

**NMDOT Planning Division**  
**Multimodal Planning and Programs Bureau – Government to Government Unit**  
**Annual Quality Assurance Review of RTPOs**  
**Checklist and Report**

Initial QAR Meeting:

Entity (RTPO): <b>NERTPO</b> (Northeast Regional Transportation Planning Organization)	Reviewer: Joseph Moriarty Review date: 4/22/2021
Personnel interviewed (list names and positions): Lesah Sedillo, Community Development Director, NCNMEDD Paul Sittig, Program Manager, NCNMEDD	

**QAR Follow-Up Meeting (if applicable):**

Entity (RTPO):	Reviewer:
	Review date:
Personnel interviewed (list names and positions):	

**1. Summarize results of agency audit, including any findings for the year ending June 30, 2020.**

Provide context for any quotes, indicating the audit section in which the finding is located.

Additionally, review the Single Audit Section and highlight any findings related to the SPR grant:

[Pull quote(s) of importance from the annual audit, which can be found on the Office of the State Auditor’s website: <http://www.saonm.org> if it hasn’t been sent directly to you already; note that the PPM currently states that audits are due to GTG liaisons “30 days following approval by fiscal entity,” but it may be better to go off of the date that the audit is “released” to the public via saonm.org]

Additionally, the audit is:      Current       On file       Linked via the website

General summary: On 3/14/2021, the NM Office of the State Auditor released the 2020 annual financial audit for the North Central New Mexico Economic Development District (NCNMEDD). Hinkle and Landers conducted the audit and the NCNMEDD Program Manager sent it to the GTG Planning Liaison on 3/22/2020. Regarding Federal Awards, the audit indicated an unmodified opinion. The audit did not identify any material weaknesses nor any significant deficiencies regarding Federal Awards. Accordingly, there were no audit findings that were required to be reported in accordance with 2 CFR 200.516(a).

According to the current audit, nine of eleven audit findings have been resolved. However, two findings from previous audit remain.

**2020-001 PERA and RHC remitted late REPEATED**  
 Finding: Non-compliance with State Audit Rule, NM State Statutes, NMAC, or other entity compliance. Original Audit Finding 2017-002.

**2020-002 Financial Close And Material Adjustments MODIFIED**  
 Finding: Material Weakness in Internal Control Over Financial Reporting. Original Audit Finding 2018-001.

The current audit did not qualify NCNMEDD as a low-risk auditee. However, there were no specific findings related to the FHWA SPR grant program. Audit finding 2020-002 (Financial Close And Material Adjustments) could negatively affect the FHWA SPR grant program in the future if not addressed by NCNMEDD. Detailed below are the specific findings, issues, criteria, recommendations from the audit regarding finding 2020-002. Also detailed below is a summary of the NCNMEDD management response and corrective action plan to address this finding.

During the FY19 audit, the auditor identified 57 adjustments to the general ledger. Because these adjustments were made/identified by the auditor, and not by the District, it shows an internal control weakness in maintaining the general ledger. Possible effects include:

- Risk of misstatements in the financial statements is significantly high
- Untimely financial reporting
- Increased risk of loss of funding sources

The underlying cause of this finding is that the District did not design and implement effective procedures and workpapers to ensure that a timely and accurate financial close occurred at year-end.

#### **Audit Recommendations**

The Auditor recommended that management evaluate all aspects of the financial close and reporting process and establish effective internal controls, procedures, and workpapers to ensure timely and accurate financial statements.

The Auditor recommended the following additional items:

1. Asking for nonaudit services and technical advice from the auditor or from someone else when these procedures and adjustments are needed is not considered a control deficiency as long as the staff of the District initiates/oversees them and can mitigate the risk of a threat of lack of independence by the auditor. This would entail a person with the proper skills, knowledge and experience initiate the financial close or oversee the auditor's nonattest services in accordance with independence requirements set forth by professional standards.
2. The Auditor recommended that the District review all trial balances prior to providing them to the auditor, during the audit process; and when adjustments are proposed; and at the end of the audit to ensure correctness.
3. Additionally, the Auditor recommended that the District ensure that key officials review all proposed adjustments by the auditor and that they are approved, prior to the audit completion.

#### **NCNMEDD Response**

NCNMEDD indicated that they were aware of the deficiencies listed in this finding and began taking corrective action during FY 2020. In February 2020, the new Finance Director began the reconciliation process to address deficiencies. The Finance Department is now reviewing all balance sheet accounts as well as revenues and expenses on a monthly basis to ensure entries are accurate. The Executive Director also reviews all reconciliations as well as

<p>quarterly financial reports before they are presented to the Board.</p> <p>Many of the deficiencies listed in this finding occurred during or before fiscal year 2018, under previous management. NCNMEDD has addressed some of the prior year financial close issues to date; clean-up is extensive and will persist through FY 2021. NCNMEDD agrees that third-party assistance to address prior year close would be helpful and will pursue the auditor’s recommendation in this area.</p> <p><b>NCNMEDD Corrective Action Plan</b>          Corrective Action Plan Timeline: July 1,2020, - June 30, 2021          Designated Employee Responsible for Corrective Action: Executive Director Monica Abeita and Finance Director Bernadette Segobia-Abeyta</p>
<p>General summary: There were no specific findings related to the Federal-Aid Highway SPR grant program. The audit did not identify any material weaknesses nor any significant deficiencies regarding Federal Awards. There were no audit findings that were required to be reported in accordance with 2 CFR 200.516(a).</p> <p>If not addressed, Audit finding 2020-002 (Financial Close And Material Adjustments) could cascade and potentially affect the FHWA SPR grant program. NCNMEDD management is taking corrective actions to address this deficiency.</p> <p>The NCNMEDD audit is available to view or download at the RTPONM.ORG “NORTHEAST” web page.</p> <p>Please note that nine of eleven audit findings from previous audits have been resolved. The Executive Director and the newly hired Finance Director at NCNMEDD are systematically addressing the remaining deficiencies regarding internal financial controls. NCNMEDD has made significant progress regarding their financial reporting and oversight. The NM Department of Finance and Administration has also reviewed NCNMEDD’s 2020 audit. DFA determined that NCNMEDD meets the criteria to continue to serve as a fiscal agent. (See 4/1/2021 email from Brenda L. Suazo-Giles, DFA to Monica Abeita, NCNMEDD).</p>
<p>Concerns/Issues: Similar to last year’s audit, the current 2020 audit did not quality NCNMEDD as a low-risk auditee. Previous audits and the current audit have identified inadequate financial controls over financial reporting as a finding. It is important that NCNMEDD continue to develop and strengthen internal financial controls and oversight to ensure that federal funding is uninterrupted for NCNMEDD programs, including the FHWA SPR funding for NERTPO. Audit finding 2020-002 could negatively affect the FHWA SPR grant program in the future if not resolved.</p>
<p>Best Practices: N/A</p>
<p>Follow-Up Needed On: N/A</p>
<p><a href="#">Notes from Follow-Up QAR:</a></p>

**2. Planning Products – are the following current, on file and posted to the website (PDF)?**

Current	On file <sup>1</sup>	Posted to the website	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Regional Work Program (RWP)

<sup>1</sup> ‘On file’ assumes an electronic copy; hard copies are optional.

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Regional TIP Recommendations (RTIPR)
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Public Participation Plan (PPP) (update every 5 yrs)
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Title VI Plan with contact person identified (update every 3 yrs) <sup>2</sup>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Regional Transportation Plan (RTP)
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Annual Performance and Expenditure Report (APER)
NA	NA	NA	Other plans ( <i>list below</i> )

<p>General summary: All planning products on the RTPONM.ORG “NORTHEAST” webpage are current and on file. NERTPO-NCNMEDD adopted their Title VI Plan on 9/26/2018 and it is current. However, per the PPM Title VI Plans are required to be updated every three years. Accordingly, NERTPO-NCNMEDD needs to update their Title VI Plan by 9/26/2021. The current 2015 NERTPO RTP is on file and posted to the web page. NCNMEDD and EPCOG staffs are currently working with their respective NERTPO communities to develop a new updated RTP. The current 2018 RTIPR is also on file and posted to the web page; however, a new RTIPR is currently under development. NCNMEDD staff anticipates that an updated RTIPR will be approved by the NERTPO Board in Quarter 3 or Quarter 4 of FFY2021. The current NERTPO-NCNMEDD (2020) Annual Performance and Expenditure Report (APER) posted on the website and on file.</p>
<p>Concerns/Issues: Since EPCOG and NCNMEDD co-manage, NERTPO documents posted to the web page need monitoring and updating as appropriate.</p>
<p>Best Practices: The RTPONM.ORG “NORTHEAST” webpage continues to serve as an effective means to communicate with NERTPO member communities, especially during the COVID19 health emergency. RTPO staff has increased the web page’s functionality and serves as a “one-stop” shop for member communities and the public at large. The webpage also serves to enhance accountability and transparency. NERTPO-NCNMEDD staff has been working with their respective member communities in developing a new updated RTP document. Most notably, NERTPO established a sub-committee among the member agencies to assist in the development of the RTP. Staff is also coordinating with the NERTPO Board and is developing a process to develop a new RTIPR. NERTPO-NCNMEDD staff commended for developing both Federal and State portions of a prioritized list of transportation projects. Part of this process has been the development of a new comprehensive rating and ranking methodology. NCNMEDD staff anticipates the NERTPO Board will approve the updated RTIPR by Quarter 3 or Quarter 4 of FFY2021. NCNMEDD staff has taken the lead in managing the update to the RTIPR for the NERTPO region.</p>
<p>Follow-Up Needed On: N/A</p>
<p><a href="#">Notes from Follow-Up QAR:</a></p>

**3. Boards/Committees - are the following current, on file and posted to the website?**

Current	On File	Posted to the website	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Bylaws
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Members, including Chair and Vice Chair
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Schedule of meetings
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Agendas (posted to website 72 hours prior to meeting)

<sup>2</sup> Title VI Contact may be a specific person that works at the entity; it may also be a position that is routinely filled (e.g. HR Director); ideally the contact information should be stable (e.g. [ADA.TitleVI@xxcog.org](mailto:ADA.TitleVI@xxcog.org) or a general phone number) so that even if the person leaves, the contact information stays active.

- Meeting minutes (for the past 2 years)
- Approved documents (i.e. signed resolutions)

<p>General summary: Board related documents on the RTPONM.ORG "NORTHEAST" webpage include the current bylaws, membership, (including Chair and Vice Chair), schedule of meetings, agendas, and meeting minutes. Meeting minutes current, posted on the webpage, and on file. Items that NERTPO Board acted upon contained in approved minutes, minutes approved by Board at following monthly NERTPO meeting. Signed NERTPO Board resolutions posted on webpage above. NERTPO Minutes archive goes back to 2017.</p>
<p>Concerns/Issues: Since EPCOG and NCNMEDD co-manage, monitor and update as appropriate NERTPO documents associated with the RTPONM.ORG "NORTHEAST" webpage.</p>
<p>Best Practices: NERTPO does a good job following the NM Open Meeting Act regarding the posting of agendas, meeting minutes and NERTPO Board approved items on the NORTHEAST link on the RTPONM.ORG web page. Over the reporting period NERTPO agendas, meeting minutes, and resolutions posted on the webpage in a timely manner. Bylaws, membership (including Chair and Vice Chair) and the schedule of meeting, and resolutions are also easily accessible via the web age.</p>
<p>Follow-Up Needed On: N/A</p>
<p><a href="#">Notes from Follow-Up QAR:</a></p>

**4. Financials - Reporting and Documentation**

- Reimbursement Packets consistently submitted in a timely, complete, and accurate fashion?
- Reimbursement Packets include cover letters, Quarterly Reports, Budget Reports, Expenditure Summary, Invoices and supporting documentation? Are these provided with the Reimbursement Packets and maintained on file? Does the RTPO charge allocated costs consistently with what is included in the RWP Budget?
  - Budget Report: track expenditures by line item as defined by task in the RWP budget
  - Expenditure Summary: provide a summary of federal funds expended plus local match paid, by quarter
- Is the documentation on file, well-organized, and accessible?
  - Security: what measures does the RTPO take to ensure their IT systems are secure? (explain below)

<p>General summary: During the reporting period, NCNMEDD staff provided complete and accurate reimbursement packets, consistently meeting the quarterly PPM deadlines. Cover letters, Quarterly Reports, Budget Reports, Expenditure Summary, Invoices and supporting documentation are consistently included in the Quarterly reimbursement packets. NCNMEDD maintains the reimbursement packets in digital form on the NCNMEDD network and archived in physical form at their offices. NERTPO data automatically backed-up on re-occurring schedule to a shared network environment. IT network security support provided by third party (Technology Solutions). Standard IT security protocols in place.</p>
<p>Concerns/Issues: N/A</p>
<p>Best Practices: Significant improvement since last year's QAR regarding Financial Reporting and documentation. It is apparent that NCNMEDD internal procedures and financial oversight functions have improved. Over the reporting period, NCNMEDD Reimbursement</p>

Packets submitted in a consistent, timely, and accurate manner. NCNMEDD staff very responsive to Planning Liaison inquiries.
Follow-Up Needed On: N/A
<a href="#">Notes from Follow-Up QAR:</a>

**A. Timesheets and Timesheet Summary** - All RTPO 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 provided in the Planning Procedures Manual. GTG Liaison must randomly test a week to ensure the timesheets are on file and that they match what was included in that reimbursement packet.

- Is the RTPO able to provide access to timesheets?
- Is the amount of time spent on RTPO duties and billed to FHWA funds clearly indicated?

General summary: NCNMEDD uses a business management software package (Sage System) to track employee time and attendance. NERTPO-NCNMEDD staff also uses a separate Excel spreadsheet to track weekly hours by employee by function for inclusion in the quarterly reimbursement packages. The Planning Liaison asked and received corresponding time records for the Community Development Director (CDD) for April of FFY2020 Q3. The time records supplied by NERTPO-NCNMEDD staff matched the April time-period of the NNERTPO-NCNMEDD FFY2020 Q3 Reimbursement Packet.
Concerns/Issues: N/A
Best Practices: NERTPO-NCNMEDD time records are complete and accurate. Time related to RTPO duties billed to FHWA funds clearly indicated on the time records.
Follow-Up Needed On: N/A
<a href="#">Notes from Follow-Up QAR:</a>

**B. Contract Awards**

- No Contract Awards during the time period covered by this QAR
- OR:
- Published Notice in Newspaper for Invitation for Bid or Request for Proposals (RFP) (advertisement), copy of ad
  - Bidder’s list at bid opening-Company(s) and quotation sheet(s); or copies of proposals received
  - Award Letter, “NOTICE OF AWARD”/”NOTICE TO PROCEED” Forms
  - All subsequent notices: starts, suspends, resumes, and completions
  - Copy of fully executed Contract on file
  - All invoicing (copies) for contractors, vendors, suppliers

General summary: N/A
Concerns/Issues: N/A
Best Practices: N/A
Follow-Up Needed On: N/A
<a href="#">Notes from Follow-Up QAR:</a>

**C. Inventory of capital assets acquired with Federal Aid Highway Program funds valued at \$5,000 and greater**

Not applicable

OR:

- Are there property records that include a description of the property, serial or other identification number, source of property, who holds title, acquisition date, cost of property, percentage of Federal participation, location, use and condition of property and ultimate disposition data including date of disposal and sale price?
- Is there a physical inventory of the property with results reconciled with property records (at least once every 2 years)?
- Is there a control system developed to ensure adequate safeguards to prevent loss, damage or theft of property? If there was an occurrence did NMDOT investigate and what were the results of that investigation?
- Are there adequate maintenance procedures developed to keep property in good condition?

Note: Disposition of items of equipment at current, per-unit, fair market value in excess of \$5,000 may be retained or sold and the awarding agency (FHWA) has the right to an amount calculated by multiplying the current market value or proceeds from sale by awarding agency's share of the equipment.

General summary: N/A
Concerns/Issues: N/A
Best Practices: N/A
Follow-Up Needed On: N/A
<a href="#">Notes from Follow-Up QAR:</a>

**5. Structure/Intergovernmental & Other Agreements**

Current    On file

Is the Cooperative Agreement with NMDOT current and on file?

N/A

N/A

Other (*list below*)

<p>General summary:                  During the site review, GTG Planning Liaison verified NERTPO current Cooperative Agreement on file at NCNMEDD.</p> <ul style="list-style-type: none"> <li>• NMDOT/NCNMEDD - NERTPO Cooperative Agreement for Regional Work Programs for Federal Fiscal Years 2019 - 2022, Contract Number-16015, dated 8/9/18.</li> </ul>
Concerns/Issues: N/A
Best Practices: N/A
Follow-Up Needed On: N/A
<a href="#">Notes from Follow-Up QAR:</a>

**6. Staff & Board/Committee Member Training and Professional Development**

Staff familiarity with the Planning Procedures Manual (PPM):

Established staff?

Recently hired staff?

- Is there a training/professional development plan for RTPO staff and how is it being implemented?
- Has the RTPO Program Manager attended a NM Open Meetings Act training?
- Is the RTPO following the RWP training plan for Board/Committee Members? Are additional resources needed to implement the training plan?
  - What is the outreach to non-participating members? (*Detail below*)

General summary: NERTPO-NCNMEDD staff indicated their familiarity with the Planning Procedures Manual. Staff indicated that the PPM is a useful resource and they consult it often. Staff training/professional development has been a challenge during the COVID-19 health emergency. NERTPO-NCNMEDD Staff Training and Conference proposal put together by the former Transportation Planner. Staff also provided a staff-training proposal for State Fiscal Year 2022 (which starts July 1, 2021) that was developed by the Community Development Director and the new NERTPO Program Manager. Staff indicated that members can (and do) request specific training topics. The new NERTPO-NCNMEDD Program Manager attended NM Open Meetings Act and Inspection of Public Records Act training on April 27, 2021. The Community Development Director, as well as other staff members at NCNMEDD, attended NM Open Meetings Act training in the past. Also provided was the 2019 NERTPO member-training plan. NERTPO-NCNMEDD staff currently developing a new member-training plan with EPCOG staff. NERTPO committee members receive training in the form of presentations approximately every other month during NERTPO regular monthly meetings. Over the reporting period, trainings included the following topics: Funding opportunities from the New Mexico Finance Authority, NMDOT Environmental Level of Effort form and requirements, TAP/RTP and CMAQ funding, and Project Feasibility Forms (PFFs) and the Transportation Project Fund. Trainings and conferences opportunities announced by NERTPO staff at meetings, via email, and through the webpage. Potential training topics also discussed among the membership at NERTPO meetings. Member attendance tracked via meeting sign-up sheets and converted to digital tracking sheeting. Tracking sheet sent to all members, overall attendance has improved. Member attendance also tracked via roll calls and RSVPs. Virtual meeting formats have allowed non-participating members to attend. NERTPO-NCNMEDD staff indicated that they intend to coordinate with the NERTPO Chair and Vice-Chair regarding communications to non-participating members to encourage them to participate in the NERTPO Planning process.

Concerns/Issues: N/A

Best Practices: NERTPO does a good job with board member training and staff professional development. RTP survey excellent outreach mechanism to solicit member feedback.

Follow-Up Needed On: N/A

[Notes from Follow-Up QAR:](#)

**7. Public Involvement & Outreach/Environmental Justice/Title VI**

- Is public attendance at meetings encouraged and tracked?
- Is public input received, addressed, and documented?
- Is there outreach to Environmental Justice/minority communities?
- Do meetings comply with the NM Open Meetings Act?
- Are Environmental Justice and Title VI complaints documented, addressed and tracked?
- Is NMDOT GTG Liaison informed of all complaints and resolution in a timely manner?



General summary: NERTPO-NCNMEDD staff indicated that public attendance is encouraged and tracked. Public comment part of standing agenda items and recorded in the NERTPO meeting minutes. NERTPO-NCNMEDD staff track and document correspondence from the public as well. NERTPO Agenda published on the RTPONM.ORG "NORTHEAST" webpage in both English and Spanish versions. NCNMEDD Newsletter distributed to NERTPO-NCNMEDD membership. Survey sent out to all NERTPO member communities as part of Regional Transportation Plan Update outreach effort. NERTPO meetings comply with NM Open Meetings Act. NERTPO-NCNMEDD staff indicated that their Title VI plan contains a built in process to document and address Title VI complaints. Community Development Director indicated that NCNMEDD coordinates with the NMDOT Construction and Civil Rights Bureau regarding Environmental Justice /Title VI compliance.
Concerns/Issues: N/A
Best Practices: Publishing the Agenda in both English and Spanish very helpful.
Follow-Up Needed On: N/A
<a href="#">Notes from Follow-Up QAR:</a>

**8. Tracking local-lead projects – how is the RTPO Program Manager doing this?**

General summary: The NERTPO-NCNMEDD and EPCOG staffs coordinate tracking local-lead projects in the NERTPO region. NERTPO-NCNMEDD staff uses the eSTIP to track federally funded local projects within their portion of the NERTPO region (Colfax, Mora, and San Miguel counties, and their respective incorporated municipalities). Member agencies as well as NMDOT District Engineering staff attend NERTPO meetings providing project status updates that NERTPO staff uses to monitor the progress of local projects. For Transportation Project Funds (TPF) and Local Government Road Fund (LGRF) projects, the Program Manager coordinates with the respective NMDOT District Engineers and staff at D-4. NERTPO-NCNMEDD staff also utilizes the Regional Transportation Improvement Program Recommendations (RTIPR) process to develop and track local projects. NERTPO-NCNMEDD project prioritization process includes the RTIPR (Federal eligible projects) and a State eligible list of projects (Transportation Project Fund eligible projects). The NERTPO-NCNMEDD Program Manager and support staff also use the Project Feasibility Form (PFF) to monitor potential incoming local-lead projects.
Concerns/Issues: N/A
Best Practices: NERTPO-NCNMEDD staff effectively coordinates with EPCOG staff, NMDOT District 5 staff, and member agencies to develop, monitor, and track local lead projects. The two tiered federal and state project prioritization process is a best practice. NERTPO-NCNMEDD staff commended for providing the necessary information and resources for member local agencies to apply for both federal and state funding opportunities.
Follow-Up Needed On: N/A
<a href="#">Notes from Follow-Up QAR:</a>

**9. Nonconformance issues during the time period since the last QAR:**

- Have there been nonconformance issues (per PPM) since the last QAR?
- If so, is there a Corrective Action Plan underway?

Yes, NERTPO-NCNMEDD is technically under a Corrective Action Plan (CAP). However, the outstanding issues have been resolved. Recommend closing out CAP.
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**10. Overall organization:**

- Are files organized, easy to find and backed up?
- Does COG/EDD have a shared drive everyone uses or are files stored on separate PCs?
  - How are files/documents archived? (*Detail below*)

General summary: For the QAR site review NCMNEDD-Staff organized the corresponding files by QAR number format. This organizational structure was very effective for review purposes. Planning Liaison also reviewed the general NERTPO-NCNMEDD digital file structure and found it well organized and logical. NERTPO-NCNMEDD staff indicated their workstations automatically backed-up onto the NERTPO-NCNMEDD server. For work at home, NCNMEDD established a Virtual Private Network (VPN) for NERTPO staff. Files shared and protected via a networked environment. All network files backed-up on a regular basis. IT security protocols established by Technology Solutions (third party vendor). Technology Solutions also available for “on-call” IT services.
Concerns/Issues: N/A
Best Practices: Continue to follow state of the practice IT security protocols to safeguard NERTPO data. Review RTPO archiving requirement section of the PPM.
Follow-Up Needed On: N/A
<a href="#">Notes from Follow-Up QAR:</a>

**11. Additional notes and comments (concerns or commendations):**

NERTPO-NCNMEDD staff well prepared, organized and responsive during QAR review. NCNMED-NERTPO staff immediately responded to data requests for the QAR Site Review. The RTPTO.ORG “NORTHEAST” website continues to be an effective way to engage the NERTPO membership and disseminate information about NERTPO. Significant progress financial controls at NCNMEDD. The NERTPO-NCNMEDD staff continues to add value to the NERTPO membership.

**12. GTG Liaison: Please provide a summary of the review, including issues/findings and follow up needed, along with a timeline for RTPO to address any findings.**

The audit did not identify any material weaknesses nor any significant deficiencies regarding Federal Awards. There were no audit findings that were required to be reported in accordance with 2 CFR 200.516(a). NCNMEDD continues to make significant progress regarding financial reporting and oversight. Nine of eleven previous audit findings have been resolved. However, two legacy audit findings regarding financial oversight and control remain. NCNMEDD management is addressing these findings. All NERTPO planning products are current, on file and posted to the on the RTPONM.ORG “NORTHEAST” webpage. Board related documents are current, on file, and posted to the webpage as well. The NERTPO Board and related activities comply with the NM Open Meetings Act. Quarterly Reimbursement Packets submitted on time, related reports and documentation complete and accurate. NCNMEDD supplied time records matched the FFY20 Q3 Reimbursement Packet. NERTPO-NCNMEDD staff scheduled reoccurring Board Trainings at

NERTPO meeting. Staff to reinstate “in-person” Training and Professional Development. Public involvement and outreach improved during the reporting period. Publishing the NERTPO Agenda in English and Spanish a good strategy to improve outreach to Environmental Justice/minority communities. RTP survey also a good outreach strategy. NERTPO-NCNMEDD staff has a well-developed process to track local lead projects. NERTPO-NCNMEDD project prioritization process includes a two-tiered process. One tier for the RTIPR (Federal eligible projects) and another tier for State eligible list of projects (Transportation Project Fund) eligible projects. Review found that NERTPO-NCNMEDD files are well organized. NCNMEDD following state of the practice IT data security and back-up protocols.

[Follow-up Recommendations for next QAR:](#)

**Review and Sign-off**

<b>Final Submitted to GTG Supervisor on (DATE) Joseph Moriarty, 5/27/2021</b>
<b>Reviewed and Approved by (NAME) on (DATE) Rosa Kozub, 5/27/2021</b>
<b>Final Report (pdf) emailed to RTPO on (DATE) 5/27/2021</b>