



River to Sea TPO

Calendar Year of Review Period: January 1, 2024, through December 31, 2024.

Click to enter the date the review is finalized.

Part 1 is to be completed by the 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 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 updating 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 2024/Expires June 2026 (Amendment 1 - December 2024);

Florida Commission for the Transportation Disadvantaged Planning Grant Agreement – Executed 7/1/2024/Expires 6/30/2025;

Joint Metropolitan Planning Agreement with the North Florida TPO - Executed September 2025; 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 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 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 (LRTP) and are being incorporated into the development and update of the Volusia-Flagler 2050 LRTP. 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 as well as a link to the development of the Volusia-Flagler 2050 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 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?

The 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 (PPP)? 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. The next comprehensive update of the PPP will be conducted in 2025 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 (PPP) made available for public review at least 45 days before adoption?

Please Check: Yes No

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

Part 1 Section 2: Finances and Invoicing

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

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

Please Check: Yes No

Yes, the TPO is subject to an annual single audit. The most recent audit was completed October 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 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 G2W16. TPO staff also participated in the Office of Policy Planning FDOT/MPO Finance Workshop in December of 2023 and MPO/Liaison Training in April 2 of 2024. 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 FDOT/MPO Agreement are always maintained and readily available upon request by FDOT during the period of the FDOT/MPO Agreement, as well as for five years after final payment is made?

Detailed records of costs incurred under terms of the MPO Agreement are compiled to support monthly Invoice Packages. Additionally, these records are also maintained in files and readily available upon request at the business office of the 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 TPO submits detailed supporting documentation to FDOT when required or requested.

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

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

8. Indirect Cost Rates:

- a. If the MPO uses an indirect cost rate, do they use a federally approved indirect cost rate, state approved indirect cost rate, or the de minimis rate? The de minimis rate recently changed from 10% to 15% of modified total direct costs, which may be used indefinitely by the MPO ([2 C.F.R. 200.414\(f\)](#)). Either de minimis rate is allowable (10% or 15%). Please check one of the indirect cost rate options below:

MPO has a Federally Approved Indirect Cost Rate

MPO has a State Approved Indirect Cost Rate

MPO uses the De Minimis Rate (either the 10% or 15% indirect cost rate)

N/A (The MPO does not use an Indirect Cost Rate)

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.

- b. If the MPO has an existing federal or state approved indirect cost rate, did the MPO submit a Cost Allocation Plan?

N/A

- c. If the MPO does not use an indirect cost rate, does it charge all eligible costs as direct costs?

Please Check: Yes No

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 April 24, 2024. 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 does this procedure comply with FDOT's procedure?

Please Check: Yes No

The TPO has a procedure in place that complies with FDOT's procedure posted on the TPO's website.

4. 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 TPO conducts training for staff annually. The most recent staff training was conducted on 8/26/2024. 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.

5. Does the MPO collect demographic data to document nondiscrimination 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 2025 to include the TPO expanded boundaries per the Apportionment Plan.

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 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 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 FDOT/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. Is the MPO 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 Volusia-Flagler 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) for DBE compliance with the EOC System. 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.

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's contracts only permit the use of the approved FDOT race-neutral program?

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

14. Do the MPO's contracts specify the race neutral or 'aspirational' goal of 10.54%?

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's 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 MPO's noteworthy practices and achievements below.

In 2024, the TPO filed a fictitious name registration with the State to operate under the name The Volusia-Flagler Transportation Planning Organization. As part of the TPO's Apportionment Plan approved by the Governor in 2024, the TPO expanded its Metropolitan Planning Area Boundary to cover all of Flagler County and will now cover both Volusia and Flagler Counties in their entirety. This expansion provides improved transportation planning coordination between all agency partners and allows 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. Renaming the TPO to the Volusia-Flagler TPO provides an identify that reflects the geographic area that we cover.

The Volusia-Flagler 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 38 community outreach events including Ponce Preserves the Planet, Port Orange Family Days, White Cane Pedestrian Safety Day, Palm Coast Central Park Bike Rodeo and Ride, National Night Out, Summer Bicycle Safety Presentations and Helmet Fittings, Edgefest Earth Day Festival, Palm Coast Trail Walk, TD Awareness Day in Tallahassee, Port Orange Bike Safety Day Rodeo, DeBary and Deltona Libraries' safety presentations and helmet fittings, Delton Parks and Rec Camp Helmet Fitting, New Smyrna Beach Health Fair, Flagler Back to School Jam, VCARD Icebreaker, Families and Communities Together (FACT) Fairs, and our Annual Holiday Toy Drive.

The TPO also partnered with FDOT on developing a pilot project for the Smart Driving College Challenge, Mobility Week, the Bike Lane Design Contest, the Flagler Avenue Data Walk in New Smyrna Beach, the Safety Strategic Plan Workshop, the Bike/Walk Central Florida's Operation Best Foot Forward for Pedestrian Safety Program, and continued 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 TPO also began work on the development of the 2050 Long Range Transportation Plan and the Vision Zero Action Plan.

The Volusia-Flagler TPO continued to provide support to advance key transit planning activities for Volusia County Transit Services (Votran) for the Votran Intermodal Transfer Feasibility Study and the 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 Volusia-Flagler 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, 2024, through December 31, 2024.

Click to enter the date the review is finalized.

Part 2 is to be completed by the 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 described in [23 C.F.R. §450.336](#). The joint certification begins in January, which 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 the MPO's noteworthy achievements and, if applicable, a list of any recommendations and/or corrective actions.

The Certification Package and statement must be submitted to the Central Office, Office of Policy Planning (OPP), by 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 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 District's satisfaction, the District shall report the resolution to the MPO Board.

The final Certification Package should include Part 1, Part 2, Risk Assessment Scoring Sheet, and any required attachments and be transmitted to the Central Office no later than June 1 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 of federal funds 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 subrecipient's activities 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 about 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 the risk posed by the subrecipient (as described in paragraph (b) of this section), the following monitoring tools may be helpful 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 due to the Single Audit, it may be assigned a 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 District MPO Liaisons review the MPO’s supporting documentation for their invoices for the upcoming year. The [Risk Assessment Scoring Sheet](#) is available in the [Liaison Resources Library](#). This spreadsheet must be used to calculate the Risk Assessment Score. 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

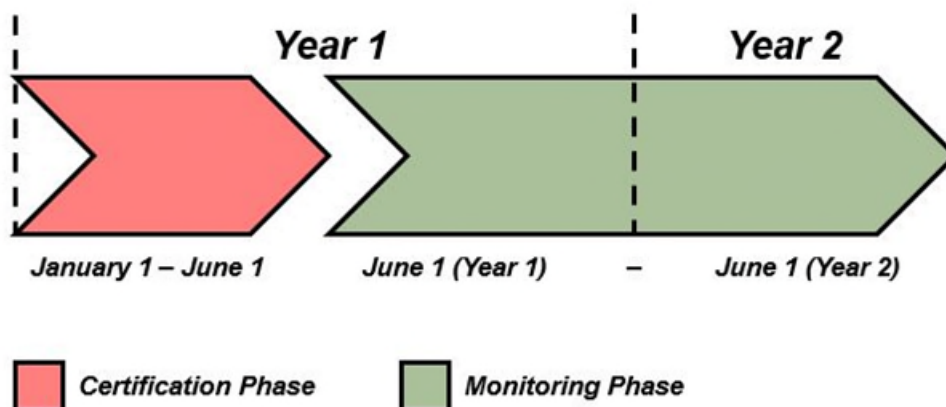
The Risk Assessment part of this joint certification has two main components, the Certification phase and the Monitoring phase, and involves regular reviewing, checking, and surveillance.

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 these 5 months, a Risk Assessment assesses the previous calendar year (January 1 through December 31).
2. Monitoring phase: After the joint certification review has been completed, the Risk Assessment enters the Monitoring phase, where the MPO is monitored for 12 months

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 17 months in total. On January 1 of each year, the new Certification phase begins, which overlaps with the previous year's Monitoring phase. **Figure 1** shows the timeline of the Risk Assessment phases.

Figure 1. Risk Assessment: Certification and Monitoring Phases



Part 2

The District MPO Liaison must complete part 2 of the Joint Certification.

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)
G2798-19	12/5/2023-1/31/2024	4/30/2024	No
G2798-20	1/5/2024-2/29/2024	5/24/2024	No
G2798-21	1/25/2024-3/31/2024	6/25/2024	No
G2798-22	3/6/2024-4/30/2024	7/29/2024	No
G2798-23	3/28/2024-5/31/2024	8/22/2024	No
G2798-24	5/6/2024-6/30/2024	8/28/2024	No
G2W16-1	7/1/2024-7/31/2024	10/30/2024	No
G2W16-2	7/8/2024-8/31/2024	11/26/2024	No
G2W16-3	8/6/2024-9/30/2024	12/20/2024	No
G2W16-4	9/06/2024-10/31/2024	1/31/2025	No
MPO Invoice Submittal Total			
Total Number of Invoices that were Submitted on Time			10
Total Number of Invoices Submitted			10

MPO Invoice Review Checklist

List all MPO Invoice Review Checklists that were completed during the certification period
in

Table 3 and attach the checklists to this risk assessment. Provide the total number of questions marked with a red asterisk (*) marked “Yes” on each MPO Invoice Review Checklist. “Yes” indicates that the question was addressed satisfactorily and is not a Materially Significant Finding. 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.
- Not using a federally approved indirect cost rate.
- Not providing an overhead cost rate when claiming overhead costs.

Corrections not considered materially significant do not warrant elevation of MPO risk. Examples of corrections 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 “Yes” Responses on * Questions
G2798-19 Review Date: 4/30/2024	7
G2798-20 Review Date: 5/24/2024	7
G2798-21 Review Date: 6/26/2024	7
G2798-22 Review Date: 7/29/2024	7
G2798-23 Review Date: 8/28/2024	7
G2798-24 Review Date: 8/29/2024	7
G2W16-1 Review Date: 11/4/2024	7
G2W16-2 Review Date: 12/2/2024	7
G2W16-3 Review Date: 12/30/2024	7
G2W16-4 Review Date: 2/6/2025	7
MPO Invoice Review Checklist Total	
Total Number of “Yes” Responses on * Questions	70

**Note: There are 7 * questions per MPO Invoice Review Checklist for MPOs that do not have Indirect Costs. There are 12 * questions per MPO Invoice Review Checklist for MPOs with Indirect Costs.*

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. Provide the total number of questions marked with a red asterisk (*) marked “Yes” on each MPO Supporting Documentation Review Checklist. This indicates that the question was addressed satisfactorily and is not a Materially Significant Finding. Examples of Materially Significant Findings include:

- Submitting an invoice with charges not on the Itemized Expenditure Detail Report.
- Submitting an invoice with an expense that is not allowable.
- Not using a federally approved indirect rate
- 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 “Yes” Responses on * Questions
Reviewed G2798-23 on 1/10/2024	23
MPO Supporting Documentation Review Checklist Total	
Total Number of “Yes” Responses on * Questions	23

**Note: There are 23 * questions per MPO Supporting Documentation Review Checklist for MPOs that do not have Indirect Costs. There are 25 * questions per MPO Supporting Documentation Review Checklist for MPOs with Indirect Costs.*

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 Scoring Sheet](#) to calculate the MPO's risk score. Use **Table 5** as a guide for selecting the MPO's risk level. As previously mentioned, the Risk Assessment Scoring Sheet is available in the [Liaison Resources Library](#). This spreadsheet must be used to calculate the Risk Assessment Score, which determines the MPO's level of risk. A screenshot of this spreadsheet is provided in **Figure 2**. The values input into the spreadsheet must match those in this Risk Assessment.


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 Score: 100

Level of Risk: Low

Figure 2: Image of the Risk Assessment Scoring Sheet

Florida Department of Transportation Metropolitan Planning Program Annual Joint Certification Risk Assessment Calculation Sheet							
							
The Risk Assessment evaluates the requirements described in 2 CFR §200.331 (b)-(e). As the recipient of Federal-aid funds for the State, FDOT is responsible for ensuring that Federal-aid funds are expended in accordance with applicable laws and regulations. This worksheet accompanies the Risk Assessment and calculates the MPO's risk score. The risk score determines the minimum frequency by which the MPO's supporting documentation for their invoices is reviewed by the District MPO Liaisons for the upcoming year. Use the directions below to complete this worksheet and calculate the MPO's risk score. Enter information into GREEN cells only. Print and attach this worksheet to the Risk Assessment.							
Table 1. Risk Assessment Score							
Question Category	Question	Example Response	Directions	Number Correct	Subtotal	Weight Percentage	Total Score
MPO Invoice Submittal	Was invoice submitted within 90 days from the end of the invoice period?	All invoices were submitted within 90 days from the end of the invoice period.	Number Correct Column: Enter the number of invoices that were submitted on time. Subtotal Column: Enter the total number of invoices that were submitted.	1		30%	
MPO Invoice Review Checklist	How many materially significant findings questions are correct?	There were 21 opportunities for materially significant findings, 18 of the materially significant finding questions were answered correctly.	Number Correct Column: Enter the number of correct materially significant questions. Subtotal Column: Enter the total number of materially significant questions.	1		30%	
MPO Supporting Documentation Review Checklist	How many materially significant findings questions are correct?	There were 75 opportunities for materially significant findings, 72 of the materially significant finding questions were answered correctly.	Number Correct Column: Enter the number of correct materially significant questions. Subtotal Column: Enter the total number of materially significant questions.	1		35%	
Technical Memorandum 19-04: Incurred Cost and Invoicing Practices	Were incurred costs billed appropriately at the end of the contract period?	The MPO billed incurred costs appropriately at the end of the invoice period.	Number Correct Column: Enter a 1 if incurred costs were billed appropriately at the end of the contract period, or if this question is not applicable. Enter a 0 if incurred costs were not billed appropriately at the end of the contract period.	1	1	5%	0%
Risk Assessment Score							0%

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

Did the MPO adopt a new LRTP in the year this certification addresses?

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 the Central Office and the District are in the [Grant Application Process \(GAP\) System](#) or attach it to Part 2 Section 10: Attachments. List the titles and dates of attachments uploaded to the [GAP System](#) below.

Title(s) and Date(s) of Attachment(s) in the [GAP System](#)

Click or tap here to enter text.

Part 2 Section 3: Transportation Improvement Program (TIP)

Did the MPO update their TIP for the year this certification is addressed?

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 the Central Office and the District are in the [GAP System](#) or attach them to Part 2 Section 10: Attachments. List the titles and dates of attachments uploaded to the [GAP System](#) below.

Title(s) and Date(s) of Attachment(s) in the [GAP System](#)

Draft FY2024-25 to FY2028-29 TIP_River to Sea TPO FY_2024_25_to_FY_2028_29_TIP_Final_Adopted_06.26.2024 FINAL_TIP Review Checklist _River to Sea TPO_7.16.2024_KP

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

Did the MPO adopt a new UPWP in the year this certification addresses?

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 the Central Office and the District are in the [GAP System](#) or attach it to Part 2 Section 10: Attachments. List the titles and dates of attachments uploaded to the [GAP System](#) below.

Title(s) and Date(s) of Attachment(s) in the [GAP System](#)

Draft_UPWP_River_to_Sea_TPO_FY_2024_25_and_FY_2025_26_UPWP_Mar ch_15_2024_Updated (1) FINAL_R2C TPO_FY 25&26_UPWP Review Checklist_KP River to Sea TP UPWP_FY2025-2026_Adopted_04.24.24
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N/A

Part 2 Section 5: Clean Air Act

The requirements of [Sections 174 \(Planning Procedures\)](#) and [176 \(c\) and \(d\) \(Limitations on Certain Federal Assistance\)](#) of the Clean Air Act as codified in [42 USC 7504](#) and [42 USC 7506](#) can be found [here](#).

The Clean Air Act requirements affecting transportation only apply to areas designated for nonattainment and maintenance of the National Ambient Air Quality Standards (NAAQS). Florida is currently in attainment for all NAAQS. No certification questions are required at this time. If the Environmental Protection Agency issues a revised NAAQS, this section may need 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 is no, the MPO is not penalized. FDOT uses this information to determine technical support and training for the MPOs. Any new procurements after July 1, 2024, 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 using the approved FDOT race-neutral program?

Please Check: Yes No N/A

4. Does the contract specify the race-neutral or 'aspirational' goal of 10.54%?

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 a 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 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(s) in the blanks below. This section is optional and may cover any area the District would like more information on.

1. How has your MPO collaborated with FDOT and other stakeholders over the past year to address the FTP goals of maintaining infrastructure and expanding transportation choices? Could you share examples of successful initiatives or areas where further collaboration could enhance outcomes?

The Volusia-Flagler TPO has worked with FDOT and area stakeholders to provide funding assistance that allows member projects to be incorporated into existing resurfacing projects. These projects include closing sidewalk and/or trail gaps, safety, and traffic operations to preserve, expand and maintain the transportation system. Additionally, the TPO played a role in the expansion of the SunRail service to DeLand. The project connects four counties throughout the region through 17 stations and included the addition of a new SunRail station adjacent to the current Amtrak station and added 12.2 miles to the SunRail corridor. The TPO also provided funding and support to advance key planning activities for Volusia County transit Services including the Votran Intermodal Transfer Feasibility Study and the Votran On-Demand Mobility Procurement and Deployment Support.

2. What best practices has your MPO developed that align with the FTP's vision elements, particularly regarding safety and minimizing environmental impacts? How could these practices be shared or adapted across other regions to benefit the broader transportation network?

The Volusia-Flagler TPO has adopted the State's target of Zero for each of the Safety Performance Measures (PM 1) and continues to plan and program projects to help meet this goal. The TPO has also commenced development of our Vision Zero Action

Plan. Through the development of this plan, the TPO has assembled a working group consisting of FDOT and other community stakeholders to assist in informing the plan. Collaboration also occurred with FDOT and local governments with the expansion of the Bike/Walk Central Florida Best Foot Forward Program into Volusia County and the TPO subsequently funded the program expansion into Flagler County for this current fiscal year. The TPO has also partnered with FDOT on developing a pilot project for the Smart Driving College Challenge, Mobility Week, the Bike Lane Design Contest, and the Safety Strategic Plan.

3. Question

PLEASE EXPLAIN

4. Question

PLEASE EXPLAIN

5. Question

PLEASE EXPLAIN

Part 2 Section 9: Recommendations and Corrective Actions

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

Status of Recommendations and Corrective Actions from Prior Certifications

PLEASE EXPLAIN

Recommendations for this Certification

PLEASE EXPLAIN

Corrective Actions for this Certification

PLEASE EXPLAIN

Part 2 Section 10: Attachments

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

Title(s) and Date(s) of Attachment(s) in the [GAP System](#)

Click or tap here to enter text.

Florida Department of Transportation Metropolitan Planning Program
 Annual Joint Certification
 Risk Assessment Calculation Sheet



The Risk Assessment evaluates the requirements described in 2 CFR §200.331 (b)-(e). As the recipient of Federal-aid funds for the State, FDOT is responsible for ensuring that Federal-aid funds are expended in accordance with applicable laws and regulations. This worksheet accompanies the Risk Assessment and calculates the MPO's risk score. The risk score determines the minimum frequency by which the MPO's supporting documentation for their invoices is reviewed by the District MPO Liaisons for the upcoming year. Use the directions below to complete this worksheet and calculate the MPO's risk score. Enter information into GREEN cells only. Print and attach this worksheet to the Risk Assessment.

Table 1. Risk Assessment Score							
Question Category	Question	Example Response	Directions	Number Correct	Subtotal	Weight Percentage	Total Score
MPO Invoice Submittal	Was invoice submitted within 90 days from the end of the invoice period?	All invoices were submitted within 90 days from the end of the invoice period.	Number Correct Column: Enter the number of invoices that were submitted on time. Subtotal Column: Enter the total number of invoices that were submitted.	10	10	30%	30%
MPO Invoice Review Checklist	How many materially significant findings questions are correct?	There were 21 opportunities for materially significant findings, 18 of the materially significant finding questions were answered correctly.	Number Correct Column: Enter the number of correct materially significant questions. Subtotal Column: Enter the total number of materially significant questions.	63	63	30%	30%
MPO Supporting Documentation Review Checklist	How many materially significant findings questions are correct?	There were 75 opportunities for materially significant findings, 72 of the materially significant finding questions were answered correctly.	Number Correct Column: Enter the number of correct materially significant questions. Subtotal Column: Enter the total number of materially significant questions.	23	23	35%	35%
Technical Memorandum 19-04: Incurred Cost and Invoicing Practices	Were incurred costs billed appropriately at the end of the contract period?	The MPO billed incurred costs appropriately at the end of the invoice period.	Number Correct Column: Enter a 1 if incurred costs were billed appropriately at the end of the contract period, or if this question is not applicable. Enter a 0 if incurred costs were not billed appropriately at the end of the contract period.	1	1	5%	5%
Risk Assessment Score							100%

**Florida Department of Transportation Metropolitan Planning Program
Annual Joint Certification
Risk Assessment Methodology**



The Risk Assessment evaluates the requirements described in 2 CFR §200.331 (b)-(e). As the recipient of Federal-aid funds for the State, FDOT is responsible for ensuring that Federal-aid funds are expended in accordance with applicable laws and regulations. This worksheet accompanies the Risk Assessment and calculates the MPO's risk score. The risk score determines the minimum frequency by which the MPO's supporting documentation for their invoices is reviewed by the District MPO Liaisons for the upcoming year. This page describes the methodology used to evaluate risk.

The methodology to determine an MPO's risk score is a percentage based system. The score is based on the number of correct items per question and the weight assigned to each question. The tables below describe the methodology for each question and provide an example calculation.

Question Category	Question	Methodology	Weight Percentage
MPO Invoice Submittal	Was invoice submitted within 90 days from the end of the invoice	On-time invoices / total invoices * weight percentage = total score	30%
MPO Invoice Review Checklist	How many materially significant findings questions are correct?	Correct materially significant questions / total materially significant questions = percent. If the percent is 100, the score is 5. If the percent is between 90-99, the score is 4. If the percent is between 80-89, the score is 3. If the percent is between 70-79, the score is 2. If the percent is between 60-69 the score is 1. If the percent is less than 60, the score is zero. The score is multiplied by the weight percentage to determine the total score.	30%
MPO Supporting Documentation Review Checklist	How many materially significant findings questions are correct?	Correct materially significant questions / total materially significant questions = percent. If the percent is 100, the score is 5. If the percent is between 90-99, the score is 4. If the percent is between 80-89, the score is 3. If the percent is between 70-79, the score is 2. If the percent is between 60-69 the score is 1. If the percent is less than 60, the score is zero. The score is multiplied by the weight percentage to determine the total score.	35%
Technical Memorandum 19-04: Incurred Cost and Invoicing Practices	Were incurred costs billed appropriately at the end of the contract period?	If the incurred costs were billed appropriately, the score is 1. If the incurred costs were not billed appropriately, the score is 0. The score is multiplied by the weight percentage to determine the total score.	5%

Question Category	Question	Example Response	Directions	Number Correct	Subtotal	Weight Percentage	Percent	Score	Total Score
MPO Invoice Submittal	Was invoice submitted within 90 days from the end of the invoice period?	All invoices were submitted within 90 days from the end of the invoice period.	Number Correct Column: Enter the number of invoices that were submitted on time. Subtotal Column: Enter the total number of invoices that were submitted.			30%			#DIV/0!
MPO Invoice Review Checklist	How many materially significant findings questions are correct?	There were 21 opportunities for materially significant findings, 18 of the materially significant finding questions were answered correctly.	Number Correct Column: Enter the number of correct materially significant questions. Subtotal Column: Enter the total number of materially significant questions.			30%	#DIV/0!	#DIV/0!	#DIV/0!
MPO Supporting Documentation Review Checklist	How many materially significant findings questions are correct?	There were 75 opportunities for materially significant findings, 72 of the materially significant finding questions were answered correctly.	Number Correct Column: Enter the number of correct materially significant questions. Subtotal Column: Enter the total number of materially significant questions.			35%	#DIV/0!	#DIV/0!	#DIV/0!
Technical Memorandum 19-04: Incurred Cost and Invoicing Practices	Were incurred costs billed appropriately at the end of the contract period?	The MPO billed incurred costs appropriately at the end of the invoice period.	Number Correct Column: Enter a 1 if incurred costs were billed appropriately at the end of the contract period, or if this question is not applicable. Enter a 0 if incurred costs were not billed appropriately at the end of the contract period.		1	5%		1	0%
Risk Assessment Score									#DIV/0!