



Martin MPO

Joint Certification – CY 2020

February, 2021

Part 2 – FDOT District

Contents

Purpose.....	2
Certification Process	3
Risk Assessment Process	4
Part 2 Section 1: Risk Assessment	8
Part 2 Section 2: Long-Range Transportation Plan (LRTP)	12
Part 2 Section 3: Transportation Improvement Program (TIP)	13
Part 2 Section 4: Unified Planning Work Program (UPWP).....	14
Part 2 Section 5: Clean Air Act	15
Part 2 Section 6: Technical Memorandum 19-03REV: Documentation of FHWA PL and Non-PL Funding	16
Part 2 Section 7: District Questions	17
Part 2 Section 8: Recommendations and Corrective Actions	20
Part 2 Section 9: Attachments	20

FDOT Joint Certification
Part 2 – FDOT District

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.

FDOT Joint Certification
Part 2 – FDOT District

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.*

*FDOT Joint Certification
Part 2 – FDOT District*

(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.

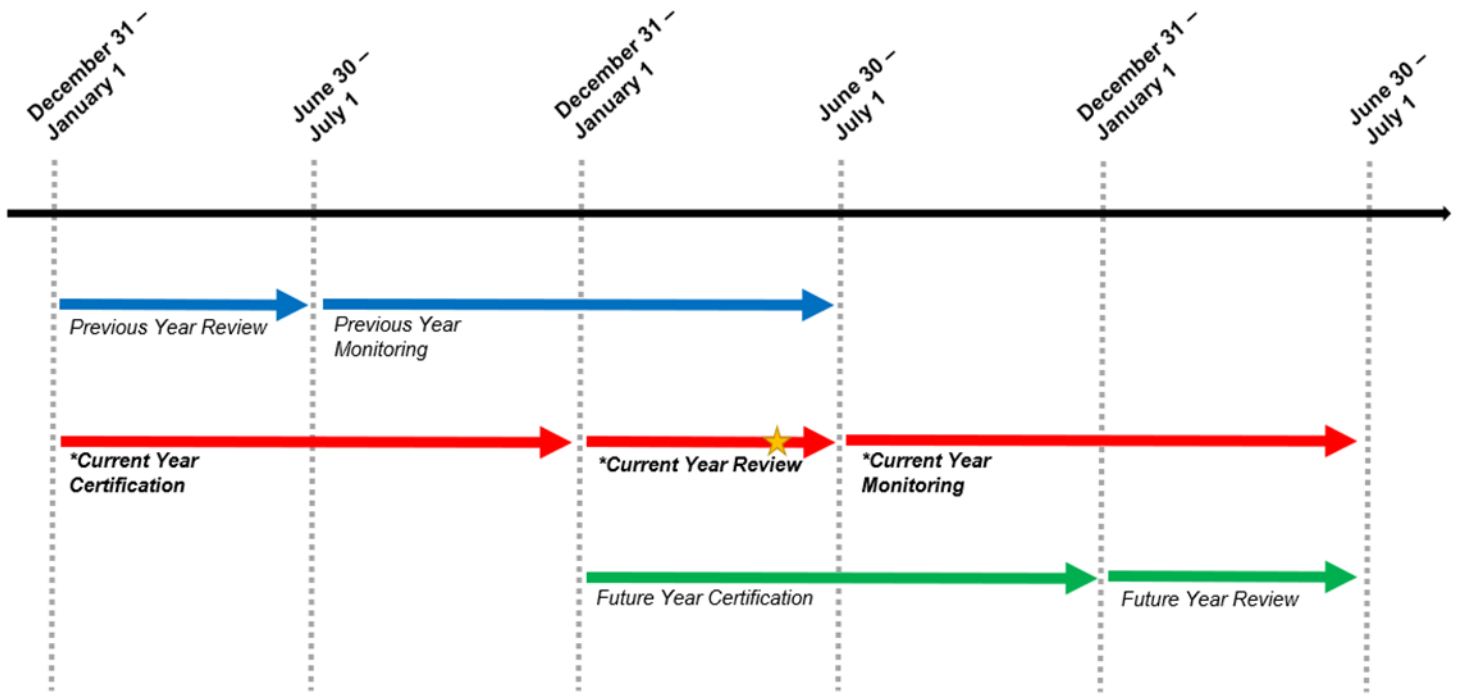
The questions in Part 2 Section 1: Risk Assessment are quantified and scored to assign a level of risk for each MPO, which will be updated annually during the joint certification process. The results of the Risk Assessment determine the minimum frequency by which the MPO's supporting documentation for 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

FDOT Joint Certification
Part 2 – FDOT District

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)
G0Y82-6	10/01/2019 – 12/31/2019	02/31/2020	No
G0Y82-7	01/01/2020 – 03/31/2020	06/29/2020	No
G0Y82-8	04/01/2020 – 06/30/2020	09/04/2020	No
G1O78-1	07/01/2020 – 09/30/2020	11/17/2020	No
MPO Invoice Submittal Total			
Total Number of Invoices that were Submitted on Time			4
Total Number of Invoices Submitted			4

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.

FDOT Joint Certification
Part 2 – FDOT District

- 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
G0Y82-6	7/7
G0Y82-7	7/7
G0Y82-8	7/7
G1078-1	7/7
MPO Invoice Review Checklist Total	
Total Number of Materially Significant Finding Questions that were Correct	28/28

**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:

FDOT Joint Certification
Part 2 – FDOT District

- 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
G1078-1	25/25
MPO Supporting Documentation Review Checklist Total	
Total Number of Materially Significant Finding Questions that were Correct	25/25

**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

FDOT Joint Certification
Part 2 – FDOT District

< 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 2045 LRTP with Appendices.pdf - 08/25/2020
Draft Report_V7.pdf - 09/15/2020
Draft Report_V8.pdf - 10/08/2020
Draft Report_V8.pdf (Modified Draft)- 10/22/2020

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

Draft TIP Review Checklist _06.17.20.docx - 05/04/2020
Martin MPO Draft FY20-21 – FY24-25 TIP.pdf - 05/04/2020
Updated_Martin MPO Draft FY20-21 - FY24-25 TIP.pdf - 05/04/2020
Martin MPO FINAL_FY21-FY25 TIP 7-21-20.pdf - 11/16/2020

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

Martin MPO UPWP 20-21-22_Final 06.19.20.pdf - 06/19/2020
2020-6-23 MARTIN MPO 2021-2022 UPWP Approval Letter FINAL.pdf - 06/23/2020
LT_FDOT FY20-21-22 FINAL UPWP.pdf - 06/23/2020
Martin MPO UPWP 20-21-22_DRAFT Final.pdf - 06/23/2020
Martin MPO UPWP 20-21-22_Final 05.12.20.pdf - 06/23/2020
Martin UPWP Comments.docx - 06/23/2020
Martin_UPWP Checklist Excel Form.xlsx - 06/23/2020
Executed UPWP Revision 1 Modication 1_Signed.pdf - 10/02/2020

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. Calendar year (CY) 2020 has been a challenging year for all agencies in many ways. How has the TPO adapted during changing conditions to maintain a Continuing, Comprehensive, and Collaborative (3C) program during the COVID-19 pandemic? How was public input collected during and after COVID-19 office closures? What delays, if any, were encountered in your operations or functions? Has your agency implemented any new protocols that you plan to continue after COVID? Discuss any new best practices adopted during CY 2020 and discuss if the MPO sees additional opportunities to improve efforts in engaging with partners in the 3C process.

In order to maintain a 3C program during the COVID-19 pandemic, beginning in March of 2020, the Martin MPO worked closely with Martin County Administration to setup an Alternate Relocation Point to hold meetings in the John F. and Rita M. Armstrong Wing of the Blake Library that would allow for social distancing as well as video conferencing capabilities. In doing so, the Martin MPO was able to have quorums for all meetings after March 2020 except for one, which was the LCB-TD Meeting scheduled for December 7, 2020. Public input was collected as normal during and after COVID-19 office closures, except for the newly implemented virtual component to some of our public involvement events, such as the virtual open house events for the 2045 LRTP Cost Feasible Plan, and the Mobility Fee Study. The MPO did not encounter any delays to our work products or responsibilities, as staff was able to accommodate meetings throughout the year. In regard to any new protocols that the Martin MPO plans to continue after COVID, the use of virtual meeting software has been a silver lining, as the MPO was able to gain additional participation and input from the public who would not normally have the time to drive to public involvement events. The Martin MPO plans to continue the practice of providing virtual meetings to the public to gain input on planning issues and products. In addition, on February 22, 2021 the MPO Board approved a Continuity of Operations Plan (COOP) update that included language about a state of emergency in the event of a pandemic.

2. The Florida Transportation Plan (FTP) embraces a vision of how our transportation system meets the changing needs of our state. It also focuses on how we can work together to accomplish these seven goals: 1) safety for all modes of transportation; 2) maintaining infrastructure; 3) enhance mobility; 4) expand transportation choices; 5) invest in the economy; 6) support quality places and communities; all while 7) minimizing impacts on the environment. In CY 2020, explain how and where the following were addressed and incorporated:

-Safety

-Resiliency and sustainability

-Autonomous, Connected, Electric, and Shared (ACES) mobility options and impacts

Regarding safety, this topic is a component in all MPO documents, including planning studies such as the Complete Streets: Access to Transit Study, the Freight and Goods Movement Study and the Vision Zero Plan addressed in Task 6 of the FY21-FY22 UPWP. The Transportation Improvement Program (TIP) addresses Safety Performance Measures on pages 12-15, discussing safety programs in the TIP as well as safety investment priorities. The 2045 LRTP also includes the topic of safety throughout the document, as well as including it as Goal #2 of the LRTP, which states “A safe multimodal transportation system that meets the needs of all users.”

Resilience and sustainability were addressed in the 2045 Long Range Transportation Plan (LRTP). As part of the development 2045 LRTP, a vision statement for the Martin MPO was created, which states “To create and maintain a safe, efficient and resilient multimodal transportation network to meet mobility and accessibility needs of Martin County’s residents and visitors, while preserving the environment, supporting economic growth and enhancing the quality of life.” Also, one of the objectives for Goal #4 in the 2045 LRTP is to “Prioritize projects that improve extreme weather resiliency and/or harden infrastructure against Sea Level Rise (SLR).” Two resiliency projects are highlighted, which include North Sewall’s Point Road from SR-A1A/NE Ocean Blvd. to SE Palmer Street, and SE MacArthur Blvd. from SE South Marina Way to approximately 1500 feet North.

ACES was addressed in the 2045 LRTP in the Cost Feasible Plan, Chapter 7 Scenario Planning. One of the scenarios discussed was the Emerging Technologies Scenario, which includes ACES. In this section, the document provides a detailed discussion on emerging technologies and its impact on transportation and land use as well as evolution of the industry based on comprehensive literature review. Further, it describes Martin County’s Intelligent Transportation Systems (ITS) network and discusses the Florida Department of Transportation’s (FDOT) guidance on incorporating emerging technologies in the MPO’s LRTP process as well as introduces initial assumptions for scenario planning exercise.

The Martin MPO Freight and Goods Movement Plan also includes a section regarding Connected and Automated Vehicles/Trucks, which includes discussion on topics such as Truck Platooning, Driver Assistive Truck Platooning, Intelligent Transposition System

(ITS), E-commerce, Drones, and the issues that may occur due to emerging technologies.

3. Describe the TPO's relationship between FDOT and other partner agencies (i.e.: SLC Ride/ Treasure Coast Connector, Local Municipalities, etc.) over the past year. What is working well? What areas can be improved? What ideas could be identified to enhance the relationships?

The Martin MPO has a great partnership with FDOT including the MPO's District IV Liaison, when dealing with topics such as UPWP Revisions and TIP amendments. The District IV staff as it relates to Advisory Meetings, Board Meetings, Stakeholder Meetings, and Steering Committee Meetings is very strong with participation and follow-up. FDOT staff in Central Office are ideal with obtaining resourceful information and are always available to assist us. The Martin MPO has great relationships with host agency Martin County as well as the surrounding municipalities, including the City of Stuart, Sewall's Point, Jupiter Island, Ocean Breeze and Village of Indiantown. The surrounding municipalities and County are active participants on the Martin MPO Advisory Committees and Policy Board in addition to a variety of stakeholder committee meetings including the Multimodal/Mobility Fee Study, Complete Streets; Access to Transit Study, Freight and Goods Movement Study and the Vision Zero Action Plan currently underway. The MPO and Martin County Public Transit work together on transit planning studies and MPO work products. For example, during the development of the Martin County Transit Development Plan (TDP), MPO staff participated on the Project Review Committee; the transit projects identified in the 2045 LRTP are consistent with the County's adopted TDP 2020-2029 adopted in August 2019. In addition, the Martin County Transit Manager participates on the Martin MPO Technical Advisory Committee (TAC) and Project Steering Committees, including the County's requested Transit Operations Center Feasibility Study and the Complete Streets: Access to Transit Study. An area for improvement would be for the MPO Liaisons to attend the MPOAC meetings. Sometimes MPOs have questions about a subject that was addressed at an MPOAC meeting before the Liaisons have not been versed on the subject.

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

none

Recommendations

none

Corrective Actions

none

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](#).

FDOT Joint Certification
Part 2 – FDOT District

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

--



Martin MPO

Joint Certification – CY 2020

February, 2021

Part 2 – FDOT District

Contents

Purpose.....	2
Certification Process	3
Risk Assessment Process	4
Part 2 Section 1: Risk Assessment	8
Part 2 Section 2: Long-Range Transportation Plan (LRTP)	12
Part 2 Section 3: Transportation Improvement Program (TIP)	13
Part 2 Section 4: Unified Planning Work Program (UPWP).....	14
Part 2 Section 5: Clean Air Act	15
Part 2 Section 6: Technical Memorandum 19-03REV: Documentation of FHWA PL and Non-PL Funding	16
Part 2 Section 7: District Questions	17
Part 2 Section 8: Recommendations and Corrective Actions	20
Part 2 Section 9: Attachments	20

FDOT Joint Certification
Part 2 – FDOT District

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.

FDOT Joint Certification
Part 2 – FDOT District

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.*

*FDOT Joint Certification
Part 2 – FDOT District*

(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**.

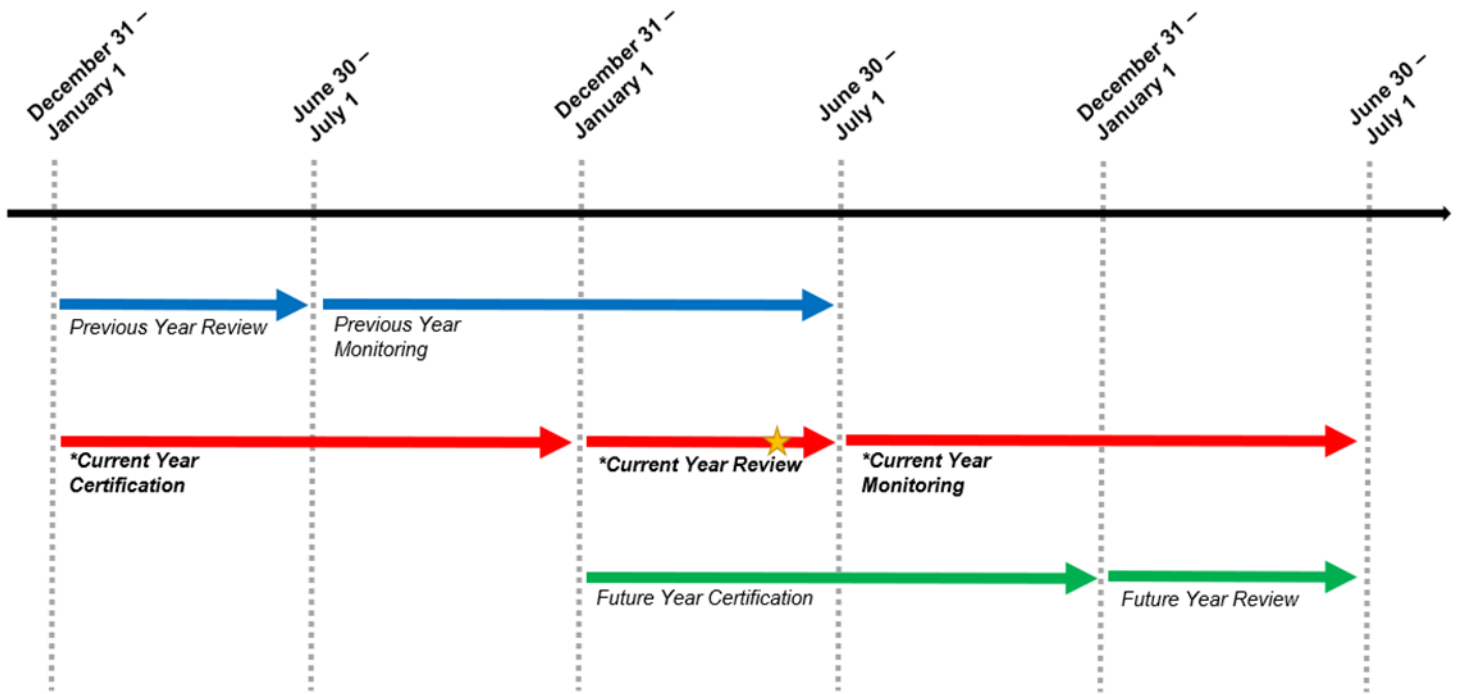
Table 1. Risk Assessment Scoring

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

*FDOT Joint Certification
Part 2 – FDOT District*

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

FDOT Joint Certification
Part 2 – FDOT District

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)
G0Y82-6	10/01/2019 – 12/31/2019	02/31/2020	No
G0Y82-7	01/01/2020 – 03/31/2020	06/29/2020	No
G0Y82-8	04/01/2020 – 06/30/2020	09/04/2020	No
G1O78-1	07/01/2020 – 09/30/2020	11/17/2020	No
MPO Invoice Submittal Total			
Total Number of Invoices that were Submitted on Time			4
Total Number of Invoices Submitted			4

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.

FDOT Joint Certification
Part 2 – FDOT District

- 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
G0Y82-6	7/7
G0Y82-7	7/7
G0Y82-8	7/7
G1078-1	7/7
MPO Invoice Review Checklist Total	
Total Number of Materially Significant Finding Questions that were Correct	28/28

**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:

FDOT Joint Certification
Part 2 – FDOT District

- 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
G1078-1	25/25
MPO Supporting Documentation Review Checklist Total	
Total Number of Materially Significant Finding Questions that were Correct	25/25

**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

FDOT Joint Certification
Part 2 – FDOT District

< 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 2045 LRTP with Appendices.pdf - 08/25/2020
Draft Report_V7.pdf - 09/15/2020
Draft Report_V8.pdf - 10/08/2020
Draft Report_V8.pdf (Modified Draft)- 10/22/2020

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

Draft TIP Review Checklist _06.17.20.docx - 05/04/2020
Martin MPO Draft FY20-21 – FY24-25 TIP.pdf - 05/04/2020
Updated_Martin MPO Draft FY20-21 - FY24-25 TIP.pdf - 05/04/2020
Martin MPO FINAL_FY21-FY25 TIP 7-21-20.pdf - 11/16/2020

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

Martin MPO UPWP 20-21-22_Final 06.19.20.pdf - 06/19/2020
2020-6-23 MARTIN MPO 2021-2022 UPWP Approval Letter FINAL.pdf - 06/23/2020
LT_FDOT FY20-21-22 FINAL UPWP.pdf - 06/23/2020
Martin MPO UPWP 20-21-22_DRAFT Final.pdf - 06/23/2020
Martin MPO UPWP 20-21-22_Final 05.12.20.pdf - 06/23/2020
Martin UPWP Comments.docx - 06/23/2020
Martin_UPWP Checklist Excel Form.xlsx - 06/23/2020
Executed UPWP Revision 1 Modication 1_Signed.pdf - 10/02/2020

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. Calendar year (CY) 2020 has been a challenging year for all agencies in many ways. How has the TPO adapted during changing conditions to maintain a Continuing, Comprehensive, and Collaborative (3C) program during the COVID-19 pandemic? How was public input collected during and after COVID-19 office closures? What delays, if any, were encountered in your operations or functions? Has your agency implemented any new protocols that you plan to continue after COVID? Discuss any new best practices adopted during CY 2020 and discuss if the MPO sees additional opportunities to improve efforts in engaging with partners in the 3C process.

In order to maintain a 3C program during the COVID-19 pandemic, beginning in March of 2020, the Martin MPO worked closely with Martin County Administration to setup an Alternate Relocation Point to hold meetings in the John F. and Rita M. Armstrong Wing of the Blake Library that would allow for social distancing as well as video conferencing capabilities. In doing so, the Martin MPO was able to have quorums for all meetings after March 2020 except for one, which was the LCB-TD Meeting scheduled for December 7, 2020. Public input was collected as normal during and after COVID-19 office closures, except for the newly implemented virtual component to some of our public involvement events, such as the virtual open house events for the 2045 LRTP Cost Feasible Plan, and the Mobility Fee Study. The MPO did not encounter any delays to our work products or responsibilities, as staff was able to accommodate meetings throughout the year. In regard to any new protocols that the Martin MPO plans to continue after COVID, the use of virtual meeting software has been a silver lining, as the MPO was able to gain additional participation and input from the public who would not normally have the time to drive to public involvement events. The Martin MPO plans to continue the practice of providing virtual meetings to the public to gain input on planning issues and products. In addition, on February 22, 2021 the MPO Board approved a Continuity of Operations Plan (COOP) update that included language about a state of emergency in the event of a pandemic.

2. The Florida Transportation Plan (FTP) embraces a vision of how our transportation system meets the changing needs of our state. It also focuses on how we can work together to accomplish these seven goals: 1) safety for all modes of transportation; 2) maintaining infrastructure; 3) enhance mobility; 4) expand transportation choices; 5) invest in the economy; 6) support quality places and communities; all while 7) minimizing impacts on the environment. In CY 2020, explain how and where the following were addressed and incorporated:

-Safety

-Resiliency and sustainability

-Autonomous, Connected, Electric, and Shared (ACES) mobility options and impacts

Regarding safety, this topic is a component in all MPO documents, including planning studies such as the Complete Streets: Access to Transit Study, the Freight and Goods Movement Study and the Vision Zero Plan addressed in Task 6 of the FY21-FY22 UPWP. The Transportation Improvement Program (TIP) addresses Safety Performance Measures on pages 12-15, discussing safety programs in the TIP as well as safety investment priorities. The 2045 LRTP also includes the topic of safety throughout the document, as well as including it as Goal #2 of the LRTP, which states “A safe multimodal transportation system that meets the needs of all users.”

Resilience and sustainability were addressed in the 2045 Long Range Transportation Plan (LRTP). As part of the development 2045 LRTP, a vision statement for the Martin MPO was created, which states “To create and maintain a safe, efficient and resilient multimodal transportation network to meet mobility and accessibility needs of Martin County’s residents and visitors, while preserving the environment, supporting economic growth and enhancing the quality of life.” Also, one of the objectives for Goal #4 in the 2045 LRTP is to “Prioritize projects that improve extreme weather resiliency and/or harden infrastructure against Sea Level Rise (SLR).” Two resiliency projects are highlighted, which include North Sewall’s Point Road from SR-A1A/NE Ocean Blvd. to SE Palmer Street, and SE MacArthur Blvd. from SE South Marina Way to approximately 1500 feet North.

ACES was addressed in the 2045 LRTP in the Cost Feasible Plan, Chapter 7 Scenario Planning. One of the scenarios discussed was the Emerging Technologies Scenario, which includes ACES. In this section, the document provides a detailed discussion on emerging technologies and its impact on transportation and land use as well as evolution of the industry based on comprehensive literature review. Further, it describes Martin County’s Intelligent Transportation Systems (ITS) network and discusses the Florida Department of Transportation’s (FDOT) guidance on incorporating emerging technologies in the MPO’s LRTP process as well as introduces initial assumptions for scenario planning exercise.

The Martin MPO Freight and Goods Movement Plan also includes a section regarding Connected and Automated Vehicles/Trucks, which includes discussion on topics such as Truck Platooning, Driver Assistive Truck Platooning, Intelligent Transposition System

(ITS), E-commerce, Drones, and the issues that may occur due to emerging technologies.

3. Describe the TPO's relationship between FDOT and other partner agencies (i.e.: SLC Ride/ Treasure Coast Connector, Local Municipalities, etc.) over the past year. What is working well? What areas can be improved? What ideas could be identified to enhance the relationships?

The Martin MPO has a great partnership with FDOT including the MPO's District IV Liaison, when dealing with topics such as UPWP Revisions and TIP amendments. The District IV staff as it relates to Advisory Meetings, Board Meetings, Stakeholder Meetings, and Steering Committee Meetings is very strong with participation and follow-up. FDOT staff in Central Office are ideal with obtaining resourceful information and are always available to assist us. The Martin MPO has great relationships with host agency Martin County as well as the surrounding municipalities, including the City of Stuart, Sewall's Point, Jupiter Island, Ocean Breeze and Village of Indiantown. The surrounding municipalities and County are active participants on the Martin MPO Advisory Committees and Policy Board in addition to a variety of stakeholder committee meetings including the Multimodal/Mobility Fee Study, Complete Streets; Access to Transit Study, Freight and Goods Movement Study and the Vision Zero Action Plan currently underway. The MPO and Martin County Public Transit work together on transit planning studies and MPO work products. For example, during the development of the Martin County Transit Development Plan (TDP), MPO staff participated on the Project Review Committee; the transit projects identified in the 2045 LRTP are consistent with the County's adopted TDP 2020-2029 adopted in August 2019. In addition, the Martin County Transit Manager participates on the Martin MPO Technical Advisory Committee (TAC) and Project Steering Committees, including the County's requested Transit Operations Center Feasibility Study and the Complete Streets: Access to Transit Study. An area for improvement would be for the MPO Liaisons to attend the MPOAC meetings. Sometimes MPOs have questions about a subject that was addressed at an MPOAC meeting before the Liaisons have not been versed on the subject.

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

none

Recommendations

none

Corrective Actions

none

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](#).

FDOT Joint Certification
Part 2 – FDOT District

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

--

FLORIDA DEPARTMENT OF TRANSPORTATION
**MPO JOINT CERTIFICATION
STATEMENTS & ASSURANCES**

**JOINT CERTIFICATION STATEMENT ON THE METROPOLITAN
TRANSPORTATION PLANNING PROCESS**

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 Martin MPO 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 02/17/21.

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

DocuSigned by:

Gerry O'Reilly

5/21/2021 | 4:36 PM EDT

Name: Gerry O'Reilly

Date

Title: District Secretary (or designee)

[Signature]

5/20/21

Name: Doug Smith

Date

Title: MPO Chairman (or designee)