



River to Sea TPO

Joint Certification – Calendar Year 2020

Insert Date |

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

These agreements are generally unchanged from the previous Certification Review and they are not likely to be updated until after the next decennial census. 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. Two agreements that were updated in recent years are: the Metropolitan Planning Organization Agreement (Form 525-010-02), last executed May 21, 2018; 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) in addition to other activities including participation in the Regional Planning Council Resiliency Action Committee, the St. Johns River to Sea Loop Trail Alliance, the Coast to Coast Leadership Team and the TSM&O Consortium, etc. The CFMPOA meets three or four times each year, providing a collaborative planning forum for the six (6) M/TPO's serving East/Central Florida. In recent years, results of these efforts include a Regional List of Project Priorities, a Regional Truck Stop Study, and the Regional Indicators Report, among others. The MPOAC meets at least quarterly to discuss and planning activities and projects with a state-wide emphasis. R2CTPO staff also participates as part of the MPO Leadership Team, meeting twice a year with FDOT Central Office staff. Deliverables produced by the MPOAC include a Strategic Plan, a Noteworthy Practices resource site, a Freight Priorities List and Annual Legislative Priorities. River to Sea TPO staff also collaborate with our neighboring M/TPO's directly on projects such as SunTrails planning and project development, SpacePort activity and regional technology.

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 plan. Both of these documents reference the 10 planning factors and include tables that cross reference the

connection between the planning factors and planning activities of the TPO. The UPWP and LRTP can be found on the TPO website at: <https://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

River to Sea TPO activities are based in the 3C 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 R2CTPO 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 Congestion Management Process was developed as part of the development of the 2040 Long Range Transportation Plan and was adopted on August 26, 2015. The CMP is posted on the TPO website at: <https://www.r2ctpo.org/planning-studies/congestion-management-process/> The most recent CMP report was adopted October 24, 2018 and the results were used to inform the Connect 2045 long-range plan. A review and update to the process is currently underway to incorporate additional data and performance measures to expand the report into more of a “state of the system” report. Update of the CMP is included in year 1 of the adopted UPWP.

6. Has the MPO recently reviewed and/or updated its Public Participation Plan? If so, when?

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 of the PPP was completed and adopted on June 26, 2019. The plan was amended on June 24, 2020 to incorporate changes needed to respond to the COVID-19 pandemic. It is available on the TPO website at: www.r2ctpo.org/public-involvement/public-participation-documents/ An update to the PPP is scheduled in year 2 of the currently adopted UPWP.

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

Please Check: Yes No

The PPP was made available for public review and comment on April 25, 2019 and the comment period closed on June 26, 2019 for a total of 63 days. The amendment was also placed out for public review for 46 days (beginning on May 10, 2020 and extending until June 24, 2020)

8. Does the MPO utilize one of the methods of procurement identified in [2 C.F.R. 200.320 \(a-f\)](#)?

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 Procurement Manual is under way and should be completed by June 30, 2021.

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

Note: this documentation is required by 2 C.F.R. 200.324 (a) 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.

10. 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.

11. 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

Project management responsibility is assigned to planning staff by the Executive Director. Product delivery, budget and schedule in accordance with the scope of services and terms of a contract is monitored by the Project Manager and additional oversight is provided by the Executive Director and Financial Officer as part of the invoicing review process. Project tracking also includes review and approval of the consultant invoices by the PM which are submitted to the CFO who checks for accuracy

of the dollar amounts, then moves on to the Executive Director for final approval and authorization of payment. After payment is made, the checks are signed by the CFO and another authorized individual.

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?

Invoices are prepared by the Accounting Manager and reviewed by the Executive Director to ensure expenditures are in compliance with Federal and State requirements. They are submitted to and reviewed by the District Five MPO/TPO Liaison prior to submitting to District Five Finance and Accounting Department. The MPO/TPO Liaison uses C.F.R. 200 and the FDOT Office of the Comptroller, Disbursement Handbook, and the FDOT Reference Guide for State Expenditures to review what is reasonable, necessary and eligible for all invoices from the MPO/TPO. Financial audits are also completed annually by an independent auditor and an annual risk assessment is completed by FDOT staff.

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

River to Sea TPO submits monthly invoices to FDOT.

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.

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

The Accounting Manager and Executive Director provide management and oversight of the financial practices of the organization in addition to oversight provided by FDOT and the completion of the annual audit.

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?

The River to Sea TPO has practices in place that provide for the proper maintenance and availability of records. The Accounting Manager has primary responsibility for the financial administration and

record keeping and limited back-up is provided by the TPO Community Outreach Coordinator. We appreciate the oversight provided by FDOT and strive to be responsive by providing information or further details regarding financial records of the organization. Ongoing training is also completed to ensure staff is current on reporting and record keeping requirements.

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

Yes, the River to Sea TPO is not aware of any issues encountered by FDOT in this area.

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?

Contract provisions require all contractors to be in compliance with all federal requirements.

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 IV/Nondiscrimination Assurance Statement was signed on 03/25/20. 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.

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.

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 does comply with FDOT's procedure, 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 River to Sea TPO collects statistical data on a yearly basis for the participants in the TPO's committees through the Public Participation Evaluation Matrix as well as through a Survey Monkey survey. The TPO also tracks statistical data through the TPO's Limited English Proficiency (LEP) Plan for its constituents (last updated on 05/27/20).

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 (8/20/18, 08/26/19 and 08/24/20). 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: Disadvantaged Business Enterprises

1. Does the MPO have a FDOT-approved Disadvantaged Business Enterprise (DBE) plan?

Please Check: Yes No

FDOT has a DBE Program Plan which the TPO utilizes and can be found on the TPO's website at: <https://www.r2ctpo.org/events/documents/>. MPO/TPOs are not required to have a separate plan as a recipient of FDOT funds and would follow the guidelines outlined in the FDOT DBE Program Plan.

2. Does the MPO use the Equal Opportunity Compliance (EOC) system or another FDOT process to ensure that consultants are entering bidders opportunity list information, as well as accurately and regularly entering DBE commitments and payments?"

Please Check: Yes No

The River to Sea TPO periodically submits the Uniform Report of DBE Commitments

3. 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 and has been added by amendment to existing contracts.

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.

PLEASE EXPLAIN

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.

Calendar Year 2020 was a critical year for all public service agencies as a result of COVID-19. The River to Sea TPO was the first M/TPO in the state to host a virtual board meeting on March 25th, just a week after the Governor issued an Executive Order allowing this practice, and we've successfully conducted more than 50 committee meetings over the course of the year.

Public Outreach: I'm particularly proud of the way our staff pivoted programs immediately during the pandemic to ensure our mission of public engagement was maintained. During the year, we:

- Completed a "Tell the TPO Survey" which included a robust social media campaign (12,291 people reached on Facebook and 7,369 Twitter impressions) and partnerships with more than 150 agencies and stakeholders to promote the survey, resulting in 1,344 total responses.
- Amended our Public Participation Program (PPP) & activities to: utilize virtual meetings; partnered with local law enforcement & Votran to distribute 150 bicycle light sets & 550 pedestrian lights; completed 28 presentations to community groups, stakeholders and local governments; distributed more than 700 brochures & decals; and took part in FDOT's Mobility Week Virtual Conference Center displaying a welcome video and information

Connect 2045 Your Community Transportation Plan: Development of the Connect 2045 plan continued on schedule with adoption of the plan on September 23, 2020. The plan was developed with a revised plan for public engagement that included:

- 82 public presentations, committee meetings & workshops (many of which were held virtually)
- Social media advertisements on Facebook (reaching 13,785 people with 1,890 link clicks) and on FlaglerLive.com (1.5 million impressions with 351 link clicks)
- Promotion of an LRTP-specific survey used to gain insight into the public's thoughts related to emerging technologies, resiliency, and funding for transportation projects (over 500 responses)
- Distribution of 3 videos: 2 that discussed current transportation topics and one that addressed planning activities under COVID.

Other Noteworthy Activities include:

- Participated in the Love to Ride Florida Challenge as part of FDOT's Mobility Week and ***won first place in our size category as well as all of Florida.***
- Completion of the Connected & Automated Vehicle Readiness Study Technology Transition Plan (June 24, 2020). This study ***won Outstanding Planning Study Award from the Florida Planning & Zoning Association Surfcoast Chapter***
- Completion of the Annual Independent Audit with no findings and the FDOT Fiscal Risk Assessment with a perfect score.
- Continued service as the Chair of the MPO Advisory Council Staff Directors Committee and participation in the MPO-FDOT Leadership Group for the State of Florida |



River to Sea TPO

Joint Certification 1/1/2020-12/31/2020

January 2021

Part 2 – FDOT District

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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 9: 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 9: 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 §200.331 \(b\)-\(e\)](#), 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 § 200.207 Specific conditions.

(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 other means.*
- (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 Management decision.*

(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 Audit services.*

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.

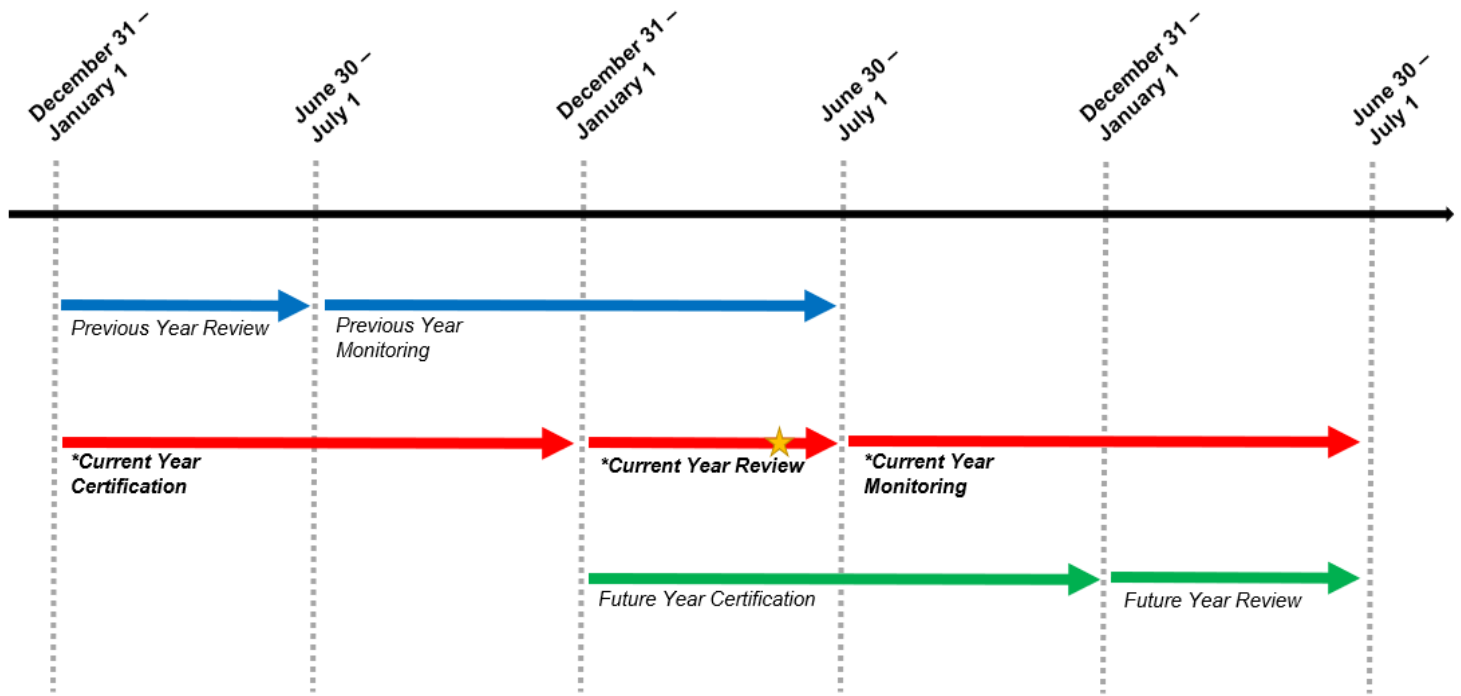
The questions in Part 2 Section 1: Risk Assessment are quantified and scored to assign a level of risk for each MPO, which will be updated annually during the joint certification process. The results of the Risk Assessment determine the minimum frequency by which the MPO’s supporting documentation for their invoices is reviewed by FDOT MPO Liaisons for the upcoming year. The 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. The first step is to complete this Risk Assessment during the joint certification for the current year (*The red line in Figure 1*). The current year runs for a 12-month period from January 1 to December 31 of the same year (*Example: January 1, 2018 through December 31, 2018*). There is a 6-month period when the joint certification for the current year is reviewed before the Risk Assessment enters the Monitoring phase. The joint certification review runs from January 1 to June 30 (*Example: January 1, 2019 through June 30, 2019*). After the review has been completed, the Risk Assessment enters the Monitoring phase, where the MPO is monitored for a 12-month period (*Example: July 1, 2019 to June 30, 2020*). The entire Risk Assessment runs for a total of 30-months. However, there will always be an overlapping of previous year, current year, and future year Risk Assessments. **Figure 1** shows the timeline of Risk Assessment phases and how Risk Assessments can overlap from year to year.

Figure 1. Risk Assessment: Certification Year vs. Monitoring



★ June 1st - Joint Certifications are due to FDOT

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)
G0W39-38 (PL)	1/01/2020-01/31/2020	3/6/2020	No
G0W39-39 (SU)	12/4/2019-02/01/2020	3/11/2020	No

G0W39-40 (PL)	1/01/2020- 01/31/2020	3/11/2020	No
G0W39-41 (SU)	11/01/2019- 2/07/2020	3/11/2020	No
G0W39-42 (SU)	1/26/2020- 2/22/2020	3/11/2020	No
G0W39-43 (SU)	1/26/2020- 2/22/2020	3/11/2020	No
G0W39-44 (PL)	1/01/2020- 01/31/2020	3/23/2020	No
G0W39-45 (SU)	2/02/2020- 2/29/2020	5/29/2020	No
G0W39-46 (SU)	3/01/2020- 3/31/2020	5/29/2020	No
G0W39-47 (PL)	2/01/2020- 2/29/2020	6/04/2020	Yes
G0W39-48 (PL)	3/02/2020- 3/21/2020	6/12/2020	No
G0W39-49 (PL)	4/01/2020- 4/30/2020	6/30/2020	No
G0W39-50 (SU)	2/01/2020- 4/30/2020	7/07/2020	No
G0W39-51 (PL)	04/01/2020- 04/30/2020	7/13/2020	No
G0W39-52 (SU)	2/23/2020- 6/13/2020	7/20/2020	No
G0W39-53 (SU)	2/02/2020- 6/30/2020	7/29/2020	No
G0W39-54 (SU)	5/01/2020- 6/30/2020	7/29/2020	No
G0W39-55 (SU)	5/01/2020- 5/31/2020	7/31/2020	No

G0W39-56 (PL)	5/01/2020- 5/31/2020	7/31/2020	No
G0W39-57 (PL)	5/01/2020- 5/31/2020	8/20/2020	No
G0W39-58 (PL)	6/01/2020- 6/30/2020	09/01/2020	No
G0W39-59 (PL)	6/01/2020- 6/30/2020	9/17/2020	No
G0W39-60 (PL)	6/01/2020- 6/30/2020	9/25/2020	No
G1L94-1 (SU)	7/01/2020- 9/30/2020	10/21/2020	No
G1L94-2 (PL)	7/01/2020- 9/30/2020	10/30/2020	No
G1L94-3 (SU)	9/01/2020- 9/30/2020	11/09/2020	No
G1L94-4 (SU)	10/16/2020- 11/01/2020	11/20/2020	No
G1L94-5 (PL)	8/01/2020- 8/31/2020	11/25/2020	No
G1L94-6 (SU)	10/01/2020- 10/31/2020	11/24/2020	No
G1L94-7 (PL)	9/01/2020- 9/30/2020	12/30/2020	No
G1L94-8 (SU)	9/21/2020- 12/11/2020	1/04/2021	No
G1L94-9 (SU)	11/1/2020- 11/30/2020	1/11/2021	No
G1L94-10 (SU)	11/09/2020- 12/26/2020	1/19/2021	No
MPO Invoice Submittal Total			

Total Number of Invoices that were Submitted on Time	32
Total Number of Invoices Submitted	33

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 budgeted amount because an amendment was not recorded.
- Incorrect invoice number.

Table 3. MPO Invoice Review Checklist Summary

MPO Invoice Review Checklist	Number of Correct Materially Significant Finding Questions
G0W39-38 (PL) Review Date: 3/06/2020	7
G0W39-39 (SU) Review Date: 3/11/2020	7
G0W39-40 (PL) Review Date: 3/11/2020	7
G0W39-41 (SU) Review Date: 3/11/2020	7
G0W39-42 (SU) Review Date: 3/11/2020	7
G0W39-43 (SU) Review Date: 3/11/2020	7

G0W39-44 (PL) Review Date: 3/23/2020	7
G0W39-45 (SU) Review Date: 5/29/2020	7
G0W39-46 (SU) Review Date: 5/29/2020	7
G0W39-47 (PL) Review Date: 6/04/2020	7
G0W39-48 (PL) Review Date: 6/15/2020	7
G0W39-49 (PL) Review Date: 7/2/2020	7
G0W39-50 (SU) Review Date: 7/08/2020	7
G0W39-51 (PL) Review Date: 7/13/2020	7
G0W39-52 (PL) Review Date: 7/08/2020	7
G0W39-53 (SU) Review Date: 7/29/2020	7
G0W39- 54 (SU) Review Date: 7/29/2020	7
G0W39- 55 (SU) Review Date: 7/29/2020	7
G0W39-56 (PL) Review Date: 7/31/2020	7
G0W39- 57 (PL) Review Date: 8/20/2020	7
G0W39-58 (PL) Review Date: 9/1/2020	7
G0W39-59 (PL) Review Date: 9/18/2020	7
G0W39-60 (PL) Review Date: 9/28/2020	7
G1L94-1 (SU) Review Date: 10/20/2020	7
G1L94-2 (PL) Review Date: 10/30/2020	7
G1L94-3 (SU) Review Date: 11/6/2020	7
G1L94-4 (SU) Review Date: 11/10/2020	7
G1L94-5 (PL) Review Date: 11/25/2020	7
G1L94-6 (SU) Review Date:11/30/2020	7
G1L94-7 (PL) Review Date: 12/30/2020	7

G1L94-8 (SU) Review Date: 1/7/2021	7
G1L94-9 (SU) Review Date: 1/12/2021	7
G1L94-10 (SU) Review Date: 1/22/2021	7
Total Number of Materially Significant Finding Questions that were Correct	231

*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>Invoice #G0W39-12, Risk Assessment Review Date 11/4/20 (Invoice #12 period 1/1/2019-1/31/2019)</i>	17
<i>*Only 17 Questions Applicable for River to Sea TPO</i>	
MPO Supporting Documentation Review Checklist Total	

Total Number of Materially Significant Finding Questions that were Correct	17
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**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: 99%

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 9: 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

Draft LRTP upload is pending. Final agency review and comments ongoing due to adoption. Correspondence and comments will be uploaded when available.

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 9: 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

12/17/2020 Attached is a memo from the R2CTPO Chair regarding emergency authorization, Resolution 2020-05 Authorizing Emergency authorizations, Resolution 2020-21 amending the TIP and TIP Attachment A.
7/14/2020 River to Sea TPO/ADOPTED TIP FY 2021-2025
6/11/2020 DRAFT TIP for Fiscal Years 2021 - 2025
4/20/2020 Administrative TIP Modification for the River to Sea TPO. This is a carry forward from the Close-out balance for FY 2017-18, the TPO has already added the amount into the UPWP this is being done to reconcile the planning documents

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 9: 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

10/26/2020 R2CTPO Close-out documents
9/29/2020 Modification re-allocation of PL funds between tasks to cover additional staff time to complete the LRTP.
6/22/2020 River to Sea TPO (FINAL UPWP)
04/28/2020 Revision #3 is reducing the TPO's current UPWP for Fiscal Year 2020. PL funding is being reduced by \$65,000.00 in Fiscal Year 2020 and SU funding is being reduced by \$108,399.00. This amendment will be for the De-Obligation of these funds in Fiscal Year 2020. The funding will be added to the TPOs new UPWP in Fiscal Year 2021. This Revision also is to add an additional \$21,025.00 of FTA Funding, \$2,528 of Local Funding, and \$2,528 of State Funding for Section 5305(d).
03/13/2020 Draft UPWP for River to Sea TPO

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: 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, 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 8: 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

Feb 2020 Recommendation:

The Department continues to work in coordination with River to Sea TPO on spending Urban Attributable (SU) Funding to effectively help to reduce the obligating authority constraints placed on future allocations. These funds are intended to be used for productive purposes within the first three years of the Department's Work Program System. The funds are subject to redistribution or loss if certain requirements are not met. The TPO shall commit priority projects within the first three years of the department's work program system every tentative work program cycle. The Department will continue to use the TPOs Priority List for programming the SU funds to fulfill the requirements for programming federal funding per Florida Statute 339.135(4)(b)(3).

January 20, 2021:

The Department appreciates the effort River to Sea TPO put forward this last year in working to spend down their first three years of allocations of the Urban Attributable (SU) funding. However, at minimum, the first three years should be completely committed every tentative work program cycle.

Recommendations

- 1) We appreciate the hard work behind River to Sea TPO efforts to update their priority lists. However, the Department would still like to see a singular list for the region. We understand the difficulty of doing so, but by moving to a singular list the Department would have a clear understand of the region's top priorities and would be more effective in programing your prioritized projects.
- 2) In our recent review we noticed inconsistencies in the invoicing periods. In accordance with the MPO Handbook, the Department requires that the MPO commit to a submittal schedule, either

on a monthly or quarterly basis. Please see Section 3.10 of the MPO handbook for further clarification.

3.10 MPO Invoicing

The MPO Agreement requires MPOs to submit invoices to FDOT on a quarterly or monthly basis. Invoices are due to the District within 90 days after the end of the reporting period, and final reports are due 90 days after the end of the second year of the two-year UPWP. The MPO sends the UPWP Progress Report to the District MPO Liaison. At a minimum, the invoice package shall include: • An invoice, using the required format reflected in the section below; • An itemized expenditure detail report; and • A progress report. Each of these items is discussed below. Additional documentation may be required to be submitted at the time of invoice, as determined by FDOT's District MPO Liaison

Corrective Actions

The Department has no corrective actions for the TPO.

Part 2 Section 9: 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

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