



Part 1 – Metropolitan Planning Organization

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Purpose

Each year, the District and the Metropolitan Planning Organization (MPO) must jointly certify the metropolitan transportation planning process as described in [23 C.F.R. §450.336](#). The joint certification begins in January. This allows time to incorporate recommended changes into the Draft Unified Planning Work Program (UPWP). The District and the MPO create a joint certification package that includes a summary of noteworthy achievements by the MPO and, if applicable, a list of any recommendations and/or corrective actions.

The certification package and statement must be submitted to Central Office, Office of Policy Planning (OPP) no later than June 1.

Certification Process

Please read and answer each question using the checkboxes to provide a “yes” or “no.” Below each set of checkboxes is a box where an explanation for each answer is to be inserted. The explanation given must be in adequate detail to explain the question.

FDOT’s [MPO Joint Certification Statement](#) document must accompany the completed Certification report. Please use the electronic form fields to fill out the document. Once all the appropriate parties sign the MPO Joint Certification Statement, scan it and email it with this completed Certification Document to your District MPO Liaison.

Please note that the District shall report the identification of, and provide status updates of any corrective action or other issues identified during certification directly to the MPO Board. Once the MPO has resolved the corrective action or issue to the satisfaction of the District, the District shall report the resolution of the corrective action or issue to the MPO Board.

Part 1

Part 1 of the Joint Certification is to be completed by the MPO.

Part 1 Section 1: MPO Overview

1. Does the MPO have up-to-date agreements such as the interlocal agreement that creates the MPO, the intergovernmental coordination and review (ICAR) agreement; and any other applicable agreements? Please list all agreements and dates that they need to be readopted. The ICAR Agreement should be reviewed every five years and updated as necessary. Please note that the ICAR Agreement template was updated in 2020.

Please Check: Yes ☒ No ☐

Interlocal Agreement for the Creation of Metropolitan/Transportation Planning Organization (Form 525-010-01) - last update 8/19/2014. Intergovernmental Coordination and Review and Public Transportation Coordination (ICAR) (Form 525-010-03) - last update 8/19/2014 (the TPO is currently in the process of updating the ICAR). The Metropolitan Planning Organization Agreement (Form 525-010-02) - Executed June 2022/Expires June 2024; Public Transportation Agreement G1292 (FTA Section 5305(d) Funding – Executed 9/14/2021/Expires 12/31/2023; Public Transportation Agreement G2509 (FTA Section 5305(d) Funding – Executed 3/16/2022/Expires 6/30/2023; Florida Commission for the Transportation Disadvantaged Planning Grant Agreement – Executed 7/1/2022/Expires 6/30/2023; and the Public Transportation Joint Participation Agreement (Form 725-030-06), last executed December 2, 2019

2. Does the MPO coordinate the planning of projects that cross MPO boundaries with the other MPO(s)?

Please Check: Yes ☒ No ☐

The River to Sea TPO participates regularly in regional planning efforts as part of the Central Florida MPO Alliance (CFMPOA) and the MPO Advisory Council (MPOAC). The CFMPOA annually adopts a regional List of Priority Projects and participates in the development of regional transportation plans and studies. In addition, the TPO regularly participates in other planning and partnering activities including participation in the Regional Planning Council Resiliency Action Committee, the St. Johns River to Sea Loop Alliance, the TSMO Consortium, and the Regional TSMO Program Working Group, etc.

3. How does the MPOs planning process consider the 10 Federal Planning Factors ([23 CFR § 450.306](#))?

Please Check: Yes ☒ No ☐

The River to Sea TPO incorporates required Planning Factors into all activities undertaken by the organization including project evaluation, planning and public engagement/outreach. Consideration of the planning factors were used to develop the UPWP as well as the Connect 2045 Long Range Transportation Plan. Both of these documents reference the planning factors and include tables that cross reference the connection between the planning factors and planning activities of the TPO. The UPWP and the Connect 2045 LRTP can be found on the TPO website at: www.r2ctpo.org.

4. How are the transportation plans and programs of the MPO based on a continuing, comprehensive, and cooperative process?

Please Check: Yes ☒ No ☐

The River to Sea TPO practices a continuing, comprehensive and cooperative planning process. The TPO Board and advisory committees meet monthly in addition to other subcommittees, workshops, partnering meetings and project-specific planning activities. The planning process established by the TPO involves a robust public outreach program in addition to participation from all local governments within our planning area. The UPWP and LRTP clearly outline activities that span all modes of transportation and that address the 10 planning factors identified by FHWA.

5. When was the MPOs Congestion Management Process last updated?

Please Check: Yes ☒ No ☐ N/A ☐

The River to Sea TPO conducted a major update to the Congestion Management Process (CMP) to define congestion management objectives, performance measures, and methods to monitor and evaluate system performance. Congestion management strategies were also identified and assessed for their expected user benefits and contributions to system performance. The report was adopted on June 22, 2022.

6. Has the MPO recently reviewed and/or updated its Public Participation Plan (PPPs)? If so, when? For guidance on PPPs, see the Federal Highway Administration (FHWA) checklist in the [Partner Library](#) on the MPO Partner Site.

Please Check: Yes ☒ No ☐

An evaluation of the TPO's Public Participation Plan (PPP) is completed each year to ensure it remains current and effective. A comprehensive update was completed and adopted on June 22, 2022. The plan was administratively modified in March of 2023 to incorporate minor changes associated with the TPO's temporary office relocation. The PPP can be accessed through the following link: <https://www.r2ctpo.org/public-involvement/public-participation-documents/>

7. Was the Public Participation Plan made available for public review for at least 45 days before adoption?

Please Check: Yes ☒ No ☐

Yes, the PPP was made available for public review and comment from April 27, 2022 through June 10, 2022.

Part 1 Section 2: Finances and Invoicing

1. How does the MPO ensure that Federal-aid funds are expended in conformity with applicable Federal and State laws, the regulations in 23 C.F.R. and 49 C.F.R., and policies and procedures prescribed by FDOT and the Division Administrator of FHWA?

The TPO Executive Director has a standing bi-weekly call with FDOT Liaison staff to discuss any questions/comments or concerns with applicable federal and state laws and policies and procedures. Consultant and project specific expenditures are reviewed by the Project Manager and the Interim Executive Director prior to payment. All invoices and detailed support documentation are reviewed by the Interim Executive Director prior to submittal to FDOT. The TPO also references the FDOT Program Management Handbook.

2. How often does the MPO submit invoices to the District for review and reimbursement?

The TPO submits invoices on a monthly basis

3. Is the MPO, as a standalone entity, a direct recipient of federal funds and in turn, subject to an annual single audit?

Yes, the River to Sea TPO is subject to an annual single audit. The most recent audit was completed January 2023.

4. How does the MPO ensure their financial management system complies with the requirements set forth in [2 C.F.R. §200.302](#)?

The River to Sea TPO undergoes an annual audit performed by a CPA which reviews and verifies compliance with [2 C.F.R. §200.302](#)

5. How does the MPO ensure records of costs incurred under the terms of the MPO Agreement maintained and readily available upon request by FDOT at all times during the period of the MPO Agreement, and for five years after final payment is made?

Records of costs incurred under terms of the MPO Agreement are maintained in files and readily available upon request by FDOT at the business office of the River to Sea TPO at all times during the period of the MPO agreement and for five years after final payment is made.

6. Is supporting documentation submitted, when required, by the MPO to FDOT in detail sufficient for proper monitoring?

Yes, the River to Sea TPO submits detailed supporting documentation to FDOT with each invoice package.

7. How does the MPO comply with, and require its consultants and contractors to comply with applicable Federal law pertaining to the use of Federal-aid funds and applicable State laws?

Compliance with Federal law is a term of the General Consulting Services contract signed by Consultants. Consultant invoices are reviewed for compliance upon receipt. The TPO undergoes an annual audit performed by a CPA which reviews and verifies the compliance with Federal law.

8. Does the MPO have an existing negotiated indirect cost rate from the Federal government or use the de minimis rate (currently set at 10% of modified total direct costs which may be used indefinitely [\(2 C.F.R. 200.414\(f\)\)](#)?

In general, only those MPOs that are hosted by agencies that receive direct Federal funding in some form (not necessarily transportation) will have available a Federally approved indirect cost rate. If the MPO has a staffing services agreement or the host agency requires the MPO to pay a monthly fee, the MPO may be reimbursed for indirect costs.

Please Check: Indirect Rate ☐ De Minimis Rate ☐ N/A ☒

- a. If the MPO has an existing negotiated indirect cost rate, did the MPO submit a cost allocation plan?

N/A

Part 1 Section 3: Title VI and ADA

1. Has the MPO signed an FDOT Title VI/Nondiscrimination Assurance, identified a person responsible for the Title VI/ADA Program, and posted for public view a nondiscrimination policy and complaint filing procedure?"

Please Check: Yes ☒ No ☐

The Title VI/Nondiscrimination Assurance Statement was signed on May 4, 2022. The TPO has identified a staff member to manage the responsibilities of the Title VI/ADA Program and posted the nondiscrimination policy and complaint filing procedure under the public involvement section of the TPO's website and in the lobby of the TPO office

2. Do the MPO's contracts and bids include the appropriate language, as shown in the appendices of the [Nondiscrimination Agreement](#) with the State?

Please Check: Yes ☒ No ☐

Yes, the TPO consults with legal counsel to include appropriate language pertaining to Nondiscrimination in contracts.

3. Does the MPO have a procedure in place for the prompt processing and disposition of Title VI and Title VIII complaints, and does this procedure comply with FDOT's procedure?

Please Check: Yes ☒ No ☐

The River to Sea TPO has a procedure in place that complies with FDOT's procedure posted on the TPO's website at www.r2ctpo.org/public-involvement/public-participation-documents.

4. Does the MPO collect demographic data to document nondiscrimination and equity in its plans, programs, services, and activities?

Please Check: Yes ☒ No ☐

The TPO tracks statistical data through the TPO's Limited English Proficiency (LEP) Plan for its constituents (last updated on 04/27/22).

5. Has the MPO participated in any recent Title VI training, either offered by the State, organized by the MPO, or some other form of training, in the past three years?

Please Check: Yes ☐ No ☐

The River to Sea TPO conducts training for staff annually. The most recent staff training was conducted on 9/19/2029. The Title VI Coordinator conducts research in preparation of the training. The Coordinator has also attended a course through the National Highway Institute for Public Involvement that included Title VI information.

6. Does the MPO keep on file for five years all complaints of ADA noncompliance received, and for five years a record of all complaints in summary form?

Please Check: Yes ☐ No ☐

We have not received any complaints. However, we are aware of the requirement and would retain records as needed should a complaint be filed.

Part 1 Section 4: MPO Procurement and Contract Review and Disadvantaged Business Enterprises

1. Is the MPO using a qualifications based selection process that is consistent with [2 C.F.R. 200.320 \(a-c\)](#), [Appendix II to Part 200 - Contract Provision](#), and [23 C.F.R. 172](#), and Florida statute as applicable?

Please Check: Yes ☒ No ☐

The River to Sea TPO follows a procurement process as outlined in the Purchasing Manual adopted on August 27, 2014, which was developed to be consistent with federal requirements. This document can be found on the website at: <https://www.r2ctpo.org/wp-content/uploads/R2CTPO-Purchasing-Manual-Approved-by-TPO-Board-August-27-2014-admin-mod.pdf>. An update to the Purchasing Manual is scheduled to be completed in the next fiscal year.

2. Does the MPO maintain sufficient records to detail the history of procurement, management, and administration of the contract? These records will include but are not limited to: rationale for the method of procurement, selection of contract type, contractor selection or rejection, the basis for the contract price, contract, progress reports, and invoices.

Note: this documentation is required by [2 C.F.R. 200.325](#) to be available upon request by the Federal awarding agency, or pass-through entity when deemed necessary.

Please Check: Yes ☒ No ☐

The River to Sea TPO maintains records associated with each procurement efforts as required including the rationale for the method of procurement, selection of contract type and contractor selection/rejection.

3. Does the MPO have any intergovernmental or inter-agency agreements in place for procurement or use of goods or services?

Please Check: Yes ☐ No ☒

There are no active agreements in place.

4. What methods or systems does the MPO have in place to maintain oversight to ensure that consultants or contractors are performing work in accordance with the terms, conditions and specifications of their contracts or work orders?

Please Check: Yes ☒ No ☐

A Project Manager is assigned to each contract or task work order and product delivery and schedule in accordance with the scope of services and terms of a contract is monitored by the Project Manager. Project tracking also includes review and approval of the consultant invoices by the PM which are submitted to the Financial Officer who

checks for accuracy of the dollar amounts, then moves on to the Executive Director for final approval and authorization of payment.

5. Does the MPO's contracts include all required federal and state language from the MPO Agreement?

Please Check: Yes ☒ No ☐

Yes, the TPO consults with legal counsel to ensure required language is included in its contracts.

6. Does the MPO follow the FDOT-approved Disadvantaged Business Enterprise (DBE) plan?

Please Check: Yes ☒ No ☐

The TPO has adopted the FDOT Disadvantaged Business Enterprise Plan and can be found on the TPO's website at: <https://www.r2ctpo.org/events/documents/>.

7. Are the MPOs tracking all commitments and payments for DBE compliance?

Please Check: Yes ☒ No ☐

DBE participation as well as Bidder Opportunity List information is collected and tracked by FDOT via the EOC system. The River to Sea TPO semi-annually submits the Uniform Report of DBE Commitments for FTA funds.

8. The MPO must be prepared to use the Grant Application Process (GAP) to record their professional services contract information starting on July 1, 2022. Has the MPO staff been trained on the GAP system? If yes, please provide the date of training. If no, please provide the date by when training will be complete (Recordings are available on the FDOT Local Programs [webpage](#)).

Please Check: Yes ☐ No ☐

Mr. Stephan Harris has completed the GAP online training on June 9, 2021. It is our understanding that the GAP system is not yet available to MPO/TPO for professional services contract information.

9. Does the MPO include the DBE policy statement in its contract language for consultants and subconsultants?

Please Check: Yes ☒ No ☐

The DBE policy statement is included in all new contracts.

10. Are the MPO procurement packages (Project Advertisements, Notices to Bidders, RFP/RFQs, contract templates and related documents) and contracts free from geographical preferences or bidding restrictions based on the physical location of the bidding firm or where it is domiciled?

Please Check: Yes ☒ No ☐ N/A ☐

11. Are the MPO procurement packages (Project Advertisements, Notices to Bidders, RFP/RFQs, contract templates and related documents) and contracts free of points or award preferences for using DBEs, MBEs, WBEs, SBEs, VBEs or any other business program not approved for use by FHWA or FDOT?

Please Check: Yes ☒ No ☐ N/A ☐

12. Please identify all locally required preference programs applied to contract awards by local ordinance or rule that will need to be removed from Federal-Aid solicitations and contract.

- a) ☐ Minority business
- b) ☐ Local business
- c) ☐ Disadvantaged business
- d) ☐ Small business
- e) ☐ Location (physical location in proximity to the jurisdiction)
- f) ☐ Materials purchasing (physical location or supplier)
- g) ☐ Locally adopted wage rates
- h) ☐ Other: _____

13. Do the MPO contracts only permit the use of the approved FDOT race-neutral program?

Please Check: Yes ☒ No ☐ N/A ☐

14. Do the MPO contracts specify the race neutral or 'aspirational' goal of 10.65%?

Please Check: Yes ☒ No ☐ N/A ☐

15. Are the MPO contracts free of sanctions or other compliance remedies for failing to achieve the race-neutral DBE goal?

Please Check: Yes ☒ No ☐ N/A ☐

16. Do the MPO contracts contain required civil rights clauses, including:

- a. Nondiscrimination in contracting statement (49 CFR 26.13)
- b. Title VI nondiscrimination clauses Appendices A and E (DBE Nondiscrimination Assurance & 49 CFR 21)

c. FDOT DBE specifications

Please Check: Yes ☒ No ☐ N/A ☐

Part 1 Section 5: Noteworthy Practices & Achievements

One purpose of the certification process is to identify improvements in the metropolitan transportation planning process through recognition and sharing of noteworthy practices. Please provide a list of the MPOs noteworthy practices and achievements below.

The River to Sea TPO continues to have an exemplary Public Outreach Program that includes numerous presentations to community groups, news media exposure and visibility at community outreach events. Public participation, education and outreach is woven into the daily routine of the organization and is recognized as a responsibility of all TPO staff. The TPO participated in 22 community outreach events including the House Next Door Pedestrian Safety Presentation, Walk Around Florida, Ponce Preserves the Planet, Volusia Health Department Family Fun Day, Ormond Beach Rotary Presentation, St Johns River to Sea Loop Alliance Trails Days, Flagler County Summer Camp & Vincent's Clubhouse Helmet Fitting, 21st Century Community Learning Summer Camp Helmet Fitting, Tour de Palm Coast, Flagler County Back to School Jam, Port Orange Family Days, Love to Ride Challenge, White Cane Awareness Day, Families and Communities Together (FACT) Fairs, and the Annual Holiday Toy Drive

As part of the TPO's annual review of the Call for Projects cycle, the TPO updated the scoring criteria in the project applications to place more emphasis on safety and develop and incorporate criteria specific to resiliency, sustainability, and equity.

The River to Sea TPO conducted a major update to the Congestion Management Process (CMP) to define congestion management objectives, performance measures, and methods to monitor and evaluate system performance. Congestion management strategies were also identified and assessed for their expected user benefits and contributions to system performance

The River to Sea TPO provided support and funded consultant efforts to assist with planning and technical training for Flagler County Public Transportation (FCPT) staff to provide an evaluation and recommendations for improvement with regards to accessing Federal Transit Administration Section 5307 Public Transit Block Grant Program.

Part 1 Section 6: MPO Comments

The MPO may use this space to make any additional comments or ask any questions, if they desire. This section is not mandatory, and its use is at the discretion of the MPO.

The River to Sea TPO appreciates the continued support and partnership that we have with FDOT. The dedicated District Five Staff is professional and always willing to help.



River to Sea TPO
Joint Certification 2022
3/1/2023

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Purpose

Each year, the District and the Metropolitan Planning Organization (MPO) must jointly certify the metropolitan transportation planning process as described in [23 C.F.R. §450.336](#). The joint certification begins in January. This allows time to incorporate recommended changes into the Draft Unified Planning Work Program (UPWP). The District and the MPO create a joint certification package that includes a summary of noteworthy achievements by the MPO and, if applicable, a list of any recommendations and/or corrective actions.

The Certification Package and statement must be submitted to Central Office, Office of Policy Planning (OPP) no later than June 1.

Certification Process

Please read and answer each question within this document.

Since all of Florida's MPOs adopt a new Transportation Improvement Program (TIP) annually, many of the questions related to the TIP adoption process have been removed from this certification, as these questions have been addressed during review of the draft TIP and after adoption of the final TIP.

As with the TIP, many of the questions related to the Unified Planning Work Program (UPWP) and Long-Range Transportation Plan (LRTP) have been removed from this certification document, as these questions are included in the process of reviewing and adopting the UPWP and LRTP.

Note: This certification has been designed as an entirely electronic document and includes interactive form fields. Part 2 Section 10: Attachments allows you to embed any attachments to the certification, including the [MPO Joint Certification Statement](#) document that must accompany the completed certification report. Once all the appropriate parties sign the MPO Joint Certification Statement, scan it and attach it to the completed certification in Part 2 Section 10: Attachments.

Please note that the District shall report the identification of and provide status updates of any corrective action or other issues identified during certification directly to the MPO Board. Once the MPO has resolved the corrective action or issue to the satisfaction of the District, the District shall report the resolution of the corrective action or issue to the MPO Board.

The final Certification Package should include Part 1, Part 2, and any required attachments and be transmitted to Central Office no later than June 1 of each year.

Risk Assessment Process

Part 2 Section 1: Risk Assessment evaluates the requirements described in [2 CFR §200.332 \(b\)-\(e\)](#), also expressed below. It is important to note that FDOT is the recipient and the MPOs are the subrecipient, meaning that FDOT, as the recipient of Federal-aid funds for the State, is responsible for ensuring that Federal-aid funds are expended in accordance with applicable laws and regulations.

(b) Evaluate each subrecipient's risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate subrecipient monitoring described in paragraphs (d) and (e) of this section, which may include consideration of such factors as:

(1) The subrecipient's prior experience with the same or similar subawards;

(2) The results of previous audits including whether the subrecipient receives a Single Audit in accordance with Subpart F—Audit Requirements of this part, and the extent to which the same or similar subaward has been audited as a major program;

(3) Whether the subrecipient has new personnel or new or substantially changed systems; and

(4) The extent and results of Federal awarding agency monitoring (e.g., if the subrecipient also receives Federal awards directly from a Federal awarding agency).

(c) Consider imposing specific subaward conditions upon a subrecipient if appropriate as described in §200.208.

(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:

(1) Reviewing financial and performance reports required by the pass-through entity.

(2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and written confirmation from the subrecipient, highlighting the status of actions planned or taken to address Single Audit findings related to the particular subaward.

(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by §200.521.

(4) The pass-through entity is responsible for resolving audit findings specifically related to the subaward and not responsible for resolving crosscutting findings. If a subrecipient has a current Single Audit report posted in the Federal Audit Clearinghouse and has not otherwise been excluded from receipt of Federal funding (e.g., has been debarred or suspended), the pass-through entity may rely on the subrecipient's cognizant audit agency or cognizant oversight agency to perform audit follow-up and make management decisions related to cross-cutting findings in accordance with section §200.513(a)(3)(vii). Such reliance does not eliminate the responsibility of the pass-through entity to issue subawards that conform to agency and award-specific requirements, to manage risk through ongoing subaward monitoring, and to monitor the status of the findings that are specifically related to the subaward.

(e) Depending upon the pass-through entity's assessment of risk posed by the subrecipient (as described in paragraph (b) of this section), the following monitoring tools may be useful for the pass-through entity to ensure proper accountability and compliance with program requirements and achievement of performance goals:

(1) Providing subrecipients with training and technical assistance on program-related matters; and

(2) Performing on-site reviews of the subrecipient's program operations;

(3) Arranging for agreed-upon-procedures engagements as described in §200.425.

If an MPO receives a Management Decision as a result of the Single Audit, the MPO may be assigned the high-risk level.

After coordination with the Office of Policy Planning, any of the considerations in 2 CFR §200.331 (b) may result in an MPO being assigned the high-risk level.

The questions in Part 2 Section 1: Risk Assessment are quantified and scored to assign a level of risk for each MPO, which will be updated annually during the joint certification process. The results of the Risk Assessment determine the minimum frequency by which the MPO's supporting documentation for their invoices is reviewed by FDOT MPO Liaisons for the upcoming year. The Risk Assessment Scoring Sheet is available [here](#) on the MPO Partner Library. The frequency of review is based on the level of risk in **Table 1**.

Table 1. Risk Assessment Scoring

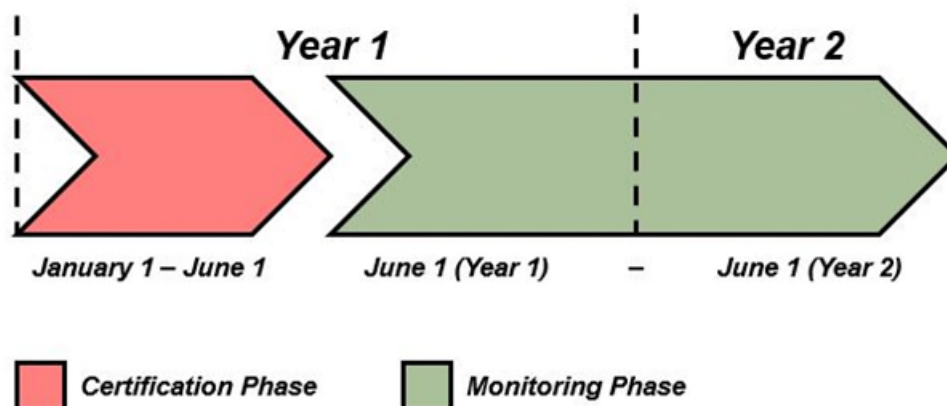
Score	Risk Level	Frequency of Monitoring
> 85 percent	Low	Annual
68 to < 84 percent	Moderate	Bi-annual
52 to < 68 percent	Elevated	Tri-annual
< 52 percent	High	Quarterly

The Risk Assessment that is part of this joint certification has two main components – the Certification phase and the Monitoring phase – and involves regular reviewing, checking, and surveillance.

1. Certification phase: the first step is to complete this Risk Assessment during the joint certification review, which runs from January 1 to June 1 (*The red arrow in **Figure 1***). During this 6-month period, a Risk Assessment is performed assessing the previous calendar year.
2. Monitoring phase: After the joint certification review has been completed, the Risk Assessment enters the Monitoring phase, where the MPO is monitored for a 12-month period starting on June 1 (*The green arrow, Year 1 in **Figure 1***) and ending on June 1 of the following year (*The green arrow, Year 2 in **Figure 1***).

This process takes 18 months in total. On January 1 of each year, the new Certification phase will begin, which will overlap with the previous year's Monitoring phase. **Figure 1** shows the timeline of Risk Assessment phases.

Figure 1. Risk Assessment: Certification and Monitoring Phases



Part 2

Part 2 of the Joint Certification is to be completed by the District MPO Liaison.

Part 2 Section 1: Risk Assessment

MPO Invoice Submittal

List all invoices and the dates that the invoices were submitted for reimbursement during the certification period in **Table 2** below.

Table 2. MPO Invoice Submittal Summary

Invoice #	Invoice Period	Date the Invoice was Forwarded to FDOT for Payment	Was the Invoice Submitted More than 90 days After the End of the Invoice Period? (Yes or No)
N/A			
N/A			
N/A			
N/A			
MPO Invoice Submittal Total			
Total Number of Invoices that were Submitted on Time			The TPO is currently on special conditions
Total Number of Invoices Submitted			

MPO Invoice Review Checklist

List all MPO Invoice Review Checklists that were completed in the certification period in **Table 3** and attach the checklists to this risk assessment. Identify the total number of materially significant finding questions that were correct on each MPO Invoice Review Checklist (i.e. checked yes). The MPO Invoice Review Checklist identifies questions that are considered materially significant with a red asterisk. Examples of materially significant findings include:

- Submitting unallowable, unreasonable or unnecessary expenses or corrections that affect the total amounts for paying out.
- Exceeding allocation or task budget.
- Submitting an invoice that is not reflected in the UPWP.
- Submitting an invoice that is out of the project scope.
- Submitting an invoice that is outside of the agreement period.
- Documenting budget status incorrectly.

Corrections or findings that are not considered materially significant do not warrant elevation of MPO risk. Examples of corrections or findings that are not considered materially significant include:

- Typos.
- Incorrect UPWP revision number.
- Incorrect invoice number.

Table 3. MPO Invoice Review Checklist Summary

MPO Invoice Review Checklist	Number of Correct Materially Significant Finding Questions
<i>Invoices are reviewed in their entirety as the TPO is on Special Conditions</i>	
MPO Invoice Review Checklist Total	
Total Number of Materially Significant Finding Questions that were Correct	

**Note: There are 7 materially significant questions per MPO Invoice Review Checklist.*

MPO Supporting Documentation Review Checklist

List all MPO Supporting Documentation Review Checklists that were completed in the certification period in **Table 4** and attach the checklists and supporting documentation to this risk assessment. Identify the total number of materially significant finding questions that were correct on each MPO Supporting Documentation Review Checklist (i.e. checked yes). The MPO Supporting Documentation Review Checklist identifies questions that are considered materially significant with a red asterisk. Examples of materially significant findings include:

- Submitting an invoice with charges that are not on the Itemized Expenditure Detail Report.
- Submitting an invoice with an expense that is not allowable.
- Failing to submit supporting documentation, such as documentation that shows the invoice was paid.
- Submitting travel charges that do not comply with the MPO's travel policy.

Table 4. MPO Supporting Documentation Review Checklist Summary

MPO Supporting Documentation Review Checklist	Number of Correct Materially Significant Finding Questions
<i>All Invoices are reviewed in their entirety as the TPO is on Special Conditions</i>	
MPO Supporting Documentation Review Checklist Total	
Total Number of Materially Significant Finding Questions that were Correct	

**Note: There are 25 materially significant questions per MPO Supporting Documentation Review Checklist.*

Technical Memorandum 19-04: Incurred Cost and Invoicing Practices

Were incurred costs billed appropriately at the end of the contract period?

Please Check: Yes ☐ No ☐ N/A ☐

Risk Assessment Score

Please use the Risk Assessment worksheet to calculate the MPO's risk score. Use **Table 5** as a guide for the selecting the MPO's risk level.

Table 5. Risk Assessment Scoring

Score	Risk Level	Frequency of Monitoring
> 85 percent	Low	Annual
68 to < 84 percent	Moderate	Bi-annual
52 to < 68 percent	Elevated	Tri-annual
< 52 percent	High	Quarterly

Risk Assessment Percentage: _____

Level of Risk: **High**

Part 2 Section 2: Long-Range Transportation Plan (LRTP)

Did the MPO adopt a new LRTP in the year that this certification is addressing?

Please Check: Yes ☐ No ☒

If yes, please ensure any correspondence or comments related to the draft and final LRTP and the LRTP checklist used by Central Office and the District are in the [MPO Document Portal](#) or attach it to Part 2 Section 10: Attachments. List the titles and dates of attachments uploaded to the MPO Document Portal below.

Title(s) and Date(s) of Attachment(s) in the MPO Document Portal

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Part 2 Section 3: Transportation Improvement Program (TIP)

Did the MPO update their TIP in the year that this certification is addressing?

Please Check: Yes ☒ No ☐

If yes, please ensure any correspondence or comments related to the draft and final TIP and the TIP checklist used by Central Office and the District are in the [MPO Document Portal](#) or attach it to Part 2 Section 10: Attachments. List the titles and dates of attachments uploaded to the MPO Document Portal below.

Title(s) and Date(s) of Attachment(s) in the MPO Document Portal

FY 2022-23 to FY 2026-27 DRAFT TIP June Review.pdf – June 2, 2022
R2S_Draft TIP Review Checklist_6-3-22.pdf – June 3, 2022
FY 2022-23 to FY 2026-27 TIP – Adopted June 22, 2022.pdf – July 1, 2022
Executed Resolution 2022-13 (Adopting FY 2022-23-2026-27 TIP).pdf – July 1, 2022
06-22-2022 TPO Board Agenda – TIP.pdf – July 1, 2022

Part 2 Section 4: Unified Planning Work Program (UPWP)

Did the MPO adopt a new UPWP in the year that this certification is addressing?

Please Check: Yes ☒ No ☐

If yes, please ensure any correspondence or comments related to the draft and final UPWP and the UPWP checklist used by Central Office and the District are in the [MPO Document Portal](#) or attach it to Part 2 Section 10: Attachments. List the titles and dates of attachments uploaded to the MPO Document Portal below.

Title(s) and Date(s) of Attachment(s) in the MPO Document Portal

FY 2022-23 and FY 2023-24 UPWP Draft March 2022.pdf – March 25, 2022
UPWP Checklist-Draft Review_R2S.pdf – March 28, 2022
FY 2022-23 and FY 2023-24 UPWP Adopted May 25, 2022.pdf – May 25, 2022
CostAnalysisCert_Form_R2S.docx.pdf – May 26, 2022
2022 06 15 River2Sea UPWP Approval Letter FINAL-Signed-Sullivan.pdf – June 15, 2022
FY 2022-23 and FY 2023-24 UPWP_Draft 05.18.2022 for TPO Board Review.pdf – May 19, 2022
UPWP Checklist – Final Review_R2S.pdf – May 20, 2022

Part 2 Section 5: Clean Air Act

The requirements of [Sections 174](#) and [176 \(c\) and \(d\)](#) of the Clean Air Act.

The Clean Air Act requirements affecting transportation only applies to areas designated nonattainment and maintenance for the National Ambient Air Quality Standards (NAAQS). Florida currently is attaining all NAAQS. No certification questions are required at this time. In the event the Environmental Protection Agency issues revised NAAQS, this section may require revision.

Title(s) of Attachment(s)

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Part 2 Section 6: Technical Memorandum 19-03REV: Documentation of FHWA PL and Non-PL Funding

Did the MPO identify all FHWA Planning Funds (PL and non-PL) in the TIP?

Please Check: Yes ☒ No ☐ N/A ☐

Part 2 Section 7: MPO Procurement and Contract Review

To evaluate existing DBE reporting requirements, choose one professional services procurement package and contract between the MPO and a third party to answer the following questions. If the answer to any of the questions is no, there is no penalty to the MPO. FDOT is using this information to determine technical support and training for the MPOs. Any new procurements after July 1, 2022 must be compliant with the existing DBE reporting requirements.

1. Are the procurement package (Project Advertisements, Notices to Bidders, RFP/RFQs, contract templates and related documents) and contract free from geographical preferences or bidding restrictions based on the physical location of the bidding firm or where it is domiciled?

Please Check: Yes ☐ **No** ☐ **N/A** ☒

2. Are the procurement package (Project Advertisements, Notices to Bidders, RFP/RFQs, contract templates and related documents) and contract free of points or award preferences for using DBEs, MBEs, WBEs, SBEs, VBEs or any other business program not approved for use by FHWA or FDOT?

Please Check: Yes ☐ **No** ☐ **N/A** ☒

3. Does the contract only permit the use of the approved FDOT race-neutral program?

Please Check: Yes ☐ **No** ☐ **N/A** ☒

4. Does the contract specify the race neutral or 'aspirational' goal of 10.65%?

Please Check: Yes ☐ **No** ☐ **N/A** ☒

5. Is the contract free of sanctions or other compliance remedies for failing to achieve the race-neutral DBE goal?

Please Check: Yes ☐ **No** ☐ **N/A** ☒

6. Does the contract contain required civil rights clauses, including:
- a. Nondiscrimination in contracting statement (49 CFR 26.13)
 - b. Title VI nondiscrimination clauses Appendices A and E (DBE Nondiscrimination Assurance & 49 CFR 21)
 - c. FDOT DBE specifications

Please Check: Yes ☐ No ☐ N/A ☒

Part 2 Section 8: District Questions

The District may ask up to five questions at their own discretion based on experience interacting with the MPO that were not included in the sections above. Please fill in the question(s), and the response in the blanks below. This section is optional and may cover any topic area of which the District would like more information.

1. Question

PLEASE EXPLAIN

2. Question

PLEASE EXPLAIN

3. Question

PLEASE EXPLAIN

4. Question

PLEASE EXPLAIN

5. Question

PLEASE EXPLAIN

Part 2 Section 9: Recommendations and Corrective Actions

Please note that the District shall report the identification of and provide status updates of any corrective action or other issues identified during certification directly to the MPO Board. Once the MPO has resolved the corrective action or issue to the satisfaction of the District, the District shall report the resolution of the corrective action or issue to the MPO Board. The District may identify recommendations and corrective actions based on the information in this review, any critical comments, or to ensure compliance with federal regulation. The corrective action should include a date by which the problem must be corrected by the MPO.

Status of Recommendations and/or Corrective Actions from Prior Certifications

Prior Certification Recommendations:

As we work towards a new UPWP cycle and the transition to the CPG, the department would like to strongly encourage the MPO to partner with their transit agencies in making sure that all aspects of transit planning are still being prioritized. We would also like to encourage the MPO to spend down their PTGA's in an effort to fully transition to the CPG.

Prior Certification Corrective Actions:

In July of 2021, the River to Sea TPO Executive Director submitted her resignation. The department had noted ongoing invoicing concerns and opted to place the TPO on special conditions. Special condition status was issued in November of 2021 (letter is attached) citing ongoing invoicing concerns, the resignation of the TPO's financial staff, and the placement of an interim director.

At this time, the TPO remains on Special Conditions. The district/department remain committed to providing the TPO with technical support in an effort to get the TPO back on track in accordance with state and federal requirements. While special conditions do allow for flexibility; the department encourages the TPO to work toward meeting all deadlines, invoicing in accordance with the MPO agreement, and utilizing its resources to remain in compliance.

The department would like to strongly encourage TPO staff to put a financial plan in place that addresses best practices, policies, and procedures.

Recommendations

Over the last year, the TPO has made progress by hiring permanent staff in both the Executive Director and Financial Manager roles. The department continues to encourage the TPO to execute a GPC contract in an effort to support staff with necessary work products.

Progress on invoicing remains a top priority for the Department. The district will continue to provide the necessary training and guidance as needed to support TPO staff in an effort to meet the requirements spelled out in the special condition's letters (dated 11/2021 and 4/2023 both attached).

Corrective Actions

A letter was provided to the Executive Director of the TPO on April 5, 2023. The letter spells out the department's expectations for the TPO to complete, and be removed from, special condition status.

Part 2 Section 10: Attachments

Please attach any documents required from the sections above or other certification related documents here or through the [MPO Document Portal](#). Please also sign and attached the [MPO Joint Certification Statement](#).

Title(s) and Date(s) of Attachment(s) in the MPO Document Portal

Nov. 2021 Special Conditions Letter
April 2023 Special Conditions Status Letter