

June 16, 2025



## AGENDA ITEM 4 C

### **FDOT CALENDAR YEAR (CY) 2024 JOINT CERTIFICATION OF THE CRTPA**

#### **STATEMENT OF ISSUE**

This item is seeking Board acceptance of the agency's annual Joint Certification by the Florida Department of Transportation (FDOT) and the executed Joint Certification Statement (**Attachment 1**).

#### **RECOMMENDED ACTION**

Option 1: Accept the annual Joint Certification and executed Joint Certification Statement of the CRTPA, by the FDOT for the CY 2024.

#### **BACKGROUND**

Annually, the Florida Department of Transportation conducts a certification review of the planning process to certify that the CRTPA complies with state and federal planning requirements. CRTPA staff met with the FDOT to review the responses and the certification was finalized April 17, 2025.

Associated with the certification is a Joint Certification Statement that was signed by the CRTPA Executive Director and FDOT District 3 Director of Transportation Development. The CRTPA's planning process is certified and that the agency's financial management status is low risk.

#### **OPTIONS**

Option 1: Accept the annual Joint Certification and executed Joint Certification Statement of the CRTPA, by the FDOT for the CY 2024.  
(Recommended)

Option 2: Provide other direction.

#### **ATTACHMENT**

Attachment 1: Joint Certification and Statements and Assurances

FLORIDA DEPARTMENT OF TRANSPORTATION  
**MPO JOINT CERTIFICATION STATEMENT**525-010-05c  
POLICY PLANNING  
02/18

Pursuant to the requirements of 23 U.S.C. 134(k)(5) and 23 CFR 450.334(a), the Department and the MPO have performed a review of the certification status of the metropolitan transportation planning process for the Capital Region TPA with respect to the requirements of:

1. 23 U.S.C. 134 and 49 U.S.C. 5303;
2. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 C.F.R. Part 21
3. 49 U.S.C. 5332 prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity;
4. Section 1101(b) of the FAST Act and 49 C.F.R. Part 26 regarding the involvement of disadvantaged business enterprises in USDOT funded projects;
5. 23 C.F.R. Part 230 regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts;
6. The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) and the regulations found in 49 C.F.R. Parts 27, 37, and 38;
7. The Older Americans Act, as amended (42 U.S.C. 6101) prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance;
8. Section 324 of 23 U.S.C. regarding the prohibition of discrimination on the basis of gender; and
9. Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 C.F.R. Part 27 regarding discrimination against individuals with disabilities.

Included in this certification package is a summary of noteworthy achievements by the MPO, attachments associated with these achievements, and (if applicable) a list of any recommendations and/or corrective actions. The contents of this Joint Certification Package have been reviewed by the MPO and accurately reflect the results of the joint certification review meeting held on April 17, 2025.

Based on a joint review and evaluation, the Florida Department of Transportation and the Capital Region TPA recommend that the Metropolitan Planning Process for the Capital Region TPA be certified.

Signed by:



Name: Tim Smith-PE

Title: Director of Transportation Development, FDOT

04/29/2025 | 3:45 PM EDT

Date

Signed by:



Name: Greg Slay, AICP

Title: Executive Director, CRTPA

04/28/2025 | 11:19 AM EDT

Date



**Capital Region TPA**

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

**4/17/2025**

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 ☐

The CRTPA executed an updated Intergovernmental and Coordination and Review and Public Transportation Coordination Joint Participation Agreement (ICAR) on October 19, 2020. FDOT reviewed the draft agreement and provided comment. The ICAR was updated consistent with the new template prior to executing. In addition, the CRTPA has an approved (2021) Staff Services Agreement with the City of Tallahassee. Staff has evaluated all Agreements and determined no modifications/updates are warranted. Should that change the CRTPA will initiate necessary amendments.

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

**Please Check:** Yes ☐ No ☒

No other MPO shares a boundary with the CRTPA.

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

**Please Check:** Yes ☒ No ☐

The 10 Federal Planning Factors are considered and integrated into the CRTPA's planning documents and processes. The foundation for the identification and the implementation of projects is the CRTPA's [long-range transportation plan] Regional Mobility Plan (RMP) 2045. The RMP 2045 goals and objectives, as well as the RMP project evaluation criteria, respond to the 10 Federal Planning Factors. Drawn from the RMP, the CRTPA's Transportation Improvement Program reflects the prioritized projects. A matrix in the CRTPA's Unified Planning Work Program demonstrates how the CRTPA



tasks, projects and programs integrate the 10 Federal Planning Factors. Consideration of these factors is continuous throughout transportation planning process and in the development of all plans and programs.

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

**Please Check:** Yes ☒ No ☐

The CRTPA coordinates the development and implementation of plans, programs and projects with federal, state, regional and local transportation partners, stakeholder groups and the general public. This coordination is initiated from the onset of any planning activity and continues throughout the decision-making process. Both the Public Involvement Plan and plan-specific engagement activities outline how the 3-C process is implemented. During all stages (planning, data collection, analysis, and production) of a project or program this coordination continues, thus, ensuring local communities and stakeholders have a voice in the transportation planning and decision-making processes for the Capital Region. It is through these efforts that the CRTPA effects a comprehensive transportation planning program.

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

The CRTPA Board approved the updated Congestion Management Plan Process at the March 18, 2024 meeting. The CRTPA completed a comprehensive update to the Congestion Management Plan based on the 3C process. A Technical Task Force composed of staff from local governments, engineering and public works and planning departments as well as state and regional agencies participated in the update process.

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 ☐

A rewrite of the Public Involvement Plan was approved by the CRTPA Board at the June 18, 2024 meeting. The rewrite streamlined processes and updated objectives and public engagement strategies and methods. A section was added discussing the development of project specific public involvement activities that consider such things as location, neighborhood associations and stakeholders.

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

**Please Check:** Yes ☒ No ☐

Yes, the Public Involvement Plan was available for review and comment for the required 45 days before adoption.

## 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 CRTPA adheres to the adopted policies and procedures relating to the expenditures of program funds. Adopted fiscal policies and processes, the Annual Single Audit, and the adopted Unified Planning Work Program document the necessary, reasonable and allowable expenditures of federal, state and local funds. Ineligible expenses are identified in the financial management system and paid by local funds as part of the annual true-up billing. If uncertain if a cost is allowable then staff will consult 2CFR200 and/or the Reference Guide for State Expenditures. If a question remains as to whether an expense is eligible staff will consult with FDOT and FHWA.

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

The CRTPA submits quarterly invoices for each fund type.

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 ☒

The CRTPA is not a stand-alone entity nor a direct recipient of federal funding. However, the CRTPA is a non-Federal entity that expends \$1,000,000 or more in Federal awards annually and therefore is required by CFR § 200.501(a) to complete a 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 CRTPA has a documented process for the expenditure of funds, processing of payments and tracking expenditures to establish that funds have been used in accordance with Federal and State regulations and as identified in the approved UPWP. Furthermore, the FDOT Inspector General reviewed the CRTPA's financial management processes and found it to be satisfactory.

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?

All records are retained electronically by both the CRTPA and the City of Tallahassee's Financial Management Department for a minimum of five years after payment is made.

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

The annually monitoring of invoices and supporting documentation provided to FDOT for monitoring has been deemed sufficient. Assessments completed by FDOT have determined that the CRTPA is a low-risk auditee. Therefore, the agency is eligible for a lower threshold for testing. Also, the CRTPA's Auditors conduct monitoring as part of the annual single audit and the results have also concluded the CRTPA is a low-risk auditee.

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?

All procurement is coordinated with the City's procurement agency, as well as the CRTPA Attorney. As part of the procurement process, and in the solicitation, the federal requirements are included; these requirements are carried into the executed agreement. Grants Management staff is also included in the process and reviews for compliance with Federal and State requirements. For any funds that the CRTPA passes on to one of the partner agencies, such as the funding provided to StarMetro

for the Transit Development Plan, an Agreement is executed consistent with federal pass-through requirements.

**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 CRTPA's Title VI Plan includes the Title VI Coordinator's name and contact information. Non-discrimination notices are also posted in two public locations.

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 ☐

This language is captured in the section, "Compliance with Laws", of the CRTPA 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 ☐

An update to the Title VI Policy and Plan was completed in February and noticed for the minimum 45-day comment period. It is slated for adoption at the April 15, 2025 Board Meeting. Both the FDOT Title VI Officer and FHWA's Title VI Coordinator have reviewed the updated Title VI Policy and Plan and determined it complies with the State and Federal requirements.

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 ☒

No, staff has not participated in training Title VI training in the past three years. The Title VI Coordinator is scheduled to attend Title VI training on July 14, 2025.

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

**Please Check:** Yes ☒ No ☐

Yes, each plan and/or project considers demographic data, including that related to race, socioeconomic, transportation and household data in the development of plans and programs. A consultant task to develop a comprehensive Community Characteristics Inventory updated with 2020 Census data is scheduled to be amended into the UPWP at the April 15, 2025 meeting.

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 ☐

The CRTPA will keep any complaints on file for at least five years, but to date the agency has not received any complaints regarding ADA non-compliance.

## 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 CRTPA solicits for consultant services in accordance with the Federal law. 200.320 Methods of Procurement and Appendix II to Part 200 - Contract Provision. The CRTPA Fiscal Policies provides guidance on the methods of procurement, including purchase thresholds and requirements for competitive proposals. However, the aforementioned reference to 23CFR.172 is not applicable as it references acquisition of design and engineering services.

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 City of Tallahassee and the CRTPA maintain records related to the procurement, award and management of contracts. The agencies retain records in accordance with the State of Florida General Records Schedule for State and Local Government Agencies GS1-SL. All records are readily available upon request.

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 ☐

The CRTPA and the City of Tallahassee entered into a Staff Services Agreement on June 22, 2021. The agreement outlines services provided including procurement.



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 ☐

The CRTPA coordinates with the consultant frequently on active projects. In addition, a project schedule is developed before work begins to ensure sufficient time for coordination and completion. The CRTPA has developed a minimum set of requirements to be included with each monthly invoice. Monthly progress reports and invoicing by task allows the CRTPA to track progress with deliverables according to the project schedule. Invoices detail to the technical work finished, summarize meeting information, and reflect the percentage completed on the task. The project manager must approve payment of the consultant's invoice. This oversight ensures the consultant is performing work in accordance with the terms, conditions and specifications of their task work order.

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

**Please Check:** Yes ☒ No ☐

The CRTPA's contract contains the required federal and state language.

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

**Please Check:** Yes ☒ No ☐

The CRTPA contract states the MPO is required to follow the statewide triennial DBE program goal, as required for FHWA assisted contracts.

7. Is the MPO tracking all commitments and payments for DBE compliance?

**Please Check:** Yes ☒ No ☐

All contracts requires monthly reporting on payments made to a certified DBE contractor. As part of the invoice submittal to FDOT the CRTPA complete a report documenting all DBE payments.

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 ☐

Staff completed the online training on February 7, 2022, but will need a refresher training session since it was quite a while ago.

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

**Please Check:** Yes ☐ No ☐

Yes, the contract language is included in primary contracts and requires contractors to incorporate such language in agreements with subcontractors.

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.

Staff have continued with the focus on advancing safety initiatives in the region. One such effort has been understanding the details crash reports and how information is categorized.

The CRTPA completed a Safe Streets for All Safety Action Plan and is working with local governments to secure implementation grant funding for identified improvements.

## 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.

Note that the CRTPA's contracts executed in 2025 contain the updated DBE Goal, 10.63% and for 2024 the 10.54% as the cert crosses two fiscal years with separate DBE goals.

Thank you for removing the reference to Title VIII. I have asked for a decade why the cert form included a question on compliance with housing discrimination.



**Capital Region TPA**

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

4/17/2025

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

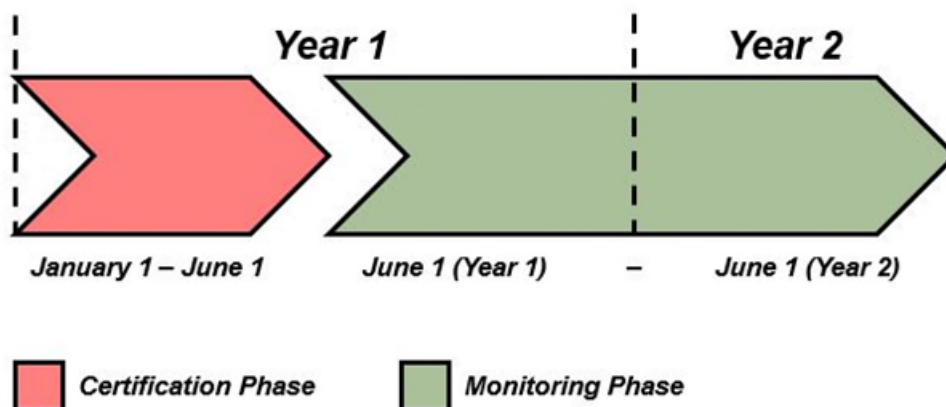
The Risk Assessment part of this joint certification has two main components, the Certification phase and the Monitoring phase, and involves regular reviewing, checking, and surveillance.

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)
G2782-PL-5	5/1/23-9/30/23	1/3/24	No
G2782-SU-5	6/1/23-9/30/23	1/3/24	No
G2782-PL-6	3/13/23-12/31/23	3/21/24	No
G2782-SU-6	8/1/23-12/31/23	3/21/24	No
G2782-PL-7	11/1/23-3/31/24	7/2/24	No
G2782-SU-7	10/1/23-3/31/24	7/2/24	No
G2782-PL-8	2/1/24-6/30/24	10/21/24	No
G2782-SU-8	12/1/23-6/30/24	10/16/24	No
<b>MPO Invoice Submittal Total</b>			
<b>Total Number of Invoices that were Submitted on Time</b>			8
<b>Total Number of Invoices Submitted</b>			8

## 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
G2782 PL-5	7
G2782 SU-5	7
G2782 PL-6	7
G2782 SU-6	7
G2782 PL-7	7
G2782 SU-7	7
G2782 PL-8	7
G2782 SU-8	7
<b>MPO Invoice Review Checklist Total</b>	
<b>Total Number of “Yes” Responses on * Questions</b>	56

*\*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
July 1, 2023 – June 30, 2024 Monitoring Completed 1/17/2025	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:** Choose an item.

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.	<b>Number Correct Column:</b> Enter the number of invoices that were submitted on time. <b>Subtotal Column:</b> Enter the total number of invoices that were submitted.			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.	<b>Number Correct Column:</b> Enter the number of correct materially significant questions. <b>Subtotal Column:</b> Enter the total number of materially significant questions.			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.	<b>Number Correct Column:</b> Enter the number of correct materially significant questions. <b>Subtotal Column:</b> Enter the total number of materially significant questions.			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.	<b>Number Correct Column:</b> 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%	0%
<b>Risk Assessment Score</b>							<b>0%</b>

## 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](#)

N/A
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## 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 TIP Transportation Plan (TIP) – 5/28/2024 Transportation Improvement Plan (TIP) Checklist 5/28/2024 Adopted TIP Version #1 Transportation Improvement Plan (TIP) – 7/8/2024
---

## 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 Unified Planning Work Program (UPWP) – 5/28/2024 Adopted UPWP Version #1 Unified Planning Work Program (UPWP) - 6/13/2024
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## 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
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## **Part 2 Section 6: Technical Memorandum 19-03REV: Documentation of FHWA PL and Non-PL Funding**

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

**Please Check:** Yes ☒ No ☐ N/A ☐

## Part 2 Section 7: MPO Procurement and Contract Review

To evaluate existing DBE reporting requirements, choose one professional services procurement package and contract between the MPO and a third party to answer the following questions. If the answer 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. Question

None

2. Question

None

3. Question

None

4. Question

None

5. Question

None

## 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

N/A

### Recommendations for this Certification

None

### Corrective Actions for this Certification

None

## 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](#)

Attachments are listed above and can be located in the GAP system.