



Lake Sumter MPO

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

01/06/2021

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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

The MPO Agreement was adopted on June 18, 2020, amended August 27, 2020, and will need to be readopted by June 30, 2022. The Interlocal Agreement for the Creation of the MPO was updated and readopted on October 28, 2015 and is currently being reviewed. The Public Transportation Grant Agreement was adopted on November 30, 2020 and is effective through December 31, 2022. The ICAR was adopted on August 26, 2015 and is currently being reviewed.

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

Please Check: Yes, No

The MPO participates in regional transportation planning as a member of the Central Florida MPO Alliance and the MPO Advisory Council both of which meet quarterly. The MPO has approved Joint Planning Agreements with the Ocala/Marion TPO and MetroPlan Orlando both of which share an urbanized area with the MPO.

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

Please Check: Yes, No

The MPO's UPWP include the Federal Planning Factors on pages six and seven of the UPWP document. The Federal Planning Factors form the cornerstone for the 2045 Long Range Transportation Plan adopted December 9, 2020. Please refer to pages six and seven of the 2045 LRTP for a detailed analysis of how the Planning Factors are addressed in the Plan. Links: [2045 LRTP Adoption Report](#), [UPWP FY 2020-2022](#).

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

Please Check: Yes, No

The MPO conducts the metropolitan planning processes in conformance with applicable federal (23 CFR 450 and state statutes and to ensure the maintenance of a continuing, cooperative, and comprehensive transportation planning process for the Lake~Sumter MPO Planning Area.

The MPO detailed how the plans and programs are based on a continuing, comprehensive, and cooperative process in the approved FY2020/21-2021/22 UPWP on pages nineteen and twenty. Planning Consistency Matrices for both Federal and State Guidelines are shown in the FY 2020/21-2021/22 UPWP, Appendix B, pages B-1.

LSMPO FY 2020/21-2021/22 UPWP Link: [LSMPO UPWP](#)

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

Please Check: Yes , No N/A

The MPO's Congestion Management Process was approved in November 2019 and is currently being updated with 2020 traffic data. Link to the CMP Policy and Procedures Handbook: [LSMPO CMP Handbook](#)

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

Please Check: Yes , No

The MPO's Public Participation Plan (PPP) was amended August 26, 2020. Link to the PPP: [LSMPO PPP Amended 08-26-2020](#)

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

Please Check: Yes , No

The MPO Governing Board approved the opening of the Public Review Period for the amended Public Participation Plan (PPP) at the June 24, 2020 MPO Board meeting and closed the Public Review Period at the August 26, 2020 Board meeting. The Public Review Period met the required 45 calendar day public review period as described in the MPO's Public Participation Plan. The Public was afforded the opportunity at each Board meeting to make comments or ask questions. The PPP was made available for public review on the MPO's website. Link: [MPO Governing Board June 24, 2020 Agenda](#), [MPO Governing Board August 26, 2020 Agenda](#).

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

Please Check: Yes , No

The MPO utilizes procurement by competitive proposals. (2 C.F.R. 200-320 (d)). The MPO contracts with the Lake County Procurement Department for all procurement activities. Link: [Lake County Purchasing Procedure Manual](#)

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 X, No

The MPO maintains all records pertaining to the procurement process adhering to 2 C.R.F. 200.324 (a). Technical specifications on the procurement process are made available upon request prior to the competitive proposal process and retained for review at any time after the process is completed.

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

Please Check: Yes X, No

The MPO Staff Services Agreement with Lake County includes procurement activities. The Agreement was approved at the February 26, 2020 MPO Governing Board meeting

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 X, No

The MPO ensures compliance to the terms of contracts and work orders, through a formal monthly review of all consultant or contractor activities performed and fees assessed in accordance with the approved the Work Order Scope of Services.

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?

MPO has retained an outside firm to assist in ensuring that federal funds are expended on eligible cost items and other funding sources are utilized for ineligible costs. The Code of Federal Regulations (CFR), the MPO Handbook, and the State Expenditures Handbook are guides that are used to ensure that Federal-aid funds are expended in conformity with applicable Federal and State laws.

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

The MPO submits invoices to the District for review and reimbursement on a monthly basis.

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

Yes, the MPO is a recipient of federal funds through the State DOT. The MPO is subject to an annual single audit. The MPO 2020 financial annual single audit was presented to the MPO Governing Board at the December 9, 2020 meeting.

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

The MPO's financial management system complies with the requirements set forth in 2 CFR 200.302.1. The MPO identifies in all its accounts, of all Federal awards received and expended and the Federal programs under which they were received. The MPO provides accurate, current, and complete disclosure of the financial results of each Federal award or program in accordance with the reporting requirements set forth in 200.326 and 200.3283. The MPO maintains records that identify adequately the source and application of funds for federally-funded activities. The MPO maintains

effective control over and accountability for all funds, property, and other assets. The MPO completes comparisons of expenditures with budget amounts for each award. The MPO has written procedures within our consultant contracts to implement the requirements of 200.305. The MPO has language with our consultant contracts to address allowability of costs in accordance with Subpart E.

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

The MPO keeps the records both electronically and printed to provide to FDOT upon request.

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

The MPO maintains and keeps the supporting documentation that is required by FDOT and can be made accessible to FDOT upon request.

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?

Article 3.6 of the Consultant Contract states that the Consultant acknowledges and agrees that if services are provided under this agreement are being supported in whole or part by Federal and/or State funding the consultant shall comply with applicable Federal laws.

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 MPO signed the FDOT Title VI/Non-discrimination Assurance, the document is located in Appendix B of the Title VI Nondiscrimination Plan. The MPO identified Michael Woods as the Title VI/ADA Specialists for the MPO. The Title VI Nondiscrimination Plan is available on the MPO website along with the complaint filing procedures. Link: [MPO Title VI Nondiscrimination Plan Amended 8-26-2020](#)

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

Article 3.6 of the Consultant Contract states that the Consultant acknowledges and agrees that if services are provided under this agreement are being supported in whole or part by Federal and/or State funding the consultant shall comply with all applicable Federal and/or State laws.

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

Please Check: Yes , No

The MPO has an approved Title VI Complaint Procedure located in Appendix C of the MPO Title VI Nondiscrimination Plan. The procedure complies with the FDOT procedure. Link: [Title VI Nondiscrimination Plan Amended 8-26-2020](#)

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

Please Check: Yes , No

The MPO Title VI Nondiscrimination Plan details the Socioeconomic Profile of the MPO Planning Area on page 10 of the Title VI Plan. Tables 1 through 4 detail the population groups in the MPO Planning area. Figures 1 through 5 detail the ethnic makeup of the MPO Planning area. Link: [Title VI Nondiscrimination Plan Amended 8-26-2020](#). This Plan is updated on a regular basis.

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

Please Check: Yes , No

The MPO Executive Assistant attended the two day ADA training in Orlando in February 2019. The MPO Executive Assistant and the Executive Director attended the ADA website compliance training hosted by the Public Information Officers Alliance of Lake County in February 2020.

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 MPO compiles with all federal and state requirements associated with ADA noncompliance complaints received, including retention of records. The MPO has received no ADA noncompliance complaints at this time.

Part 1 Section 4: Disadvantaged Business Enterprises

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

Please Check: Yes , No

The MPO has an approved DBE Plan that was updated and approved at the August 26, 2020 MPO Governing Board meeting. Link: [Disadvantaged Business Enterprise Plan Amended 8-26-2020](#)

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

Please Check: Yes , No

The MPO will utilize the Disadvantage Business Enterprise (DBE) Directory published by the FDOT. A link of certified UCP DBE's is maintained by FDOT Equal Opportunity Office at [FDOT EOC DBE Directory](#). The MPO submits the required semi-annual DBE Uniform report as required.

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

Please Check: Yes , No

The MPO DBE policy is included in all consultant and subconsultants contracts as defined by 49 Code of Federal Regulations, Part 26.

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.

The MPO updated and improved the **Public Participation Plan** focusing on effective techniques and strategies best suited for a small MPO.

The MPO developed and implemented new plans including:

- (1) **Title VI Nondiscrimination Plan**
- (2) **Limited English Proficiency Plan**
- (3) **Disadvantaged Business Enterprise Plan**

The MPO implemented improved processes for the **List of Priority Projects (LOPP)**

Improvements include the following:

- (1) **LOPP Guidance Report**
- (2) **LOPP Project Sufficiency Checklist**
- (3) **LOPP Project Screening Form.**

The MPO completed a move to a new **MPO Office** location to a professional, safe, and centrally located site.

The MPO developed a new ADA compliant **MPO website** to assist with information outreach efforts for the MPO plans and programs.

The MPO developed the first MPO **Congestion Management Process (CMP)** and is currently updating the database with 2020 traffic data.

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.

Despite the historic and overwhelming circumstances, the MPO, with our federal and state partners and our project consultant teams were able to develop, improve and implement the plans and programs of the MPO without delay or compromise. The staff of the MPO appreciates the guidance and assistance provided by the Department.



Lake Sumter MPO

Joint Certification – 1/01/2020-12/31/2020

February 2021

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Purpose

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

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

Certification Process

Please read and answer each question within this document.

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

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

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

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

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

Risk Assessment Process

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

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

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

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

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

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

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

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

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

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

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

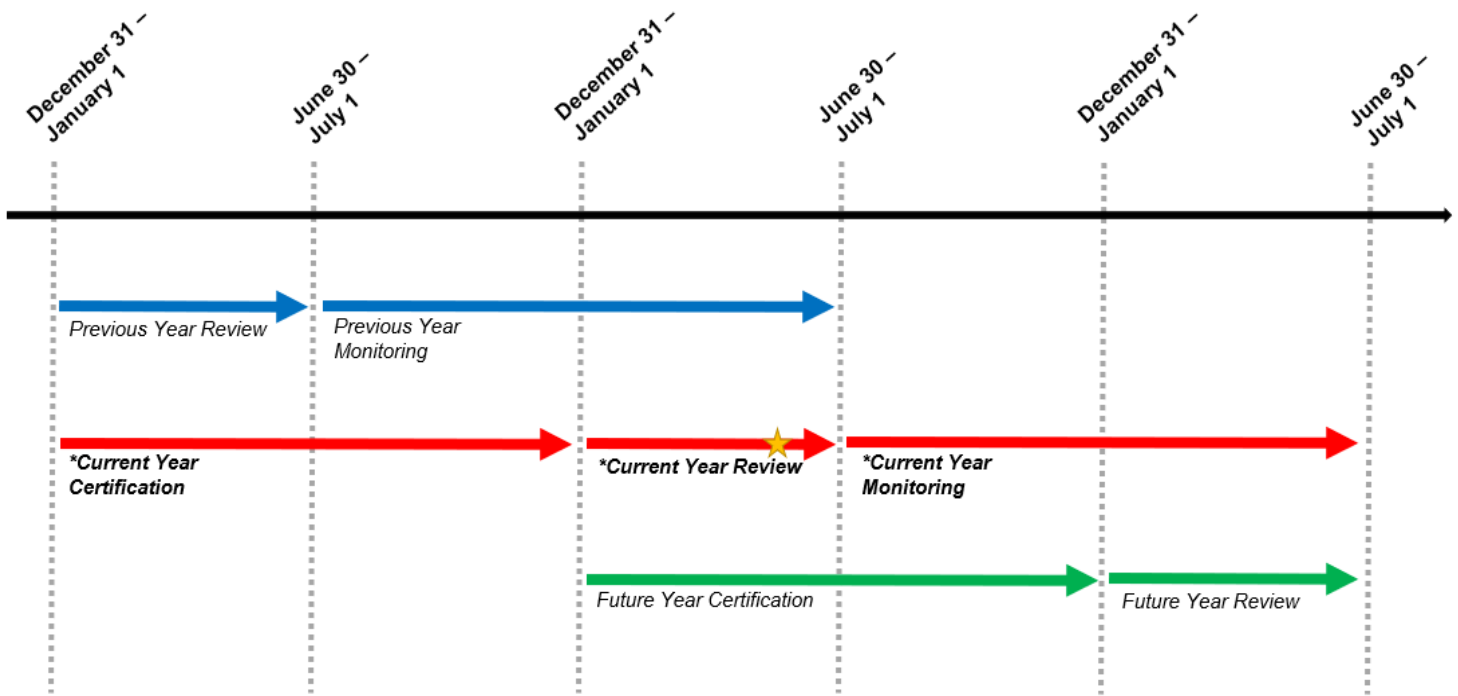
The questions in Part 2 Section 1: Risk Assessment are quantified and scored to assign a level of risk for each MPO, which will be updated annually during the joint certification process. The results of the Risk Assessment determine the minimum frequency by which the MPO's supporting documentation for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

Table 1. Risk Assessment Scoring

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

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

Figure 1. Risk Assessment: Certification Year vs. Monitoring



★ June 1st - Joint Certifications are due to FDOT

Part 2

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

Part 2 Section 1: Risk Assessment

MPO Invoice Submittal

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

Table 2. MPO Invoice Submittal Summary

Invoice #	Invoice Period	Date the Invoice was Forwarded to FDOT for Payment	Was the Invoice Submitted More than 90 days After the End of the Invoice Period? (Yes or No)
G0W41-24	11/01/2019-01/31/2020	03/04/2020	No
G0W41-25	10/01/2019-12/31/2019	03/04/2020	No
G0W41-26	01/01/2020-02/29/2020	04/01/2020	No
G0W41-27	01/01/2020-01/31/2020	04/01/2020	No
G0W41-28	01/01/2020-03/31/2020	05/18/2020	No
G0W41-29	01/02/2020-04/30/2020	06/08/2020	No
G0W41-30	02/01/2020-03/31/2020	06/08/2020	No
G0W41-31	03/01/2020-05/31/2020	07/16/2020	No
G0W41-32	04/01/2020-04/30/2020	07/17/2020	No
G0W41-33	04/01/2020-06/30/2020	08/17/2020	No
G0W41-34	03/01/2020-06/30/2020	08/31/2020	No
G1L93-1	07/01/2020-08/31/2020	10/21/2020	No
G1L93-2	07/01/2020-09/30/2020	11/20/2020	No

G1L93-3	08/01/2020-11/30/2020	12/22/2020	No
MPO Invoice Submittal Total			
Total Number of Invoices that were Submitted on Time		14	
Total Number of Invoices Submitted		14	

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
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G0W41-24 Review Date: 03/04/2020	7
G0W41-25 Review Date: 03/04/2020	7
G0W41-26 Review Date: 04/01/2020	7
G0W41-27 Review Date: 04/01/2020	7
G0W41-28 Review Date: 05/20/2020	7
G0W41-29 Review Date: 06/29/2020	7
G0W41-30 Review Date: 06/12/2020	7
G0W41-31 Review Date: 06/12/2020	7
G0W41-32 Review Date: 07/20/2020	7
G0W41-33 Review Date: 08/17/2020	7
G0W41-34 Review Date: 08/31/2020	7
G1L93-1 Review Date: 10/21/2020	7
G1L93-2 Review Date: 11/23/2020	7
G1L93-3 Review Date: 12/28/2020	7
MPO Invoice Review Checklist Total	
Total Number of Materially Significant Finding Questions that were Correct	98

**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>G0W41-22 Reviewed 11/4/2020</i>	17
<i>*Only 17 applied (#22)</i>	
<i>25 total (w/ N/A).</i>	
MPO Supporting Documentation Review Checklist Total	
Total Number of Materially Significant Finding Questions that were Correct	17

**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

7/30/2020 TIP Review Letter
1/29/2020 Lake-Sumter MPO's attached TIP Amendment was approved by their Board on October 23, 2019.

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 Lake-Sumter MPO Close documents
8/27/2020 LSMPO UPWP is being amended to add Janitorial Services to Task 1 Administrative and Management of Planning Process and moving funds under the same task to cover these services.
6/29/2020 UPWP Revision #13 for Lake-Sumter MPO. The MPO is removing \$6,600 from task 7.00 - Systems Planning and putting it in Task 1.0 Administration. This is being done to handle moving expenses and salary expenses.
6/19/2020 Revised Final UPWP for Lake-Sumter MPO for language in UPWP for CFMPOA and Soft Match.
5/14/2020 Revision #12 for Lake-Sumter MPO. MPO is amending their UPWP to use carryover funding to Fiscal Year 2019/2020 to apply for FTA funds.
5/15/2020 No changes to scope or budget, only moving funds from one task to another to cover upcoming cost overruns. See attached word document for additional information for funds swap for each task.
3/2/2020 Amendment number 10 is to De-Obligate \$90,000 of PL funding from FY 19/20.

3/13/2020 Draft UPWP for Lake-Sumter MPO was received today 03/13/2020.

1/16/2020 Revision #8 is approved to modify the UPWP on Task 7 by adding local funds to pay for the study that was added for the Trail alignment for the City of Mount Dora
Revision #9 is modifying the UPWP by moving funds from one Task to another to cover upcoming cost overruns.

Part 2 Section 5: Clean Air Act

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

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

Title(s) of Attachment(s)

N/A

Part 2 Section 6: Technical Memorandum 19-03REV: Documentation of FHWA PL and Non-PL Funding

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

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

Part 2 Section 7: District Questions

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

1. Question

PLEASE EXPLAIN

2. Question

PLEASE EXPLAIN

3. Question

PLEASE EXPLAIN

4. Question

PLEASE EXPLAIN

5. Question

PLEASE EXPLAIN

Part 2 Section 8: Recommendations and Corrective Actions

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

Status of Recommendations and/or Corrective Actions from Prior Certifications

Feb 2020 Recommendation:

A recommendation was made in the previous certification to update the MPO's website. LSMPO has updated their website, however, there are still missing documents that are required to be visible per the MPO's own Public Participation Plan. Any amendments that are made to the LRTP and TIP, once the amendments are "final", those documents are to be uploaded to the MPO's website. The MPO's UPWP is the only document that has all amendments and/or modifications posted to their website.

It is recommended that the Lake-Sumter MPO follow their own Public Participation Plan and update their website with any and all amendments. This will also put them in compliance with State and Federal Regulations by making public information available to the maximum extent practicable.

February 2021:

The previous recommendation was addressed. All documents have been added to the MPO's website and the amendments are easily assessable with amended dates.

Recommendations

The Department wants to commend the MPO/TPO for providing a singular MPO/TPO Priority List. It was extremely helpful during this last years development cycle and allowed us to move many projects forward.

Invoicing:

In our recent review we noticed inconsistencies in the invoicing periods. In accordance with the MPO Handbook, the Department requires that the MPO commit to a submittal schedule, either on a monthly or quarterly basis. Please see Section 3.10 of the MPO handbook for further clarification.

3.10 MPO Invoicing

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

Corrective Actions

The department has no corrective actions.

Part 2 Section 9: Attachments

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

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

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