement*, the NMDOT and FHWA have established an ITS Steering Committee to advise the ITS Bureau of NMDOT. The NMDOT is required to maintain and update a Statewide ITS Architecture Plan in compliance with Title 23 CFR § 940 with concurrence by FHWA. MPOs are required by the same federal regulation to incorporate plans to deploy Intelligent Transportation Systems (ITS) in their MTPs and TIPS to improve transportation safety and mobility in coordination with the statewide deployment of ITS by the NMDOT.

Statewide Planning Bureau/Government to Government Unit

Summary of Work Products

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

Monthly Checklist

- ☐ Record hours worked per task identified in Planning Work Program
- ☐ Coordinate with MPOs/RTPOs
- ☐ Coordinate with Data Management on publication of traffic count data, annual traffic flow maps, motor fuel data, and vehicle classification data on NMRoads website

Quarterly Checklist

- ☐ GTG Liaisons meet with their assigned MPO/RTPO to discuss progress on the Work Program
- ☐ As needed, compile and submit Planning Work Program quarterly amendments to FHWA-NM/FTA Region 6 for approval
- ☐ Review/approve MPO/RTPO Reimbursement Packets (quarterly reports and invoices) and communicate approval/revisions
- ☐ Review/approve MPO Unified Planning Work Program quarterly amendments
- ☐ Review/approve RTPO Regional Work Program quarterly amendments
- ☐ Participate in quarterly MPO/RTPO meetings

Annual Checklist

- ☐ Request obligation of Planning funds (may also happen on quarterly basis)
- ☐ Prepare and distribute Notice to Proceed to MPO/RTPOs (may also happen on quarterly basis)
- ☐ Conduct Quality Assurance Reviews
- ☐ Close out MPO/RTPO Notice to Proceed/projects
- ☐ Review Annual Performance and Expenditure Reports from MPOs/RTPOs
- ☐ Review Annual Lists of Obligated Projects from MPOs
- ☐ Participate in annual joint meetings with MPOs/RTPOs (may occur more than once a year)
- ☐ Division Director submits annual Stewardship and Oversight Agreement report to FHWA-NM for approval
- ☐ Tribal Liaison submits annual State-Tribal Collaboration Act Agency Report to Indian Affairs Department
- ☐ CMAQ Reporting (MRMPO does their own; GTG assists EPMPO with theirs)

Every 2 Years

- ☐ Prepare draft Planning Work Program and discuss with FHWA-NM, MPOs, and RTPOs
- ☐ Compile and submit final Planning Work Program to FHWA-NM for approval
- ☐ Prepare and compile Year 2 budgets for second year of Planning Work Programs and submit to FHWA-NM for approval
- ☐ Assist MPO/RTPOs with Unified Planning /Regional Work Programs
- ☐ Close out MRMPO STP-L projects

Every 4 Years

- ☐ Review and update as necessary the Public Involvement Plan (at a minimum, in conjunction with update of NMTP and/or when new federal transportation legislation is enacted); submit to FHWA-NM and FTA Region 6 for informational purposes
- ☐ Prepare and submit New Mexico Transportation Plan to FHWA-NM and FTA Region 6 for informational purposes

- ☐ Review Metropolitan Transportation Plan (MTP) updates; submit to FHWA-NM and Governor for informational purposes
- ☐ Review/approve Regional Transportation Plan (RTP) updates; submit to FHWA-NM and FTA Region 6 for informational purposes
- ☐ Review and update as necessary Memorandums of Agreement with MPOs/RTPOs; provide FHWA-NM the opportunity to review and comment prior to finalization
- ☐ Participate with FHWA-NM/FTA Region 6 in Federal Certification process of MPOs/RTPOs
- ☐ Update Statewide Travel Demand Model

Every 5 Years

- ☐ Solicit comments from non-metropolitan local officials and other interested parties (for at least a 60-day period) regarding effectiveness of non-metropolitan local officials consultation procedure; submit documentation to FHWA-NM and FTA Region 6 for informational purposes
- ☐ Solicit comments from tribal governments, Secretary of the Interior, and other interested parties (for at least a 60-day period) regarding effectiveness of the tribal government and Secretary of the Interior consultation procedure; submit documentation to FHWA-NM and FTA Region 6 for informational purposes

Every 10 Years

- ☐ Conduct state-wide functional classification evaluation and update (next one due 2015)
- ☐ Compile functional classification changes to reflect new road construction or significant changes in development and/or travel patterns
- ☐ Oversee, review, and approve urbanized area boundary “smoothing” adjustments for MPOs that elect to make changes following each Decennial Census, submit to Governor for approval, to FHWA-NM for concurrence
- ☐ Update Statewide Travel Demand Model (urbanized area boundaries, functional classification, traffic analysis zones, population, National Highway System)
- ☐ Review and revise Planning Distribution formulas with MPOs and FHWA-NM/FTA Region 6, submit to FHWA-NM and FTA Region 6 for approval
- ☐ Work with FHWA-NM to identify new transportation management areas

As Needed

- ☐ Participate in the update of the NMDOT Title VI Plan
- ☐ Compile functional classification changes
- ☐ Review MPO Planning Area boundary changes, submit to Governor for approval, FHWA-NM for informational purposes
- ☐ Prepare and distribute letters to MPOs/RTPOs about new Cabinet secretary
- ☐ Prepare and distribute letters to MPOs/RTPOs about new Transportation Commission members
- ☐ Review and update as necessary Memorandums of Agreement with MPOs/RTPOs (after new Federal transportation legislation is passed)
- ☐ Review and update the Planning Procedures Manual; maintain current version on NMDOT website
- ☐ Update Stewardship and Oversight Agreement with FHWA-NM
- ☐ Prepare documentation for FHWA-NM- and FTA Region 6-initiated audits and risk assessments for approval by FHWA-NM and FTA Region 6
- ☐ Conduct project closeouts as needed

Archiving Requirements

Archiving is the process of accumulating and storing documents that record the function and work products of the NMDOT, MPOs, and RTPOs. New Mexico state law regarding archiving and record keeping requirements is more stringent than federal law; therefore, the following state laws apply.

New Mexico Administrative Code (NMAC)	Name/Description
1.18.805.24	Federal Planning Reports
A	Program: planning
B	Maintenance system: chronological by calendar year, then by date created
C	Description: reports containing various federally mandated interstate and roadway information. Reports are output from TRADAS, 1.18.805.23 NMAC and accident records citation system, 1.18.805.232 NMAC, 1.18.805.16 NMAC. Some of these reports may include highway performance monitoring system report, monthly volume summary at continuous counter sites reports, monthly and quarterly speed schedule audit reports, federal speed compliance monthly and quarterly speed summaries, etc.
D	Retention: 10 years after close of calendar year in which created
1.18.805.31	Federal and State Apportionments Reports Files
A	Program: planning
B	Maintenance system: chronological by federal fiscal year
C	Description: reports concerning obligated federal and state funds for various highway-related projects (that is, construction, planning programs, feasibility studies, consultants, etc.). Files may include reports from the federal highway administration, departmental staff reports, correspondence, etc.
D	Retention: 5 years after end of federal fiscal year in which created
1.15.2.114	Manuals of Procedures
A	Program: administrative records
B	Maintenance system: agency preference
C	Description: manuals of procedure prepared and published by state agencies for the guidance of public officers and employees engaged in operations required for the efficient operation of state and local government, including but not limited to acquiring space, budgeting, accounting, purchasing, contracting, vouchering, printing, appointment and dismissal of employees, record maintenance, etc.
D	Retention: until superseded by new manual of procedure

New Mexico Administrative Code (NMAC)	Name/Description
1.15.2.117	Reports
A	Program: administrative records
B	Maintenance system: agency preference
C	Description: [RESERVED]
D	Retention (1) annual, biennial or other periodic reports required by Article V, Section 9 N.M. Constitution or by specific statute: permanent (2) routine, interim or progress reports: 2 years after close of fiscal year in which created
1.15.2.151	Feasibility Studies
A	Program: administrative
B	Maintenance system: agency preference
C	Description: studies requested/conducted prior to the acquisition, installation, implementation and/or purchase of new technologies, equipment, properties, projects, etc. [Studies may be incorporated into other files (that is, project files)].
D	Retention: (1) studies requested or conducted by agency: 5 years after completion or cancellation of study (2) courtesy copies received by agency: until informational value ends
1.15.2.307	Publications
A	Program: public relations
B	Maintenance system: chronological by publication date
C	Description: printed work regardless of format or method of reproduction published by any state agency or political subdivision for distribution and that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency; and is publicly distributed outside the agency by or for the agency.
D	Retention: (1) Publications filed with the state library per Section 18-2-4.1 NMSA 1978: (a) Agency's copy: until superseded or until information no longer needed for reference (b) State library's copy: permanent

New Mexico Administrative Code (NMAC)	Name/Description
	(c) State archive's copy: permanent (2) All other publications: transfer to archives for review and final disposition
1.15.4.208	Revenue Contracts and Grants
A	Program: revenue records
B	Maintenance system: [RESERVED]
C	Description: contracts and grants for the receipt of monies by the New Mexico state government from other sources includes, but is not limited to, block grants, negotiated grants, federal agency grants, etc. Where there is required reporting of expenditures to a federal agency, retain records for 6 years after termination of grant/contract or retain records for 5 years after submission of final expenditure report, whichever is longer.
D	Retention: 6 years after termination of contract
1.15.4.307	Contract/Agreement Files
A	Program: expenditure records
B	Maintenance system: [RESERVED]
C	Description: records concerning contracts let through bid by the state purchasing division, technical/professional service contracts, lease/rental contracts, agreements, etc. File may include contract/agreement, bid information, contract/agreement specifications, correspondence memoranda, etc.
D	Retention: 6 years after termination of contract/agreement

Metropolitan Planning Organizations

This section of the NMDOT Planning Procedures Manual (PPM) discusses the Metropolitan Planning Organizations (MPOs) in New Mexico and their participation in the required continuing, cooperative and comprehensive statewide planning process that results in plans and programs consistent with federal and state requirements.³⁴

Metropolitan Planning Organization Structure in New Mexico

Metropolitan transportation planning is governed by 23 USC § 134. The Metropolitan Planning Organizations (MPOs) are federally mandated, state-designated (by agreement between the Governor and local governments representative of at least 75 percent of the affected population) in metropolitan areas with a population over 50,000 people.³⁵ The five New Mexico MPOs (see map in Appendix A) are as follows:

- El Paso MPO (EPMPO)
- Farmington MPO (FMPO)
- Mesilla Valley MPO (MVMPO)
- Mid-Region MPO (MRMPO)
- Santa Fe MPO (SFMPO)

EPMPO operates under a Joint Powers Agreement with the Texas Department of Transportation (TxDOT). The NMDOT contracts with EPMPO for transportation planning in southern Doña Ana and Otero counties. This area includes the cities of Sunland Park and Anthony and the communities of Chaparral and Santa Teresa, all within New Mexico.

EPMPO and MRMPO are designated Transportation Management Areas (TMAs) by virtue of having populations greater than 200,000 people in the US Census Bureau defined urbanized area. The two TMAs receive Federal Surface Transportation Program-Large Urban (STP-L) funds and, as a result of being classified as a nonattainment and/or maintenance TMAs for certain air pollutants, they also receive Congestion Mitigation and Air Quality Improvement Program (CMAQ) funding allocated by formula for their metropolitan areas. The three smaller MPOs (populations less than 200,000 people) are not allocated federal funds directly and, therefore, work with the NMDOT Districts to obtain federal funds for projects in their metropolitan areas.

Under current practice, the NMDOT establishes a 4- to 6-year Memorandum of Agreement (MOA) with an entity such as a Council of Government (COG), city, or the MPO itself to act as fiscal agent and administer the MPO. The MOA term is generally set to match that of the federal transportation authorization act in effect. The MOA identifies the respective roles and responsibilities of the fiscal agent, MPO and the NMDOT. The NMDOT and MPOs collaborate to continually refine and update an agreed-upon, standard Unified Planning Work Program (UPWP) format and funding distribution formula to establish the annual planning budget that the MPOs use for programming their activities.

³⁴ 23 USC § 134 – Metropolitan Transportation Planning; 23 USC § 135 – Statewide Transportation Planning; 23 CFR Part 450 – Planning Assistance and Standards; 49 CFR Part 613 – Planning Assistance and Standards

³⁵ 23 USC § 134(d)(1) – Designation of Metropolitan Planning Organizations

Communication Protocol

The NMDOT Government to Government (GTG) Unit in the Planning Bureau (Bureau) of the Asset Management and Planning Division (Division) maintains liaison staff assignments with all of the MPOs in the State.³⁶ MPO planners 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.

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.³⁷ Therefore, MPO 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 FHWA-NM.

Internal Structure

Each of the MPOs in New Mexico has its own organizational structure based on its regional context; however, all of the MPOs share the same structural elements. 23 USC § 134 (as updated by MAP-21) establishes the following minimum governance/structural requirements for MPOs:

- Policy Board membership³⁸ inclusive of local elected officials and appropriate state and local officials. Policy Boards for MPOs serving an area designated as a Transportation Management Area (MRMPO and EPMPO), must also include officials of public agencies that administer or operate major modes of transportations.
- Metropolitan Planning Area (MPA) boundaries determined by agreement between the MPO and the Governor³⁹, at a minimum, encompass the existing urbanized area and the contiguous area expected to become urbanized within the 20-year forecast period for the Metropolitan Transportation Plan (MTP). Boundaries may encompass the entire metropolitan statistical area or consolidated metropolitan statistical areas, as defined by the U.S. Census (subject to urban area boundary smoothing process).⁴⁰ MPA boundaries must be reviewed after each Census and updated, if necessary.⁴¹

The members and staff establish the details of these structural elements, which generally include the following items. MPOs 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 MPO website. Therefore, all of the following documents can be found on the MPO websites.

Joint Powers Agreement

Each MPO negotiates and executes a Joint Powers Agreement (JPA) among its members and with the State of New Mexico for a specified length of time. JPAs must reflect current federal law and state requirements. Thus, MPOs are required to review and update the JPA when new federal transportation

³⁶ Refer to NMDOT website for current MPO/RTPO Contact List

³⁷ Refer to NMDOT website for current Stewardship and Oversight Agreement with FHWA-NM

³⁸ 23 USC 134(d)(2) – Structure of MPOs

³⁹ 23 USC 134((b)(1)

⁴⁰ See 23 USC § 134(d)(5) – Redesignation Procedures, regarding urban area boundary smoothing process

⁴¹ 23 CFR 450.312 Metropolitan Planning Area Boundaries

legislation is passed by Congress. Other triggers for review include formation of a new member agency within the MPO jurisdiction and during the self-certification process. In New Mexico, JPAs must be reviewed, approved and signed by the New Mexico Department of Finance and Administration (DFA) prior to implementation. A Memorandum of Agreement may be used as long as it contains all the necessary elements outlined in the PPM and state and federal regulations. The JPAs recognize that the MPOs and the NMDOT will conduct transportation planning for the area in a cooperative manner. In general, the JPAs spell out the terms of intergovernmental cooperation in the MPO and the member governments' understanding of the role of the MPO and its staff in transportation planning. The JPAs also outline the financial structure of the MPO and each member's fiscal contribution to the MPO. Per direction from FHWA-NM, tribal entities are not required by federal regulations to contribute to an MPO's match requirement (for Metropolitan Planning or 5303 funds); however, this can be negotiated in the JPA. Currently, NMDOT contributes only to the EPMPO match requirement.

Bylaws

MPOs are required to maintain Bylaws that define the on-going operational structure of the MPO and establish the interrelationships between the MPO, member organizations and the JPA. Triggers for review of the Bylaws include implementation of new federal legislation and/or formation of a new member agency within the MPO jurisdiction.

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

- **Membership:**⁴² The Membership section defines the member entities and their representation on the Policy Boards/Committees (each MPO has either a Policy Board or a Policy Committee thus these terms are used interchangeable throughout this section) and Technical Committees. Official membership on Policy Boards/Committees shall include local elected officials; officials of public agencies that administer or operate major modes of transportation in the metropolitan area, including representation by providers of public transportation; and appropriate state officials, including representation by NMDOT.⁴³ Membership can also include representation from school districts, law enforcement, and others; these representatives are considered affiliated advisory (nonvoting) members in some MPOs. Alternates are appointed per MPO Bylaws.
- **Member Policy Training:** The Bylaws shall 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. Detailed training plans shall be included in the Unified Planning Work Program (UPWP).
- **Policy and Decision-Making:** The Policy and Decision-Making section establishes the process for how policy is determined and decisions made within the conduct of MPO business. There is a range of structure throughout New Mexico's MPOs from a very formal (e.g., Robert's Rules of Order) to a less formal operational style. All MPOs use motions, seconds, and a call for votes for their action items.
- **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.

⁴² MVMPO outlines membership structure in the JPA.

⁴³ 23 USC § 134(d)(2) – Structure

- **Officers:** The Officers section includes lists the officer positions for the MPO committees and how they are to be selected. The section also includes when officers are to be elected.
- **Policy Board Structure and Function:** This Board is required by statute⁴⁴ and is the decision making authority of the MPO. The Policy Board membership must include elected representatives (councilors, commissioners, mayors, tribal officials, etc.) of the member governments and alternates.
- **Role of Policy /Board Committee Chair:** This section explains the role and responsibilities of the Policy Board/Committee Chair.
- **Committee Structure and Function:** This section lists the various committees and explains their function. Each MPO has its own name for its various committees. The general committee structure is:
 - *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.
 - *Standing Committees* – these committees are determined by the individual MPO; for example, several MPOs have *Bicycle and Pedestrian Advisory Committees* which meet at specified intervals.
- **Staff Structure and Function:** This section outlines the structure of the MPO and the role of the planner(s), officer and other staff and responsibilities. All MPOs have the equivalent of an MPO Officer, though the titles may vary. This officer is empowered to enter into contractual agreements and has operational financial authority with regard to the MPO. The MPO Officer acts at the direction of and on behalf of the *Policy Committee*. At minimum, the MPO Officer provides oversight and direction to MPO staff, and may take an active role in the on-going functions of the MPO. All New Mexico MPOs have planning staff, again with varying titles. The MPO Bylaws spell out the relationships of staff to the committee structure and to the work required.
- The bylaws should also address:
 - Membership Agreements, Voting and Nonvoting
 - Regular Committee Meeting Schedule
 - Compliance with New Mexico Open Meetings Act
 - Role of COG/EDD as Fiscal Agent and role of COG/EDD Executive Director

Note

MPOs are required to maintain, in an organized fashion, all applicable records as outlined in the various sections of this chapter (*Work Products and Submittal Process, NMDOT Agreements, Authorizations and Responsibilities to the MPOs*) and make those records accessible and available to NMDOT when requested.

MPO Bylaws are posted on the MPO websites.

⁴⁴ 23 USC § 134(d)(2)(B) – officials of public agencies that administer or operate major modes of transportation in the metropolitan area, including representation by providers of public transportation

Responsibilities

The role and responsibilities of MPOs as updated by MAP-21 are identified in 23 USC § 134. The general requirements of MPOs are to:⁴⁵

- Develop and maintain a Long Range Plan (a.k.a. “Metropolitan Transportation Plan” [MTP] and Transportation Improvement Program [TIP]) through a performance-driven outcome-based approach to planning that:
 - Provides for the development and integrated management and operation of transportation systems and facilities (including accessible pedestrian walkways and bicycle transportation facilities) that will function as an intermodal transportation system for the metropolitan planning area, for the state, and for the United States.
 - Provides for consideration of all modes of transportation in a continuing, cooperative, and comprehensive manner (refer to Glossary). The Secretary of the U.S. Department of Transportation (USDOT) and the NMDOT encourage MPOs to consult with officials responsible for other types of planning activities that are affected by transportation in the area, to coordinate its planning process to the maximum extent practicable with such planning activities, and give due consideration to said planning activities.
 - Provide for the design and delivery of transportation services provided by (a) recipients of assistance under Title 49 USC Chapter 53 (Public Transportation); (b) governmental agencies and nonprofit organizations that receive Federal assistance from a source other than the NMDOT to provide nonemergency transportation services; and (c) recipients of assistance under 23 USC § 204 (Federal Lands Highways Program).
- Conduct a planning process that provides for consideration of projects and strategies that address the following eight planning factors:
 1. Support the economic vitality of the area, especially by enabling global competitiveness, productivity and efficiency
 2. Increase the safety of the transportation system for motorized and nonmotorized users
 3. Increase the security of the transportation system for motorized and nonmotorized users
 4. Increase the accessibility and mobility of people and freight
 5. Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and state and local planned growth and economic development patterns (as established by the NMDOT in the current New Mexico Transportation Plan)
 6. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight
 7. Promote efficient system management and operation
 8. Emphasize the preservation of the existing transportation system

⁴⁵ 23 USC § 134(c) – General Requirements

MPOs operating within a Transportation Management Area (TMA) (an urbanized area with population over 200,000) have additional responsibilities to:⁴⁶

1. Include transit operators on the Policy Board⁴⁷
2. Address traffic congestion through effective management and operation of new and existing transportation facilities using travel demand reduction and operational management strategies⁴⁸
3. Select federally funded projects in consultation with the state and affected public transportation operators with the exception that the state selects projects carried out on the National Highway System (NHS), under the Bridge Program, or through the Interstate Maintenance program in cooperation with the MPO⁴⁹

MPOs are required to maintain, in an organized fashion, all applicable records as outlined in the various sections of this chapter (*Work Products and Submittal Process, NMDOT Agreements, Authorizations and Responsibilities to the MPOs*) and make those records accessible and available to NMDOT when requested.

MPOs are also expected to participate in the following:

- **Quarterly Meetings:** The MPOs and NMDOT meet on a quarterly basis. Agenda items typically include updates from the NMDOT Bureau (such as current projects, guidance on reporting, and how to access technical assistance), as well as reports from the MPOs. The host MPO is responsible for arranging the meeting location, working with the NMDOT Bureau to develop the agenda, distributing meeting information by email to all contacts and working with Bureau staff to write and distribute meeting notes.
- **Annual Meeting:** The NMDOT Bureau will organize and host an annual joint meeting between the staff of the Bureau, MPOs, and RTPOs, as well as other NMDOT and FHWA-NM personnel. The MPO's staff are expected to attend these meetings and contribute to the development of the agenda.

Required Work Products and Submittal Process

In general, MPO required work products are established by the Code of Federal Regulations and/or required by NMDOT, and identified in the UPWP. Production of the work products commences once the UPWP is approved by both the NMDOT and FHWA-NM and the specified timeframe begins. The MPOs are responsible for delivering several work products, including:

1. Metropolitan Transportation Plan (MTP) (TMAs every 4 years/non-TMA MPOs every 5 years)
 - a. Air Quality Conformity Analysis & Determination (in nonattainment and maintenance areas)
2. Public Participation Plan (PPP) (minimum every 4 years, in conjunction with MTP)
3. Title VI Plan⁵⁰ (every 4 years)
4. Transportation System Performance Measures and Targets (as MAP-21 guidance is issued)
5. Unified Planning Work Program (UPWP) (every 2 years starting FFY2015) and Budget

⁴⁶ 23 USC § 134(k)(1) – Identification and Designation

⁴⁷ 23 USC § 134(k)(2) – Transportation Plans

⁴⁸ 23 USC § 134(k)(3) – Congestion Management Process

⁴⁹ 23 USC § 134 (k)(4) – Selection of Projects

⁵⁰ EPMPO Title VI Plan is part of PPP

6. Cost Allocation and if applicable, Indirect Cost Plans (every 2 years with UPWP)
7. Transportation Improvement Program (TIP)
8. Traffic counts every 2 years and count data at least annually (meet with NMDOT to update traffic count locations and schedule at least once every two years; traffic counts are taken on a three-year rotating basis per the annual submittal requirements)⁵¹
 - a. Traffic flow maps (annual updates)
9. Annual Listing of Obligated Projects
10. Annual Performance and Expenditure Report (APER)
11. Freight Program Assessment (MPOs reviewed on odd years, the state is reviewed on even years)
12. Reimbursement Packets (Cover Letters, Quarterly Reports and Invoices)
13. U.S. Census-related
 - a. “Smoothed” urbanized area boundary map
 - b. Roadway functional classification map
 - c. MPA boundary reviews
14. TMA requirements
 - a. Congestion Management Process
 - b. FHWA-NM certification review documentation (4-year)
 - c. Federal Transit Administration (FTA) Region 6 certification review documentation (3-year)
15. Participate in Quality Assurance Reviews (annual)

Most work products require review by the NMDOT Bureau for approval and concurrence that planning activities and fund expenditures comply with federal regulations and the UPWP. Table 3 summarizes the submittal and review process and schedule for the various MPO work products, except for the TMA certification reviews which are organized and conducted by FHWA and FTA. All work products should be submitted to the GTG Liaison unless otherwise specified. The following subsections discuss the work products and any specific submittal and review requirements in addition to those outlined in Table 3. Appendix C contains boilerplates for some of these work products and/or NMDOT forms associated with these items. Figure 1 in Appendix B shows the activities that the Bureau, MPOs, RTPs, FHWA-NM, and FTA Region 6 participate in monthly, as part of the comprehensive, cooperative, and coordinated planning process in New Mexico.

For relevant FTA-funded metropolitan planning programs (Section 5303), the NMDOT Transit and Rail Division requires that UPWP work products be submitted directly to the Transit and Rail Division’s Program Manager for review (see Table 3). For relevant FTA-funded statewide and non-metropolitan planning programs (Section 5304), the NMDOT Transit and Rail Division requires that deliverables follow the scope of work included in the MOA and all FTA-consistent terms of the MOA are met.

⁵¹ EPMPPO does not receive funds from the NMDOT for conducting traffic counts in the New Mexico areas.

TABLE 3
Summary of MPO Work Product Reviews and Submittals

MPO 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 (MPO/NMDOT)	Submittal Review and Approval Process (NMDOT/Governor, FHWA-NM, FTA Region 6)
Metropolitan Transportation Plan							
	4 years for TMAs; 5 years for non-TMA MPOs	GTG Planning Liaison and MPO agree upon a schedule for drafting and reviewing versions of the Plan. Final Plan due on or before September 30 (proposed but may be revised).	MPO Planner	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_WorkProduct_version.ext Examples: 2014_0530_SFMPPO_MTP_Draft1.docx 2014_0930_SFMPPO_MTP_Final.docx	1. MPO Planner works with GTG Liaison to review drafts and incorporate comments according to the outlined schedule. 2. MPO Policy Board formally approves final Plan and any subsequent amendments. 3. MPO Planner submits approved MTP and amendments to GTG Liaison. 4. The GTG Liaison follows internal protocol to submit the approved MTP and amendments to Governor, FHWA-NM, and FTA Region 6 for informational purposes, and for review of conformity with air quality and planning process. 5. Results of FHWA-NM and FTA Region 6 review are provided via email. 6. MPO makes revisions as necessary and internal protocol is followed to resubmit to Governor, FHWA-NM, and FTA Region 6. 7. MPO staff post approved MTP and amendments on MPO website.	1. FHWA-NM and FTA Region 6 provide determination of conformity in writing to Division Director. 2. FHWA-NM and FTA Region 6 provide determination of conformity for revised MTP in writing to Division Director, if necessary.
Public Participation Plan							
	4 years in conjunction with MTP; updated as necessary based on federal regulations or public input.	GTG Planning Liaison and MPO agree upon a schedule for drafting and reviewing versions of the Plan. Final Plan due on or before September 30 (proposed but may be revised).	MPO Planner	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_WorkProduct_version.ext Examples: 2014_0530_MRMPO_PPP_Draft1.docx 2014_0930_MRMPO_PPP_Final.docx	1. MPO Planner works with 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. MPO issues draft PPP or revisions for a 45-day public comment period and posts on MPO website. 3. MPO Policy Board formally approves the revised or new PPP. 4. The MPO Planner submits the approved PPP to the GTG Liaison. 5. The GTG Liaison follows internal protocol to submit the approved PPP to FHWA-NM and FTA Region 6 for informational purposes. 6. MPO staff post the approved PPP on the MPO website.	None – PPP provided for informational purposes only.

TABLE 3
Summary of MPO Work Product Reviews and Submittals

MPO 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 (MPO/NMDOT)	Submittal Review and Approval Process (NMDOT/Governor, FHWA-NM, FTA Region 6)
Title VI Plan							
	4 years in conjunction with MTP; updated as necessary when new federal legislation is adopted.	GTG Planning Liaison and MPO agree upon a schedule for drafting and reviewing versions of the Plan. Final Plan due on or before September 30 (proposed but may be revised).	MPO Planner	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_WorkProduct_version.ext Examples: 2014_0530_MVMPO_TitleVI_Draft1.docx 2014_0930_MVMPO_TitleVI_Final.docx	1.MPO Planner works with GTG Liaison 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. MPO issues draft Title VI Plan or revisions for a 45-day public comment period and posts on MPO website. 3. The MPO Policy Board formally approves the revised or new Title VI Plan. 4. MPO Planner submits the approved Title VI Plan to the GTG Liaison. 5. GTG Liaison follows internal protocol to submit the approved Title VI Plan to FHWA-NM and FTA Region 6 for informational purposes. 6. Results of FTA Region 6 review are provided via email. 7. MPO makes revisions as necessary and GTG Liaison follows internal protocol to resubmit to Governor, FHWA-NM, and FTA Region 6. 8. MPO staff post the approved Title VI Plan on the MPO website.	1. FTA Region 6 provides review comments and/or Title VI Plan approval in writing to Division Director. 2. FTA Region 6 provides determination of conformity for revised Title VI Plan in writing to Division Director, if necessary. Title VI Plan provided to Governor and FHWA-NM for informational purposes only.
Transportation System Performance Measures and Targets							
Guidance forthcoming							
Unified Planning Work Program and Budget							
Draft Program	2 years	Coordination schedule to develop program is detailed in Month-by-Month Work Program Timeline. Draft due on or before April 30 in even-numbered FFYs.	MPO Planner	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_MVMPO_FFY15UPWP_Draft2.docx	Submittal and review process is detailed in Month-by-Month Work Program Timeline.	None
Final Program	2 years	Coordination schedule to develop program is detailed in Month-by-Month Work Program Timeline. Final due on or before July 1 in even-numbered FFYs.	MPO Planner	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_0930_FMPO_FFY15UPWP_Final.docx	Submittal and review process is detailed in Month-by-Month Work Program Timeline.	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.

TABLE 3
Summary of MPO Work Product Reviews and Submittals

MPO 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 (MPO/NMDOT)	Submittal Review and Approval Process (NMDOT/Governor, FHWA-NM, FTA Region 6)
Amendments - Formal	Quarterly; FHWA-NM, NMDOT, or an MPO may initiate a request for an out-of-cycle work program amendment based on justification provided along with the written (generally via email) request; and upon receiving approval by FHWA-NM and NMDOT.	March 15 June 15 September 15 (in odd-numbered FFYs) December 15	MPO Planner	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	Submittal and review process is detailed in Month-by-Month Work Program Timeline.	1. FHWA-NM and FTA Region 6 provide review comments and / or determination of acceptance in writing for UPWP quarterly amendment to Division Director. 2. FHWA-NM and FTA Region 6 provide determination of acceptance in writing to Division Director, if necessary.
Amendments - Administrative	As needed	As needed	MPO Planner	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	1. MPO Planner submits proposed administrative amendment and summary to GTG Liaison for consideration. 2. GTG Liaison reviews and responds within 10 calendar days. 3. If GTG Liaison determines that proposed amendment meets requirements, Liaison notifies MPO Planner that amendment is approved.	None
Cost Allocation Plan and Indirect Cost Agreement							
	Annual	Plan is submitted with UPWP. Schedule for drafting and reviewing versions of the Plan coincides with coordination schedule shown in the Month-by-Month Work Program Timeline. Final due on or before July 1.	MPO Planner	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 2014_0701_FMPO_FFY15CAPICA_Final.docx	Submittal and review process is detailed in Month-by-Month Work Program Timeline.	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 Plan in writing to Division Director, if necessary.

TABLE 3
Summary of MPO Work Product Reviews and Submittals

MPO 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 (MPO/NMDOT)	Submittal Review and Approval Process (NMDOT/Governor, FHWA-NM, FTA Region 6)
Transportation Improvement Program							
Final Program	4 years	Final Program is developed in conjunction with Metropolitan Transportation Plan. Final Plan due on or before September 30 (proposed but may be revised).	MPO Planner	STIP Coordinator	Refer to the State/Transportation Improvement Program Procedures Manual posted on the NMDOT website.	1. MPO Policy Board approves TIP after public comments are incorporated. 2. STIP Unit concurs that listed projects all meet federal eligibility requirements. 3. STIP Coordinator submits TIP to State Transportation Commission for informational purposes only. 4. Public comment is solicited and revisions made by MPO as necessary. 5. MPO Planner submits TIP to STIP Coordinator.	1. STIP Coordinator submits TIP to Governor for approval. 2. STIP Coordinator submits Governor-approved TIP to FHWA-NM and FTA Region 6 for approval.
Amendments	Quarterly	February 1 May 1 August 1 November 1	MPO Planner	Districts & STIP Coordinator	Refer to the State/Transportation Improvement Program Procedures Manual posted on the NMDOT website.	1. MPO Policy Board approves TIP Amendment after public comments are incorporated. 2. STIP Unit concurs that listed projects all meet federal eligibility requirements. 3. STIP Coordinator submits TIP Amendment to State Transportation Commission for informational purposes only. 4. Public comment is solicited and revisions made by MPO as necessary. 5. MPO Planner submits TIP Amendment to STIP Coordinator.	1. STIP Coordinator submits TIP Amendment to Governor for approval. 2. STIP Coordinator submits Governor-approved TIP Amendment to FHWA-NM and FTA Region 6 for approval.
TIP Project submission	Annual	April 1	MPO Planner	Districts	Refer to the State/Transportation Improvement Program Procedures Manual posted on the NMDOT website.	Refer to the State/Transportation Improvement Program Procedures Manual posted on the NMDOT website.	Refer to the State/Transportation Improvement Program Procedures Manual Procedures I posted on the NMDOT website.
Traffic Counts							
Count data	3 years		MPO Planner	Traffic Data Collection Section Manager		1. MPO Planner submits system-wide traffic count data to NMDOT contact. 2. Traffic Data Collection Section Manager notifies MPO Planner if the TRADAS database rejects counts. 3. MPO and NMDOT meet to resolve technical issues. 4. MPO resubmits counts or NMDOT updates the road network supporting the TRADAS database.	None
Traffic flow maps	Annual		MPO Planner			MPO posts traffic flow maps on MPO website.	
Annual Listing of Obligated Projects							
Final List	Annual	December 28	MPO Planner	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_1201_FMPO_FFY14ObligatedProjects_Draft1.xlsx	1. . MPO Planner extracts list of obligated projects from the STIP and reviews list for consistency with TIP on or before October 30. MPO Planner works with GTG Liaison to resolve any issues regarding obligated projects list. 2. MPO staff post the final list on the MPO website by 12/28 and notify GTG Liaison. 3. Bureau notifies FHWA and FTA that MPOs have posted lists on websites.	None

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Annual Performance and Expenditure Report							
Draft/Final Report	Annual	Draft due November 15 Final due November 30	MPO Planner	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_1201_SFMPPO_FFY14APER_Final.docx	1. The MPO Planner submits the report to the NMDOT GTG Liaison for review and approval by November 15. 2. The GTG Liaison requests any changes to the report by November 20. 3. The MPO Planner submits the revised report to the GTG Liaison by November 30 and posts the report on the MPO website. 4. The NMDOT Bureau compiles the Division APER, the MPO and RTPO APERs in one submittal to FHWA-NM/FTA Region 6 within 90 days following the close of the federal fiscal year (December 30) for informational purposes.	None – report provided for informational purposes only.
Freight Program Assessment							
Federal Report	Odd Years	Second Friday in December	MPO Planner	GTG Liaison	Electronic submittal of report using form provided by FHWA 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_1201_SFMPPO_FFY14APER_Draft1.docx	1. The GTG Unit Supervisor or Liaisons will send the federal Freight Program Assessment form to the MPOs by November 5th. 2. The MPO Planner submits the completed report to the NMDOT GTG Liaison for review and approval by November 30th. 3. The NMDOT Bureau compiles the reports and submits them to FHWA-NM by December 20th.	
Reimbursement Packets (Cover Letter, Quarterly Report, and Invoice)							
	Quarterly	January 25 April 25 July 12 October 25	MPO Planner	GTG Liaison FTA materials must be submitted to the Transit and Rail Division's designated Program Manager	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 For FTA materials: Funding Source, Project Description, Contract Number, Reporting and Invoicing Period	1. MPO Planner submits packet to GTG Liaison for review. 2. If approved, GTG Liaison submits approved packet to Division Financial Manager. If not approved, GTG Liaison emails MPO Planner within 5 working days to request additional information or provide grounds for rejecting the packet. 3. Division Financial Manager reviews. If approved, the packet is processed for payment. If not approved, the GTG Liaison emails MPO Planner to request additional information or provide grounds for rejecting the packet. 4. MPO Planner resubmits packet with required materials and/or required revisions. FTA Materials 1. FTA materials are submitted directly to the Transit and Rail Division's (T&R) Program Manager (PM). 2. If approved, the PM submits the packet to the T&R Financial Manager for payment.	None

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						3. If not approved, the T&R PM informs the MPO of the reasons for non-approval and requests corrected documents. 4. MPO re-submits packet to T& R PM with required materials and/or required revisions.	
U.S. Census-Related							
Smoothed UZA boundary map	10 years		MPO Planner	GTG Liaison	Electronic submittal of files following designated file naming convention; GTG Liaison to send email confirming receipt of files	1. Bureau Chief issues reminder to MPO Planners that MPOs have the opportunity to smooth the new UZAs. 2. MPO Policy Board reviews/approves boundary-smoothing proposals. 3. MPO Planner submits approved/adopted boundaries in a GIS shapefile to GTG Liaison. 4. GTG Liaison reviews proposed boundaries and assembles one packet for New Mexico. Division Director prepares and signs a transmittal cover letter. 5. GTG Liaison follows internal protocol to submit approved boundary revisions to FHWA-NM for review. 6. Results of FHWA-NM and FTA Region 6 review are provided via email. 7. MPO makes revisions as necessary and GTG Liaison follows internal protocol to resubmit to FHWA-NM. 8. Upon receipt of approval from FHWA-NM, GTG Liaison submits shapefiles to NMDOT GIS Unit, Data Management Bureau Chief, and TIMS Section Head.	1. FHWA-NM provides review comments and/or determination of acceptance in writing to Division Director. 2. FHWA-NM provides determination of acceptance for revised boundaries in writing to Division Director, if necessary.
Roadway functional classification map	10 years		MPO Planner	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</i> for information.	Refer to <i>PPM</i> for information.	None
Review MPA boundaries	10 years		MPO Planner	GTG Liaison	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</i> for information.	Refer to <i>PPM</i> for information.	Submitted to FHWA and FTA for informational purposes (see PPM)
Transportation Management Area Requirements							
Congestion Management Process	Annual	February 15	MPO Planner	GTG Liaison/CMAQ contact	CMAQ reporting information must be entered into the Fiscal Management Information System (FMIS) by February 15	1. MRMPO staff enters data directly into FMIS by February 15 of each year. The GTG Liaison to EPMPO enters the information into FMIS for EPMPO. 2. GTG Liaison responsible for CMAQ either signs off on the request or works with MRMPO and EPMPO to obtain additional information needed.	FHWA-NM reviews the requests and either requests additional information or approves the FMIS requests.

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Quality Assurance Reviews							
Financial Audit of Fiscal Agents	Annual	Within 30 days of approval by fiscal agent	MPO Planner	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	1. MPO Planner submits copy of annual financial audit of their respective fiscal agent to GTG Liaison. 2. GTG Liaison reviews audit and reports any deficiencies identified and / or the need for corrective action to the GTG Unit Supervisor. 3. GTG Unit Supervisor notifies the Bureau Chief and Division Director about the audit review results.	None
Site Review	Annual	Date scheduled by GTG Liaison	MPO Planner	GTG Liaison	MPO staff required to participate in the site review and provide access to electronic files pertaining to the expenditure of state and federal funds.	Refer to <i>PPM</i> for information.	None

Metropolitan Transportation Plan

Metropolitan Transportation Plans (MTPs) are long range plans that assess transportation needs and identify projects that could potentially be implemented using federal, state and/or local funds that are reasonably expected to become available over a 20-year (or longer) period. In general, federal law requires each MPO to update its long range plan at least every 5 years (or more often if the MPO elects to do so). However, any MPO in an area designated as “nonattainment” or subject to a maintenance plan under the Clean Air Act must update its transportation plan at least every 4 years.⁵²

Federal law requires that every MTP must, at minimum:⁵³

- Be consistent with federal transportation law (the MTP must cite applicable sections of the law).⁵⁴
- Identify transportation facilities (including major roadways; transit, multimodal and intermodal facilities; non-motorized transportation facilities; and intermodal connectors) that function as an integrated metropolitan transportation system, giving special emphasis to those facilities that serve important national and regional transportation functions.⁵⁵
- Consider the eight planning factors previously listed and in 23 USC § 134(h)(1) as they relate to a (minimum) 20-year forecast period.⁵⁶
- Describe performance measures and performance targets used to assess the performance of the transportation system, consistent with 23 USC § 134(h)(2).^{57, 58}
- Include a system performance report evaluating the condition and performance of the transportation system with respect to the performance targets.⁵⁹
- Discuss potential environmental mitigation activities (and potential areas to carry them out), including activities with the greatest potential to restore and maintain the environmental functions affected by the plan.⁶⁰
- Incorporate a financial plan that: (i) demonstrates how the MTP can be implemented; (ii) indicates resources from public and private sources that are reasonably expected to be made available to carry out the plan; and (iii) recommends any additional financing strategies for needed projects and programs.⁶¹
- Incorporate operational and management strategies to improve the performance of existing transportation facilities to relieve vehicular congestion and maximize the safety and mobility of people and goods.⁶²

⁵² 23 USC § 134 (i)(1)(B) – Frequency

⁵³ 23 USC § 134 (i)(2) – Transportation Plan

⁵⁴ 23 USC § 134(d) – Designation of Metropolitan Planning Organizations

⁵⁵ 23 USC § 134 (i)(2)(A)(i) – Identification of Transportation Facilities – In General

⁵⁶ 23 USC § 134(i)(2)(A)(ii) – Identification of Transportation Facilities – Factors

⁵⁷ 23 USC § 134(i)(2)(B) – Performance Measures and Targets

⁵⁸ This is a new requirement under MAP-21 and performance measures/targets are under development thus guidance is not yet available.

⁵⁹ 23 USC § 134(i)(2)(C) – System Performance Report

⁶⁰ 23 USC § 134(i)(2)(D) – Mitigation Activities. The discussion must be developed in consultation with federal, state, and tribal wildlife, land management, and regulatory agencies.

⁶¹ 23 USC § 134(i)(2)(E) – Financial Plan

⁶² 23 USC 134(i)(2)(F) – Operational and Management Strategies

- Incorporate capital investment and other strategies to preserve the existing and projected future metropolitan transportation infrastructure and provide for multimodal capacity increases based on regional priorities and needs.⁶³

- Incorporate transportation and transit enhancement activities.⁶⁴

The MPO of a metropolitan area in nonattainment for ozone or carbon monoxide under the Clean Air Act must coordinate the MTP with the transportation control measures in the State Implementation Plan (SIP) for air quality.⁶⁵

- Scenario planning is not required under federal law; however, NMDOT, FHWA-NM, and FTA Region 6 encourage the practice, which involves:
 - Potential regional investment strategies for the planning horizon
 - An assumed distribution of population and employment
 - A scenario that, to the maximum extent practicable, maintains baseline conditions for the performance measures identified in 23 USC § 134(h)(2)
 - A scenario that improves the baseline conditions for as many of the performance measures as possible
 - Revenue constrained scenarios based on the total revenues expected to be available over the forecast period of the plan
 - Estimated costs and potential revenues available to support each scenario⁶⁶
- The NMDOT, FHWA-NM, and FTA Region 6 also support the MPOs decisions to address additional emerging issues relevant to their respective metropolitan areas, such as climate change, energy policies, livability, environmental and economic sustainability, quality of life, and border issues.
- The MPOs must provide public and transportation stakeholders a reasonable opportunity to comment on the MTP. An explicit list of interested parties to which the MPO must reach out is contained in 23 USC § 134(i)(6)(A).
- All transportation plans involving Federal participation must be published or otherwise made readily available for public review by the MPO.

The NMDOT's assigned GTG Liaison must review all draft and final MTPs and MTP amendments for completeness in meeting Federal planning requirements⁶⁷. Therefore, MPO staff must provide the NMDOT with adequate time to review documents at the draft and final stages. See Table 3 for review/approval process.

For each area under the jurisdiction of an Indian Tribal government, MPOs must develop their MTP in consultation with any affected Tribal governments and the Secretary of the Interior consistent with 23 USC 135(2)(C). The current NMDOT Tribal Consultation process is to provide representatives of all tribal entities that fall within the MPO planning jurisdiction (whether as voting members of the MPO Policy Committee or not) the opportunity to participate in the MTP process. Additional and more direct tribal consultation with a tribal entity may be necessary on a project specific basis. The NMDOT provides

⁶³ 23 USC 134(i)(2)(G) – Capital Investment and Other Strategies

⁶⁴ 23 USC 134(i)(2)(H) – Transportation and Transit Enhancement Activities

⁶⁵ 23 USC 134(i)(3) – Coordination with Clean Air Act Agencies

⁶⁶ 23 USC 134(i)(4) – Optional Scenario Development. For more information on scenario planning, see https://www.fhwa.dot.gov/planning/scenario_and_visualization/scenario_planning/.

⁶⁷ 23 CFR 450.322(c)

the services of its Tribal Liaison to assist MPOs whenever an issue or concern involving tribal lands and entities arises. MPOs are directed to the current MPO/RTPO Contact List posted on the NMDOT website for the Tribal Liaison's contact information.

MTPs are posted on MPO websites.

Public Participation Plan⁶⁸

Every MPO must develop a Public Participation Plan (PPP) in consultation with citizens and other interested parties. To the maximum practicable extent, all MPOs must develop a public participation framework that:

- Includes representatives for all transportation modes, including nonmotorized;
- Holds public meetings at convenient and accessible locations and times;
- Employs visualization techniques to describe plans; and
- Provides information in electronic formats and by means (such as the Internet) that afford reasonable opportunity for public consideration.

The PPP specifies how the MPO will address these federal requirements and how the MPO will provide reasonable opportunities for public and agencies to comment on work products, including Long Range Transportation Plans (LRTPs) and TIPs. The PPP must address federal requirements regarding the length of time allotted for public reviews of various MPO work products and any exceptions allowed. Sample PPPs can be found on the EPMPO (<http://www.elpasompo.org/>) and SFMPO (<http://santafemppo.org/>) websites.

A PPP must, at a minimum, 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 MPO and its organizational structure
- 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 MTP, when new federal legislation is adopted, and/or every four years at a minimum and updated as necessary. See Table 3 for review/approval process. PPPs are posted on MPO websites.

Title VI Plan

The Title VI Plan details how an MPO will comply with federal environmental justice and limited English proficiency 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 MPO to prevent

⁶⁸ 23 CFR 450.316

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.⁶⁹ 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, MPOs may wish to conduct a self-assessment to determine their progress in providing language assistance to Limited English Proficiency (LEP) persons.⁷⁰ The assessment results may help revise the plan to better serve the LEP population. The assessment considers the following four factors:

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

Appendix C contains a sample format that provides guidance for addressing Title VI requirements. The Title VI Plan addresses the following considerations:

- Compliance with federal environmental justice and limited English proficiency requirements mandated in Title VI of the Civil Rights Act of 1964
- Efforts to be taken by the MPO to prevent discrimination and the methods for how the compliance will be achieved for
 - Work products
 - Planning activities
 - Public participation
- Primary contact person to handle complaints and method to process and address complaints

The MPO Title VI Plan should be reviewed every four years, and/or when new federal legislation is adopted, and updated as necessary. See Table 3 for review/approval process and Appendix C for a boilerplate. Title VI Plans may be included in the MPO's Public Participation Plan. Title VI Plans are posted on MPO websites and each MPO shall also designate a Title VI Coordinator.

Transportation System Performance Measures and Targets

The metropolitan transportation planning process must provide for the establishment and use of a performance-based approach to transportation decision-making to support the national transportation

⁶⁹ 23 USC § 200.9(a)(1) – Assurance required by federal law

⁷⁰ U.S. Department of Justice website (<http://www.lep.gov/selfassesstool.htm>)

goals described in 23 USC § 150(b) and in 49 USC § 5301(c).⁷¹ In general, each MPO must establish performance targets to address the performance measures described in 23 USC § 150(c) and, where applicable, to use in tracking progress towards attaining critical outcomes for its respective planning region. The MPO must coordinate its selection of performance targets with those established by NMDOT to ensure consistency, to the maximum extent practicable.

In addition, the MPO must coordinate its selection of performance targets, to the maximum extent practicable, with providers of public transportation to ensure consistency with 49 USC 5326(c) and 49 USC 5329(d). The MPO must establish its performance targets no later than 180 days after the date on which the NMDOT or provider of public transportation establishes its performance targets.

Finally, MPOs must integrate into their metropolitan transportation planning processes – either directly or by reference -- the goals, objectives, performance measures, and targets described in other state transportation plans and transportation processes, as well as any plans developed under 49 USC Chapter 53 by providers of public transportation and required as part of a performance-based program.⁷²

Unified Planning Work Program and Budget

MPOs must adopt detailed Unified Planning Work Programs (UPWP) and Budgets that describe the transportation planning activities the MPO intends to undertake over a two-year period.^{73 74} The UPWP includes all activities funded under 23 CFR and the Federal Transit Act. Approval of a UPWP is necessary for receipt of FHWA planning and research funds and to document the use of funds provided under 23 USC and 49 USC.⁷⁵ The MPOs are encouraged to coordinate the development of UPWPs with appropriate RTPOs if projects extend across organizational boundaries.

In addition to background information about the MPO and a description of the process to develop the UPWP, each UPWP must include the following, at a minimum:^{76 77}

- Descriptions of the planning priorities for the metropolitan area
- Descriptions of the work to be accomplished (needs to provide enough detail for NMDOT to determine eligibility compliance)
- Resulting products of the activities/tasks
- Descriptions of who will perform each activity/task (for example, MPO staff, local government staff, or consultant)
- Estimated hours in-house personnel will spend on each activity/task
- Schedule for conducting activities/tasks, including milestones
- Proposed funding by activity/task
- Summary of total amounts and sources of federal and matching funds

⁷¹ 23 USC § 134(h)(2) – Performance-Based Approach

⁷² 23 USC § 134(h)(2) – Performance-Based Approach

⁷³ 23 CFR §450.308(c) – Funding for Transportation Planning and Unified Planning Work Programs

⁷⁴ Two year UPWPs began at the beginning of FFY2015, prior to that all Work Programs covered one year.

⁷⁵ 23 CFR §450.308 (b) – Funding for Transportation Planning and Unified Planning Work Programs

⁷⁶ 23 CFR §450.308(c) – Funding for Transportation Planning and Unified Planning Work Programs

⁷⁷ 23 CFR §420.111(b) – What are the documentation requirements for use of FHWA planning and research funds?

- Identification of incomplete work elements/activities carried over from previous fiscal years
- A detailed training plan for Policy Board/Committee members that includes a schedule and specific trainings including the following:
 - the transportation planning process and the role of the MPO, MPO members, NMDOT, FHWA and FTA Region 6 in this process;
 - overview of state and federal regulations, policies and procedures governing the MPOs;
 - overview of the TIP/STIP process; and
 - overview of this PPM including the MPO's responsibilities.
- Two-year budget (the budget is considered proposed until finalized in the First Quarter Amendment of Year 2). Note: The budget included in the UPWP should be an accurate reflection of the MPO's financial needs and all programmed funding should be expended in the applicable FFY. Unexpended funds will not "roll over" into subsequent years. If more funds are needed, in addition to the amount programmed, the MPO may propose a UPWP amendment (per the schedule outlined in the Month-by-Month Work Program Timeline) explaining the need for the additional funds and how those funds will be expended in the FFY requested, along with an amended budget.
- Summary of work program and budget that shows:
 - Federal share by type of fund
 - Matching rate by type of fund
 - State and/or local matching share
 - Other state or local funds

Appendix C contains a two-year UPWP boilerplate developed by the MPOs and NMDOT which should be used to develop the UPWP. The Work Program Review Checklist (see Appendix C) developed for use by GTG Liaisons provides additional guidance for elements to include in the UPWP. The Month-by-Month Work Program Timeline (Figure 2 in Appendix B) provides a schedule for coordinating the development of the UPWP with the NMDOT. Once approved as part of the NMDOT Planning Work Program, the UPWP serves as the template for the Quarterly Reports. As Quarterly Reports are cumulative, they form the basis for the Annual Performance and Expenditure Report, due after the close of each FFY.

See Table 3 for review/approval process. UPWPs are posted on MPO websites.

The UPWPs for TMAs (MPOs with populations greater than 200,000 people) must also include cost estimates for transportation planning, research, development, and technology transfer-related activities that will be funded with other federal or state and/or local funds, particularly for producing the FHWA-required data (for example, data for preparing proposed legislation, evaluating the performance of the nation's transportation systems, etc.) used for planning for other transportation modes.

All parties are bound by the approved UPWP currently in effect unless administratively or formally Amended as described below:

- **Administrative Amendment.** An administrative amendment to the UPWP may be accomplished unilaterally by the MPO if it meets the following criteria. The UPWP revision will not cause core MPO

product delivery schedules to be set back by more than a month⁷⁸. The UPWP revision will result in a cost change (increase or decrease) of 20% or less of the approved budgeted amount for a specific project or task; or a cost change (increase or decrease) of 10% or less to the UPWP budget. With the exception of the following:

1. The purpose of the amendment is to revise estimated planning funds to actual amounts allocated/available, and
2. The purpose of the amendment is to add, delete or revise non-federal funds, including state, local, or tribal, for existing or new UPWP projects or tasks.

The MPO Planner must notify GTG Liaison of any Administrative Amendments in writing (email will suffice). 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.

- **Formal Amendments.** A formal amendment is required if there are substantive changes to work products or tasks funded by the UPWP, as defined by the following criteria:
 1. The UPWP revision will cause core MPO product delivery schedules to be set back by more than a month⁷⁹, and
 2. The UPWP revision will result in a cost change (increase or decrease) of more than 20% of the approved budgeted amount for a specific project or task; or a cost change (increase or decrease) of more than 10% to the UPWP budget.

Formal Amendments follow the same process required for UPWP Amendment submittals (see Table 3) and may be made quarterly according to the schedule and deadlines outlined in the Month-by-Month Work Program Timeline and Table 3. The Formal UPWP Amendment may be implemented upon receiving formal approval of the corresponding PWP amendment by the FHWA-NM and NMDOT. The FHWA-NM, FTA Region VI, or NMDOT may initiate a request for an out-of-cycle work program amendment.

All amendment requests must be made in writing (email will suffice) to the GTG Liaison and must include a summary of the amendment that addresses all of the following:

- Whether the amendment is an Administrative or Formal amendment and why.
- Changes to tasks/projects.
- Changes to the budget.
- Changes to the timeline.

See Table 3 for review/approval process.

Cost Allocation Plan and Indirect Cost Agreement

The Federal requirement⁸⁰ for a local government (in this case, the fiscal agent for an MPO) to submit a Central Services Cost Allocation Plan (CAP) technically applies only to a “major local government,” defined as one that receives over \$100 million in direct Federal awards annually. Local governments that

⁷⁸ Core MPO products are: MTP, TIP, UPWP, PPP, CMP, and HPMS Traffic Counts. (This list is subject to change)

⁷⁹ Core MPO products are: MTP, TIP, UPWP, PPP, CMP, and HPMS Traffic Counts. (This list is subject to change)

⁸⁰ 2 CFR Part 200 Appendix V to Part 200

are not designated as “major” are not required to submit their cost allocation plans for Federal review and approval unless specifically instructed to do so by a Federal agency. Nonetheless, under New Mexico State Statutes and the New Mexico Administrative Code, overseen by the Department of Finance and Administration – Local Government Division, local governments are expected to prepare and retain their CAPs for audit by independent auditors and Federal auditors. The US Health and Human Services Department’s “A Guide for State, Local and Tribal Governments,”⁸¹ provides guidance.

MPOs are required to develop an annual Cost Allocation Plan that shows how operating costs will be shared between revenue streams for accounting purposes. An Indirect Cost Agreement is also required if Federal funds will be used for indirect costs. The Cost Allocation Plan and Indirect Cost Agreement are submitted with the UPWP, thus follow that review/approval process (see Table 3).

Transportation Improvement Program

The Transportation Improvement Program (TIP) is a list of regionally significant and/or federally funded transportation projects within an MPO covering a minimum period of 6 years.⁸² The TIP is developed and formally adopted by an MPO as part of the metropolitan transportation planning process, consistent with the MTP and required for projects to be eligible for funding under Title 23 USC and 49 USC Chapter 53. Once the TIP has been approved by the MPO, it must be included in the STIP without modification.

Under 23 CFR §§450.324-330, MPOs develop TIPs that define which federal transportation funds are pledged to specific transportation projects in MPO regions. TIPs include all surface transportation projects funded with federal funding and all regionally significant projects even if funded by state or local dollars. Federal rules require that TIPs cover a period of not less than 4 years, include project funding levels by year and funding source, and describe project work scopes. For projects to be included in TIPs, they must first be in the MPO’s MTP or consistent with the MTP. TIPs are financially constrained to assure program costs do not exceed available estimated revenues. MPOs provide reasonable opportunity for public comment and review during TIP development and subsequent TIP amendment processes.

⁸¹ <https://rates.psc.gov/fms/dca/asmb%20c-10.pdf>

⁸² The 6 year STIP/TIP was implemented beginning in FFY2016, prior to that the STIP/TIPs covered four years.

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 areas are reflected in the MPO Transportation Improvement Program (TIP). The New Mexico STIP is a 6-year plan and includes specific funding levels by year for project implementation. The STIP is fiscally constrained so that program costs do not exceed estimated revenues. The STIP must be consistent with the New Mexico Transportation Plan (NMTP) and the MPO Metropolitan Transportation Plans (MTPs). The FHWA-NM approves the STIP every 2 years. Refer to the *State/Transportation Improvement Program Procedures Manual* on the NMDOT website for more information about the STIP and TIP procedures, including transfer of funds between programs, FHWA to FTA, and state to state.

Under MAP-21, the NMDOT is required to develop statewide performance based measures and targets which will establish investment priorities. This *PPM*, *State/Transportation Improvement Program Procedures 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

Consistency and Cooperation between STIP and TIP. The development of metropolitan area TIPs must be compatible with the STIP development process, according to 23 CFR §450.324(a). The STIP will be developed in cooperation with MPOs and TIPs must be developed in cooperation with the NMDOT and public transportation operators, according to 23 CFR §450.216(b) and 23 CFR §450.324(a). Each MPO's TIP must be incorporated into the STIP without changes per 23 CFR §450.216(b) and §450.326(b).

MPOs are directed to the *State/Transportation Improvement Program Procedures Manual*⁸³ for further detail regarding the following:

- TIP Management
- Projects Required to be in the STIP
- Projects Not Required to be in the STIP
- Procedures
- Amendments
 - “Amendments” are major revisions requiring public review. The NMDOT amends the STIP on a quarterly basis, which allows the New Mexico State Transportation Commission to review at their regularly scheduled meetings. Out-of-cycle amendments are possible, but discouraged.
 - “Administrative Modifications” are minor revisions made by the STIP Coordinator and MPO staff after proper notification and verification.
- Time Frames
- Project Descriptions
- Corrective Actions
- Conditional or Partial FHWA-NM Approval of STIP Amendments
- End-of-Year Close-out Procedures
- Conformity Determinations for TIPs
- Funding Cross Walk (MAP-21/SAFETEA-LU)
- Order of Obligation of Federal Funds

TIP Approval/Submittal Process. The TIP must be published or otherwise made readily available by the MPO for public review as specified in each MPO's Public Participation Plan [see section on PPPs] and/or *TIP Policies and Procedures*.⁸⁴

TIPs must be approved by both the MPO Policy Board and the Governor. In New Mexico, the Secretary of the NMDOT serves as the Governor's designee for approval purposes. Once an MPO Policy Board approves a TIP, and the NMDOT concurs that all listed projects meet federal eligibility requirements, the NMDOT must incorporate it into the Statewide Transportation Improvement Program (STIP) without making any changes. The STIP Coordinator submits the STIP to the State Transportation Commission to preview (for informational purposes only) during one of its regularly scheduled public meetings, which allows for public review and comment. This is followed by approval by the New Mexico Secretary of Transportation. Then the STIP Coordinator submits the STIP and any subsequent amendments to the FHWA-NM and FTA Region 6 for approval. The FHWA-NM and FTA Region 6 shall jointly find that each metropolitan TIP is consistent with the applicable MTP produced by the continuing and comprehensive transportation process carried on cooperatively by the MPOs, NMDOT, and public transit operators in

⁸³ MRMPO and EPMPO have TIP Policies and Procedures consistent with the *State/Transportation Improvement Program Procedures Manual*

⁸⁴ 23 CFR §450.316 – Interested Parties, Participation, and Consultation

accordance with 23 USC § 134 and 49 USC § 5303.⁸⁵ The NMDOT processes STIP amendments on a quarterly basis.

MPOs are directed to the *State/Transportation Improvement Program Procedures Manual* posted on the NMDOT website for more detail regarding the TIP/STIP submittal, review, approval and amendment process. MPO staff may also seek technical assistance from the NMDOT GTG Liaison assigned to the MPO.

By federal law, each MPO must certify that its metropolitan transportation planning process is being carried out in accordance with all applicable federal laws and regulations at least once every 4 years. New Mexico MPOs are required to submit self-certification statements to the NMDOT STIP Coordinator in conjunction with each new or amended TIP, and MPOs can amend their TIPs as often as four times per year (and sometimes more if one or more out-of-cycle amendments take place); therefore, the self-certification process actually occurs much more frequently than once every 4 years. The MPOs receiving FTA funds are required to self-certify on an annual basis through the NMDOT Transit and Rail Division. Appendix E contains an example of self-certification documentation.

Note:

The MPOs and NMDOT are currently renegotiating the traffic count program – a future amendment of this PPM will incorporate the results of the negotiations.

The applicable laws and regulations address:⁸⁶

- Metropolitan transportation planning processes and outcomes
- Air quality in nonattainment and maintenance areas
- Civil rights
- Discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity
- Disadvantaged business enterprises in USDOT funded projects
- Implementation of an equal employment opportunity program on federal highway construction contracts
- Discrimination against individuals with disabilities
- Discrimination on the basis of age in programs or activities receiving federal financial assistance
- Discrimination based on gender

Traffic Counts

Reliable traffic count information is critical for the development of studies, project development and for meeting Federal reporting requirements.

Traffic Count Submittal Process. The MPO is required to conduct system-wide traffic counts and provide resultant data to the NMDOT Traffic Data Collection Section Manager within the Data Management Bureau. MPOs should refer to the most current *State Traffic Monitoring Guide* when conducting counts so they will be compatible with the statewide database format. NMDOT Traffic Data Management Bureau updates the Guide every 3 years. The Traffic Data Collection Section Manager is responsible for notifying the MPO if/when the NMDOT's TRADAS database rejects any submitted

⁸⁵ 23 CFR §450.328 – TIP Action by the FHWA and the FTA (Note: MPOs are supposed to follow rules for metropolitan planning that are similar to these national rules.)

⁸⁶ 23 CFR §450.334(a) – Self-Certifications and Federal Certifications

counts. The MPO and NMDOT then meet to resolve technical issues, which may require the MPO to submit a recount, or NMDOT to update its road network supporting the TRADAS database.

All traffic count locations must be counted at least once within a 3-year cycle. Additional counts may be taken as necessary to support studies, information requests, or Statewide Travel Demand Model updates. Traffic count data must be archived and logged into a traffic counts database and submitted to the NMDOT TRADAS database.

The NMDOT now requires the MPOs (except for EPMPO) to submit a 3-year program of traffic counts for its review and approval beginning with the FFY UPWP.

Annual Listing of Obligated Projects

Each MPO must publish, and post on its website, an annual listing of projects (including investments in pedestrian walkways and bicycle transportation facilities) for which federal funds have been obligated in the preceding year. The list must be consistent with the categories identified in the adopted TIP and represent the results of a cooperative effort between NMDOT, any affected transit operators, and the MPO. The list must be made available for public review.⁸⁷ The list should include, at a minimum, the following details for each project:

1. Name of project
2. Location of project, including termini
3. Other descriptive information
4. Amount of funds programmed in TIP
5. Amount of funds obligated in the preceding program year
6. Amount of funds remaining and available for use in subsequent years

The information provided in the list of obligated projects should be understandable to a broad readership with varying levels of familiarity with transportation planning and programming concepts. See Table 3 for the review/approval process.

⁸⁷ 23 USC § 134(j)(7)(B) – Publication of Annual Listings of Projects

Annual Performance and Expenditure Report

Federal regulations require that the NMDOT monitor the activities of New Mexico's MPOs to assure that work supported by FHWA-NM planning funds "is being managed and performed satisfactorily and that time schedules are being met."⁸⁸ To meet this requirement, every MPO must prepare an Annual Performance and Expenditure Report (APER) that documents how the MPO has accomplished the work outlined in its UPWP and provides a final accounting of expenditures made during the year. The activities and tasks should be presented in a clear and detailed manner that is consistent with the UPWP and allows the NMDOT Bureau to track MPO progress with implementing the UPWP. The APER should be derived from the Quarterly Reports for that FFY. As the Quarterly Reports are cumulative, they provide an itemization of work done for each task in the UPWP, as well as provide a quarter-by-quarter expenditure breakdown. This serves as a helpful basis for the APER, although additional information is required, as outlined below.

The Annual Performance and Expenditure Report must contain at a minimum:⁸⁹

- Summary of work completed that year, based on Quarterly Report information, including a comparison of actual performance and accomplishments with established goals as outlined in the MTP and UPWP
- Summary of staff hours per UPWP task
- Progress in meeting schedules and deadlines
- Financial summary, including budgeted (approved) amounts and actual costs incurred and cost overruns or underruns
- Approved UPWP amendments
- Other pertinent supporting data

See Table 3 for the review/approval process.

Freight Program Assessment

At the end of each odd numbered calendar year, all MPOs are required by FHWA to assess the status of their freight programs or efforts to date by answering approximately 40 questions with a "Yes," "No," or "In Progress," and comment or provide additional information, as needed. The questions are gathered under the following nine headings:

1. Current Capacity for Freight Planning
2. Public and Private Sector Relationships
3. Planning and Programming
4. Funding
5. Freight Operations
6. Multi-Jurisdictional Coordination

⁸⁸ 23 CFR §420.117(a) – What are the program monitoring and reporting requirements?

⁸⁹ 23 CFR §420.117(b)(1) – What are the program monitoring and reporting requirements?

7. NHS Intermodal Connectors
8. Land Use
9. Additional Comments

See Table 3 for the review/approval process.

Reimbursement Packets (Cover Letters, Quarterly Reports and Invoices)

The Federal-Aid Highway Program (FAHP) is a reimbursement program and requires a local match. The MPOs, therefore, must expend local funds initially, and then seek reimbursement from the NMDOT for the federal portion. The NMDOT reimburses the MPOs for the federal portion using State Road funds, and then seeks reimbursement from the FHWA-NM for the federal portion.

MPOs must submit via email a Reimbursement Packet that includes a cover letter from the appropriate MPO representative/fiscal agent, Quarterly Report, and Quarterly Invoice with all supporting documentation, 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 of state fiscal year closeout procedures.)

The Quarterly Report documents the work performed to date to meet the tasks outlined in the MPO's UPWP and the Report for the first quarter should be derived from the most recently approved UPWP. Under each task and budget in the UPWP, MPO staff needs to provide an itemization of work accomplished that quarter on each task, as well as show the expenditures and remaining budget for that task. 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, most easily done using the 'Save As' function in Microsoft Word). If the MPO has amended the UPWP since the last Quarterly Report, those amendments must be integrated into new Quarterly Report. The fourth quarter's Quarterly Report will ultimately serve as the basis for the Annual Performance and Expenditure Report.

The Invoice outlines the expenditures all of which should be referenced in the Quarterly Report and the UPWP. The Reimbursement Packet must include all supporting documentation for the Invoice.

The Quarterly Report and Invoice must:

- Document work performed and hours billed by MPO staff to federal transportation planning funds.
- Document match ratio is met (85.44 percent federal/14.56 percent MPO for Planning [PL] funds; 80 percent federal/20 percent MPO for SPR and FTA funds) on a quarterly basis.
- Document progress made towards achieving target dates in UPWP; provide explanation when slippage occurs.
- Propose budget amendments if needed for review and approval by NMDOT GTG Liaison.

The NMDOT prefers receiving quarterly invoices. However, an MPO may request approval to submit monthly invoices for a set period to address cash flow problems that may arise.

MPOs are required to keep (and submit as indicated) the following documentation (NMDOT provides all MPOs with the sample Excel workbook and will provide the workbook to others upon request):

- **Timesheet (also known as a Personnel Activity Report)** - All MPO 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 MPO Time Tracking Excel workbook (MPOs are

welcome to modify the sample spreadsheet or develop their own, provided it includes the same information as outlined in the sample). The timesheets must track hours by UPWP task and funding source. 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 Quality Assurance Reviews. In the event that work hours involve multitasking among several federally funded tasks, the MPO is required to obtain preapproval by the NMDOT (through its Liaison) of a cost allocation plan to address the specifics of each situation.

- **Timesheet Summary** – This is the monthly (or quarterly) summary of all MPO staff timesheets and should be submitted as part of the Reimbursement Packet. Again, a sample spreadsheet is provided as part of the MPO Time Tracking workbook.
- **Quarterly Budget Report** - The purpose of this report is to track expenditures by line item as defined by task in the UPWP budget. Moving funds from one line item to another is possible, but may require an administrative or formal amendment, depending on the amounts, thus the MPOs are responsible for tracking expenditures per line item. MPOs should use the boilerplate Excel workbook provided by the GTG Liaison (an example is provided in Appendix C) and submit this report with the Reimbursement Packet.
- **Quarterly Expenditure Summary** - The purpose of this report is to provide a summary of federal funds expended plus local match paid, by quarter. MPOs should separate out various FHWA funds, FTA funds, and other fund sources as applicable. MPOs should use the boilerplate Excel workbook provided by the GTG Liaison (an example is provided in Appendix C) and submit this report with the Reimbursement Packet.
- **Submittal and Review Process.** The NMDOT requires MPO Planners to submit a complete and accurate Reimbursement Packet to the assigned NMDOT GTG Liaison, according to the checklist provided below. 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 has another 5 days to independently review and approve, or reject for cause, the Reimbursement Packet. The Financial Manager then processes the approved Reimbursement Packet for payment. The NMDOT has a total of 15 days 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 MPO Planner requesting additional information or providing grounds for rejecting the packet. It is then up to the MPO Planner to resubmit the required materials and/or revisions.

MPO Reimbursement Packet Checklist. All Reimbursement Packets must contain the following information. GTG Liaisons will use this checklist and the Reimbursement Checklist (included in Appendix E) to review the documentation for accuracy and completeness:

- ❖ Request for Reimbursement Cover Letter that includes:
 - ✓ Date
 - ✓ MPO contact and contact information
 - ✓ Vendor Number
 - ✓ Control Number(s)
 - ✓ Invoice or Reimbursement Number
 - ✓ Invoice Period of Performance (Quarter or Month)
 - ✓ Amount of reimbursement requested

- ❖ Quarterly Report on Project Activities/Progress using the UPWP format as outlined above which includes:
 - ✓ Updates for all UPWP tasks
 - ✓ Total staff hours per task per quarter
 - ✓ Cumulative accounting of quarterly activities by task and percent completion of task with supporting documentation
 - ✓ Explanation of expenditures included on Invoice, such as consultant services associated with a UPWP task

Note: If no specific activities were scheduled to occur under a given UPWP task for a given quarter, state that fact in the Quarterly Report under the task in question. In addition, identify and explain any schedule changes encountered and how the MPO intends to address the changes, particularly any delays.

- ❖ Invoice that includes:
 - ✓ Date
 - ✓ Fiscal Agent and contact information
 - ✓ Vendor Number
 - ✓ Control Number(s)
 - ✓ Purchase Order Number(s)
 - ✓ Invoice or Reimbursement Number
 - ✓ Invoice Period of Performance (Quarter or Month)
 - ✓ Amount of reimbursement requested with Local Match clearly identified
 - ✓ Timesheet Summary
 - ✓ Quarterly Budget Report
 - ✓ Quarterly Expenditure Summary
 - ✓ Notification/Request to Close in the case of Final Invoice
 - ✓ Entity Certification and Signature (MPO/fiscal agent representative)
- ❖ Invoice Documentation that is organized and clearly explains the expenditures. If necessary, documentation should include page numbers and a summary of the expenditures and associated documentation. At a minimum, invoices should include the following:
 - ✓ For TMAs, written detailed explanation of any line item, non-personnel costs that total more than \$3000. For all other non-TMA MPOs, written, detailed explanation of any line item, non-personnel costs that total more than \$500.
 - ✓ . For TMAs, invoices along with proof of payment (if available) for any purchase over \$3000. For all other non-TMA MPOs, invoices and along with proof of payment (such as receipts) for any purchases over \$500.
 - ✓ Documentation of the Match provided

U.S. Census-Related Work Products

The final release of U.S. Census data is a catalyst for a number of federally mandated planning activities. These activities typically occur within the two fiscal years following the final U.S. Census data release. These activities are conducted in coordination with the state's MPOs and RTPOs. The following subsections describe these non-annual recurring activities.

Urbanized Area Boundary Delineation – Adjustment following Decennial Census (resulting in smoothed UZA Boundary Map)

An urbanized area is defined as a geographic area with a population greater than 50,000 people. An urbanized area designation is based on decennial U.S. Census figures and triggers certain transportation

planning requirements mandated under federal transportation legislation. When new census figures become available, MPOs should review the data and determine if their urbanized area boundary has changed. A boundary change could trigger several necessary actions such as modifying the MPO planning boundary, updating the Statewide Travel Demand Model, and identifying functional classification changes within the new urbanized area boundary.

The MPO Policy Board reviews boundary-smoothing proposals in the context of a public hearing in accordance with the MPOs Public Participation Plan. Adjusted (aka “smoothed”) urbanized area boundaries do not require the Governor’s approval.

MPOs are directed to review the information in Appendix C and Table 3 for more detail on submitting what is commonly referred to as an “urban area boundary adjustment or ‘smoothing’” packet to the NMDOT for FHWA-NM approval. Once FHWA-NM approves the adjusted boundaries, the Bureau sends new shape files to the Data Management Bureau and PDFs and KMZ files to the Districts and Design Centers.

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. MPOs should update their functional classifications when updating their MTPs and when requested as part of a statewide functional classification update effort. The NMDOT will conduct a statewide functional classification review 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
 - 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, Data Management Bureau Chief, and TIMS Section Head/staff member responsible for updating database supporting the NMDOT’s annual HPMS submittal
2. MPO/RTPO-initiated proposals submitted to NMDOT in the interim between statewide reviews
 - 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 GTG Liaison reviews the proposal on behalf of the NMDOT, with input from the GTG Unit Supervisor, 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 GTG Liaison prepares a submittal letter to FHWA-NM for signature by the Planning Division Director
- FHWA-NM has a minimum 30 days to review, comment and/or approve the requested changes
- The GTG Liaison notifies all parties of approved changes, including the MPO/RTPO, District Engineer, GIS Unit, Data Management Bureau Chief, and Transportation Information Management System (TIMS) Section Head (functionally, the staff member responsible for updating database supporting the NMDOT's annual HPMS submittal.)

Metropolitan Planning Area (MPA) Boundary Reviews

The MPA boundaries shall be reviewed after each Census by the MPO (in cooperation with the State and public transportation operator(s)) to determine if existing MPA boundaries meet the minimum statutory requirements for new and updated urbanized area(s), and shall be adjusted as necessary. As appropriate, additional adjustments should be made to reflect the most comprehensive boundary to foster an effective planning process that ensures connectivity between modes, reduces access disadvantages experienced by modal systems, and promotes efficient overall transportation investment strategies.

Review/approval process: The MPO shall work with NMDOT (including the GTG Liaison), member agencies and public transportation operators to review the MPA boundaries and if necessary, recommend changes. The proposed changes must be approved by the Policy Board/Committee and then submitted to the Governor for approval, with NMDOT notified. Following MPA boundary approval by the MPO and the Governor, the MPA boundary descriptions shall be provided for informational purposes to the FHWA, FTA, and NMDOT. The MPA boundary descriptions shall be submitted either as a geo-spatial database or described in sufficient detail to enable the boundaries to be accurately delineated on a map.

Air Quality and Conformity

For MPOs declared to be air quality nonattainment or maintenance areas, there are many special requirements in addition to the basic requirements for a metropolitan planning process. These include formal agreements to address air quality planning requirements, requirements for setting metropolitan planning area boundaries, interagency coordination, requirements for a Congestion Management Process (CMP), public meeting requirements, and conformity findings on MTPs and TIPs. Sections of the Metropolitan Planning Regulations governing air quality are summarized in the following bullets, and described in further detail in the following sections:

- In a metropolitan area that does not include the entire nonattainment or maintenance area, an agreement is required among the state DOT(s), state air-quality agency, affected local agencies, and the MPO providing for cooperative planning in the area outside the metropolitan planning area but within the nonattainment or maintenance area. [23 CFR §450.314(b)] In metropolitan areas with more than one MPO, an agreement is required among the state and the MPO describing how they will coordinate to develop an overall MTP for the metropolitan area; in nonattainment and maintenance areas, the agreement is required to include state and local air-quality agencies. [23 CFR §450.314(d)] The MPO is required to coordinate development of the MTP with the State Implementation Plan (SIP) development process, including the development of Transportation Control Measures (TCMs).
- In TMAs designated as nonattainment areas, Federal funds may not be programmed for any project that will result in a significant increase in carrying capacity for single occupant vehicles, unless the project results from a Congestion Management Process (CMP) meeting the requirements of 23 CFR §450.320(d).
- In nonattainment and maintenance areas, the FHWA-NM, FTA Region 6, and MPO must make a conformity determination on any new or amended TIPs [23 CFR §450.324(a)]

Air Quality and Nonattainment

The development of transportation systems has a direct impact on air quality. As a result, FHWA-NM and FTA Region 6 in conjunction with the U.S. Environmental Protection Agency (EPA) have regulations about how data should be collected and analyzed and how those results should be used to help mitigate the negative impacts of transportation on air quality. The National Ambient Air Quality Standards (NAAQS) are federal standards set by the EPA that establish an air quality concentration meant to protect public health and welfare. The NAAQS have been set for six pollutants (also called criteria pollutants): ozone, nitrogen dioxide, carbon monoxide, lead, particulate matter (two categories: PM_{2.5} and PM₁₀), and sulfur dioxide. Many of these air pollutants come from natural or various non-transportation related sources, this section focuses specifically on the on-road or transportation related sources.

The New Mexico Environment Department (NMED) measures air quality throughout the state and reports results to the EPA. Currently, New Mexico uses EPA standards to determine if there are air quality issues that require further attention. An area is considered in “nonattainment” when the concentration of one or more criteria air pollutants in a region exceed(s) allowable standards (in general terms, over a 3-year average). MPOs in nonattainment areas must evaluate all projects for air quality impacts and identify actions or plans to mitigate the environmental impacts of the transportation system. Once a nonattainment area has demonstrated that the air quality results are within acceptable standards, then the area is designated as a “maintenance” area for a minimum of 7 years.

- In nonattainment TMAs, there must be an opportunity for at least one formal public meeting during the TIP development process [23 CFR §450.324(b)]
- In nonattainment and maintenance areas, the TIP shall give priority to eligible TCMs identified in the approved SIP and shall provide for their timely implementation. [23 CFR §450.324(i) and §450.330(e)]
- For the purpose of including Federal Transit Act Section 5309-funded projects in a TIP [49 USC § 5309], in nonattainment and maintenance areas, the TIP shall describe the progress in implementing required TCMs [23 CFR §450.324(l)(3)]
- In nonattainment or maintenance areas, if a TIP is amended by adding or deleting projects that affect transportation-related pollutants, the MPO and the FHWA-NM and FTA Region 6 must make a new conformity determination. [23 CFR §450.326(a)]

In TMAs that are nonattainment or maintenance areas, the FHWA-NM and FTA Region 6 will review and evaluate the transportation planning process to assure that the process meets the requirements of applicable provisions of Federal law and this subpart, including 40 CFR Part 93 [23 CFR §450.334(b)]. Air Quality requirements are spelled out in 23 CFR §450.322(l) and §450.324(a).

State Implementation Plan

The Clean Air Act (CAA) requires that each state develop a general plan to maintain National Ambient Air Quality Standards (NAAQS) in all areas of the state, and specific plans to address the nonattainment areas within the state. These plans are known as State Implementation Plans (SIPs) and the New Mexico Environment Department develops the plans. In New Mexico, three regions (Albuquerque, southern Doña Ana County, and Grant County) are in nonattainment and have specific SIPs for maintaining air quality. Each of the SIPs is tailored to the specific type of pollutant for which the region is in nonattainment (for example, carbon monoxide, particulate matter, sulfur dioxide) and provides control measures and regulations for maintaining air quality. SIPs must be developed with public input and formally adopted by the state before submittal to the EPA for final approval. Control measures found in an approved SIP are enforceable in federal court. Additionally, the EPA tracks certain SIP elements related to infrastructure, which include emission limits, ambient air quality monitoring systems, programs for enforcement of approved control measures, stationary source monitoring systems, air quality modeling, participation by affected local entities, and permitting fees.

Conformity. The Clean Air Act Amendments (CAAA) of 1977 first introduced the concept of coordinating the transportation and air quality processes and ensuring that all projects in MPO TIPs are consistent with approved SIPs. This is determined through the transportation conformity process. In order to receive federal funding from FHWA-NM and FTA Region 6, MPOs in nonattainment or maintenance areas must show that anticipated emissions resulting from the implementation of a project or program conform to the requirements in the SIP. Transportation Control Measures (TCMs) are programs included in the approved SIP that are designed to reduce emissions from transportation sources by promoting alternative modes (transit, bicycling, walking), or changing traffic flow and congestion conditions. Some examples of TCMs are developing high-occupancy vehicle (HOV) lanes and improving public transit systems.

All projects must have a conformity determination before they can be implemented. This can be done through a “blanket” TIP conformity determination, which states all proposed projects in the TIP are within the on-road mobile source emission limits established by the SIP. For new projects added to the MTP and TIP after a determination has been made or projects that have had a major change in scope, a qualitative “hot spot” analysis can be done to show no negative impacts to air quality will result from

implementation. Conformity determinations are ultimately made by the FHWA-NM and FTA Region 6. However, the MPO Policy Boards make initial conformity determinations for plans and programs within their boundaries and state DOTs usually do so for areas outside of MPOs. Conformity must be determined on the MTP and TIP at least every 4 years, 24 months after SIP motor vehicle emission budgets are approved by the EPA, or within 12 months after a new nonattainment designation become effective.

Congestion Management Process

According to federal regulation 23 CFR §450.320, a metropolitan-wide congestion management process (CMP) is required for new and existing multimodal transportation facilities in Transportation Management Areas (population greater than 200,000 people) to ensure safe and efficient use of the system. Performance measures and strategies for congestion management should be included in the document and reflected in the MPO's TIP and MTP. The congestion management process should include:⁹⁰

- Methods to monitor and evaluate the performance of the multimodal transportation system, and identify the causes of recurring and nonrecurring congestion.
- Performance measures that are tailored to the locality, assess the extent of congestion, and support the evaluation of the effectiveness of congestion reduction and mobility enhancement strategies.
- A program for data collection to determine causes, extent, and duration of congestion.
- Identification of implementation strategies and schedules with possible funding sources for each.
- A process and timeline for assessment of the effectiveness of implement strategies in meeting performance measures established by the document.

Congestion management strategies could include:

- Demand management measures
- Traffic operational improvements
- Intelligent Transportation Systems (ITS) technologies that conform to the statewide ITS architecture
- Additional system capacities (except in TMAs that have a nonattainment designation for ozone or carbon monoxide)

For MPOs that are TMAs and are designated as nonattainment areas for ozone or carbon monoxide, federal funds may not be programmed for projects that add capacity unless they are addressed through the process outlined in the CMP, or if they are directly addressing safety issues along the corridor. If a capacity project is proposed to be advanced with federal funding, the CMP must provide an analysis of travel demand reduction and operational management as a result of the additional facilities.

Congestion Mitigation and Air Quality (MPO TMAs)

Congestion Mitigation and Air Quality (CMAQ) funding is a category of Federal Aid funding targeted to address air quality problems from mobile sources (cars, trucks, and buses). The CMAQ category is divided into two parts – mandatory funds and flexible funds. Federal references for CMAQ are found in 23 CFR, Part 450, Subpart C: Metropolitan Transportation Planning and Programming. The FHWA website provides background information (for example, *A Summary: Air Quality Programs and*

⁹⁰ 23 CFR §450.320(c) – Congestion Management Process in Transportation Management Areas

Provisions of the Intermodal Surface Transportation Efficiency Act of 1991) that may be useful for public officials, staff, and interested citizens who have limited knowledge about federal transportation funding and planning. The following subsections discuss each of the CMAQ funding parts.

Mandatory funds. CMAQ mandatory funds must be used in maintenance and nonattainment areas, and are allocated by proportion of population in each area. If the area is within an MPO boundary, these funds are allocated directly to the MPO and must be programmed through the MPO planning process. New Mexico currently has two maintenance areas – the Albuquerque metropolitan area and southern Doña Ana County. In the Albuquerque metro area, MRMPPO programs CMAQ-eligible projects in their TIP in cooperation and consultation with NMDOT. In the case of southern Doña Ana County (which includes Sunland Park, Anthony, and Chaparral), the MPO receives official notice of CMAQ funds, as does NMDOT District 1. Federal regulations require the NMDOT to program CMAQ funds in cooperation and consultation with EPMPPO and New Mexico member governments in the maintenance area.

See Table 3 for submittal/review process.

Federal Certification of TMAs

In conjunction with the MPO certification process, the FHWA-NM and FTA Region 6, in partnership with the NMDOT Bureau, completes a statewide review of the MPO transportation planning process. The review occurs no less than once every 4 years to determine if the planning process conducted by all member agencies, local agencies, the state, and transit operators meets all federal legal and regulatory requirements. For individual MPOs, the review process is developed to focus on issues of significance to the particular MPO. The reviews are conducted with the objective of evaluating the effectiveness and efficiency of the processes in place at each MPO, highlighting good practices, exchanging information, and identifying opportunities for improvements. MPOs are encouraged to address any major issues identified in a cooperative, consultative, and comprehensive manner and in accordance with federal and state requirements. The NMDOT Bureau assists the MPOs with implementing corrective actions.

The review effort consists of a desk review of MPO-produced documentation, an onsite review, and the production of a report that summarizes the review and describes the findings. The desk review focuses on the core MPO documentation as identified in the Federal regulations, which include the MPO agreements, Metropolitan Transportation Plan (MTP), Transportation Improvement Program (TIP), Public Participation Plan (PPP), Unified Planning Work Program (UPWP), financial documentation, transit operator triennial review, and other supplemental documents that are helpful to identify the extent of the planning process.

The onsite review focuses on discussion with the MPO staff about the core function, products, processes and procedures in place for the management of the metropolitan transportation planning process. The onsite review typically includes a public session to gather citizen feedback on the MPO planning process. The FHWA-NM and the FTA Region 6 must provide opportunities for public involvement and must consider the public input received in arriving at a decision on a certification action.

After reviewing and evaluating the process, the FHWA-NM and FTA Region 6 take one of four possible actions:

- If the process meets all federal requirements and a TIP has been approved by the MPO and the Governor, the two agencies will jointly certify the transportation planning process.

- If the process substantially meets the federal requirements and a TIP has been approved by the MPO and the Governor, the two agencies will jointly certify the transportation planning process subject to certain specified corrective actions being taken.
- If the process does not meet the federal requirements, the two agencies will jointly certify the planning process as the basis for approval of only those categories of programs or projects that the FHWA-NM and FTA Region 6 jointly determine, subject to certain specified corrective actions being taken.
- If the FHWA-NM and FTA Region 6 do not certify the transportation planning process, the NMDOT may withhold up to 20 percent of project funds that would otherwise be attributable to the TMA. This action is in addition to the other corrective actions and funding restrictions. Unless the funds have lapsed, they will be restored to the MPO when the metropolitan transportation planning process is certified by the FHWA-NM and FTA Region 6.

A certification of the MPO planning process remains in effect for 4 years unless a new certification determination is made sooner by the FHWA-NM and FTA Region 6 or a shorter term is specified in the certification report.

Special Studies Generated by Task Forces and Committees

MPOs are often involved in some manner with special studies or committees, whether generated by the MPO, NMDOT, or both. Examples of studies generated by the MPO Policy Boards are bicycle and pedestrian plans, and access management plans for the MPO region. Some MPOs have standing committees that meet regularly to provide input to the MPO on specific areas of interest to their particular region and context. The MPOs at times have been called upon by the NMDOT Transit and Rail Division to participate in statewide studies of transit services.

NMDOT Agreements, Authorizations, and Responsibilities to the MPOs

The NMDOT acts on behalf of FHWA-NM in carrying out the statewide planning process, as prescribed in the Stewardship and Oversight Agreement between the NMDOT and FHWA-NM (see the Statewide Planning Bureau chapter in the PPM for more information). Each MPO is assigned a GTG Liaison to serve as the initial point of the NMDOT contact for the MPO. The GTG Liaison also serves as a resource to the MPO, and facilitates coordination and communication between the MPO and the different areas of the NMDOT, including the District Offices. MPO Planners 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 MPOs in part by preparing, distributing, and enforcing the following documents or actions (which are described in the following subsections):

- Memorandum of Agreement
- Notice to Proceed
- Quality Assurance Review Process
- Federal Certification of TMAs

Cooperative Agreement

The Cooperative Agreement (CA) is the basic contractual agreement between the NMDOT and the MPO that delineates the responsibilities of each organization⁹¹. NMDOT will prepare new CAs in response to recurring “triggers”:

- A new federal transportation authorization bill introduces new requirements (MAP-21)
- This first iteration of this PPM which establishes new schedules and protocols that the CAs must address (significant future revisions to this PPM may trigger the need to update CAs absent a change in Federal transportation legislation)
- Expiration of Cooperative Agreements. The current CAs became effective July 1, 2015 and expire September 30, 2018.

An updated JPA may also trigger the need for a new CA.

Notice to Proceed

After FHWA-NM approval of the NMDOT Division PWP (which includes the UPWPs), the NMDOT issues a Notice to Proceed to the MPOs as a notice to start work on their Work Program. The Notice to Proceed authorizes the MPO to seek reimbursement for the federal portion of the approved UPWP budget for a federal fiscal year. The NMDOT Bureau sends out the Notice to Proceed by September 30 so that MPOs can begin work on October 1 (the Notice to Proceed letter for the federal fiscal year covers October 1 of the start year through September 30 of the next year).

⁹¹ As of the PPM First Amendment, the current MOAs were updated in 2010 and expire on June 30, 2015. The NMDOT is in the process of developing new MOAs.

Quality Assurance Review

GTG Liaisons will meet with their assigned MPOs on a regular basis (quarterly at a minimum) to review UPWP progress and discuss any issues. In addition to regular meetings between the GTG Liaison and the MPO, the NMDOT will engage in a four-tiered, quality assurance review process of MPO 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 MPO fiscal agents
2. Conduct Quality Assurance Site Review
3. Conduct Quality Assurance Site Review Follow-Up
4. Conduct Office of Inspector General Audit

Step 1 – Review Financial Audits of MPO Fiscal Agents

MPO Planners 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 MPO's fiscal agent.

The GTG Liaison will review the audit and report any audit findings identifying deficiencies and/or the need for corrective action to the GTG Unit Supervisor. The GTG Unit Supervisor will bring the audit findings to the attention of the Bureau Chief and, ultimately, the Division Director, who will determine the course of action to be undertaken in addition to the GTG Liaison proceeding to conduct the annual Quality Assurance Site Review.

Step 2 – Conduct Quality Assurance Site Review

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

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

The GTG Liaison will first attempt to schedule the onsite visit with sufficient advance notice to ensure that all required documentation and MPO staff are available to facilitate the review. It is incumbent upon the MPO Planner 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 MPO Planner 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, MPO Planners are required to keep electronic and hard copy files constantly up to date, well organized, and accessible for viewing. Appendix C contains a checklist that provides additional information and that will assist MPO 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 MPO Planner. If the report indicates that the proper administrative systems are in place

and fully operational, no further action is required.

Step 3 – Conduct Quality Assurance Site Review Follow-Up

If the GTG Liaison's Quality Assurance Review 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 MPO Planner to identify corrective actions (along with a timeline that includes major milestones)
- Requiring a UPWP amendment or modification to address the corrective actions, if necessary
- Conducting another Quality Assurance Site Review in 6 months or less to confirm improvements
- Proceeding to Step 4

Step 4 – Conduct 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 MPO

The following section outlines the procedure for addressing non-conformance by an MPO. 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 MPO does not submit a WP 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 MPO.*
- continuously submitting incorrect or incomplete information; and
- refusing to follow and/or comply with the procedures outlined in this PPM.

Table 4, seen below, outlines the procedures the NMDOT will follow when addressing non-conformance on the part of an MPO. 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 MPO submits a Reimbursement Packet after the deadline and then misses a deadline for another work product, the MPO is considered to be at Level 2. If an MPO is at Level 1 or 2 at the close of the FFY, the MPO 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 4
Non-Conformance Procedures

Non-conformance Level	NMDOT Action	Notifications
Level 1	GTG Liaison notifies MPO Planner in writing of non-conformance	GTG Unit Supervisor copied on email
Level 2	GTG Liaison notifies MPO Planner in writing of non-conformance	GTG Unit Supervisor, Bureau Chief, Division Director, MPO Officer copied on email
Level 3	The MPO develops a Corrective Action Plan and submits to the GTG Liaison for review/concurrence by the Bureau Chief and Division Director.	GTG Unit Supervisor, Bureau Chief, Division Director, MPO Officer/RTPO COG Executive Director copied on submittal email for Corrective Action Plan
		MPO Planner sends Corrective Action Plan to MPO 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 MPO Planner in writing of failure to follow Corrective Action Plan.	GTG Unit Supervisor, Bureau Chief, Division Director, MPO Officer copied on email
	Division informs MPO Policy Board/Committee of pending loss of funds.	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 MPO Planner, MPO Officer and MPO Policy Board/Committee Chair to discuss suspension of payment.	NMDOT Secretary, FHWA-NM and FTA Region 6 are provided notification of the hearing

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| 2) If a determination is made to suspend payment to the MPO, DOT Cabinet Secretary sends letter to MPO Officer. | MPO Policy Board/Committee Chair and FHWA and FTA copied on letter |
| 3) If the MPO elects to appeal the decision, NMDOT will arrange a meeting 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 CAP.

Metropolitan Planning Organizations Checklists

This list is intended to summarize the work products of the MPOs. Please note that every item may not be required/undertaken. Unless otherwise specified, Work Products are submitted to the GTG Liaison.

Monthly

- ☐ Coordinate with NMDOT GTG Liaison
- ☐ Record hours worked per task identified in Unified Planning Work Program – use timesheets

Quarterly

- ☐ Meet with GTG Liaison to discuss progress on the UPWP
- ☐ Prepare and submit Reimbursement Packet (cover letter, invoice, quarterly report and all supporting documentation) to GTG Liaison
- ☐ Prepare and submit Unified Planning Work Program quarterly amendment to GTG Liaison, as needed, for approval by FHWA-NM and FTA Region 6
- ☐ Participate in quarterly MPO meetings
- ☐ Prepare and distribute quarterly meeting minutes (MPO meeting host only)
- ☐ Prepare and submit draft Transportation Improvement Program amendment to NMDOT, for approval by FHWA-NM and FTA Region 6

Annual

- ☐ Prepare and submit annual Unified Planning Work Program budget to GTG Liaison, for approval by FHWA-NM and FTA Region 6
- ☐ Prepare and submit Annual Performance and Expenditure Report to GTG Liaison, provided to FHWA-NM and FTA Region 6 for informational purposes only
- ☐ Prepare and submit Annual Listing of Obligated Projects GTG Liaison, for concurrence from FHWA-NM and FTA Region 6
- ☐ Review Notice to Proceed received from NMDOT (may occur more often than yearly)
- ☐ Participate in joint meeting with NMDOT and RTPOs
- ☐ Collect and submit traffic counts to NMDOT
- ☐ Post traffic flow maps on website

- ☐ Issue calls for projects (TAP, HSIP, other discretionary funds)
- ☐ Participate in Quality Assurance Reviews
- ☐ Report CMAQ data (EMPO and MRMPO)

Every 2 Years

- ☐ Prepare and submit final two-year Unified Planning Work Program to GTG Liaison, for approval by FHWA-NM and FTA Region 6
- ☐ Prepare and submit Transportation Improvement Program (TIP) to NMDOT, for approval by FHWA-NM and FTA Region 6
- ☐ Participate in Statewide Transportation Improvement Program (STIP) development by NMDOT

Every 3 Years

- ☐ Prepare documentation and participate in FTA Region 6 review of TMAs, for approval by FTA Region 6

Every 4 Years

- ☐ Prepare and submit Metropolitan Transportation Plan, for approval by FHWA-NM and FTA Region 6
- ☐ Prepare and submit Public Participation Plan, provided to FHWA-NM and FTA Region 6 for informational purposes only
- ☐ Review and update as necessary Title VI Plan (at a minimum, in conjunction with development of MTP, when NMTP is updated and/or when new federal transportation legislation is enacted) , for approval by FHWA-NM and FTA Region 6
- ☐ Review and update as necessary Memorandum of Agreement with NMDOT
- ☐ Participate with FHWA-NM/FTA Region 6/NMDOT in Federal Certification process, for approval by FHWA-NM and FTA Region 6 (MRMPO and EPMPO)
- ☐ Prepare and submit Metropolitan Transportation Plan Amendments, for approval by FHWA-NM and FTA Region 6
- ☐ Prepare and submit letters about Policy Board member changes

Ongoing and Other

- ☐ Review and update as necessary Joint Powers Agreement with member governments, submit to GTG Liaison
- ☐ Functional classification if required other than after new census data
- ☐ Review and update as necessary bylaws

Archiving Requirements

Archiving is the process of accumulating and storing documents that record the function and work products of the NMDOT and MPOs. New Mexico state law regarding archiving and record keeping requirements is more stringent than federal law; therefore, the following state law applies.

New Mexico Administrative Code (NMAC)	Name/Description
1.18.805.24	Federal Planning Reports
A	Program: planning
B	Maintenance system: chronological by calendar year, then by date created
C	Description: reports containing various federally mandated interstate and roadway information. Reports are output from TRADAS, 1.18.805.23 NMAC and accident records citation system, 1.18.805.232 NMAC, 1.18.805.16 NMAC. Some of these reports may include highway performance monitoring system report, monthly volume summary at continuous counter sites reports, monthly and quarterly speed schedule audit reports, federal speed compliance monthly and quarterly speed summaries, etc.
D	Retention: 10 years after close of calendar year in which created
1.18.805.31	Federal and State Apportionments Reports Files
A	Program: planning
B	Maintenance system: chronological by federal fiscal year
C	Description: reports concerning obligated federal and state funds for various highway-related projects (that is, construction, planning programs, feasibility studies, consultants, etc.). Files may include reports from the federal highway administration, departmental staff reports, correspondence, etc.
D	Retention: 5 years after end of federal fiscal year in which created
1.15.2.114	Manuals of Procedures
A	Program: administrative records
B	Maintenance system: agency preference
C	Description: manuals of procedure prepared and published by state agencies for the guidance of public officers and employees engaged in operations required for the efficient operation of state and local government, including but not limited to acquiring space, budgeting, accounting, purchasing, contracting, vouchering, printing, appointment and dismissal of employees, record maintenance, etc.
D	Retention: until superseded by new manual of procedure

New Mexico Administrative Code (NMAC)	Name/Description
1.15.2.117	Reports
A	Program: administrative records
B	Maintenance system: agency preference
C	Description: [RESERVED]
D	Retention (1) annual, biennial or other periodic reports required by Article V, Section 9 N.M. Constitution or by specific statute: permanent (2) routine, interim or progress reports: 2 years after close of fiscal year in which created
1.15.2.151	Feasibility Studies
A	Program: administrative
B	Maintenance system: agency preference
C	Description: studies requested/conducted prior to the acquisition, installation, implementation and/or purchase of new technologies, equipment, properties, projects, etc. [Studies may be incorporated into other files (that is, project files)].
D	Retention: (1) studies requested or conducted by agency: 5 years after completion or cancellation of study (2) courtesy copies received by agency: until informational value ends
1.15.2.307	Publications
A	Program: public relations
B	Maintenance system: chronological by publication date
C	Description: printed work regardless of format or method of reproduction published by any state agency or political subdivision for distribution and that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency; and is publicly distributed outside the agency by or for the agency.
D	Retention: (1) Publications filed with the state library per Section 18-2-4.1 NMSA 1978: (a) Agency's copy: until superseded or until information no longer needed for reference (b) State library's copy: permanent

New Mexico Administrative Code (NMAC)	Name/Description
	(c) State archive's copy: permanent (2) All other publications: transfer to archives for review and final disposition
1.15.4.208	Revenue Contracts and Grants
A	Program: revenue records
B	Maintenance system: [RESERVED]
C	Description: contracts and grants for the receipt of monies by the New Mexico state government from other sources includes, but is not limited to, block grants, negotiated grants, federal agency grants, etc. Where there is required reporting of expenditures to a federal agency, retain records for 6 years after termination of grant/contract or retain records for 5 years after submission of final expenditure report, whichever is longer.
D	Retention: 6 years after termination of contract
1.15.4.307	Contract/Agreement Files
A	Program: expenditure records
B	Maintenance system: [RESERVED]
C	Description: records concerning contracts let through bid by the state purchasing division, technical/professional service contracts, lease/rental contracts, agreements, etc. File may include contract/agreement, bid information, contract/agreement specifications, correspondence memoranda, etc.
D	Retention: 6 years after termination of contract/agreement

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. 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 was able to meet through its relationships with the COGs and RTPOs. ISTEA also made federal transportation funding available to support RTPO planning programs.

The NMDOT establishes 4year Cooperative of Agreement (CA) 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.”⁹² MAP-21 stipulates that states must consult with RTPOs representing an area with a population greater than 5,000 people and less than 200,000 people (the Metropolitan Planning Organization threshold) before obligating funding.⁹³ RTPOs are required to be multijurisdictional organization of nonmetropolitan local officials and representatives of local transportation systems who volunteer to participate in the organization.⁹⁴ 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 (SCRTPO)
- Southeast (SERTPO)
- Southwest (SWRTPO)

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

⁹³ 23 CFR § 133(d)(3) – Consultation with Regional Transportation Planning Organizations

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

Communication Protocol

The NMDOT Government to Government (GTG) Unit in the Planning Bureau (Bureau) of the Asset Management and Planning Division (Division) maintains liaison staff assignments with all of the RTPOs in the state.⁹⁵ 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.⁹⁶ 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.

Internal Structure

MAP-21 establishes the following minimum governance/structural requirements for RTPOs:

- 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 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.

⁹⁵ Refer to NMDOT website for current MPO/RTPO Contact List

⁹⁶ Refer to NMDOT website for current Stewardship and Oversight Agreement with FHWA-NM

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, 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.⁹⁷
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 statute⁹⁸ 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.

⁹⁷ 23 CFR Section 135 (m)(2) Structure

⁹⁸ 23 CFR Section 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.
 - c. *Standing Committees* – these committees are determined by the individual RTPO and meet at specified intervals.
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. Their role is to provide professional planning, management, and administrative support⁹⁹. 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. The NMDOT's Local Technical Assistance Program (LTAP) Director is also available to assist the RTPO Planning Program Manager in identifying and providing training opportunities for member entities.

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?

⁹⁹ 23 CFR Section 135 (m) (4) Duties

RTPO Responsibilities

The core responsibilities of an RTPO are to:¹⁰⁰

- 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);
- 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 State's 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 detailed 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:

- **Quarterly Roundtable Meetings.** The RTPOs alternate hosting quarterly "roundtable" meetings in the various RTPO regions of the state. Agenda items typically include updates from the NMDOT 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 NMDOT Bureau to develop the agenda, distributing meeting information by email to all contacts and working with Bureau staff to write and distribute meeting notes.
- **Annual Joint Meeting.** The NMDOT Bureau will organize and host an annual 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.

¹⁰⁰ 23 USC 135 (m)(4) – Duties

RTPO Work Products and Submittal Process

In general, work products required of the RTPO are 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
- Title VI Plan
- Regional Work Program (RWP) and Budget
- Cost Allocation Plan
- Rural Transportation Improvement Program Recommendations (RTIPR)
 - Project Feasibility and Identification Forms
- Reimbursement Packets (Cover Letters, Quarterly Reports and Invoices)
- 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 NMDOT 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. Figure 1 in Appendix B shows the activities that the Bureau, MPOs, RTPOs, FHWA-NM, and FTA Region 6 participate in monthly as part of the comprehensive, cooperative, and coordinated planning process in New Mexico. 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							
	Update as necessary based on Federal legislation or New Mexico Transportation Plan updates.	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_SWRTPOLRTP_Draft1.docx 2014_0930_SWRTPOLRTP_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 LRTP to GTG Liaison. 4. RTPO staff post approved LRTP 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 LRTP in terms of compliance with federal regulations and attaches the approved LRTP to the email.
Public Participation Plan							
	Update based on following conditions: <ul style="list-style-type: none">• In conjunction with a revised LRTP.• 4 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_NWRTPOPPP_Draft1.docx 2014_0930_NWRTPOPPP_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							
	Update based on following conditions: <ul style="list-style-type: none">• In conjunction with a revised NMTP.• 4 years since previous Plan.• 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_NPRTPO_TitleVI_Draft1.docx 2014_0930_NPRTPO_TitleVI_Final.docx	1. RTPO Planning Program Manager works with the appropriate GTG Liaison 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. RTPO staff post the approved Title VI Plan on the RTPO website.	None – Title VI Plan 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 Title VI Plan in terms of compliance with federal regulations and attaches the approved Plan to the email.

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 and Budget							
Draft Program	2 years	Coordination schedule to develop program is detailed in Month-by-Month Work Program 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 Timeline.	None
Final Program	2 years	Coordination schedule to develop program is detailed in Month-by-Month Work Program 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 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; FHWA-NM, NMDOT, or an RTPO may initiate a request for an out-of-cycle work program amendment based on justification provided along with the written (generally via email) request; and upon receiving approval by FHWA-NM and NMDOT.	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 Timeline.	1. FHWA-NM and FTA Region 6 provide review comments and/or determination of acceptance in writing for RWP quarterly amendment to Division Director. 2. FHWA-NM and FTA Region 6 provide determination of acceptance in writing to Division Director, if necessary.
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	1. RTPO Planning Program Manager submits proposed administrative amendment and summary to GTG Liaison for consideration. 2. GTG Liaison reviews and responds within 10 calendar days. 3. If GTG Liaison determines that proposed amendment meets requirements, Liaison notifies RTPO Planning Program Manager that amendment is approved.	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)
Cost Allocation Plan							
	Annual	Plan is submitted with RWP. Schedule for drafting and reviewing versions of the Plan coincides with coordination schedule shown in the Month-by-Month Work Program 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 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.	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 Plan in writing to Division Director, if necessary.
Regional Transportation Improvement Program Recommendations and Statewide Transportation Improvement Program (Refer to STIP/TIP Procedures Manual posted on the NMDOT website for more information.)							
RTIPR recommendations	Annual	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	1.RTPO issues a formal call for projects in October and November. 2.Local governments submit Project Feasibility Forms to RTPO and NMDOT District Technical Support Engineer. 3.RTPO uses Project Feasibility Form to conduct meetings with local governments and NMDOT District and Planning staff to discuss projects and share information. 4.If project is deemed feasible, local government submits a Project Identification Form to RTPO. 5.RTPO conducts ranking meeting between January and March to discuss and prioritize Project Identification Forms. 6.RTPO submits list of ranked projects to District Technical Support Engineer and GTG Liaison for possible funding and inclusion in a quarterly STIP amendment. 7.RTPO staff post the approved RTIPR on the RTPO website.	None
Amendments	Quarterly	February 1 May 1 August 1 November 1	RTPO Planning Program Manager	Districts & STIP Coordinator	Refer to the STIP/TIIP Procedures Manual posted on the NMDOT website.	1. RTPO Policy Board approves TIP Amendment after public comments are incorporated. 2. STIP Unit concurs that listed projects all meet federal eligibility requirements. 3. STIP Coordinator submits TIP Amendment to State Transportation Commission for informational purposes only. 4. RTPO Planning Program Manager reviews proposed STIP amendment for accuracy. 5. Public comment is solicited and revisions made by RTPO as necessary.	1. STIP Coordinator submits TIP Amendment to Governor for approval. 2. STIP Coordinator submits Governor-approved TIP Amendment to FHWA-NM and FTA Region 6 for approval.

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	1. RTPO Planning Program Manager submits packet to GTG Liaison for review. 2. If approved, GTG Liaison submits approved packet to Division 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. Division Financial Manager reviews package. If approved, the packet is processed for payment. If not approved, the GTG Liaison emails RTPO Planning Program Manager to request additional information or provide grounds for rejecting the packet. 4. RTPO Planning Program Manager resubmits packet with required materials and/or required revisions.	None
Annual Performance and Expenditure Report							
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	1. RTPO Planning Program Manager submits draft to GTG Liaison for review. 2. GTG Liaison follows internal protocol for document review. 3. RTPO Planning Program Manager revises report and resubmits to GTG Liaison. 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: <ul style="list-style-type: none">• In conjunction with an LRTP update.• When requested as part of a statewide update.• As necessary based on development / changes in traffic patterns and		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)
	volumes.						
Quality Assurance Reviews							
Financial Audit of Fiscal Agents	Annual	30 days following approval by fiscal entity	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	1. RTPO Planning Program Manager submits copy of annual financial audit of their respective fiscal agent to GTG Liaison. 2. GTG Liaison reviews audit and reports any deficiencies identified and / or the need for corrective action to the GTG Unit Supervisor. 3. 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 <i>PPM</i> for information.	None

Long Range Regional Transportation Plan

Long- Range Regional Transportation Plans¹⁰¹ (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 New Mexico Transportation Plan (NMTP). Triggers for updating RTPs are new Federal legislation and NMTP updates.

The RTPO's assigned NMDOT GTG Liaison will provide technical assistance and guidance regarding the cooperative process and the development of the RTP. This can include providing 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 NMTP.

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.

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

¹⁰¹ 23 USC 135(m)(4)(A)

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

See Table 5 for submittal/review process.

Title VI Plan

The Title VI Plan details how an RTPO will comply with Federal environmental justice and limited English proficiency 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.¹⁰² 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.¹⁰³ 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
- **Resources Available:** the resources and cost for providing assistance to LEP populations

Appendix D 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 limited English proficiency requirements mandated in Title VI of the Civil Rights Act of 1964
- Efforts to be taken by the RTPO to prevent discrimination and the methods for how the compliance will be achieved for
 - Work products
 - Planning activities
 - Public participation
- Primary contact person to handle complaints and method to process and address complaints

¹⁰² 23 USC § 200.9(a)(1) – Assurance required by federal law

¹⁰³ Department of Justice website (<http://www.lep.gov/selfassesstool.htm>)

The RTP0 Title VI Plan should be reviewed every 4 years, and/or when new federal legislation is implemented and/or when the NMTP is updated, and updated as necessary.

See Table 5 for submittal/review process.

Regional Work Program and Budget

Every RTP0 must adopt a detailed Regional Work Program (RWP) and associated budget describing the transportation planning activities of the RTP0 over a 2-year period (the Year 2 budget is considered proposed until finalized in the First Quarter Amendment of Year 2). The NMDOT consulted with the RTP0s 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.

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 RTP0 if it meets the following criteria.
 1. The study or task 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), and
 2. The study or task will result in a cost change (increase or decrease) of 20% or less of the approved budgeted amount for a specific project or task; or a cost change (increase or decrease) of 10% or less to the RWP budget

The RTP0 Planning Program Manager must notify the GTG Liaison of any Administrative Amendments in writing (email will suffice). 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.

- **Formal Amendments.** 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 new study or task will impact approved work program priorities by causing other project delivery schedules to slip by more than one month, and
 2. The study or task will result in a cost change (increase or decrease) of more than 20% of the approved budgeted amount for a specific project or task; or a cost change (increase or decrease) of more than 10% to the RWP budget

Formal RWP Amendments follow the same process required for PWP Amendment submittals and may be made quarterly according to the schedule and deadlines outlined in the Month-by-Month Work Program Timeline. The Formal RWP Amendment may be implemented upon receiving formal approval of the corresponding PWP amendment by the FHWA-NM and NMDOT. The FHWA-NM, FTA Region VI or the NMDOT may initiate a request for an out-of-cycle work program amendment.

All amendment requests must be made in writing (email will suffice) to the GTG Liaison and must include a summary of the amendment that addresses all of the following:

- Whether the amendment is an Administrative or Formal amendment and why.
- Changes to tasks/projects.
- Changes to the budget.
- Changes to the timeline.

The Month-by-Month Work Program Timeline (Figure 2 in Appendix B) provides a schedule for coordinating the development of the Regional Work Program with the NMDOT.

See Table 5 for submittal/review process.

Cost Allocation Plan

The Federal requirement¹⁰⁴ for a local government (in this case, the fiscal agent for an RTPO) to submit a Central Services Cost Allocation Plan (CAP) technically applies only to a “major local government,” defined as one that receives over \$100 million in direct Federal awards annually. Local governments that are not designated as “major” are not required to submit their cost allocation plans for Federal review and approval unless specifically instructed to do so by a Federal agency. Nonetheless, under New Mexico State Statutes and the New Mexico Administrative Code, overseen by the Department of Finance and Administration – Local Government Division, local governments are expected to prepare and retain their CAPs for audit by independent auditors and Federal auditors. The US Health and Human Services Department’s “A Guide for State, Local and Tribal Governments,”¹⁰⁵ provides guidance, and there is a sample CAP from SCRTPO in Appendix D.

RTPOS are required to develop an annual Cost Allocation Plan that shows how operating costs will be shared between revenue streams for accounting purposes. The Cost Allocation Plan is submitted along with the RWP and reviewed/approved according to that same process.

¹⁰⁴ 2 CFR Part 200 Appendix V to Part 200

¹⁰⁵ <https://rates.psc.gov/fms/dca/asmb%20c-10.pdf>

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

All of the transportation projects and programs for the entire state along with anticipated federal funding amounts are included in the 6-year State Transportation Improvement Program (STIP). The Regional Transportation Improvement Program Recommendations (RTIPR) is a prioritized list of projects that each of the RTPOs develops on a yearly basis for possible inclusion in the STIP. Projects on the RTIPR are submitted by the participating local governments and prioritized based on criteria set by each RTPO. Many of the RTPOs also use the RTIPR as a place to list projects that are considered priorities including Safety, Planning, and Roadway projects.

The Project Feasibility Form (PFF) provides a way to open the dialogue between the NMDOT Districts and the local governments regarding projects for possible inclusion in the RTIPR/STIP. RTPO member agencies complete and submit PFFs to the RTPO Planning Program Manager, the respective NMDOT District Technical Support Engineer, and the appropriate GTG Liaison. Following the RTPO-established submittal deadline, a meeting is held at the member agency's location to discuss the overall feasibility of the project and likelihood of the project for receiving federal funding from the NMDOT District.

The NMDOT requires local, tribal, and other eligible entities to submit a Project Identification Form (PIF) as part of the application process for transportation infrastructure projects including roadways, bridges, TAP, and corridor/feasibility studies. If the local entity is applying for federal funding through the respective NMDOT District, the sponsoring agency must submit a PFF form and receive District concurrence before the PIF is submitted. The purpose of a standardized PIF is to provide NMDOT with a project description that is as complete as possible so that 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 PIF into the STIP. RTPOs typically work with their member governments to assist with the completion and submission of PIFs in a timely manner that provides NMDOT District staff adequate opportunity for review and determination of project feasibility. Appendix D contains a Project Feasibility Form template.

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 STIP is fiscally constrained so that program costs do not exceed estimated revenues. The STIP must be consistent with the New Mexico Transportation Plan (NMTP) and the MPO Metropolitan Transportation Plans (MTPs). The FHWA-NM approves the STIP every 2 years. Refer to the *State/Transportation Improvement Program Procedures Manual* on the NMDOT website for more information about the STIP and TIP procedures, including transfer of funds between programs, FHWA to FTA, and state to state.

Under MAP-21, the NMDOT is required to develop statewide performance based measures and targets which will establish investment priorities. This PPM, the *STIP/TIP Procedures Manual*, and the STIP database will be updated as the NMDOT develops, and FHWA-NM/FTA Region 6 approve, the

The process for development of the RTIPR varies slightly among each RTPO, as does the project ranking criteria, but is generally outlined in Table 5.

- Between January and March, each RTPO holds a ranking meeting to discuss and prioritize PIFs based on the criteria set by the RTPO members.
 - In Districts where there is more than one RTPO, all of the RTPOs hold a meeting to combine their prioritized lists. This is usually called a “zipper” meeting and is normally held in March.
- The final RTIPR with ranked projects is submitted to the District and the GTG liaison by mid-April for possible funding and inclusion in the May STIP Amendment.

The STIP and any proposed amendments are posted on the NMDOT website. RTPO Planning Program Managers are responsible for reviewing the posted STIP for accuracy regarding projects originating from the RTIPR. For more information about the STIP process, see the FHWA-NM/FTA Region 6-approved NMDOT *State/Transportation Improvement Program* on 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; and
- The local entity 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), 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. (See Appendix A for a complete listing of state and federal funding sources.)

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(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 current *MPO/RTPO Contact List* posted on the NMDOT website for the Tribal Liaison’s contact information.

RTPO Program Managers must become well versed in the NMDOT’s *STIP/TIP Procedures Manual*, 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.

Process for Moving Projects from RTIPR to the STIP. Each District Office determines which projects are timely, financially viable, cost effective, and of sufficient public benefit to place on the STIP within its jurisdiction. Transportation project management is a time-consuming endeavor, and carries with it tremendous responsibility related to the expenditure of public funds. Through negotiation and discussion, the District Office will also decide whether the local entity has the staff capacity to manage the project, as a local-lead project, or the District itself should serve as project lead.

The NMDOT offers training on project development and oversight, currently titled “*Project Management from Inception to Completion*.” RTPO Program Managers are expected to contact the LTAP Director for the current training schedule and to be technically proficient enough to guide member entities in project identification, selection, funding, and implementation.

See Table 5 for submittal/review process.

Reimbursement Packets (Cover Letters, Quarterly Reports and Invoices)

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.

RTPOs must submit via email a Reimbursement Packet that includes a cover letter from the appropriate RTPO representative/fiscal agent, Quarterly Report, and Quarterly Invoice with all supporting documentation 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 Quarterly Report documents the work performed to date to meet the tasks outlined in the RTPO’s RWP and the Report for the first quarter should be derived from the most recently approved RWP. Under each task and budget in the RWP, RTPO staff need to provide an itemization of work accomplished that quarter on each task, as well as show the expenditures and remaining budget for that task. 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, most easily done using the ‘Save As’ function in Microsoft Word). 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.

The Invoice outlines the expenditures all of which should be referenced in the Quarterly Report and the RWP. The Reimbursement Packet must include all supporting documentation for the Invoice.

The Quarterly Report and Invoice must:

- Document work performed and hours billed by RTPO staff to federal transportation planning funds.
- Document match ratio is met (80 percent federal/20 percent RTPO for SPR funds) on a quarterly basis.
- Document progress made towards achieving target dates in RWP; provide explanation when slippage occurs.
- Propose budget amendments if needed for review and approval by NMDOT GTG Liaison.

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 keep (and submit as indicated) the following documentation (NMDOT provides all RTPOs with the sample Excel workbook and will provide the workbook to others upon request):

- **Timesheet (also known as a Personnel Activity Report)** - All RTPO and COG 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 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.

- **Timesheet Summary** – This is the monthly (or quarterly) summary of all RTPO staff timesheets and should be submitted as part of the Reimbursement Packet. Again, a sample is provided as part of the RTPO Time Tracking workbook.
- **Quarterly Budget Report** - The purpose of this report is to track expenditures by line item as defined by task in the RWP budget. Moving funds from one line item to another is possible, but may require an administrative or formal amendment, depending on the amounts, thus the RTPOs are responsible for tracking expenditures per line item. RTPOs should use the boilerplate Excel workbook provided by the GTG Liaison (an example is provided in Appendix D) and submit this report with the Reimbursement Packet.
- **Quarterly Expenditure Summary** - The purpose of this report is to provide a summary of federal funds expended plus local match paid, by quarter. RTPOs should separate out various FHWA funds, FTA funds, and other fund sources as applicable. MPOs should use the boilerplate Excel workbook provided by the GTG Liaison (an example is provided in Appendix D) and submit this report with the Reimbursement Packet.

Submittal and Review Process. The NMDOT requires RTPO Planners to submit a complete and accurate Reimbursement Packet to the assigned NMDOT GTG Liaison, according to the checklist provided below. 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 processes the approved Reimbursement Packet for payment. The NMDOT has a total of 15 days 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 Planner requesting additional information or providing grounds for rejecting the packet. It is then up to the RTPO Planner to resubmit the required materials and/or revisions.

RTPO Reimbursement Packet Checklist. All Reimbursement Packets must contain the following information. GTG Liaisons will use this checklist and the Reimbursement Packet Checklist included in Appendix E) to review the documentation for accuracy and completeness:

- ❖ Request for Reimbursement Cover Letter that includes:
 - ✓ Date
 - ✓ RTPO contact and contact information
 - ✓ Vendor Number
 - ✓ Control Number(s)
 - ✓ Invoice or Reimbursement Number
 - ✓ Invoice Period of Performance (Quarter or Month)
 - ✓ Amount of reimbursement requested

- ❖ Quarterly Report on Project Activities/Progress using the RWP format as outlined above which includes:
 - ✓ Updates for all RWP tasks
 - ✓ Total staff hours per task per quarter
 - ✓ Cumulative accounting of quarterly activities by task and percent completion of task with supporting documentation
 - ✓ Explanation of expenditures included on Invoice, such as consultant services associated with a RWP task

Note: If no specific activities were scheduled to occur under a given RWP task for a given quarter, state that fact in the Quarterly Report under the task in question. In addition, identify and explain any schedule changes encountered and how the RTPO intends to address the changes, particularly any delays.

- ❖ Invoice that includes:
 - ✓ Date
 - ✓ Fiscal Agent and contact information
 - ✓ Vendor Number
 - ✓ Control Number(s)
 - ✓ Purchase Order Number(s)
 - ✓ Invoice or Reimbursement Number
 - ✓ Invoice Period of Performance (Quarter or Month)
 - ✓ Amount of reimbursement requested with Local Match clearly identified
 - ✓ Timesheet Summary
 - ✓ Quarterly Budget Report
 - ✓ Quarterly Expenditure Summary
 - ✓ Notification/Request to Close in the case of Final Invoice
 - ✓ Entity Certification and Signature (MPO/fiscal agent representative)
- ❖ Invoice Documentation that is organized and clearly explains the expenditures. If necessary, documentation should include page numbers and a summary of the expenditures and associated documentation. . At a minimum, invoices should include the following:
 - ✓ Written, detailed explanation of any line item, non-personnel costs that total more than \$500
 - ✓ Invoices and proof of payment for any purchases over \$500,
 - ✓ Documentation of the Match provided.

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."¹⁰⁶ 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, although additional information is required, as outlined below.

The Annual Performance and Expenditure Report must contain at a minimum.¹⁰⁷

- 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 under-runs
- Approved RWP revisions
- Any amount of federal funds not spent during the fiscal year for implementation of the RWP
- 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 update their functional classifications when updating their RTPs and when requested as part of a statewide functional classification update effort. The NMDOT will conduct a statewide functional classification review following each decennial census.

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

¹⁰⁶ 23 CFR §420.117(a) – What are the program monitoring and reporting requirements?: DOT monitors all activities performed by its staff

¹⁰⁷ 23 CFR §420.117(b)(1) – What are the program monitoring and reporting requirements?: DOT must submit performance and expenditure reports

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, Data Management Bureau Chief, and TIMS Section Head/staff member responsible for updating database supporting the NMDOT’s annual HPMS submittal
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 GTG Liaison reviews the proposal on behalf of the NMDOT, with input from the GTG Unit Supervisor, 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 GTG Liaison prepares a submittal letter to FHWA-NM for signature by the Planning Division Director
 - FHWA-NM has a minimum 30 days to review, comment and/or approve the requested changes
 - The GTG Liaison notifies all parties of approved changes, including the MPO/RTPO, District Engineer, GIS Unit, Data Management Bureau Chief, and Transportation Information Management System (TIMS) Section Head (functionally, the staff member responsible for updating database supporting the NMDOT’s annual HPMS submittal.)

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, the NMDOT will provide technical support to assist in the funding and development of a traffic count program. The counts must be coordinated with

and accepted by the NMDOT Bureau. The RTPOs are referred to the SWRTPO 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):

- Memorandum of Agreement
- Notice to Proceed
- Quality Assurance Review Process

Cooperative Agreement

The Cooperative Agreement (CA) is the basic contractual agreement between the NMDOT and the RTPO that delineates the responsibilities of each organization¹⁰⁸. NMDOT will prepare new CAs in response to recurring “triggers”:

- A new federal transportation authorization bill introduces new requirements (MAP-21)
- This first iteration of this PPM which establishes new schedules and protocols that the CAs must address (significant future revisions to this PPM may trigger the need to update CAs absent a change in Federal transportation legislation)
- Expiration of Cooperative Agreements. The CAs effective July 1, 2015 will expire September 30, 2018.
-

Notice to Proceed

Upon FHWA-NM approval of the NMDOT Division PWP, the NMDOT issues a Notice to Proceed to the RTPOs as a notice to start work on the RWP. The Notice to Proceed authorizes the RTPO to seek reimbursement for the federal portion of the approved RWP budget for a federal fiscal year. The NMDOT Bureau sends out the Notice to Proceed by September 30 so that RTPOs can begin work on October 1 (the initial Notice to Proceed letter for the federal fiscal year covers October 1 of the start year through September 30 of the next year). .

¹⁰⁸ As of the PPM First Amendment, the current MOAs were updated in 2010 and expire on June 30, 2015. The NMDOT is in the process of developing new MOAs.

Quality Assurance Review Process

GTG Liaisons will meet with their assigned RTPOs on a regular basis (quarterly at a minimum) to review UPWP 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
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.

The GTG Liaison will review the audit and report any audit findings identifying deficiencies and/or the need for corrective action to the GTG Unit Supervisor. The GTG Unit Supervisor will bring the audit findings to the attention of the Bureau Chief and, ultimately, the Division Director, who will determine the course of action to be undertaken in addition to the GTG Liaison proceeding to conduct the annual Quality Assurance Site Review.

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 biannual 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.
- 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 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
- 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 a WP 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 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	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	NMDOT Secretary, FHWA-NM and FTA Region 6 are provided notification of the hearing

discuss suspension of payment.

- 4) 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
- 5) 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 – keep log and timesheet
- ☐ 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 Regional Work Program quarterly amendments to GTG Liaison, as needed, for approval by 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

Annual

- ☐ Prepare and submit annual Regional Work Program budget to GTG Liaison, for approval by FHWA-NM and FTA Region 6
- ☐ Prepare and submit Annual Performance and Expenditure Report 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 Work Authorization received from NMDOT
- ☐ Participate in Quality Assurance Review
- ☐ Participate in annual meeting with NMDOT and MPOs
- ☐ Issue calls for projects (TAP, HSIP and other discretionary programs)
- ☐ Assist member governments with preparing and submitting Project Identification Forms

Every 2 Years

- ☐ Prepare and submit draft two-year Regional Work Program to GTG Liaison
- ☐ Prepare and submit final two-year Regional Work Program to GTG Liaison, for approval by FHWA-NM and FTA Region 6
- ☐ Prepare and submit Cost Allocation Plan, for approval by FHWA-NM and FTA Region 6

Every 4 Years

- ☐ Review and update as necessary Memorandum of Agreement with NMDOT
- ☐ Update Regional Long Range Transportation Plan (RTP) in coordination with the development of the New Mexico Transportation Plan (NMTP)
- ☐ 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 to GTG Liaison, provided to FHWA-NM and FTA Region 6 for informational purposes only
- ☐ Review and update Title VI Plan, and submit 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

RTPO As-Needed Checklist

- ☐ Review and update bylaws, as necessary (for example, after new federal transportation legislation is passed)
- ☐ Review and update Memorandum of Agreement with NMDOT, as necessary (for example, after new federal transportation legislation is passed)

Archiving Requirements

Archiving is the process of accumulating and storing documents that record the function and work products of the NMDOT and RTPs. New Mexico state law regarding archiving and record keeping requirements is more stringent than Federal law; therefore, the following state law applies:

New Mexico Administrative Code (NMAC)	Name/Description
1.18.805.24	Federal Planning Reports
A	Program: planning
B	Maintenance system: chronological by calendar year, then by date created
C	Description: reports containing various federally mandated interstate and roadway information. Reports are output from TRADAS, 1.18.805.23 NMAC and accident records citation system, 1.18.805.232 NMAC, 1.18.805.16 NMAC. Some of these reports may include highway performance monitoring system report, monthly volume summary at continuous counter sites reports, monthly and quarterly speed schedule audit reports, federal speed compliance monthly and quarterly speed summaries, etc.
D	Retention: 10 years after close of calendar year in which created
1.18.805.31	Federal and State Apportionments Reports Files
A	Program: planning
B	Maintenance system: chronological by federal fiscal year
C	Description: reports concerning obligated federal and state funds for various highway-related projects (that is, construction, planning programs, feasibility studies, consultants, etc.). Files may include reports from the federal highway administration, departmental staff reports, correspondence, etc.
D	Retention: 5 years after end of federal fiscal year in which created
1.15.2.114	Manuals of Procedures
A	Program: administrative records
B	Maintenance system: agency preference
C	Description: manuals of procedure prepared and published by state agencies for the guidance of public officers and employees engaged in operations required for the efficient operation of state and local government, including but not limited to acquiring space, budgeting, accounting, purchasing, contracting, vouchering, printing, appointment and dismissal of employees, record maintenance, etc.
D	Retention: until superseded by new manual of procedure

New Mexico Administrative Code (NMAC)	Name/Description
1.15.2.117	Reports
A	Program: administrative records
B	Maintenance system: agency preference
C	Description: [RESERVED]
D	Retention (1) annual, biennial or other periodic reports required by Article V, Section 9 N.M. Constitution or by specific statute: permanent (2) routine, interim or progress reports: 2 years after close of fiscal year in which created
1.15.2.151	Feasibility Studies
A	Program: administrative
B	Maintenance system: agency preference
C	Description: studies requested/conducted prior to the acquisition, installation, implementation and/or purchase of new technologies, equipment, properties, projects, etc. [Studies may be incorporated into other files (that is, project files)].
D	Retention: (1) studies requested or conducted by agency: 5 years after completion or cancellation of study (2) courtesy copies received by agency: until informational value ends
1.15.2.307	Publications
A	Program: public relations
B	Maintenance system: chronological by publication date
C	Description: printed work regardless of format or method of reproduction published by any state agency or political subdivision for distribution and that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency; and is publicly distributed outside the agency by or for the agency.
D	Retention: (1) Publications filed with the state library per Section 18-2-4.1 NMSA 1978: (a) Agency's copy: until superseded or until information no longer needed for reference (b) State library's copy: permanent

New Mexico Administrative Code (NMAC)	Name/Description
	(c) State archive's copy: permanent (2) All other publications: transfer to archives for review and final disposition
1.15.4.208	Revenue Contracts and Grants
A	Program: revenue records
B	Maintenance system: [RESERVED]
C	Description: contracts and grants for the receipt of monies by the New Mexico state government from other sources includes, but is not limited to, block grants, negotiated grants, federal agency grants, etc. Where there is required reporting of expenditures to a federal agency, retain records for 6 years after termination of grant/contract or retain records for 5 years after submission of final expenditure report, whichever is longer.
D	Retention: 6 years after termination of contract
1.15.4.307	Contract/Agreement Files
A	Program: expenditure records
B	Maintenance system: [RESERVED]
C	Description: records concerning contracts let through bid by the state purchasing division, technical/professional service contracts, lease/rental contracts, agreements, etc. File may include contract/agreement, bid information, contract/agreement specifications, correspondence memoranda, etc.
D	Retention: 6 years after termination of contract/agreement

References

Federal Highway Administration (FHWA), 2012. *Highway Functional Classification Concepts, Criteria and Procedures – 2012 Edition*. December.

Federal Highway Administration and Federal Transit Administration, 2007. *The Transportation Planning Process: Key Issues -- A Briefing Book for Transportation Decisionmakers, Officials, and Staff*. A Publication of the Transportation Planning Capacity Building Program. Publication Number: FHWA-HEP-07-039, updated September 2007.
<http://www.planning.dot.gov/documents/BriefingBook/BBook.htm#2BB>

CODE OF FEDERAL REGULATIONS

2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. This supercedes 2 CFR Part 225. "Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)," *Title 2, Grants and Agreements, Subtitle A, Office of Management and Budget Guidance for Grants and Agreements, Chapter II, Office of Management and Budget Circulars and Guidance, Subchapter [Reserved], Code of Federal Regulations*. Washington D.C. January 1, 2012.

23 CFR Part 420. *Title 23, Highways, Chapter I, Federal Highway Administration, Department of Transportation, Subchapter E, Planning and Research, Part 420, Planning and Research Program Administration, Subpart A, Administration of FHWA Planning and Research Funds, Code of Federal Regulations*. Washington D.C. April 1, 2011.

- Section 420.101: What is the purpose of this part?
- Section 420.103: How does the FHWA define the terms used in this part?
- Section 420.105: What is the FHWA's policy on use of FHWA planning and research funds?
- Section 420.107: What is the minimum required expenditure of State planning and research funds for research development and technology transfer?
- Section 420.111: What are the documentation requirements for use of FHWA planning and research funds?
- Section 420.113: What costs are eligible?
- Section 420.115: What are the FHWA approval and authorization requirements?
- Section 420.117: What are the program monitoring and reporting requirements?
- Section 420.119: What are the fiscal requirements?
- Section 420.120: What other requirements apply to the administration of FHWA planning and research funds?

23 CFR Part 450. "Planning Assistance and Standards," *Title 23, Highways, Chapter I, Federal Highway Administration, Department of Transportation, Subchapter E, Planning and Research, Code of Federal Regulations*. Washington D.C. April 1, 2011.

- Subpart A, Transportation Planning and Programming Definitions

23 CFR Part 450. "Planning Assistance and Standards," *Title 23, Highways, Chapter I, Federal Highway Administration, Department of Transportation, Subchapter E, Planning and Research, Subpart B, Statewide Transportation Planning and Programming, Code of Federal Regulations*. Washington D.C. April 1, 2011.

- Section 450.200: Purpose
- Section 450.201: Applicability
- Section 450.204: Definitions
- Section 450.206: Scope of the statewide transportation planning process
- Section 450.208: Coordination of planning process activities
- Section 450.210: Interested parties, public involvement, and consultation
- Section 450.216: Development and content of the long range statewide transportation plan

23 CFR Part 450. "Planning Assistance and Standards," *Title 23, Highways, Chapter I, Federal Highway Administration, Department of Transportation, Subchapter E, Planning and Research, Part 450, Planning Assistance and Standards, Subpart C, Metropolitan Transportation Planning and Programming, Code of Federal Regulations*. Washington D.C. April 1, 2011.

- Section 450.310: Metropolitan planning organization designation and redesignation
- Section 450.312: Metropolitan planning area boundaries
- Section 450.314: Metropolitan planning agreements
- Section 450.320: Congestion management process in transportation management areas
- Section 450.322: Development and content of the metropolitan transportation plan
- Section 450.324: Development and content of the transportation improvement program (TIP)
- Section 450.326: TIP revisions and relationship to the STIP
- Section 450.328: TIP action by the FHWA and the FTA
- Section 450.334: Self-certifications and Federal certifications

40 CFR Part 93. "Determining Conformity of Federal Actions to State or Federal implementation Plans," *Title 40, Protection of Environment, Chapter I, Environmental Protection Agency, Subchapter C, Air Programs, Code of Federal Regulations*. Washington D.C. July 1, 2000.

49 CFR Part 18. "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," *Title 49, Transportation, Subtitle A, Office of the Secretary of Transportation, Code of Federal Regulations*. Washington D.C. October 1, 2009.

49 CFR Part 611. "Major Capital Investment Projects," *Title 49, Transportation, Subtitle B, Other Regulations Relating to Transportation (Continued), Chapter VI, Federal Transit Administration, Department of Transportation, Code of Federal Regulations*. Washington D.C. October 1, 2012.

49 CFR Part 613. "Planning Assistance and Standards," *Title 49, Transportation, Subtitle B, Other Regulations Relating to Transportation (Continued), Chapter VI, Federal Transit Administration, Department of Transportation, Code of Federal Regulations*. Washington D.C. October 1, 2012.

NEW MEXICO ADMINISTRATIVE CODE

- 1.18.805.16 NMAC. "Electronic Document Management System," *Title 1 General Government Administration, Chapter 18, Executive Records Retention and Disposition Schedules (ERRDS), PART 805, ERRDS, Department of Transportation, New Mexico Administrative Code*. Santa Fe, New Mexico. September 29, 2008.
- 1.18.805.23 NMAC, "TRADAS System," *Title 1 General Government Administration, Chapter 18, Executive Records Retention and Disposition Schedules (ERRDS), PART 805, ERRDS, Department of Transportation, New Mexico Administrative Code*. Santa Fe, New Mexico. September 29, 2008.
- 1.18.805.232 NMAC. "Accident Records Citation System," *Title 1 General Government Administration, Chapter 18, Executive Records Retention and Disposition Schedules (ERRDS), PART 805, ERRDS, Department of Transportation, New Mexico Administrative Code*. Santa Fe, New Mexico. September 29, 2008.

NEW MEXICO STATUTES ANNOTATED

67-3-14 NMSA. "State Transportation Commission; Powers and Duties; Road Funds." 1978.

PUBLIC LAWS

Public Law 103-454. *Federally Recognized Indian Tribe List Act of 1994*. Washington D.C. November 2, 1994.

UNITED STATES CODE

23 USC Chapter 1. *Title 23, Highways, Chapter 1, Federal-Aid Highways, United States Code*. Washington D.C. January 3, 2012.

- Section 101: Definitions and declaration of policy
- Section 103: Federal-aid systems
- Section 104: Apportionment
- Section 106: Project approval and oversight
- Section 133: Surface transportation program
- Section 134: Metropolitan transportation planning
- Section 135: Statewide and nonmetropolitan transportation planning
- Section 148: Highway safety improvement program
- Section 150: National goals and performance management measures
- Section 167: National freight policy

23 USC Chapter 2. *Title 23, Highways, Chapter 2, Other Highways, United States Code*. Washington D.C. January 3, 2012.

- Section 202: Allocations
- Section 203: Federal lands transportation program
- Section 204: Federal lands access program
- Section 213: Transportation alternatives

23 USC Chapter 3. *Title 23, Highways, Chapter 3, General Provisions, United States Code*. Washington D.C. January 3, 2012.

- Section 328: Eligibility for environmental restoration and pollution abatement
- Section 329: Eligibility for control of noxious weeds and aquatic noxious weeds and establishment of native species

23 USC Chapter 505. *Title 23, Highways, Chapter 5, Research, Technology, and Education, United States Code*. Washington D.C. January 3, 2012.

- Section 505: State planning and research

42 USC § 7407. “Air Quality Control Regions,” *Title 42, The Public Health and Welfare, Chapter 85, Air Pollution Prevention and Control, Subchapter I, Programs and Activities, Part A, Air Quality and Emission Limitations, United States Code*. Washington D.C. January 23, 2004.

42 USC § 7506. “Limitations on Certain Federal Assistance,” *Title 42, The Public Health and Welfare, Chapter 85, Air Pollution Prevention and Control, Subchapter I, Programs and Activities, Part D, Plan Requirements for Nonattainment Areas, Subpart 1, Nonattainment Areas in General, United States Code*. Washington D.C. August 10, 2005.

42 USC § 12101. “Findings and Purpose,” *Title 42, The Public Health and Welfare, Chapter 126, Equal Opportunity for Individuals with Disabilities, United States Code*. Washington D.C. September 25, 2008.

49 USC Chapter 53. *Title 49, Transportation, Subtitle III, General and Intermodal Programs, Chapter 53, Public Transportation, United States Code*. Washington D.C. January 3, 2012.

- Section 5301: Policies, Findings, and Purposes
- Section 5303: Metropolitan Transportation Planning
- Section 5304: Statewide and Nonmetropolitan Transportation Planning
- Section 5306: Private Enterprise Participation in Metropolitan Planning and Transportation Improvement Programs and Relationship to Other Limitations
- Section 5309: Fixed Guideway Capital Investment Grants
- Section 5326: Transit Asset Management
- Section 5329: Investigations of Safety Hazards and Security Risks
- Section 5336: Apportionment of Appropriations for Formula Grants

Glossary

(Adapted from 23 CFR § 450.104 and 23 USC § 101)

administrative modification. A minor revision to a long range statewide or metropolitan transportation plan, Transportation Improvement Program (TIP), or Statewide Transportation Improvement Program (STIP) that includes minor changes to project/ project phase costs, minor changes to funding sources of previously included projects, and minor changes to project/project phase initiation dates. An administrative modification is a revision that does not require public review and comment, re-demonstration of fiscal constraint, or a conformity determination (in nonattainment and maintenance areas).

alternatives analysis (AA). A study required for eligibility of funding under the Federal Transit Administration's (FTA's) Capital Investment Grant program (49 USC § 5309), which includes an assessment of a range of alternatives designed to address a transportation problem in a corridor or subarea, resulting in sufficient information to support selection by state and local officials of a locally preferred alternative for adoption into a metropolitan transportation plan, and for the Secretary to make decisions to advance the locally preferred alternative through the project development process, as set forth in 49 CFR Part 611 (Major Capital Investment Projects).

amendment. A revision to a long range statewide or metropolitan transportation plan, Transportation Improvement Program (TIP), or Statewide Transportation Improvement Program (STIP) that involves a major change to a project included in a metropolitan transportation plan, TIP, or STIP, including the addition or deletion of a project or a major change in project cost, project/project phase initiation dates, or a major change in design concept or design scope (e.g., changing project termini or the number of through traffic lanes). Changes to projects that are included only for illustrative purposes do not require an amendment. An amendment is a revision that requires public review and comment, re-demonstration of fiscal constraint, or a conformity determination (for metropolitan transportation plans and TIPs involving "non-exempt" projects in nonattainment and maintenance areas). In the context of a long range statewide transportation plan, an amendment is a revision approved by the state in accordance with its public involvement process.

apportionment. Includes unexpended apportionments made under prior authorization laws.

asset management. A strategic and systematic process of operating, maintaining, and improving physical assets, with a focus on both engineering and economic analysis based upon quality information, to identify a structured sequence of maintenance, preservation, repair, rehabilitation, and replacement actions that will achieve and sustain a desired state of good repair over the lifecycle of the assets at minimum practicable cost.

attainment area. Any geographic area in which levels of a given criteria air pollutant (for example, ozone, carbon monoxide, PM10, PM2.5, and nitrogen dioxide) meet the health-based National Ambient Air Quality Standards (NAAQS) for that pollutant. An area may be an attainment area for one pollutant and a nonattainment area for others. A "maintenance area" is not considered an attainment area for transportation planning purposes. Also see *maintenance area*; *nonattainment area*.

available funds. Funds derived from an existing source dedicated to or historically used for transportation purposes. For federal funds, authorized and/or appropriated funds and the extrapolation of formula and discretionary funds at historic rates of increase are considered "available." A similar approach may be used for state and local funds that are dedicated to or historically used for transportation purposes. Also see *committed funds*.

carpool project. Refers to any project to encourage the use of carpools and vanpools, including provision of carpooling opportunities to the elderly and individuals with disabilities; systems for locating potential riders and informing them of carpool opportunities; acquiring vehicles for carpool use; designating existing highway lanes as preferential carpool highway lanes; providing related traffic control devices; designating existing facilities for use for preferential parking for carpools; and real-time ridesharing projects (such as projects where drivers, using an electronic transfer of funds, recover costs directly associated with the trip provided through the use of location

technology to quantify those direct costs, subject to the condition that the cost recovered does not exceed the cost of the trip provided).

committed funds. Funds dedicated or obligated for transportation purposes. For state funds that are not dedicated to transportation purposes, only those funds over which the Governor has control may be considered “committed.” Approval of a Transportation Improvement Program (TIP) by the Governor is considered a commitment of those funds over which the Governor has control. For local or private sources of funds not dedicated to or historically used for transportation purposes (including donations of property), a commitment in writing (for example, letter of intent) by the responsible official or body having control of the funds may be considered a commitment. For projects involving 49 USC § 5309 funding, execution of a Full Funding Grant Agreement (or equivalent) or a Project Construction Grant Agreement with the U.S. Department of Transportation shall be considered a multi-year commitment of federal funds. Also see *available funds*.

conformity. A Clean Air Act [42 USC § 7506(c)] requirement that ensures that federal funding and approval are given to transportation plans, programs and projects that are consistent with the air quality goals established by a State Implementation Plan (SIP). Conformity, to the purpose of the SIP, means that transportation activities will not cause new air quality violations, worsen existing violations, or delay timely attainment of the National Ambient Air Quality Standards (NAAQS). The transportation conformity rule (40 CFR 93) sets forth policy, criteria, and procedures for demonstrating and assuring conformity of transportation activities.

conformity lapse. Pursuant to Section 176(c) of the Clean Air Act [42 USC § 7506(c)], as amended, the conformity determination for a metropolitan transportation plan or Transportation Improvement Program (TIP) has expired and, thus, there is no currently conforming metropolitan transportation plan or TIP.

congestion management process. A systematic approach required in transportation management areas (TMAs) that provides for effective management and operation, based on a cooperatively developed and implemented metropolitan-wide strategy, of new and existing transportation facilities eligible for funding under Title 23 USC, and Title 49 USC, through the use of operational management strategies.

consideration. One or more parties takes into account the opinions, action, and relevant information from other parties in making a decision or determining a course of action.

construction. The supervising, inspecting, actual building, and incurrence of all costs incidental to the construction or reconstruction of a highway or any project eligible for assistance under this title, including bond costs and other costs relating to the issuance in accordance with Section 122 (23 USC § 101) of bonds or other debt financing instruments and costs incurred by the state in performing federal-aid project-related audits that directly benefit the Federal-Aid Highway Program. Such term includes (A) preliminary engineering, engineering, and design-related services directly relating to the construction of a highway project, including engineering, design, project development and management, construction project management and inspection, surveying, mapping (including the establishment of temporary and permanent geodetic control in accordance with specifications of the National Oceanic and Atmospheric Administration [NOAA]), and architectural-related services; (B) reconstruction, resurfacing, restoration, rehabilitation, and preservation; (C) acquisition of rights-of-way; (D) relocation assistance, acquisition of replacement housing sites, and acquisition and rehabilitation, relocation, and construction of replacement housing; (E) elimination of hazards of railway-highway grade crossings; (F) elimination of roadside hazards; (G) improvements that directly facilitate and control traffic flow, such as grade separation of intersections, widening of lanes, channelization of traffic, traffic control systems, and passenger loading and unloading areas; and (H) capital improvements that directly facilitate an effective vehicle weight enforcement program, such as scales (fixed and portable), scale pits, scale installation, and scale houses.

consultation. One or more parties confer with other identified parties in accordance with an established process and, prior to taking action(s), consider the views of the other parties and periodically inform them about action(s) taken. This definition does not apply to the “consultation” performed by the states and the municipal planning organizations (MPOs) in comparing the long range statewide transportation plan and the metropolitan transportation plan, respectively, to state and tribal conservation plans or maps or inventories of natural or historic resources [see 23 CFR § 450.214(i) and § 450.322(g)(1) and (g)(2)].

cooperation. The parties involved in carrying out the transportation planning and programming processes work together to achieve a common goal or objective.

coordinated public transit-human services transportation plan. A locally developed, coordinated transportation plan that identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes; provides strategies for meeting those local needs; and prioritizes transportation services for funding and implementation.

coordination. The cooperative development of plans, programs, and schedules among agencies and entities with legal standing and adjustment of such plans, programs, and schedules to achieve general consistency, as appropriate.

county. This term includes corresponding units of government under any other name in states that do not have county organizations and, in those states in which the county government does not have jurisdiction over highways, any local government unit vested with jurisdiction over local highways.

design concept. The type of facility identified for a transportation improvement project (for example, freeway, expressway, arterial highway, grade-separated highway, toll road, reserved right-of-way rail transit, mixed-traffic rail transit, or busway).

design scope. The aspects that will affect the proposed facility's impact on the region, usually as they relate to vehicle or person carrying capacity and control (for example, number of lanes or tracks to be constructed or added, length of project, signalization, safety features, access control including approximate number and location of interchanges, or preferential treatment for high-occupancy vehicles).

designated recipient. An entity designated, in accordance with the planning process under 49 USC §§ 5303, 5304, and 5306, by the chief executive officer of a state, responsible local officials, and publicly-owned operators of public transportation, to receive and apportion amounts under 49 USC § 5336 that are attributable to transportation management areas (TMAs) identified under 49 USC § 5303, or a state regional authority if the authority is responsible under the laws of a state for a capital project and for financing and directly providing public transportation.

environmental mitigation activities. Strategies, policies, programs, actions, and activities that, over time, will serve to avoid, minimize, or compensate for (by replacing or providing substitute resources) the impacts to or disruption of elements of the human and natural environment associated with the implementation of a long range statewide transportation plan or metropolitan transportation plan. The human and natural environment includes neighborhoods and communities, homes and businesses, cultural resources, parks and recreation areas, wetlands and water sources, forested and other natural areas, agricultural areas, endangered and threatened species, and the ambient air. The environmental mitigation strategies and activities are intended to be regional in scope, and may not necessarily address potential project-level impacts.

Federal-aid highway. A public highway eligible for assistance under 23 USC § 101 other than a highway functionally classified as a local road or rural minor collector.

federal land management agency. Units of the federal government currently responsible for the administration of public lands (for example, U.S. Forest Service, U.S. Fish and Wildlife Service, Bureau of Land Management, and the National Park Service).

federal lands access transportation facility. A public highway, road, bridge, trail, or transit system that is located on, is adjacent to, or provides access to federal lands for which title or maintenance responsibility is vested in a state, county, town, township, tribal, municipal, or local government.

federal lands transportation facility. A public highway, road, bridge, trail, or transit system that is located on, is adjacent to, or provides access to federal lands for which title and maintenance responsibility is vested in the federal government, and that appears on the national federal lands transportation facility inventory described in 23 USC § 203(c).

federally funded nonemergency transportation services. Transportation services provided to the general public, including those with special transport needs, by public transit, private nonprofit service providers, and private third-party contractors to public agencies.

financial plan. Documentation required to be included with a metropolitan transportation plan and Transportation Improvement Program (TIP) (and optional for the long range statewide transportation plan and Statewide Transportation Improvement Program [STIP]) that demonstrates the consistency between reasonably available and projected sources of federal, state, local, and private revenues and the costs of implementing proposed transportation system improvements.

financially constrained or fiscal constraint. The metropolitan transportation plan, Transportation Improvement Program (TIP), and Statewide Transportation Improvement Program (STIP) includes sufficient financial information for demonstrating that projects in the metropolitan transportation plan, TIP, and STIP can be implemented using committed, available, or reasonably available revenue sources, with reasonable assurance that the federally supported transportation system is being adequately operated and maintained. For the TIP and the STIP, financial constraint/fiscal constraint applies to each program year. Additionally, projects in air quality nonattainment and maintenance areas can be included in the first 2 years of the TIP and STIP only if funds are “available” or “committed.” Also see *available funds*; *committed funds*.

forest development roads and trails. Forest roads and trails under the jurisdiction of the U.S. Forest Service.

forest road or trail. A road or trail wholly or partly within, or adjacent to, and serving the National Forest System that is necessary for the protection, administration, and utilization of the National Forest System and the use and development of its resources.

freight shipper. Any business that routinely transports its products from one location to another by providers of freight transportation services or by its own vehicle fleet.

Full Funding Grant Agreement. An instrument that defines the scope of a project, the federal financial contribution, and other terms and conditions for funding New Starts projects as required by 49 USC § 5309(d)(1).

Governor. The Governor of any of the 50 states or the Commonwealth of Puerto Rico or the Mayor of the District of Columbia.

highway. This term includes (A) a road, street, and parkway; (B) a right-of-way, bridge, railroad-highway crossing, tunnel, drainage structure including public roads on dams, sign, guardrail, and protective structure, in connection with a highway; and (C) a portion of any interstate or international bridge or tunnel and the approaches thereto, the cost of which is assumed by a state transportation department, including such facilities as may be required by the U.S. Customs and Immigration Services in connection with the operation of an international bridge or tunnel.

illustrative project. An additional transportation project that may (but is not required to) be included in a financial plan for a metropolitan transportation plan, Transportation Improvement Program (TIP), or Statewide Transportation Improvement Program (STIP) if reasonable additional resources were to become available.

Indian Tribal government. A duly formed governing body for an Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian Tribe pursuant to the Federally Recognized Indian Tribe List Act of 1994, Public Law 103-454.

intelligent transportation system (ITS). Electronics, photonics, communications, or information processing used singly or in combination to improve the efficiency or safety of a surface transportation system.

interim metropolitan transportation plan. A transportation plan composed of projects eligible to proceed under a conformity lapse and otherwise meeting all other applicable provisions of this part, including approval by the municipal planning organization (MPO).

Interim Transportation Improvement Program. A Transportation Improvement Program (TIP) composed of projects eligible to proceed under a conformity lapse and otherwise meeting all other applicable provisions of this part, including approval by the municipal planning organization (MPO) and the Governor.

Interstate System. The Dwight D. Eisenhower National System of Interstate and Defense Highways as described in 23 USC § 103(c).

long range statewide transportation plan. The official, statewide, multimodal, transportation plan covering a period of no less than 20 years developed through the statewide transportation planning process.

maintenance. The preservation of the entire highway, including surface, shoulders, roadsides, structures, and such traffic-control devices as are necessary for safe and efficient use of the highway.

maintenance area. Any geographic region of the United States that the U.S. Environmental Protection Agency (EPA) previously designated as a nonattainment area for one or more pollutants pursuant to the Clean Air Act Amendments of 1990, and subsequently redesignated as an attainment area subject to the requirement to develop a maintenance plan under Section 175A of the Clean Air Act, as amended. Later redesignated by the Administrator of the Environmental Protection Agency as an air quality attainment area, under Section 107(d) of the Clean Air Act [42 USC § 7407(d)]. Also see *attainment area*; *nonattainment area*.

management system. A systematic process, designed to assist decision makers in selecting cost effective strategies/actions to improve the efficiency or safety of, and protect the investment in the nation's infrastructure. A management system can include Identification of performance measures; data collection and analysis; determination of needs; evaluation and selection of appropriate strategies/actions to address the needs; and evaluation of the effectiveness of the implemented strategies/actions.

metropolitan planning area (MPA). The geographic area determined by agreement between the metropolitan planning organization (MPO) for the area and the Governor, in which the metropolitan transportation planning process is carried out.

metropolitan planning organization (MPO). The policy board of an organization created and designated to carry out the metropolitan transportation planning process.

metropolitan transportation plan. The official multimodal transportation plan addressing no less than a 20-year planning horizon that is developed, adopted, and updated by the metropolitan planning organization (MPO) through the metropolitan transportation planning process.

National Ambient Air Quality Standards (NAAQS). Those standards established pursuant to Section 109 of the Clean Air Act.

National Highway System. The Federal-Aid highway system as described in 23 USC § 103(b).

nonattainment area. Any geographic region of the United States that has been designated by the U.S. Environmental Protection Agency (EPA) as a nonattainment area under Section 107 of the Clean Air Act for any pollutants for which National Ambient Air Quality Standards (NAAQS) exists. Also see *attainment area*; *maintenance area*.

nonmetropolitan area. A geographic area outside a designated metropolitan planning area.

nonmetropolitan local officials. Elected and appointed officials of general purpose local government in a nonmetropolitan area with responsibility for transportation.

obligated projects. Strategies and projects funded under Title 23 USC and 49 USC Chapter 53 for which the supporting federal funds were authorized and committed by the state or designated recipient in the preceding program year, and authorized by the Federal Highway Administration (FHWA) or awarded as a grant by the Federal Transit Administration (FTA).

operating costs for traffic monitoring, management, and control. This term includes labor costs, administrative costs, costs of utilities and rent, and other costs associated with the continuous operation of traffic control, such as integrated traffic control systems, incident management programs, and traffic control centers.

operational and management strategies. Actions and strategies aimed at improving the performance of existing and planned transportation facilities to relieve congestion and maximizing the safety and mobility of people and goods.

operational improvement. This term (A) means (i) a capital improvement for installation of traffic surveillance and control equipment, computerized signal systems, motorist information systems, integrated traffic control systems, incident management programs, and transportation demand management facilities, strategies, and programs; and (ii) such other capital improvements to public roads as the Secretary may designate, by regulation; and (B) does not include resurfacing, restoring, or rehabilitating improvements, construction of additional lanes, interchanges, and grade separations, and construction of a new facility on a new location.

project. Any transportation undertaking eligible for assistance under Title 23 USC.

project agreement. The formal instrument to be executed by the Secretary and the recipient as required by 23 USC § 106.

Project Construction Grant Agreement. An instrument that defines the scope of a project, the federal financial contribution, and other terms and conditions for funding Small Starts projects as required by 49 USC § 5309(e)(7).

project selection. The procedures followed by metropolitan planning organizations (MPOs), states, and public transportation operators to advance projects from the first four years of an approved Transportation Improvement Program (TIP) and/or Statewide Transportation Improvement Program (STIP) to implementation, in accordance with agreed upon procedures.

provider of freight transportation services. Any entity that transports or otherwise facilitates the movement of goods from one location to another for others or for itself.

public authority. A federal, state, county, town, or township, Indian tribe, municipal, or other local government or instrumentality with authority to finance, build, operate, or maintain toll or toll-free facilities.

public road. Any road or street under the jurisdiction of and maintained by a public authority and open to public travel.

public transportation operator. The public entity which participates in the continuing, cooperative, and comprehensive transportation planning process in accordance with 23 USC §§ 134 and 135, and 49 USC §§ 5303 and 5304, and is the designated recipient of federal funds under 49 USC Chapter 53 for transportation by a conveyance that provides regular and continuing general or special transportation to the public, but does not include school bus, charter, or intercity bus transportation or intercity passenger rail transportation provided by Amtrak.

regional ITS architecture. A regional framework for ensuring institutional agreement and technical integration for the implementation of intelligent transportation system (ITS) projects or groups of projects. Also see *intelligent transportation system*.

regionally significant project. A transportation project [other than projects that may be grouped in the Transportation Improvement Program (TIP) and/or Statewide Transportation Improvement Program (STIP) or exempt projects as defined in the U.S. Environmental Protection Agency's (EPA's) transportation conformity regulation (40 CFR Part 93)] that is on a facility which serves regional transportation needs (such as access to and from the area outside the region; major activity centers in the region; major planned developments such as new retail malls, sports complexes, or employment centers; or transportation terminals) and would normally be included in the modeling of the metropolitan area's transportation network. At a minimum, this includes all principal arterial highways and all fixed-guideway transit facilities that offer a significant alternative to regional highway travel.

revision. A change to a long range statewide or metropolitan transportation plan, Transportation Improvement Program (TIP), or Statewide Transportation Improvement Program (STIP) that occurs between scheduled periodic updates. A major revision is an "amendment," while a minor revision is an "administrative modification."

rural areas. All areas of a state not included in urban areas.

safety improvement project. A strategy, activity, or project on a public road that is consistent with the state strategic highway safety plan and corrects or improves a roadway feature that constitutes a hazard to road users or addresses a highway safety problem.

Secretary. Secretary of Transportation.

state. Any one of the 50 states, the District of Columbia, or Puerto Rico.

state funds. Includes funds raised under the authority of the state or any political or other subdivision thereof, and made available for expenditure under the direct control of the state transportation department.

State Implementation Plan (SIP). As defined in Section 302(q) of the Clean Air Act (CAA), the portion (or portions) of the implementation plan, or most recent revision thereof, which has been approved under Section 110 of the CAA, or promulgated under Section 110(c) of the CAA, or promulgated or approved pursuant to regulations promulgated under Section 301(d) of the CAA and which implements the relevant requirements of the CAA.

state strategic highway safety plan. A comprehensive plan, based on safety data, developed by a state transportation department that (A) is developed after consultation with (i) a highway safety representative of the Governor of the state; (ii) regional transportation planning organizations and metropolitan planning organizations, if any; (iii) representatives of major modes of transportation; (iv) state and local traffic enforcement officials; (v) a highway-rail grade crossing safety representative of the Governor of the state; (vi) representatives conducting a motor carrier safety program under 49 USC § 31102, 31106, or 31309; (vii) motor vehicle administration agencies; (viii) county transportation officials; (ix) state representatives of nonmotorized users; and (x) other major federal, state, tribal, and local safety stakeholders; (B) analyzes and makes effective use of state, regional, local, or tribal safety data; (C) addresses engineering, management, operation, education, enforcement, and emergency services elements (including integrated, interoperable emergency communications) of highway safety as key factors in evaluating highway projects; (D) considers safety needs of, and high-fatality segments of, all public roads, including non-state-owned public roads and roads on tribal land; (E) considers the results of state, regional, or local transportation and highway safety planning processes; (F) describes a program of strategies to reduce or eliminate safety hazards; (G) is approved by the Governor of the state or a responsible state agency; (H) is consistent with 23 USC § 135(g); and (I) is updated and submitted to the Secretary for approval as required under 23 USC § 148(d)(2).

state transportation department. That department, commission, board, or official of any state charged by its laws with the responsibility for highway construction. May be termed “department of transportation.”

Statewide Transportation Improvement Program (STIP). A statewide, prioritized listing/ program of transportation projects covering a period of 4 years that is consistent with the long range statewide transportation plan, metropolitan transportation plans, and Transportation Improvement Programs (TIPs), and required for projects to be eligible for funding under Title 23 USC and Title 49 USC Chapter 53.

strategic highway safety plan. A plan developed by the state department of transportation in accordance with the requirements of 23 USC § 148(a)(6).

transportation alternatives. Any of the following activities when carried out as part of any program or project authorized or funded under this title, or as an independent program or project related to surface transportation: (A) Construction, planning, and design of on-road and off-road trail facilities for pedestrians, bicyclists, and other nonmotorized forms of transportation, including sidewalks, bicycle infrastructure, pedestrian and bicycle signals, traffic calming techniques, lighting and other safety-related infrastructure, and transportation projects to achieve compliance with the Americans with Disabilities Act of 1990 (42 USC § 12101 et seq.). (B) Construction, planning, and design of infrastructure-related projects and systems that will provide safe routes for non-drivers, including children, older adults, and individuals with disabilities to access daily needs. (C) Conversion and use of abandoned railroad corridors for trails for pedestrians, bicyclists, or other nonmotorized transportation users. (D) Construction of turnouts, overlooks, and viewing areas. (E) Community improvement activities, including (i) inventory, control, or removal of outdoor advertising; (ii) historic preservation and rehabilitation of historic transportation facilities; (iii) vegetation management practices in transportation rights-of-way to improve

roadway safety, prevent against invasive species, and provide erosion control; and (iv) archaeological activities relating to impacts from implementation of a transportation project eligible under this title. (F) Any environmental mitigation activity, including pollution prevention and pollution abatement activities and mitigation to (i) address stormwater management, control, and water pollution prevention or abatement related to highway construction or due to highway runoff, including activities described in 23 USC § 133(b)(11), § 328(a), and § 329; or (ii) reduce vehicle-caused wildlife mortality or to restore and maintain connectivity among terrestrial or aquatic habitats.

transportation control measure (TCM). Any measure that is specifically identified and committed to in the applicable State Implementation Plan (SIP) that is either one of the types listed in Section 108 of the Clean Air Act or any other measure for the purpose of reducing emissions or concentrations of air pollutants from transportation sources by reducing vehicle use or changing traffic flow or congestion conditions. Notwithstanding the above, vehicle technology-based, fuel-based, and maintenance-based measures that control the emissions from vehicles under fixed traffic conditions are not TCMs.

Transportation Improvement Program (TIP). A prioritized listing/program of transportation projects covering a period of 4 years that is developed and formally adopted by a metropolitan planning organization (MPO) as part of the metropolitan transportation planning process, consistent with the metropolitan transportation plan, and required for projects to be eligible for funding under Title 23 USC and Title 49 USC Chapter 53.

transportation management area (TMA). An urbanized area with a population over 200,000, as defined by the U.S. Census and designated by the Secretary of Transportation, or any additional area where TMA designation is requested by the Governor and the metropolitan planning organization (MPO) and designated by the Secretary of Transportation.

transportation systems management and operations. Integrated strategies to optimize the performance of existing infrastructure through the implementation of multimodal and intermodal, cross-jurisdictional systems, services, and projects designed to preserve capacity and improve security, safety, and reliability of the transportation system. The term includes (i) actions such as traffic detection and surveillance, corridor management, freeway management, arterial management, active transportation and demand management, work zone management, emergency management, traveler information services, congestion pricing, parking management, automated enforcement, traffic control, commercial vehicle operations, freight management, and coordination of highway, rail, transit, bicycle, and pedestrian operations; and (ii) coordination of the implementation of regional transportation system management and operations investments (such as traffic incident management, traveler information services, emergency management, roadway weather management, intelligent transportation systems, communication networks, and information sharing systems) requiring agreements, integration, and interoperability to achieve targeted system performance, reliability, safety, and customer service levels.

Tribal transportation facility. A public highway, road, bridge, trail, or transit system that is located on or provides access to tribal land and appears on the national tribal transportation facility inventory described in 23 USC § 202(b)(1).

truck stop electrification system. A system that delivers heat, air conditioning, electricity, or communications to a heavy-duty vehicle.

unified planning work program (UPWP). A statement of work identifying the planning priorities and activities to be carried out within a metropolitan planning area. At a minimum, a UPWP includes a description of the planning work and resulting products, who will perform the work, time frames for completing the work, the cost of the work, and the source(s) of funds.

update. Making current a long range statewide transportation plan, metropolitan transportation plan, Transportation Improvement Program (TIP), or Statewide Transportation Improvement Program (STIP) through a comprehensive review. Updates require public review and comment; a 20-year horizon year for metropolitan transportation plans and long range statewide transportation plans; a 6-year program period for TIPs and STIPs; demonstration of fiscal constraint (except for long range statewide transportation plans); and a conformity determination (for metropolitan transportation plans and TIPs in nonattainment and maintenance areas).

urban area. An urbanized area or, in the case of an urbanized area encompassing more than one state, that part of the urbanized area in each such state, or urban place as designated by the U.S. Census having a population of 5,000 or more and not within any urbanized area, within boundaries to be fixed by responsible state and local officials in cooperation with each other, subject to approval by the Secretary. Such boundaries shall encompass, at a minimum, the entire urban place designated by the U.S. Census, except in the case of cities in Maine and New Hampshire.

urbanized area. An area with a population of 50,000 or more designated by the U.S. Census, within boundaries to be fixed by responsible state and local officials in cooperation with each other, subject to approval by the Secretary. Such boundaries shall encompass, at a minimum, the entire urbanized area within a state as designated by the U.S. Census.

users of public transportation. Any person, or groups representing such persons, who use transportation open to the general public, other than taxis and other privately funded and operated vehicles.

visualization techniques. Methods used by states and metropolitan planning organizations (MPOs) in the development of transportation plans and programs with the public, elected and appointed officials, and other stakeholders in a clear and easily accessible format such as maps, pictures, and/or displays, to promote improved understanding of existing or proposed transportation plans and programs.

Acronyms

3-C Process	Continuing, Cooperative and Comprehensive Planning Process
3R	Resurfacing, Restoration, and Rehabilitation
AADT	Annual Average Daily Traffic
AAR	Association of American Railroads
AASHTO	American Association of State Highway and Transportation Officials
ADA	Americans with Disabilities Act of 1990
ADE	Assistant District Engineer
ADT	Average Daily Traffic
ATA	American Trucking Association
ATMS	Advanced Traffic Management System
ATPPL	Alternative Transportation in Parks and Public Lands
ATR	automatic traffic recorder
AVC	Automatic Vehicle Classification
BANs	Bond Anticipation Notes
BEA	Bureau of Economic Analysis
BIA	Bureau of Indian Affairs
BLM	Bureau of Land Management
BLS	Bureau of Labor Statistics
BMPs	Best Management Practices
BOO	Build-Own-Operate
BOR	Bureau of Reclamation
BOT	Build-Operate-Transfer
BP	Bicycle-Pedestrian
BPE	Bicycle-Equestrian-Pedestrian
BPI	Bid Price Index
BPR	U.S. Bureau of Public Roads
BRT	Bus Rapid Transit
BTS	Bureau of Transportation Statistics
Bureau	State Planning Bureau
CA	Cooperative Agreement
CAA	Clean Air Act
CAD	Computer-Aided Design
CAP	Climate Action Plan

CB	U.S. Census
CBNF	closed but not final
CDBG	Community Development Block Grant
CE	Categorical Exclusion
CEQ	Council on Environmental Quality
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CFR	<i>Code of Federal Regulations</i>
CMAQ	Congestion Mitigation and Air Quality
CMP	Congestion Management Plan
CMP	Congestion Mitigation Plan
COG	Council of Governments
CTSP	Comprehensive Transportation Safety Plan
DAR	Defense Access Road Program
D-B	design-build
D-B-B	design-bid-build
DEIS	Draft Environmental Impact Statement
Division	Asset Management and Planning Division (of the New Mexico Department of Transportation)
DMS	Dynamic Message Sign
DO	District Office
DoD	U.S. Department of Defense
DOI	U.S. Department of the Interior
DOT	Department of Transportation
DRB	Dispute Review Board
DTA	Dynamic Traffic Assignment
DUI	driving under the influence
DVMT	daily vehicle miles traveled
EA	Environmental Assessment
EDA	Economic Development Administration
EDD	Economic Development District
EIA	Energy Information Administration
EIS	Environmental Impact Statement
EJ	Environmental Justice
EMS	Emergency Management System
EMS	Emergency Medical Services
EPA	U.S. Environmental Protection Agency

EPMPO	El Paso Metropolitan Planning Organization
ERFO	Emergency Relief for Federally Owned Roads
FAA	Federal Aviation Administration
FAF	Freight Analysis Framework
FAHP	Federal-Aid Highway Program
FARS	Fatality Analysis Reporting System
FCC	Federal Communications Commission
FEIS	Final Environmental Impact Statement
FEMA	Federal Emergency Management Agency
FFY	federal fiscal year
FH	Forest Highways Program
FHWA	Federal Highway Administration
FHWA-NM	New Mexico Division of the Federal Highway Administration
FLAP	Federal Lands Access Program
FLH	Federal Lands Highway
FLHP	Federal Lands Highway Program
FLREA	Federal Lands Recreation Enhancement Act
FLTP	Federal Lands Transportation Program
FMIS	Fiscal Management Information System
FMPO	Farmington Metropolitan Planning Organization
FMS	Freeway Management System
FOBL	Federal Obligation Limitation
FONSI	Finding of No Significant Impacts
FPM	Freight Performance Manifest
FR	Federal Register
FRA	Federal Railroad Administration
FRP	fiber-reinforced polymer
FTA	Federal Transit Administration
FWS	U.S. Fish and Wildlife Service
FY	fiscal year
GHG	greenhouse gas
GHSP	Governor's Highway Safety Program
GIS	geographic information systems
GO	General Office (Santa Fe)
GTG	Government-to-Government

HERS-ST	Highway Economic Requirements System – Statewide Version
HES	Hazard Elimination Safety Program
HOT	high-occupancy toll
HOV	high-occupancy vehicle
HPMS	Highway Performance Monitoring System
HSIP	Highway Safety Improvement Program
HTF	Highway Trust Fund
HUD	U.S. Department of Housing and Urban Development
IHS	Interstate Highway System
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
IT/ITS	Intelligent Transportation/Intelligent Transportation Systems
JPA	Joint Powers Agreement
LCMPO	Las Cruces Metropolitan Planning Organization
LEP	Limited English Proficiency
LGAU	Local Government Agreement Unit
LGRF	Local Government Road Fund
LMHS	Land Management Highway System
LRP	Long Range Plan
L RTP	Long Range Transportation Plan
LTAP	Local Technical Assistance Program
MAP-21	Moving Ahead for Progress in the 21st Century
MOA	Memorandum of Agreement
MPA	Metropolitan Planning Area
MPO	Metropolitan Planning Organization
MRCOG	Mid-Region Council of Governments
MRMPO	Mid-Region Metropolitan Planning Organization
MRRTPO	Mid Region Rural Transportation Planning Organization
MTA	Mass Transit Account
MTP	Metropolitan Transportation Plan
MVMPO	Mesilla Valley Metropolitan Planning Organization
NAA	nonattainment area
NAAQS	National Ambient Air Quality Standards
NEPA	National Environmental Policy Act of 1969
NERTPO	North East Regional Transportation Planning Organization
NHPP	National Highway Performance Program

NHS	National Highway System
NHTSA	National Highway Traffic Safety Administration
NMAC	New Mexico Administrative Code
NMDOT	New Mexico Department of Transportation
NMED	New Mexico Environment Department
NMSA	New Mexico Statutes Annotated
NMTP	New Mexico Transportation Plan
NPRTPO	Northern Pueblos Regional Transportation Planning Organization
NSB	National Scenic Byways (Program)
NTP	Notice to Proceed
NWRTPO	Northwest Regional Transportation Planning Organization
OST	Office of the Secretary of Transportation
P&E	Performance and Expenditure
PBCAT	Pedestrian Bicycle Crash Analysis Tool
PDA	Project Development Agreement
PFF	Project Feasibility Form
PIF	Project Identification Form
PIP	Public Involvement Process
PL	Planning Funds
PLDR	Public Lands Development Roads
PLH	Public Lands Highways
PMP	Project Management Plan
PMT	Project Management Team
POV	Privately Owned Vehicle
PPM	NMDOT Planning Procedures Manual
PPM	Parts Per Million
PPP	Public Participation Plan
PRP	Park Roads and Parkways
PS&E	Plan Specification & Estimate
PWP	Planning Work Program
R&D	Research and Development
RDC	Regional Design Center
REMI	Regional Economic Models Incorporated
RFP	request for proposal
RFQ	request for quotation

RIB	Rail Infrastructure Bank
ROW	right-of-way
RTA	Regional Transit Authority
RTD	Regional Transportation District
RTIPR	Regional Transportation Improvement Program Recommendations
RTO	Regional Transportation Authority
RTP	Recreational Trails Program
RTP	Regional Transportation Plan
RTPO	Regional Transportation Planning Organization
RTPO	Regional Transportation Planning Organization
RWP	Regional Work Program
S&O	Stewardship and Oversight
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
SCRTPO	South Central Regional Transportation Planning Organization
SEIS	Supplemental Environmental Impact Statement
SERTPO	South East Regional Transportation Planning Organization
SFMPO	Santa Fe Metropolitan Planning Organization
SH	State Highway
SHPO	State Historic Preservation Office
SHRP2	Future Strategic Highway Safety Plan
SHSP	Strategic Highway Safety Plan
SIB	State Infrastructure Bank
SIP	State Implementation Plan
SOV	single-occupancy vehicle
SPR	State Planning and Research
SRTS	Safe Routes to School
STC	State Transportation Commission
STDM	Statewide Travel Demand Model
STIP	Statewide Transportation Improvement Program
STP	Surface Transportation Program
STP-L	Surface Transportation Program – Large Urban
STRAHNET	Strategic Highway Network
SWRTPO	South West Regional Transportation Planning Organization
TAP	Transportation Alternatives Program
TAZ	Transportation Analysis Zone

TDM	Traffic Demand Management
TDM	Travel Demand Model
TEA-21	Transportation Equity Act for the 21st Century
TEAM	Transportation Electronic Award Management
TED	Transportation and Economic Development
TIDP	Technology and Innovation Deployment Program
TIFIA	Transportation Infrastructure Finance and Innovation Act of 1998
TIGER	Topologically Integrated Geographic Encoding and Referencing
TIMS	Transportation Information Management System
TIP	Transportation Improvement Program
Title VI	Title VI of the Civil Rights Act of 1964
TMA	Transportation Management Area
TMP	Traffic Management Plan
TOD	Transit-Oriented Development
TP&E	Transportation Planning and Engineering
TRADAS	TRAffic DAta System
TRB	Transportation Research Board
TSE	Technical Support Engineer
TTAP	Tribal Technical Assistance Program
TTP	Tribal Transportation Program
UA	urbanized area
UC	Urban Cluster
UPWP	Unified Planning Work Program
USC	<i>United States Code</i>
UZA	Urbanized Zone-Area
VE	Value Engineering
VMT	vehicle miles traveled
VPD	Vehicles per Day
VPPP	Value Pricing Pilot Program

Timelines

FIGURE 1
Timeline – Activities Performed on an Annual Basis

First Quarter			Second Quarter			Third Quarter			Fourth Quarter		
October	November	December	January	February	March	April	May	June	July	August	September
Enter FMIS info	Issue Work Authorization letters	PWP quarterly amendments	Submit PWP first quarter amendment to FHWA-NM/ FTA Region 6	Process Reimbursement Packet (QR and Invoice)	PWP quarterly amendments	GTG Liaisons conduct Quality Assurance Reviews of MPOs/RTPOs	Process Reimbursement Packet (QR and Invoice)	Begin compiling individual bureau draft work programs	Submit PWP third quarter amendment to FHWA-NM/ FTA Region 6	Process Reimbursement Packet (QR and Invoice)	PWP quarterly amendments in odd-numbered FFYs
Submit PWP fourth quarter amendment to FHWA-NM/ FTA Region 6; post on website	Process Reimbursement Packet (QR and Invoice)	Submit APER packet to FHWA-NM and FTA Region 6	Submit annual SOA report to FHWA-NM for approval	PSD meets with FHWA-NM/FTA Region 6 to discuss PWP issues	GTG staff submit CMAQ report on behalf of EPMPO	Draft Planning Work Program list of potential tasks and estimated costs	Review draft UPWPs in even-numbered FFYs	GTG Liaisons provide comments on draft UPWPs/RWPs in even-numbered FFYs	Cost Allocation and Indirect Cost Plans	Submit Draft Planning Work Program to FHWA-NM/FTA Region 6 in even-numbered FFYs	Set up FFY Control Numbers for WPs
Initiate PWP projects and programs	Begin close out of previous federal fiscal year	Submit MPO Freight Program Assessments to FHWA	Reimbursement (QR and Invoice) Packet	TIP quarterly amendments	Quarterly meetings - presentation of NMDOT PWP draft in even-numbered FFYs	Submit PWP second quarter amendment to FHWA-NM/ FTA Region 6	GTG meets with MPOs to discuss draft UPWPs in even-numbered FFYs	PWP quarterly amendments	Submit Final UPWP/RWPs in even-numbered FFYs	TIP quarterly amendments	Obligate funds by submitting FMIS requests for PWP approvals
Reimbursement (QR and Invoice) Packet	APERs	MPOs Annual Listing of Obligated Projects	MPOs post Annual Listing of Obligated Projects on Websites	MPO Board / RTPO Policy Committee approvals of TIP amendments	UPWP/RWP second quarter amendments	Reimbursement (QR and Invoice) Packet	TIP quarterly amendments	UPWP/RWP third quarter amendments and Year 2 budgets	Reimbursement (QR and Invoice) Packet	MPO Board / RTPO Policy Committee approvals of TIP amendments	Submit Final Planning Work Program to FHWA-NM/FTA Region 6 in even-numbered FFYs
Post UPWP/RWP on website	MPO Freight Program Assessments	Transportation Commission Meeting - Final Public Comment on STIP/TIP	District call for TIP projects		Transportation Commission Meeting - Final Public Comment on STIP/TIP	MPO Draft UPWPs in even-numbered FFYs	MPO Board / RTPO Policy Committee approvals of TIP amendments	Transportation Commission Meeting - Final Public Comment on STIP/TIP	FHWA-NM/FTA Region 6 comments on/approval of PWP third quarter amendment		Follow up on QAR findings
FHWA-NM/FTA Region 6 comments on/approval of PWP fourth quarter amendment	TIP quarterly amendments	Quarterly meetings	FHWA-NM/FTA Region 6 comments on/approval of PWP first quarter amendment		Submit TIP projects	Submit TIP projects	Submit proposed Year 2 UPWP/RWP budgets in odd-numbered FFYs	Quarterly meetings			UPWP/RWP quarterly amendments in odd-numbered FFYs
FHWA-NM approves obligation of PWP/UPWP/RWP funds in FMIS	MPO Board / RTPO Policy Committee approvals of TIP amendments	UPWP/RWP first quarter amendments			RTPO RTIPR meetings	FHWA-NM/FTA Region 6 comments on/approval of PWP second quarter amendment		Revise UPWPs and submit to Policy Boards for approval/adoption in even-numbered FFYs			Transportation Commission Meeting - Final Public Comment on STIP/TIP
					MRMPO submits CMAQ report			RTPO Draft RWPs in even-numbered FFYs			Quarterly meetings
								Revise RWPs and submit to Policy Committees for approval/adoption in even-numbered FFYs			Notify GTG of funding balances for year end closeout
											FHWA-NM/FTA Region 6 comments on Draft PWP submittal
											FHWA-NM/FTA Region 6 issue 2-year PWP approval letter in even-numbered FFYs
SPB / PSD MPO / RTPO FHWA-NM/FTA Region 6											

FIGURE 2
Month-by-Month Work Program Timeline (MPO/RTPO, NMDOT, FHWA-NM, FTA Region 6)

	OCTOBER	NOVEMBER	DECEMBER
	[Begins First Quarter of Federal Fiscal Year] 1st FMIS Operations Resume Annual – Deadline for PSD to enter PSD PWP, MPO UPWP, and RTPO RWP funding requests into FMIS; start of FHWA-NM 30-day review period to approve obligation of funds in FMIS Annual – SPB prepares MPO/RTPO Work Authorizations for signature by NMDOT Deputy Secretary 7th Odd-numbered FFYs – Deadline for NMDOT PSD Director to submit fourth quarter amendment of PWP to FHWA-NM/FTA Region 6 inclusive of MPO/RTPO work program amendments, if any 21st Odd-numbered FFYs – Deadline for FHWA-NM/FTA Region 6 to issue comments and/or approval of fourth quarter PWP amendments. GTG Liaisons notify MPOs/RTPOs of approval via email. 25th MPO/RTPO Reimbursement Packets due to GTG Liaisons 31st Annual – Deadline for FHWA-NM to approve obligation of PWP/UPWP/RWP funds in FMIS	1st PSD issues Work Authorizations (covering Nov. 1 of current year through Oct. 31 of following year) to MPOs and RTPOs via email; originals to follow by regular mail within 7 working days 1st GTG Liaisons begin close out of previous FFY 15th Deadline for MPOs and RTPOs to submit draft APERs to GTG Liaisons 20th Deadline for GTG Liaisons to request changes to MPO/RTPO APERs 30th Deadline for MPOs/RTPOs to submit revised APERs to GTG Liaisons and post on websites 30th MPO Freight Program assessments due to GTG Liaison	TBD MPO/RTPO first quarter meetings 15th Deadline for MPOs and RTPOs to submit first quarter UPWP/RWP amendments, if any, to GTG Liaisons 20th Deadline for NMDOT to submit Freight Program assessments to FHWA 28th Deadline for MPOs to post Annual Listing of Obligated Project Reports on MPO websites and notify GTG Liaisons 30th First quarter PWP amendments, if any, due to PSD Director. GTG Liaisons submit any from MPOs/RTPOs; NMDOT Division Directors, Bureau Chiefs, and Section Supervisors submit directly to PSD Director. 31st Deadline for NMDOT PSD Director to submit PSD's APER packet inclusive of MPO and RTPO APERs to FHWA-NM/FTA-Region 6
	JANUARY	FEBRUARY	MARCH
	[Begins Second Quarter of Federal Fiscal Year] 7th Deadline for NMDOT PSD Director to submit first quarter amendment of PWP to FHWA-NM/FTA Region 6 inclusive of MPO/RTPO work program amendments, if any. 21st Deadline for FHWA-NM/FTA Region 6 to issue comments and/or approval of first quarter PWP amendments. GTG Liaisons notify MPOs/RTPOs of approval via email. 25th MPO/RTPO Reimbursement Packets due to GTG Liaisons	15th MRMPO/GTG Liaison to EPMPo enter CMAQ reporting data into FMIS 15th Target date by which NMDOT PSD Director, FHWA-NM Planning Program Manager and FTA Region 6 Planner will have met to discuss the following: <ul style="list-style-type: none">Annual – Project Status Report on current year's PWP inclusive of MPO/RTPOs work programsEven-numbered FFYs – FHWA-NM/FTA Region 6/ NMDOT priorities, major emphasis areas, special studies, funding levels for upcoming 2-year PWP submittal, inclusive of anticipated MPO/RTPO work products/coordination activities	TBD MPO/RTPO second quarter meetings (Even-numbered FFYs – NMDOT PSD and Transit and Rail Division Directors or their designees present overview of upcoming Departmental 2-year PWP for discussion with MPOs and RTPOs 15th Deadline for MPOs/RTPOs to submit second quarter UPWP/RWP amendments, if any, to GTG Liaisons 31st Second quarter PWP amendments, if any, due to PSD Director. GTG Liaisons submit any from MPOs/RTPOs; NMDOT Division Directors, Bureau Chiefs, and Section Supervisors submit directly to PSD Director.
	APRIL	MAY	JUNE
	[Begins Third Quarter of Federal Fiscal Year] 7th Deadline for NMDOT PSD Director to submit second quarter amendment of PWP to FHWA-NM/FTA Region 6 inclusive of MPO/RTPO work program amendments, if any 21st Deadline for FHWA-NM/FTA Region 6 to issue comments and/or approval of second quarter PWP amendments. GTG Liaisons notify MPOs/RTPOs of approval via email. 25th MPO/RTPO Reimbursement Packets due to GTG Liaisons 30th Even-numbered FFYs – Deadline for MPO Planners to submit draft UPWPs to GTG Liaisons to review 30th Deadline for GTG Liaisons to conduct QARs of MPOs and RTPOs	1st Even-numbered FFYs – GTG Liaisons begin review of draft UPWPs 31st Even-Numbered FFYs – Deadline for MPO Planners to meet with GTG Liaisons to discuss UPWPs 31st Deadline for GTG Liaisons to submit QAR reports to MPOs and RTPOs 31st Odd-numbered FFYs – Deadline for MPOs/RTPOs to submit proposed UPWP/RWP Year 2 budgets to GTG Liaisons.	TBD MPO/RTPO third quarter meetings 1st Even-numbered FFYs – Deadline for RTPOs to submit draft RWPs to GTG Liaisons for review. 1st Even-numbered FFYs – Deadline for GTG Liaisons to provide comments on draft UPWPs to MPO Planners; MPO Planners incorporate comments and take draft UPWPs to Policy Boards for approval/adoption 15th Even-numbered FFYs – Deadline for GTG Liaisons to provide comments on draft RWPs to RTPO Planners; RTPO Planners incorporate comments and take draft RWPs to Policy Committees for approval/adoption 15th Deadline for MPOs and RTPOs to submit third quarter UPWP/RWP amendments, if any, to GTG Liaisons 30th Third quarter PWP amendments (and Year 2 budgets in odd-numbered years), if any, due to PSD Director. GTG Liaisons submit any from MPOs/RTPOs; NMDOT Division Directors, Bureau Chiefs, and Section Supervisors submit directly to PSD Director. End of State Fiscal Year
	JULY	AUGUST	SEPTEMBER
	[Begins Fourth Quarter of Federal Fiscal Year; Begins New State Fiscal Year] <i>[Note: Fourth Quarter PWP Amendment Cycle only occurs in odd-numbered years]</i> 1st Even-numbered FFYs – MPOs and RTPOs provide Final UPWPs/RWPs to GTG Liaisons 7th Deadline for NMDOT PSD Director to submit third quarter amendments, if any, of PWP inclusive of MPO/RTPO work program amendments (and Year 2 budgets in odd-numbered years) to FHWA-NM/FTA Region 6 12th Deadline for MPOs/RTPOs to submit current FFY final Reimbursement Packet (State Fiscal Year closeout) 21st Deadline for FHWA-NM/FTA Region 6 to issue comments and/or approval of third quarter PWP amendment. GTG Liaisons notify RTPOs/MPOs of approval via email.	1st Even-numbered FFYs – Deadline for PSD Director to submit to FHWA-NM and FTA Region 6 a complete review packet of NMDOT PWP with MPO and RTPO UPWPs/RWPs attached; starts 30-day FHWA-NM review period	TBD MPO/RTPO fourth quarter meetings Annual – GTG Staff assigns STIP Control Numbers for PSD PWP, MPO UPWPs, and RTPO RWPs; submits FMIS forms 1st Even-numbered FFYs – Deadline for FHWA-NM/FTA Region 6 to convey comments on PWP submittal to NMDOT TPS Division Director. SPB Chief coordinates revisions within 5 working days. 8th Even-numbered FFYs – PSD Director submits Final PWP packet inclusive of all MPO/RTPO work programs electronically to FHWA-NM/FTA Region 6 for final review and approval; hard copies to follow by regular mail and/or hand delivery. Re-starts 30-day review. 15th Odd-numbered FFYs – Deadline for MPOs and RTPOs to submit fourth quarter UPWP/RWP amendments, if any, to GTG Liaisons 3rd Friday – FMIS Shutdown for End of Fiscal Year Closeout [shutdown ends October 1st] 30th Odd-numbered FFYs – Fourth quarter PWP amendments, if any, due to PSD Director. GTG Liaisons submit any from MPOs/RTPOs; NMDOT Division Directors, Bureau Chiefs, and Section Supervisors submit directly to PSD Director. 30th Even-numbered FFYs – FHWA-NM/FTA Region 6 issue 2-year PWP approval letter to PSD Division Director; GTG Liaisons notify MPOs/RTPOs via email and send link to PWP on NMDOT website