



River to Sea TPO

Calendar Year of Review Period: January 1, 2023, through December 31, 2023.

Click to enter the date the review is finalized.

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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. (the TPO is in the process of amending this Agreement to reflect the updated membership outlined in the Apportionment Plan)

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 (new Agreement expected with the adoption of the FY24 - FY25 UPWP);

Public Transportation Grant Agreement G1292 (FTA Section 5305(d) Funding – Executed 9/14/2021/Expired 12/31/2023 (the TPO closed-out this Agreement in January 2024 and received final payment);

Public Transportation Grant Agreement G2509 (FTA Section 5305(d) Funding – Executed 3/16/2022/Expires 6/30/2024;

Florida Commission for the Transportation Disadvantaged Planning Grant Agreement – Executed 7/1/2023/Expires 6/30/2024; 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.

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 in June of 2022. Congestion management strategies were also identified and assessed for their expected user benefits and contributions to system performance. The CMP was identified as a Best Practice during the 2023 Federal Certification.

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 next comprehensive update of the PPP will be conducted in 2024 and include the TPO's expanded boundaries per the Apportionment Plan. The PPP can be accessed through the TPO's website.

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 Executive Director prior to payment. All invoices and detailed support documentation are reviewed by the 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 2024.

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 has implemented processes and procedures to ensure compliance with proper management of federal, state and local funds. In 2023, the TPO underwent an Office of Inspector General (OIG) Audit which determined that the TPO's current written accounting policies and procedures are in accordance with federal regulations, state statutes, and Department policies and procedures and is compliant with the use of funds allocated and expended for allowable, reasonable, necessary, and allocable costs for the current MPO Grant Agreement G2798. TPO

staff also participated in the FDOT/MPO Finance Workshop in December of 2023. Additionally, the 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?

Detailed records of costs incurred under terms of the MPO Agreement are submitted with monthly Invoice Packages. Additionally, these records are also maintained in files and readily available upon request 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 contracts 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. An updated Assurance Statement will be signed with the adoption of the FY 24 - FY 25 UPWP. 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.

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). The LEP will be updated in 2024 to include the TPO expanded boundaries per the Apportionment Plan.

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 8/14/2023. 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. 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.

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 with all new contracts and payments are tracked and reported with each Invoicing Package. The River to Sea TPO also 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 ☐

Yes, TPO staff have completed GAP Access Training on June 9, 2021, June 2, 2023, and February 8, 2024.

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 are woven into the daily routine of the organization and are recognized as a responsibility of all TPO staff. The TPO participated in 31 community outreach events including Ponce Preserves the Planet, Port Orange Family Days, DeBary and Deltona Libraries' safety presentations and helmet fittings, Babe James Youth Center safety presentation and helmet fitting, the Neighborhood Center helmet fitting and safety presentation, a Palm Coast Distracted Driving Campaign which included presentations and helmet fittings for the children and teens, and a presentation to the seniors, VCARD Icebreaker, White Cane & Pedestrian Safety Awareness Day, four Families and Communities Together (FACT) Fairs, and our Annual Holiday Toy Drive.

The TPO also partnered with FDOT on Mobility Week, the Bike Lane Design Contest, the National Bike Month Kick-off Press Conference, the Bunnell Health Fair, and the development and distribution of the Flagler County Buck Slip which is mailed to all Flagler County residents in their registration renewals. In addition, the TPO produced twelve Transportation Talk newsletters which covered topics related to safety, current events, and items of importance to the TPO.

The River to Sea TPO Board adopted its Apportionment Plan in October of 2023. As part of the plan, the TPO approved an expansion of its boundaries to cover all of Flagler County, as opposed to just the urbanized area in the eastern part of the County. Once expanded, the TPO Boundary will cover both Volusia and Flagler Counties in their entirety, providing improved transportation planning coordination between all agency partners and allowing the TPO to plan and implement a comprehensive regional transportation plan that considers the current and future growth occurring across the entirety of Flagler and Volusia Counties.

The Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) completed its Federal Certification of the River to Sea TPO in 2023 which resulted in no Corrective Actions and identified six Noteworthy Practices pertaining to Metropolitan Planning Organization Structure, Transportation Planning Factors, Transit, Outreach and Public Participation and Congestion Management Process.

The River to Sea TPO, in partnership with Volusia and Flagler Counties, was selected as a recipient of \$320,000 of funding through the USDOT Safe Streets and Roads for all program to develop a Comprehensive Safety Action Plan to identify implementable strategies aimed at eliminating fatalities and serious injuries on our roadways.

The River to Sea TPO continues to provide support to advance key transit planning activities for Volusia County Transit Services (Votran). In 2023, the TPO funded consultant efforts to include:

- Votran Intermodal Transfer Feasibility Study
- Votran On-Demand Mobility Procurement and Deployment Support

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

Calendar Year of Review Period: January 1, 2023, through December 31, 2023.

Click to enter the date the review is finalized.

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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

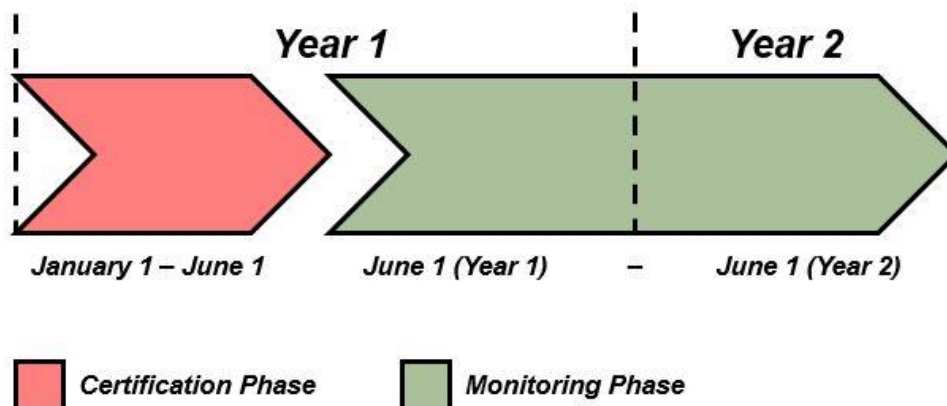
Score	Risk Level	Frequency of Monitoring
> 85 percent	Low	Annual
68 to < 84 percent	Moderate	Bi-annual
52 to < 68 percent	Elevated	Tri-annual
< 52 percent	High	Quarterly

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)
G2798-7	11/30/22 – 1/31/23	4/19/2023	No
G2798-8	1/4/22 – 2/28/23	5/25/2023	No
G2798-9	2/1/23 – 3/31/23	6/19/2023	No
G2798-10	3/1/23 – 4/30/23	7/28/2023	No
G2798-11	2/8/23 – 5/31/23	8/25/2023	No
G2798-12	4/11/23 – 6/30/23	9/28/2023	No
G2798-13	6/7/23 – 7/31/23	10/30/2023	No
G2798-14	6/20/23 – 7/28/23	11/21/2023	No
G2798-15	8/7/23 – 9/30/23	12/7/2023	No
MPO Invoice Submittal Total			
Total Number of Invoices that were Submitted on Time			9

Total Number of Invoices Submitted	9
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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
G2798-7 Review Date: 5/1/2023	7
G2798-8 Review Date: 5/31/2023	7
G2798-9 Review Date: 6/20/2023	7
G2798-10 Review Date: 8/1/2023	7

G2798-11 Review Date: 8/28/2023	7
G2798-12 Review Date: 9/29/2023	7
G2798-13 Review Date: 10/31/2023	7
G2798-14 Review Date: 11/21/2023	7
G2798-15 Review Date: 12/7/2023	7
MPO Invoice Review Checklist Total	
Total Number of Materially Significant Finding Questions that were Correct	63

**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
Reviewed G2798-13 2/14/2024		24
<i>*only 24 questions applied</i>		
MPO Supporting Documentation Review Checklist Total		
Total Number of Materially Significant Finding Questions that were Correct		24

**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: 100%

Level of Risk: **Low**

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

Click or tap here to enter text.

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 2023-24 to FY 2027-28 TIP Adopted 06.28.2023.pdf (7/13/2023)
DRAFT FY 2023-24 to FY 2027-28 TIP - 06.06.2023.pdf (6/6/2023)
R2S DRAFT_TIP Review Checklist.pdf (6/6/2023)

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

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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)

N/A

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. Which processes should FDOT consider improving to assist the MPO in carrying out its day-to-day operations?

Providing templates, best practices or other guidance especially when requirements or processes change would be helpful. Providing a District 5 Finance Workshop similar to the one held in District 4 to discuss the policies and procedures as they pertain to District 5.

2. In which areas could FDOT consider improving to enhance the relationship between the MPO's and the Department?

The River to Sea TPO appreciates the continued support and partnership that we have with FDOT. Continued communication and dialog between the two agencies are critical to a successful partnership. Additional, continued collaboration with all MPOs in the District by re-establishing the monthly partnering meetings on a regularly scheduled basis would be helpful

3. Please provide any regional planning activities anticipated within the next year and provide details

The River to Sea TPO is currently identifying activities for the new fiscal year through the development of the FY 24 – FY 25 Unified Planning Work Program (UPWP). The TPO will continue to participate in regional planning efforts as part of the Central Florida MPO Alliance (CFMOA) and the MPO Advisory Council (MPOAC) as well as other planning and partnering activities with the Regional Planning Council Resiliency Action Committee, the St. Johns River to Sea Loop Alliance, and the TSMO Consortium. New planning activities will include active participation in the development of the Regional TSM&O Organizational Strategic Plan and the District 5 Safety Strategic Plan as well as coordination of Long Range Transportation Plans with neighboring MPOs

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

All prior certification comments have been satisfied.

Recommendations

No current recommendations

Corrective Actions

No current corrective action for the TPO

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

civil rights clauses - <https://www.r2ctpo.org/events/documents/>