



**River to Sea TPO**

**Joint Certification – 01/01/2018 – 12/31/2018**

**04/25/2019**

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## **Purpose**

Each year, the District and the 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.

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.

Please attach any correspondence or comments related to the draft or final TIP, and the TIP checklist used by Central Office and the District, as an appendix to this certification report.

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.

If the MPO has adopted a new UPWP or LRTP during the year covered by this certification, please attach any correspondence or comments related to the draft or final UPWP or LRTP, and any related checklists used by Central Office and the District, as an appendix to this certification report.

Note: This Certification has been designed as an entirely electronic document and includes interactive form fields and checkboxes. Please include any required attachments, such as the [MPO Joint Certification Statements and Assurances](#) document that must accompany the completed Certification report as an appendix to the Final Joint Certification Package.

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.

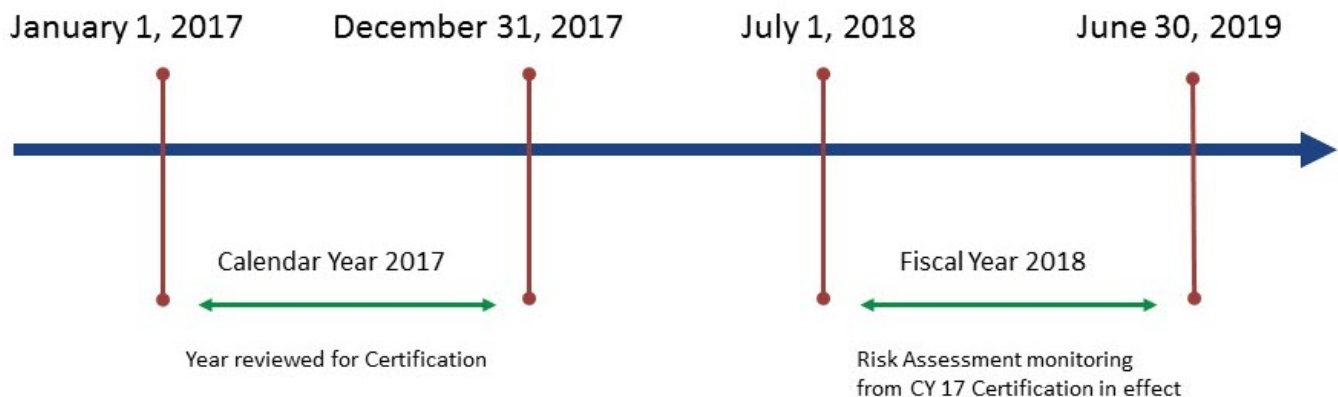
The final Certification Package shall include Part 1, Part 2, and any required attachments, and be transmitted to Central Office no later than June 30 of each year.

## Risk Assessment Process

Part 1 Section 1: Risk Assessment satisfies the Risk Assessment requirements described in [2 CFR §200.331](#). These questions are quantified using a point scale to assign a level of risk for each MPO, which will be updated annually as a result of the Joint certification process. The results of the MPO Risk Assessment will determine the minimum frequency of which the MPO's supporting documentation for their invoices is reviewed by FDOT District Liaisons for the upcoming year. The frequency of review, based on the level of risk is below:

Scale	Risk Level	Frequency of Monitoring
0-1	Low	Annually
2-3	Moderate	Bi-annually
4-5	Elevated	Triennially
>6	High	Quarterly

### ***Risk Assessment: Certification Year vs. Monitoring***



## **Part 1**

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

## Part 1 Section 1: Risk Assessment

**MPO Invoicing:** List the invoices and dates that they were submitted for reimbursement during the certification period (Calendar Year).

<u>Invoice #</u>	<u>Invoice Period</u>	<u>Date forwarded to FDOT for payment</u>	<u>Was invoice submitted more than 90 days after the end of the Invoice Period? (Yes/No)</u>	<u>+1 for each invoice over 90 days</u>
G0B25-30 (SU)	07/01/2017 – 03/31/2018	06/14/2018	No	NA
G0B25-31 (PL)	01/01/2018 – 01/31/2018	06/25/2018	Yes	1
G0B25-32 (PL)	01/01/2018 – 03/31/2018	07/16/2018	Yes	1
G0B25-33 (SU)	04/01/2018 – 05/31/2018	07/31/2018	No	NA
G0B25-34 (PL)	02/01/2018 – 02/28/2018	07/31/2018	Yes	1
G0B25-35 (PL)	03/01/2018 – 03/31/2018	08/08/2018	Yes	1
G0B25-36 (SU)	10/08/2017 – 06/30/2018	08/08/2018	No	NA
G0B25-37 (SU)	03/31/2018 – 06/30/2018	08/20/2018	No	NA
G0B25-38 (PL)	01/01/2018 – 04/30/2018	08/20/2018	Yes	1
G0B25-39 (PL)	05/01/2018 – 05/31/2018	08/20/2018	No	NA
G0B25-40 (PL)	04/01/2018 – 06/30/2018	08/30/2018	No	NA
G0B25-41 (PL)	06/01/2018 – 06/30/2018	08/30/2018	No	NA
G0W39-1 (SU)	07/01/2018 – 09/30/2018	11/09/2018	No	NA
G0W39-2 (PL)	07/01/2018 – 07/31/2018	11/14/2018	Yes	1
G0W39-3 (PL)	08/01/2018 – 08/31/2018	11/15/2018	No	NA

G0W39-4 (SU)	07/01/2018 – 11/30/2018	12/20/2018	No	NA
G0W39-5 (PL)	09/01/2018 – 09/30/2018	01/10/2019	Yes	1
G0W39-6 (PL)	10/01/2018 – 10/31/2018	01/23/2019	No	NA
G0W39-7 (SU)	10/29/2018 – 12/31/2018	01/31/2019	No	NA
G0W39-8 (PL)	11/01/2018 – 11/30/2018	02/25/2019	No	NA

**MPO Invoice Review Checklist:** List any invoices that were returned to the MPO for corrections or unallowable, unreasonable, or unnecessary expenses.

<u>Invoice #</u>	<u>Invoice Period</u>	<u>+0.5 for each returned invoice</u>
NA	NA	NA
NA	NA	NA

**MPO Invoice Review Checklist:** List any questions that resulted a “No” answer on the Invoice Review Checklist.

<u>Invoice #</u>	<u>Question</u>	<u>+0.5 for each “No”</u>
NA	NA	NA
NA	NA	NA

**MPO Supporting Documentation Review Checklist:** Please list any findings for the following items identified on the Invoice Supporting Documentation Review Checklist.

Review #      +1 for each finding

Personnel Service (MPO Salary & Fringe)



No Findings, Invoice #1, Contract G0B25, 07/01/2016 – 07/31/2016, Review took place on 09/26/2017. River to Sea Transportation Planning Organization’s (TPO) Payroll Registers, Time Sheets, and Task Sheets were very well organized.	#1	NA
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**Consultant Services**

No Findings. No consultant services expenses were submitted for payment on this invoice.	#1	NA
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**Travel Reimbursement**

No Findings. No travel expenses were submitted for payment on this invoice.	#1	NA
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**Indirect Rate (if applicable)**

No Findings	#1	NA
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**Direct Expenses**

No Findings	#1	NA
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**General Findings**

River to Sea TPO was able to produce additional information that was needed for the monitoring review. They were in compliance with the state and federal policies, procedures, and regulations in relation to expenses. The TPO’s files are well organized and accurately show sufficient evidence to support their invoices. The Department could move through the monitoring review without asking many questions.	#1	NA
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**Invoicing Errors & Omissions:** Were any errors or omissions of costs discovered through the MPO on-Site Documentation review that required an adjustment to the next invoice? If so, please identify the invoice number, Invoice Period, and adjustment amount below.

<u>Invoice #</u>	<u>Invoice Period</u>	<u>Adjustment Amount</u>	<b>+2 for each error or omission</b>
NA	NA	NA	NA

Risk Assessment Point Total: 7

Level of Risk: Moderate

Scale	Risk Level	Frequency of Monitoring
0-1	Low	Annually
2-3	Moderate	Bi-annually
4-5	Elevated	Triennially
>6	High	Quarterly

## Part 1 Section 2: Long-Range Transportation Plan (LRTP)

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

**Please Check:** Yes  No

If yes, please attach any correspondence or comments related to the draft or final LRTP, and the LRTP checklist used by Central Office and the District, as an appendix to the final Joint Certification Package.

## Part 1 Section 3: Transportation Improvement Program (TIP)

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

**Please Check:** Yes  No

If yes, please attach any correspondence or comments related to the draft or final TIP, and the TIP checklist used by Central Office and the District, as an appendix to the final Joint Certification Package.

## Part 1 Section 4: Unified Planning Work Program (UPWP)

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

**Please Check:** Yes  No

If yes, please attach any correspondence or comments related to the draft or final UPWP, and the UPWP checklist used by Central Office and the District, as an appendix to the final Joint Certification Package.

## Part 1 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.

## Part 1 Section 6: 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. Each MPO/TPO shall recommend and approve a Community Transportation Coordinator (CTC) for their area. How does the MPO/TPO interact with the CTC? What activities does the MPO/TPO participate in with the transit provider?

The River to Sea TPO works closely with Votran as the established CTC serving Volusia County. TPO staff routinely coordinates activities with the CTC including participation in the development and annual updates of the TDP and TDSP, participation on the Customer Service Review Committee that meets weekly, and a variety of other service planning and operational review activities. The TPO staff also manages activities associated with the TDLCB including coordination with Votran staff on quarterly meetings, development and review of the AOR, and coordination of the Quality Assurance Subcommittee. The TPO also supports the activities of Flagler County Public Transit (FCPT) as the designated CTC although the TPO does not oversee the provision of services. This is accomplished through the NE Florida RPC. TPO staff attends TDLCB meetings and monitors activities and identifies opportunities to provide support

1. How does the MPO/TPO use their Section 5303 funds to support public transportation?

The TPO has used FTA planning funds to ensure public transit agencies and services are represented in TPO planning activities including the TIP, UPWP and LRTP. A portion of FTA funding is also used to support the general operations of the TPO and to provide a transit planner to provide support to each of the transit providers and to participate in SunRail TAC activities. The current UPWP includes a study to review paratransit operations and to support the completion of a COA.

2. Question

Please Explain

3. Question

Please Explain

4. Question

Please Explain



## Part 1 Section 7: 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.

### Status of Recommendations and/or Corrective Actions from Prior Certifications

The Department has found the R2CTPO to be very involved in carrying out their metropolitan/transportation planning responsibilities. The R2CTPO were one of the first to complete their safety performance measures for the Transit Asset Management targets and did a great job on showing safety performance management documentation on reducing traffic fatalities and serious injuries on all public roads. Central Office uses River to Sea measures as an example to show statewide how the targets can be developed. The Department acknowledges the continued support and partnership that we have with the R2CTPO. The Staff are willing to help with assisting the Department in programming projects to be delivered in their transportation planning area. The Department did find the TPO was not submitting for reimbursement within the time frame of the Agreement. The Department is recommending the R2CTPO submit invoices before the 90 days deadline following the end of the invoice period. Even though the risk assessment level shows high, the Department feels that the R2CTPO does a good job with managing their finances. There have been no returns, no corrections, no unallowable expenses, and no un-necessary expenses. Therefore, at the Department's discretion the monitoring review level will be at the moderate risk assessment level and the R2CTPO will be reviewed bi-annually.

### Recommendations

The Department recommends the R2CTPO submit their invoices before the 90-day deadline. The Department also, recommends the R2CTPO be sure to send Scope of Services for Planning Contracts on the following Tasks 2.06, 2.09, and 3.02 be sent to FHWA for review and approval before issuing the task work order.

### Corrective Actions

None at this time.