

FLORIDA DEPARTMENT OF TRANSPORTATION  
**MPO JOINT CERTIFICATION STATEMENT**

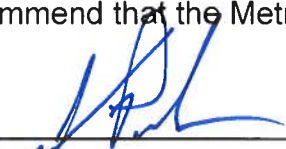
525-010-05c  
POLICY PLANNING  
02/18

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 Space Coast TPO with respect to the requirements of:

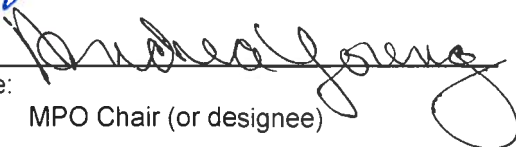
1. 23 U.S.C. 134 and 49 U.S.C. 5303;
2. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 C.F.R. Part 21
3. 49 U.S.C. 5332 prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity;
4. Section 1101(b) 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 January 21, 2021.

Based on a joint review and evaluation, the Florida Department of Transportation and the recommend that the Metropolitan Planning Process for the Space Coast TPO be certified.

  
\_\_\_\_\_  
Name:  
Title: District Secretary (or designee)

6/1/2021  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Name:  
Title: MPO Chair (or designee)

May 13, 2021  
\_\_\_\_\_  
Date





**Space Coast TPO (SCTPO)**

**Joint Certification 1/1/2020 – 12/31/2020**

**January 2021**

**Part 1 – Metropolitan Planning Organization**

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## Purpose

Each year, the District and the Metropolitan Planning Organization (MPO) must jointly certify the metropolitan transportation planning process as described in [23 C.F.R. §450.336](#). The joint certification begins in January. This allows time to incorporate recommended changes into the Draft Unified Planning Work Program (UPWP). The District and the MPO create a joint certification package that includes a summary of noteworthy achievements by the MPO and, if applicable, a list of any recommendations and/or corrective actions.

The certification package and statement must be submitted to Central Office, Office of Policy Planning (OPP) no later than June 1.

## Certification Process

Please read and answer each question using the checkboxes to provide a “yes” or “no.” Below each set of checkboxes is a box where an explanation for each answer is to be inserted. The explanation given must be in adequate detail to explain the question.

FDOT's [MPO Joint Certification Statement](#) document must accompany the completed Certification report. Please use the electronic form fields to fill out the document. Once all the appropriate parties sign the MPO Joint Certification Statement, scan it and email it with this completed Certification Document to your District MPO Liaison.

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

## Part 1

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

## Part 1 Section 1: MPO Overview

1. Does the MPO have up-to-date agreements such as the interlocal agreement that creates the MPO, the intergovernmental coordination and review (ICAR) agreement; and any other applicable agreements? Please list all agreements and dates that they need to be readopted. The ICAR Agreement should be reviewed every five years and updated as necessary. Please note that the ICAR Agreement template was updated in 2020.

**Please Check:** Yes  No

1)- Standard Interlocal Agreement (525-010-01) – First Amendment to add Central Florida Expressway Authority – approved 10-10-2019. To be reviewed no later than 2024.

2)- MPO Agreement for Planning Funds (525-010-02) – Executed 6/17/2020. Runs concurrent with UPWP cycle.

3)- Intergovernmental Coordination and Review (ICAR) (525-010-03), Executed 6/21/2017, First Amendment adding Central Florida Expressway approved 9/12/2019. – Expires June 20, 2022. JPA for Section 5305(d) Funding – Executed 10/26/2016 – Expires 9/30/2021.

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

**Please Check:** Yes  No

The SCTPO is a member of the Central Florida MPO Alliance (CFMPOA). The CFMPOA develops regional transportation plans and adopts a regional List of Priority Projects. The SCTPO has actively coordinated with the Central Florida Expressway Authority and the Florida Turnpike Enterprise on regional projects that impact our planning area. The SCTPO also coordinates with the Indian River MPO regarding Long-Range planning, travel demand modeling and recently coordinated the planning of the Indian River/Brevard Trail connecting the two counties to the south.

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

**Please Check:** Yes  No

The FAST Act Federal Planning Factors are incorporated throughout the SCTPO's planning activities and projects. The Planning Factors have also been utilized in guiding the development of the Long Range Transportation Plan (LRTP) goals and are considered as part of the TPO's new quantitative scoring and ranking of the List of Priority Projects (LOPP). A matrix showing the correlation between the 2045 LRTP and the planning factors can be found on page 2-5 and 2-6 at the following link: [https://spacecoasttpo.com/wp-content/uploads/2020/12/2045-Long-Range-Transportation-Plan-FINAL-Plan-Document\\_2020\\_12\\_04Plan-Document-Only.pdf](https://spacecoasttpo.com/wp-content/uploads/2020/12/2045-Long-Range-Transportation-Plan-FINAL-Plan-Document_2020_12_04Plan-Document-Only.pdf)



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

**Please Check:** Yes  No

The SCTPO's plans and programs follows the "3C" process. This process is discussed in the Unified Planning Work Program (UPWP) for Fiscal Years 2021 – 2022.

<https://spacecoasttpo.com/wp-content/uploads/2020/06/UPWP-Final-Adopted-5-14-2020-1-1.pdf>

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

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

The SCTPO annually analyzes, prepares and presents a State of the System Report that monitors the mobility conditions within the SCTPO planning area and identifies where and what appropriate strategies could be implemented to address congestion. The most current report for 2019 can be found on the TPO website.

<https://spacecoasttpo.com/performance-and-data/state-of-the-system-report/>

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

**Please Check:** Yes  No

The SCTPO adopted the Public Participation Plan on December 12, 2019 and amended on July 9, 2020. The 2019 PPP Amendment contains new language regarding the hosting of virtual meetings and using media technology communications in lieu of face-to-face meetings in states of emergency or executive orders, as directed by the Governor of Florida. This document is reviewed every three years. This PPP is provided on the SCTPO's website. <https://spacecoasttpo.com/wp-content/uploads/2020/07/Public-Participation-Plan-2019-Amendment-1-Final.pdf>

The TPO also developed a PPP Measures of Effectiveness Report and presented to the TPO Governing Board in October 2020. This is an annual report that analyzes and quantifies the tools that the SCTPO uses to inform and involve the public in transportation planning, with the purpose of maximizing participation and engagement. <https://spacecoasttpo.com/wp-content/uploads/2020/12/PPP-Measures-of-Effectiveness-Report-2019-20-Final.pdf>

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

Please Check: Yes  No

The Draft PPP was made available for public review and comment on October 28, 2019 and included a notice of when the document would be considered for adoption which was December 11, 2019.

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

Please Check: Yes  No

In 2017, the SCTPO solicited for new General Planning Consultant firms and followed the requirements of 2 C.F.R. 200.320 (d). The SCTPO entered into agreements with the top four firms. There were no solicitations/procurements conducted in calendar year 2019 or 2020.

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

Note: this documentation is required by 2 C.F.R. 200.324 (a) to be available upon request by the Federal awarding agency, or pass-through entity when deemed necessary.

Please Check: Yes  No

The SCTPO keeps all records for a minimum of five years, including those used for procurement of services and goods.

10. Does the MPO have any intergovernmental or inter-agency agreements in place for procurement or use of goods or services?

Please Check: Yes  No

The SCTPO has an interlocal agreement with Brevard County Board of County Commissioners for services such as Human Resources, finance budget, IT, facilities, etc.

11. What methods or systems does the MPO have in place to maintain oversight to ensure that consultants or contractors are performing work in accordance with the terms, conditions and specifications of their contracts or work orders?

Please Check: Yes  No

All SCTPO Project Managers are required to review and approve all invoices submitted from consultants to ensure that the contract terms and deliverables are correct. The SCTPO also conducts evaluations on each consultant upon the completion and closeout of contracts and work orders.

## 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?

Multiple steps are taken to ensure compliance with all Federal and State laws. When any item or expenditure is not clearly defined as applicable, pre-approval is requested through the FDOT Liaison. All expenditures are reviewed by the Project Manager, Assistant Director and Executive Director. All invoices are reviewed by the Assistant Director prior to being transmitted to FDOT. Staff utilizes the FDOT Reference Guide for State Expenditures to review items for reasonable, necessary and eligibility requirements. SCTPO Staff also provides all backup documents upon request and coordinates with FDOT for audits. The SCTPO also conducts an independent audit annually of its financial records.

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

Monthly

3. Is the MPO, as a standalone entity, a direct recipient of federal funds and in turn, subject to an annual single audit?

The SCTPO is independent but utilizes Brevard County services for certain administrative functions via an Interlocal Agreement. The SCTPO conducts an annual independent audit of its financial records and submits the report to the Federal Clearinghouse and to FDOT as required.

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

The SCTPO utilizes, through an interlocal agreement, the Brevard County Board of County Commissioners financial management system, (SAP). This system provides

the budgeting of grants, generation of reports and storage of all records. Written procedures for Budget and Finance are documented in SCTPO policy PLC-3.

5. How does the MPO ensure records of costs incurred under the terms of the MPO Agreement maintained and readily available upon request by FDOT at all times during the period of the MPO Agreement, and for five years after final payment is made?

All supporting documents related to all charges are available to FDOT with each invoice. The SCTPO keeps and maintains all records for a minimum of five years after final payment is made and all backup documentation for each invoice is scanned for easy and fast retrieval.

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

All documents, agreements and scope of works are reviewed by FDOT prior to SCTPO authorizing any work. Retention of supporting documents for all services and activities are kept by the SCTPO for a minimum of 5 years and all consultants are required to do the same for the SCTPO work products in case additional information is requested by FDOT.

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?

Language is included in all SCTPO contracts and agreements regarding use of Federal Funds.



## 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

Yes, the assurance is signed annually and provided to FDOT. Mrs. Abby Hemenway is the contact person for the SCTPO for all Title VI and ADA questions and concerns. The SCTPO's Policy PLC-5, Title VI and Related Non-discrimination include contact information and posted on the TPO website for access and viewing.

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

The following language is included in all SCTPO agreements/contracts with its consultants: NONDISCRIMINATION (a) Compliance with Regulation. The TPO and the CONSUL TANT shall comply with the regulations of U.S. Department of Transportation relative to non-discrimination in federally assisted programs of the U.S. Department of Transportation, which are herein incorporated by reference and made a part of this Agreement. (b) Nondiscrimination. The TPO and the CONSUL TANT, with regard to the Work performed by it after award and prior to completion of the contract Work, will not discriminate on the grounds of race, color, religion, sex or national origin in the selection and retention of a contractor and subcontractors, including procurements of material and leases of equipment. The TPO and the CONSUL TANT will not participate either directly or indirectly in the discrimination prohibited by Federal regulations. As required by 49 CFR 26.13(b), the CONSUL TANT, sub-contractor, or sub-subcontractor, shall not discriminate on the basis of race, color, national origin, or sex in the performance of this Agreement. The CONSUL TANT shall carry out applicable requirements of 49 CFR part 26 in the award and administration of US DOT-assisted contracts. Failure by the CONSULTANT to carry out these requirements is a material breach of this Agreement, which may result in the termination of this Agreement or such other remedy as the recipient deems appropriate, which may include, but is not limited to: (1) Withholding monthly progress payments; (2) Assessing sanctions; (3) Liquidated damages; and/or (4) Disqualifying the contractor from future bidding as non-responsible. (c) The TPO will take such action with respect to any subcontract or procurement as the Federal Highway Administration (FHWA) may direct as a means of enforcing such provision, including sanctions for noncompliance; provided, however, that, in the event the TPO becomes involved in, or is threatened with, litigation with a contractor, subcontractor or supplier as a result of such direction, the TPO may request the State of Florida to enter into such litigation to protect the interests of the State of Florida, and, in addition, may request the United States to enter into such litigation to protect the interests of the United States.

3. Does the MPO have a procedure in place for the prompt processing and disposition of Title VI and Title VIII complaints, and does this procedure comply with FDOT's procedure?

**Please Check:** Yes  No

Policy PLC-5, Title VI and Related Nondiscrimination includes Section 3.0, Complaint Resolution. This information has also been included in the adopted PPP.

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

**Please Check:** Yes  No

The SCTPO will collect general statistical data such as sex, color and disability information on a voluntary basis at SCTPO public meetings. This information is used to determine who the SCTPO is reaching and how effective its public outreach methods are working. Specific demographics are gathered for corridor specific studies and are posted on project websites. One example can be found in the SCTPO's Vision Zero Action Plan. On page 17 and 18 of the Action Plan are Fatal and Severe Crashes – Communities of Concern.

[https://spacecoasttpo.com/wp-content/uploads/2020/08/SCTPO-Vision-Zero-Action-Plan\\_Web-Final.pdf](https://spacecoasttpo.com/wp-content/uploads/2020/08/SCTPO-Vision-Zero-Action-Plan_Web-Final.pdf)

In the development of the 2045 LRTP, a concerted effort was made to engage underrepresented populations. This included stationing hard copies of the Draft Plan Document at 17 local libraries across the county and sharing the document with the Transportation Disadvantaged Local Coordinating Board and other disadvantaged community groups.

5. Has the MPO participated in any recent Title VI training, either offered by the State, organized by the MPO, or some other form of training, in the past three years?

**Please Check:** Yes  No

Abby Hemenway, attended the District 5 Title VI and ADA SCAT Training on July 11, 2017. She also participated in the 2018 Civil Rights Virtual Symposium. Mrs. Hemenway and Laura Carter attended Title VI training and document review on May 15, 2018. Compliance with ADA 508 classes offered by Brevard County have been taken by several TPO staff members in 2019.

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 SCTPO has never received any ADA noncompliance complaints.



## Part 1 Section 4: Disadvantaged Business Enterprises

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

**Please Check:** Yes  No

SCTPO Policy 5, Title VI and Related Nondiscrimination, Section 5.0, DBE adopts the FOOT DBE plan.

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

**Please Check:** Yes  No

DBE participation as well as Bidder Opportunity List information is collected and tracked by FDOT via the EOC system.

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

**Please Check:** Yes  No

The DBE policy statement is included in the TPOs contract language.

## Part 1 Section 5: Noteworthy Practices & Achievements

One purpose of the certification process is to identify improvements in the metropolitan transportation planning process through recognition and sharing of noteworthy practices. Please provide a list of the MPOs noteworthy practices and achievements below.

1 – After the Adoption of Bicycle, Pedestrian Master Plan in October 2019, local jurisdiction booklets were developed and follow-up meetings were conducted in 2020 with the various local governments to discuss their respective projects as well as ADA Accessibility Needs. A Bicycle, Pedestrian Master Plan Progress Report covering November 1, 2019 – October 31, 2020 (year one) was developed in December 2020. This report reflects the performance measure goals and the progress within the first year of the Plan. (See Attached).

2 – The SCTPO developed a PPP Measures of Effectiveness Report and presented to the TPO Governing Board in October 2020. This is our first annual report that analyzes and quantifies the tools that the SCTPO uses to inform and involve the public in transportation planning, with the purpose of maximizing participation and engagement. <https://spacecoasttpo.com/wp-content/uploads/2020/12/PPP-Measures-of-Effectiveness-Report-2019-20-Final.pdf>

3 - Conducted 2019 State of the System Analysis, serves as part of the SCTPO's congestion management system.

4 – Finalized School Routes Analysis reports at 8 elementary schools in Melbourne and Palm Bay with presentations to Councils. As a result of the analysis, 2 Safe Routes to School applications are being submitted this year (2020) from Melbourne and Palm Bay.

5 – Adopted the first SCTPO Vision Zero Action Plan. An interactive Vision Zero Map was developed for citizens to zoom in and submit comments on areas of concern. Comments were used to make action items to make roadways safer for all users. [http://maps.kittelson.com/sctpo\\_vision\\_zero](http://maps.kittelson.com/sctpo_vision_zero)

6 - In October 2020, the 2045 Long Range Transportation Plan was adopted. With two Voice Your Vision online surveys, the SCTPO received over 7,500 responses. Three videos were developed along with a project website. In March 2020, the SCTPO convened a group of environmental stakeholders to identify opportunities to integrate positive environmental outcomes into the LRTP process. Additionally organizational goals and overarching issues were discussed to aid in developing collaborative, systemic solutions.

In 2021, next steps include individual meetings with local governments to ensure that local plans and projects are consistent with the goals and objectives of the SCTPO's LRTP, specifically regarding land use and transportation.

7 – Extensive work on the Minton Road Feasibility Study took place in 2020. A Minton Study website was developed along with a virtual project guide to review and vote on various alternatives being considered. The SCTPO had a record number of virtual public participants. <https://www.mintonroadstudy.com/>

8- An interactive maps dashboard was developed to assist citizens in finding information regarding the status of transportation projects. <https://spacecoasttpo.com/maps/>

9 – Initiated work on the SCTPO's first Transportation Resiliency Master Plan.

## 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.

As we face the uncertainties of 2021 and beyond, it is critical that we work even harder for a continued partnership among our two agencies. We are thankful for the dedication and professionalism from FDOT District Five staff.



**Space Coast TPO**

**Joint Certification – 1/1/2020 – 12/31/2020**

**January 2021**

**Part 2 – FDOT District**

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## **Purpose**

Each year, the District and the Metropolitan Planning Organization (MPO) must jointly certify the metropolitan transportation planning process as described in [23 C.F.R. §450.336](#). The joint certification begins in January. This allows time to incorporate recommended changes into the Draft Unified Planning Work Program (UPWP). The District and the MPO create a joint certification package that includes a summary of noteworthy achievements by the MPO and, if applicable, a list of any recommendations and/or corrective actions.

The Certification Package and statement must be submitted to Central Office, Office of Policy Planning (OPP) no later than June 1.



## Certification Process

Please read and answer each question within this document.

Since all of Florida's MPOs adopt a new Transportation Improvement Program (TIP) annually, many of the questions related to the TIP adoption process have been removed from this certification, as these questions have been addressed during review of the draft TIP and after adoption of the final TIP.

As with the TIP, many of the questions related to the Unified Planning Work Program (UPWP) and Long-Range Transportation Plan (LRTP) have been removed from this certification document, as these questions are included in the process of reviewing and adopting the UPWP and LRTP.

Note: This certification has been designed as an entirely electronic document and includes interactive form fields. Part 2 Section 9: Attachments allows you to embed any attachments to the certification, including the [MPO Joint Certification Statement](#) document that must accompany the completed certification report. Once all the appropriate parties sign the MPO Joint Certification Statement, scan it and attach it to the completed certification in Part 2 Section 9: Attachments.

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

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



## Risk Assessment Process

Part 2 Section 1: Risk Assessment evaluates the requirements described in [2 CFR §200.331 \(b\)-\(e\)](#), also expressed below. It is important to note that FDOT is the recipient and the MPOs are the subrecipient, meaning that FDOT, as the recipient of Federal-aid funds for the State, is responsible for ensuring that Federal-aid funds are expended in accordance with applicable laws and regulations.

*(b) Evaluate each subrecipient's risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate subrecipient monitoring described in paragraphs (d) and (e) of this section, which may include consideration of such factors as:*

- (1) The subrecipient's prior experience with the same or similar subawards;*
- (2) The results of previous audits including whether the subrecipient receives a Single Audit in accordance with Subpart F—Audit Requirements of this part, and the extent to which the same or similar subaward has been audited as a major program;*
- (3) Whether the subrecipient has new personnel or new or substantially changed systems; and*
- (4) The extent and results of Federal awarding agency monitoring (e.g., if the subrecipient also receives Federal awards directly from a Federal awarding agency).*

*(c) Consider imposing specific subaward conditions upon a subrecipient if appropriate as described in §200.207 Specific conditions.*

*(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:*

- (1) Reviewing financial and performance reports required by the pass-through entity.*
- (2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means.*

(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by §200.521 Management decision.

(e) Depending upon the pass-through entity's assessment of risk posed by the subrecipient (as described in paragraph (b) of this section), the following monitoring tools may be useful for the pass-through entity to ensure proper accountability and compliance with program requirements and achievement of performance goals:

- (1) Providing subrecipients with training and technical assistance on program-related matters; and
- (2) Performing on-site reviews of the subrecipient's program operations;
- (3) Arranging for agreed-upon-procedures engagements as described in §200.425 Audit services.

**If an MPO receives a Management Decision as a result of the Single Audit, the MPO may be assigned the high-risk level.**

**After coordination with the Office of Policy Planning, any of the considerations in 2 CFR §200.331 (b) may result in an MPO being assigned the high-risk level.**

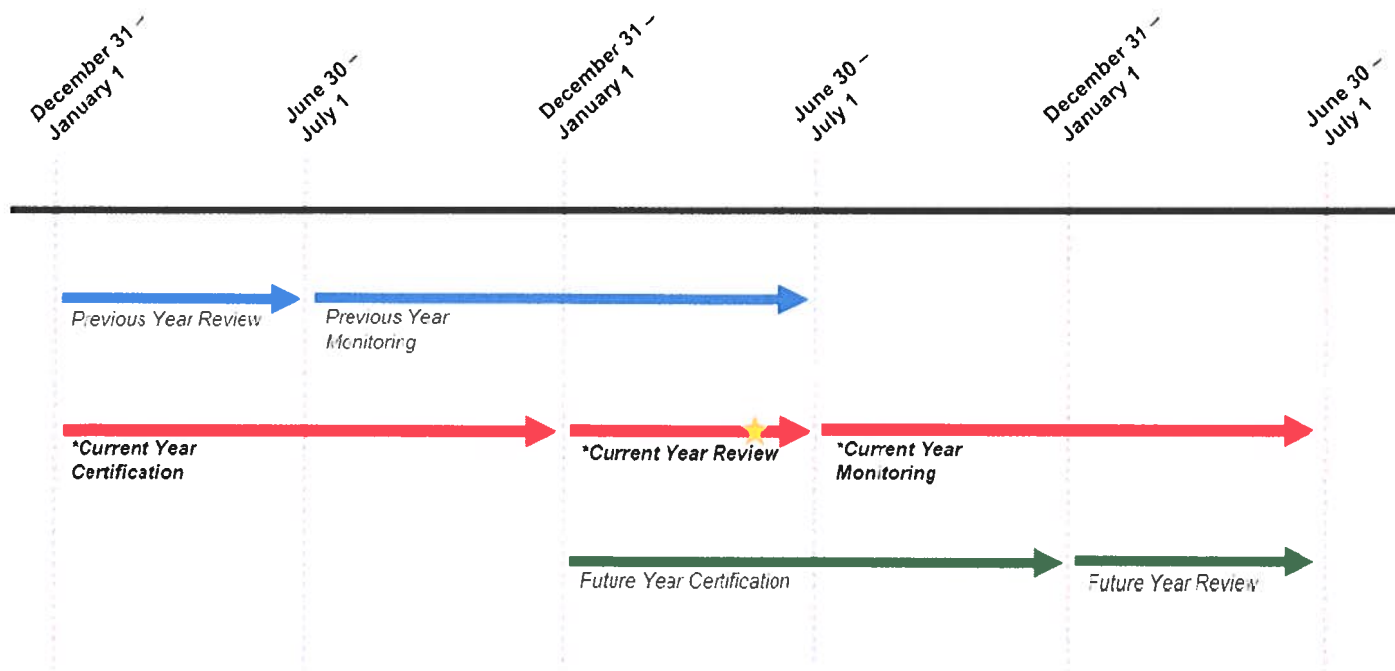
The questions in Part 2 Section 1: Risk Assessment are quantified and scored to assign a level of risk for each MPO, which will be updated annually during the joint certification process. The results of the Risk Assessment determine the minimum frequency by which the MPO's supporting documentation for their invoices is reviewed by FDOT MPO Liaisons for the upcoming year. The frequency of review is based on the level of risk in **Table 1**.

**Table 1. Risk Assessment Scoring**

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

The Risk Assessment that is part of this joint certification has two main components – the Certification phase and the Monitoring phase – and involves regular reviewing, checking, and surveillance. The first step is to complete this Risk Assessment during the joint certification for the current year (The red line in **Figure 1**). The current year runs for a 12-month period from January 1 to December 31 of the same year (**Example: January 1, 2018 through December 31, 2018**). There is a 6-month period when the joint certification for the current year is reviewed before the Risk Assessment enters the Monitoring phase. The joint certification review runs from January 1 to June 30 (**Example: January 1, 2019 through June 30, 2019**). After the review has been completed, the Risk Assessment enters the Monitoring phase, where the MPO is monitored for a 12-month period (**Example: July 1, 2019 to June 30, 2020**). The entire Risk Assessment runs for a total of 30-months. However, there will always be an overlapping of previous year, current year, and future year Risk Assessments. **Figure 1** shows the timeline of Risk Assessment phases and how Risk Assessments can overlap from year to year.

**Figure 1. Risk Assessment: Certification Year vs. Monitoring**



★ June 1<sup>st</sup> - Joint Certifications are due to FDOT

## **Part 2**

Part 2 of the Joint Certification is to be completed by the District MPO Liaison.

## Part 2 Section 1: Risk Assessment

### MPO Invoice Submittal

List all invoices and the dates that the invoices were submitted for reimbursement during the certification period in **Table 2** below.

**Table 2. MPO Invoice Submittal Summary**

Invoice #	Invoice Period	Date the Invoice was Forwarded to FDOT for Payment	Was the Invoice Submitted More than 90 days After the End of the Invoice Period? (Yes or No)
G0W42-24	1/1/20-1/31/20	3/16/20	No
G0W42-25	1/1/20-1/31/20	3/16/20	No
G0W42-26	1/25/20-2/29/20	3/28/20	No
G0W42-27	1/25/20-2/29/20	3/26/20	No
G0W42-28	2/22/20-3/31/20	4/24/20	No
G0W42-29	3/1/20-3/31/20	6/5/20	No
G0W42-30	3/21/20-4/30/20	6/4/20	No
G0W42-31	4/1/20-4/30/20	6/4/20	No
G0W42-32	4/18/20-5/31/20	7/17/20	No
G0W42-33	5/1/20-5/31/20	7/17/20	No
G0W42-34	5/30/20-6/30/20	8/18/20	No
G0W42-35	6/1/20-6/30/20	8/13/20	No
G1L90-1	7/1/20-7/31/20	9/4/20	No
G1L90-2	8/1/20-8/31/20	10/16/20	No



<b>G1L90-3</b>	8/22/20-9/30/20	12/14/20	No
<b>MPO Invoice Submittal Total</b>			
<b>Total Number of Invoices that were Submitted on Time</b>			<b>15</b>
<b>Total Number of Invoices Submitted</b>			<b>15</b>

### MPO Invoice Review Checklist

List all MPO Invoice Review Checklists that were completed in the certification period in **Table 3** and attach the checklists to this risk assessment. Identify the total number of materially significant finding questions that were correct on each MPO Invoice Review Checklist (i.e. checked yes). The MPO Invoice Review Checklist identifies questions that are considered materially significant with a red asterisk. Examples of materially significant findings include:

- Submitting unallowable, unreasonable or unnecessary expenses or corrections that affect the total amounts for paying out.
- Exceeding allocation or task budget.
- Submitting an invoice that is not reflected in the UPWP.
- Submitting an invoice that is out of the project scope.
- Submitting an invoice that is outside of the agreement period.
- Documenting budget status incorrectly.

Corrections or findings that are not considered materially significant do not warrant elevation of MPO risk. Examples of corrections or findings that are not considered materially significant include:

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

**Table 3. MPO Invoice Review Checklist Summary**

MPO Invoice Review Checklist	Number of Correct Materially Significant Finding Questions
G0W42-24 Review Date 3/16/20	7
G0W42-25 Review Date 3/2/20	7
G0W42-26 Review Date 4/3/20	7
G0W42-27 Review Date 4/3/20	7
G0W42-28 Review Date 4/27/20	7
G0W42-29 Review Date 6/5/20	7
G0W42-30 Review Date 6/9/20	7
G0W42-31 Review Date 6/9/20	7
G0W42-32 Review Date 6/9/20	7
G0W42-33 Review Date 7/20/20	7
G0W42-34 Review Date 8/18/20	7
G0W42-35 Review Date 8/18/20	7
G1L90-1 Review Date 9/16/20	7
G1L90-2 Review Date 10/16/20	7
G1L90-3 Review Date 12/16/20	7
<b>MPO Invoice Review Checklist Total</b>	

<b>Total Number of Materially Significant Finding Questions that were Correct</b>	<b>105</b>
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*\*Note: There are 7 materially significant questions per MPO Invoice Review Checklist.*

### MPO Supporting Documentation Review Checklist

List all MPO Supporting Documentation Review Checklists that were completed in the certification period in **Table 4** and attach the checklists and supporting documentation to this risk assessment. Identify the total number of materially significant finding questions that were correct on each MPO Supporting Documentation Review Checklist (i.e. checked yes). The MPO Supporting Documentation Review Checklist identifies questions that are considered materially significant with a red asterisk. Examples of materially significant findings include:

- Submitting an invoice with charges that are not on the Itemized Expenditure Detail Report.
- Submitting an invoice with an expense that is not allowable.
- Failing to submit supporting documentation, such as documentation that shows the invoice was paid.
- Submitting travel charges that do not comply with the MPO’s travel policy.

**Table 4. MPO Supporting Documentation Review Checklist Summary**

MPO Supporting Documentation Review Checklist	Number of Correct Materially Significant Finding Questions
<i>Invoice #G0W42-21, Risk Assessment Review Date 11/4/20 (Invoice #21 period 11/1/2019-11/30/2019)</i>	3
<i>*Only 3 Questions Applicable.  No Direct expenses, no timesheets or travel for selected invoice. Only consultant charges (SU)  25 total (w/ N/A).</i>	



<b>MPO Supporting Documentation Review Checklist Total</b>	
<b>Total Number of Materially Significant Finding Questions that were Correct</b>	<b>3</b>

*\*Note: There are 25 materially significant questions per MPO Supporting Documentation Review Checklist.*

**Technical Memorandum 19-04: Incurred Cost and Invoicing Practices**

Were incurred costs billed appropriately at the end of the contract period?

Please Check: Yes  No  N/A

**Risk Assessment Score**

Please use the Risk Assessment worksheet to calculate the MPO’s risk score. Use **Table 5** as a guide for the selecting the MPO’s risk level.

**Table 5. Risk Assessment Scoring**

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

**Risk Assessment Percentage:** 100%

**Level of Risk:** Low

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

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

Please Check: Yes  No

If yes, please ensure any correspondence or comments related to the draft and final LRTP and the LRTP checklist used by Central Office and the District are in the [MPO Document Portal](#) or attach it to Part 2 Section 9: Attachments. List the titles and dates of attachments uploaded to the MPO Document Portal below.

Title(s) and Date(s) of Attachment(s) in the MPO Document Portal

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

## Part 2 Section 3: Transportation Improvement Program (TIP)

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

Please Check: Yes  No

If yes, please ensure any correspondence or comments related to the draft and final TIP and the TIP checklist used by Central Office and the District are in the [MPO Document Portal](#) or attach it to Part 2 Section 9: Attachments. List the titles and dates of attachments uploaded to the MPO Document Portal below.

### Title(s) and Date(s) of Attachment(s) in the MPO Document Portal

9/28/2020 Space Coast TPO FY 21-25 TIP (Roll Forward-Amended) with Federal Lands Program projects
7/30/20 Space Coast TPO Final TIP 2020-21
6/3/2020 Draft FY 2020/21 to FY 2024/25 TIP
1/29/2020 Space Coast TPO Final Adopted TIP and checklist.

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

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

Please Check: Yes  No

If yes, please ensure any correspondence or comments related to the draft and final UPWP and the UPWP checklist used by Central Office and the District are in the [MPO Document Portal](#) or attach it to Part 2 Section 9: Attachments. List the titles and dates of attachments uploaded to the MPO Document Portal below.

### Title(s) and Date(s) of Attachment(s) in the MPO Document Portal

10/26/2020 Space Coast TPO Close-out Information
06232020 -Final UPWP Approval Letter for FY 2020/21 to FY 2021/22 JBM
6/18/2020 CORRECTED Revised UPWP
6/17/2020 Revised UPWP is attached to reflect the Regional Planning Fees for the Annual Allocation for CFMPO Alliance/CCC on Task 1, pages 39 & 40.
5/19/2020 FINAL - UPWP Space Coast TPO
4/15/2020 Draft Comment Letter for Space Coast TPO
3/17/2020 Amendment #13 is Space Coast TPO's de-obligation of SU funds in FY 20 to maintain schedule of plans already started that will carry forward to FY 21. Adjust FY 20 PL task budget to reflect actuals.
3/13/2020 Draft UPWP for Space Coast TPO

## Part 2 Section 5: Clean Air Act

The requirements of [Sections 174](#) and [176 \(c\) and \(d\)](#) of the Clean Air Act.

The Clean Air Act requirements affecting transportation only applies to areas designated nonattainment and maintenance for the National Ambient Air Quality Standards (NAAQS). Florida currently is attaining all NAAQS. No certification questions are required at this time. In the event the Environmental Protection Agency issues revised NAAQS, this section may require revision.

Title(s) of Attachment(s)

N/A
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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: District Questions

The District may ask up to five questions at their own discretion based on experience interacting with the MPO that were not included in the sections above. Please fill in the question, and the response in the blanks below. This section is optional and may cover any topic area of which the District would like more information.

1. Question

PLEASE EXPLAIN

2. Question

PLEASE EXPLAIN

3. Question

PLEASE EXPLAIN

4. Question

PLEASE EXPLAIN

5. Question

PLEASE EXPLAIN



## Part 2 Section 8: Recommendations and Corrective Actions

Please note that the District shall report the identification of and provide status updates of any corrective action or other issues identified during certification directly to the MPO Board. Once the MPO has resolved the corrective action or issue to the satisfaction of the District, the District shall report the resolution of the corrective action or issue to the MPO Board. The District may identify recommendations and corrective actions based on the information in this review, any critical comments, or to ensure compliance with federal regulation. The corrective action should include a date by which the problem must be corrected by the MPO.

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

#### Feb 2020 Recommendation:

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

#### January 20, 2021:

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

### Recommendations

The Department wants to commend the MPO/TPO for providing a singular MPO/TPO Priority List. This has allowed the District to clearly understand your top priorities and move critical projects forward.



**Corrective Actions**

PLEASE EXPLAIN

## Part 2 Section 9: Attachments

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

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Title(s) and Date(s) of Attachment(s) in the MPO Document Portal

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