



**Lake-Sumter MPO**

**Joint Certification – 01/01/2018 – 12/31/2018**

**02/28/2019**

## Contents

Purpose .....	1
Certification Process .....	2
Risk Assessment Process .....	3
Part 1 Section 1: Risk Assessment .....	5
Part 1 Section 2: Long-Range Transportation Plan (LRTP).....	8
Part 1 Section 3: Transportation Improvement Program (TIP) .....	9
Part 1 Section 4: Unified Planning Work Program (UPWP).....	10
Part 1 Section 5: Clean Air Act .....	11
Part 1 Section 6: District Questions.....	12
Part 1 Section 7: Recommendations and Corrective Actions .....	13

## Purpose

Each year, the District and the 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.

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.

Please attach any correspondence or comments related to the draft or final TIP, and the TIP checklist used by Central Office and the District, as an appendix to this certification report.

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.

If the MPO has adopted a new UPWP or LRTP during the year covered by this certification, please attach any correspondence or comments related to the draft or final UPWP or LRTP, and any related checklists used by Central Office and the District, as an appendix to this certification report.

Note: This Certification has been designed as an entirely electronic document and includes interactive form fields and checkboxes. Please include any required attachments, such as the [MPO Joint Certification Statements and Assurances](#) document that must accompany the completed Certification report as an appendix to the Final Joint Certification Package.

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.

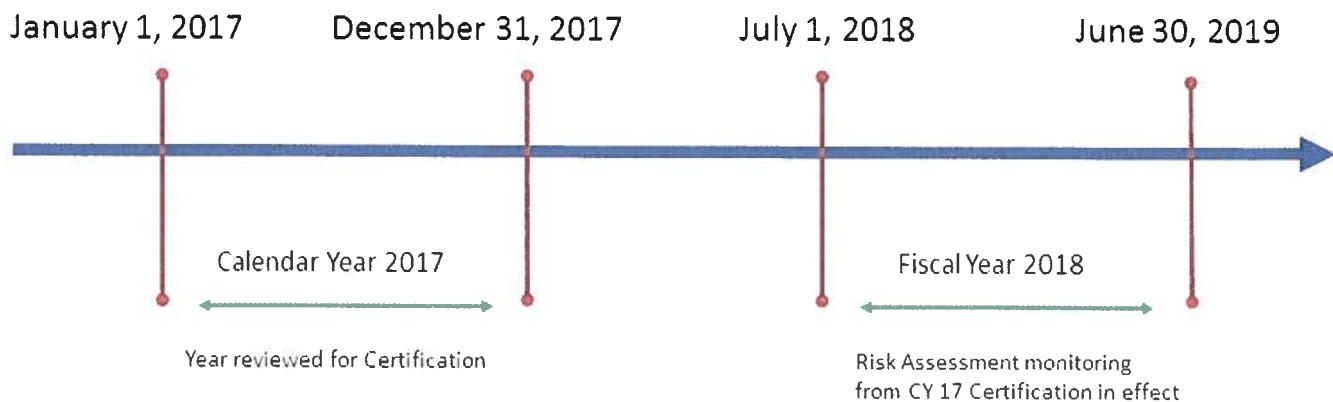
The final Certification Package shall include Part 1, Part 2, and any required attachments, and be transmitted to Central Office no later than June 30 of each year.

## Risk Assessment Process

Part 1 Section 1: Risk Assessment satisfies the Risk Assessment requirements described in [2 CFR §200.331](#). These questions are quantified using a point scale to assign a level of risk for each MPO, which will be updated annually as a result of the Joint certification process. The results of the MPO Risk Assessment will determine the minimum frequency of which the MPO’s supporting documentation for their invoices is reviewed by FDOT District Liaisons for the upcoming year. The frequency of review, based on the level of risk is below:

Scale	Risk Level	Frequency of Monitoring
0-1	Low	Annually
2-3	Moderate	Bi-annually
4-5	Elevated	Triennially
>6	High	Quarterly

### *Risk Assessment: Certification Year vs. Monitoring*



## Part 1

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

## Part 1 Section 1: Risk Assessment

**MPO Invoicing:** List the invoices and dates that they were submitted for reimbursement during the certification period (Calendar Year).

<u>Invoice #</u>	<u>Invoice Period</u>	<u>Date forwarded to FDOT for payment</u>	<u>Was invoice submitted more than 90 days after the end of the Invoice Period? (Yes/No)</u>	<u>+1 for each invoice over 90 days</u>
G0A95-7	07/01/2017 – 01/31/2018	03/08/2018	No	0
G0A95-8	07/01/2017 – 02/28/2018	04/11/2018	No	0
G0A95-9	07/01/2018 – 03/31/2018	05/02/2018	No	0
G0A95-10	07/01/2017 – 04/30/2018	06/25/2018	No	0
G0A95-11	07/01/2017 – 05/31/2018	07/25/2018	No	0
G0A95-12	03/01/2018 – 06/30/2018	09/05/2018	No	0
G0W41-01	07/01/2018 – 07/31/2018	10/11/2018	No	0
G0W41-02	07/01/2018 – 08/31/2018	10/29/2018	No	0
G0W41-03	07/01/2018 – 09/30/2018	11/01/2018	No	0
G0W41-04	07/01/2018 – 10/31/2018	11/29/2018	No	0

**MPO Invoice Review Checklist:** List any invoices that were returned to the MPO for corrections or unallowable, unreasonable, or unnecessary expenses.

<u>Invoice #</u>	<u>Invoice Period</u>	<u>+0.5 for each returned invoice</u>
NA	NA	NA

**MPO Invoice Review Checklist:** List any questions that resulted a “No” answer on the Invoice Review Checklist.

<u>Invoice #</u>	<u>Question</u>	<u>+0.5 for each “No”</u>
NA	NA	NA

**MPO Supporting Documentation Review Checklist:** Please list any findings for the following items identified on the Invoice Supporting Documentation Review Checklist.

	<u>Review #</u>	<u>+1 for each finding</u>
<b><u>Personnel Service (MPO Salary &amp; Fringe)</u></b>		
No Findings, on Invoice #9, Contract G0A95, 02/25/2018 – 03/03/2018. Lake-Sumter Payroll Registers, Time Sheets, and Task Sheets all matched.	#1	NA

**Consultant Services**

No Findings, Consultant Services were noted on progress reports and invoices. Consultants were paid in a timely manner.	#1	NA
---	----	----

**Travel Reimbursement**

No Findings, no travel reimbursements were submitted for payment on this invoice.	#1	NA
---	----	----

**Indirect Rate (if applicable)**

No Findings, no indirect reimbursements were submitted for payment on this invoice.	#1	NA
---	----	----

**Direct Expenses**

No Findings, Detailed invoice and copy of payment check provided for credit card purchases.	#1	NA
---	----	----



**General Findings**

Lake-Sumter has hired a CPA firm to review and do Quality Control for their invoices and this has helped their invoices to be processed in a timely manner.	#1	NA
---	----	----

**Invoicing Errors & Omissions:** Were any errors or omissions of costs discovered through the MPO on-Site Documentation review that required an adjustment to the next invoice? If so, please identify the invoice number, Invoice Period, and adjustment amount below.

<u>Invoice #</u>	<u>Invoice Period</u>	<u>Adjustment Amount</u>	<b>+2 for each error or omission</b>
NA	NA	NA	NA

Risk Assessment Point Total: 0

Level of Risk: Low

Scale	Risk Level	Frequency of Monitoring
0-1	Low	Annually
2-3	Moderate	Bi-annually
4-5	Elevated	Triennially
>6	High	Quarterly

## Part 1 Section 2: Long-Range Transportation Plan (LRTP)

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

**Please Check:** Yes  No

If yes, please attach any correspondence or comments related to the draft or final LRTP, and the LRTP checklist used by Central Office and the District, as an appendix to the final Joint Certification Package.

## Part 1 Section 3: Transportation Improvement Program (TIP)

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

**Please Check:** Yes  No

If yes, please attach any correspondence or comments related to the draft or final TIP, and the TIP checklist used by Central Office and the District, as an appendix to the final Joint Certification Package.

## Part 1 Section 4: Unified Planning Work Program (UPWP)

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

**Please Check:** Yes  No

If yes, please attach any correspondence or comments related to the draft or final UPWP, and the UPWP checklist used by Central Office and the District, as an appendix to the final Joint Certification Package.

## Part 1 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.

## Part 1 Section 6: 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. Each MPO shall recommend and approve a Community Transportation Coordinator (CTC) for their area. How does the MPO interact with the CTC? What activities does the MPO participate in with the transit provider?

The MPO works closely with the transit provider addressing the long range planning for transit service and access. The transit provider is giving opportunity to review and comment on all MPO roadway plans programs and planning initiatives. The transit provider is a voting member of the Technical Advisory Committee and is given the time at every MPO Board meeting to present a written report and answer transit questions from the Board. MPO staff presents regional roadway project reports at the quarterly Local Coordinating Board meetings.

1. How does the MPO use their Section 5303 funds to support public transportation?

The MPO supports the development of a safe multi-modal transportation network where all modes are integrated into transportation planning and programs. Transit activities in the MPO planning area are supported by multi-modal planning and projects in the transit supportive areas of the regional. The MPO represents the transit provider at regional and area wide project meetings. MPO plans include transit accessibility where applicable. Planning for better first mile last connections is one of the main activities the MPO provides to improving transit in the region.

2. Question

Please Explain

3. Question

Please Explain

4. Question

Please Explain

## Part 1 Section 7: 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.

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

Please Explain

### Recommendations

Please Explain

### Corrective Actions

Please Explain

**TRANSPORTATION IMPROVEMENT PROGRAM**  
**APPENDIX A**





**Florida Department of Transportation**

**RICK SCOTT  
GOVERNOR**

719 S. Woodland Boulevard  
DeLand, Florida 32720-6834

**MIKE DEW  
SECRETARY**

July 16, 2018

Mr. Michael Woods, Interim Executive Director  
225 West Guava Street  
Lady Lake, Florida 32159

RE: Lake~Sumter Metropolitan Planning Organization (MPO)  
Transportation Improvement Program (TIP), Fiscal Years 2018/2019 to Fiscal Years 2022/2023

The purpose of this letter is to request Lake~Sumter Metropolitan Planning Organization (MPO) to amend their Transportation Improvement Program (TIP) for Fiscal Years 2018/2019 to Fiscal Year 2022/2023. This amendment is to reconcile the differences between the TIP and the Florida Department of Transportation's (FDOT) Adopted Five Year Work Program. This is a routine, annual process to assist Lake~Sumter MPO in identifying projects that were not committed in the previous Fiscal Year (2017/2018) and have automatically rolled forward into Fiscal Year 2018/2019 of the FDOT Adopted Five Year Work Program.

Please note that Federal Highway Administration and the Federal Transit Administration do not recognized the Fiscal Year 2018/2019 to Fiscal Year 2022/2023 TIP effective until October 1, 2018, which is the beginning of the Federal fiscal year.

TIP PAGE #	FM #	AMEND TO ADD, DELETE, OR CHANGE AMOUNT
N/A	N/A	Add endorsement stating that the TIP has been developed consistent with federal and state requirements. This may be a copy of the MPO resolution approving the TIP or a signature block on the document cover page signed by the Chairperson.
6 of 78	N/A	Add list of priority projects or a statement providing information about where the list of priority projects can be obtained.
N/A	N/A	Add a statement that he TIP was developed in cooperation with State and the transit operator.
N/A	N/A	Add a statement that the TIP is consistent with port and aviation plans.
6 of 78	N/A	Add a statement identifying the MPO criteria and process for prioritizing projects.
N/A	N/A	Add a statement of the last FHWA/FTA Certification and when the next one will be done.
N/A	N/A	Add information about the Congestion Management Process.
N/A	N/A	Add a statement related to the Transportation Disadvantaged services developed pursuant to F.S. 427.015.
N/A	N/A	Add a statement that the MPO consulted with state and local agencies that are responsible for other types of planning within the metropolitan area.
1-2	435859-1	Remove Phase PE, Fund Source(s) DIH and DDR, \$5000 and \$2,500,000 respectively.

3-12	436150-1	Remove Phase CST, Fund Source(s) HSP, \$307,634
4B-19	439701-1	Change limit from "Hull Drive" to "Crescent Pines Blvd."
4B-19	439912-1	Change limit from "CR 734" to "City of Center Hill Southern Limit."
6-34	422570-3	Change limit from "SR 33 (Crittengen St) to "2 <sup>nd</sup> St."
6-34	435471-1	Change limit from "South Lake Trail" to "Van Fleet Trail"
N/A	439142-1	Add Phase 52 in FY 20/21 DDR \$3,265,639; Phase 61 in FY 20/21 DIH \$10,810; Phase 62 in FY 20/21 DDR \$326,564 and DDR \$27,025
N/A	439329-4	Add Phase 14 in FY 22/23 – PL \$568,795
N/A	439886-2	Add Phase 58 in FY 18/19 – ACSS \$250,000 and ACSS \$35,000
N/A	441135-1	Add Phase 52 in FY 20/21 – DS \$5,374,863; Phase 61 in FY 20/21 – DIH \$10,810; Phase 62 in FY 20/21 – DDR \$464,830 and DDR \$27,025
N/A	441137-1	Add Phase 52 in FY 20/21 – DDR \$2,418,466; Phase 61 in FY 20/21 – DDR \$241,846 and DDR \$27,025
N/A	441364-1	Add Phase 32 in FY 18/19 – ACLD \$449,723
N/A	441364-2	Add Phase 58 in FY 20/21 – ACSS \$1,499,078; Phase 68 in FY 20/21 – ACSS \$170,145
N/A	441370-1	Add Phase 32 in FY 18/19 – ACLD \$650,000
N/A	441710-1	Add Phase 31 in FY 19/20 – SL \$5,000; Phase 38 in FY 19/20 – LF \$410,864 and SL \$584,136
N/A	442213-1	Add Phase 57 in FY 18/19 – RIIP \$294,971
N/A	442453-1	Add Phase 84 in FY 22/23 – DPTO \$873,780; FTA \$715,000; LF \$873,780
N/A	442458-1	Add Phase 84 in FY 22/23 – DU \$632,680 and LF \$632,680
N/A	441014-1	Add Phase 52 in FY 20/21 – DDR \$1,859,558 and SA \$8,899,268; Phase 61 in FY 20/21 – DIH \$10,810; Phase 62 in FY 20/21 – DDR \$1,075,883 and DDR \$27,025
N/A	442461-1	Add Phase 84 in FY 22/23 – DU \$388,675 and LF \$388,675
11-12	N/A	<p>Per 23 CFR 450.326(c), the TIP must include a discussion of how the TIP, once implemented, will make progress toward achieving the performance targets for the Safety Performance Measures, State Asset Management Plan and State Freight Plan.</p> <ul style="list-style-type: none"> <li>• The MPO addressed the Safety Measure, but not the Asset Management Plan or Freight Plan.</li> <li>• Since targets are currently not included in the State Asset Management Plan or State Freight Plan, the MPO needs to incorporate the plans by reference in their TIP.</li> </ul>

Sincerely,



Kayleen Hamilton  
MPO Liaison

cc: Alex Gramovot, FDOI  
Mark Reichart, FDOT  
Kellie Smith, FDOT  
Teresa Parker, FHWA



**Federal Highway Administration**  
 Florida Division Office  
 3500 Financial Plaza, Suite 400  
 Tallahassee, Florida 32312  
 (850) 553-2201  
[www.fhwa.dot.gov/fldiv](http://www.fhwa.dot.gov/fldiv)

**Federal Transit Administration**  
 Region 4 Office  
 230 Peachtree St, NW, Suite 1400  
 Atlanta, Georgia 30303  
 (404) 865-5600

Planning Comments

Document Name: Lake-Sumter 2018/19-2022/23 Draft Transportation Improvement Program		MPO: Lake-Sumter	
Date of Document: 5/23/2018	Date Received: 6/19/2018	Date Reviewed: 7/2/2018	District: 5
Reviewed by: Teresa Parker			

**COMMENTS:**

Page #	Comment Type	Comment Description
9	Critical	<p>The Florida SHSP and the Florida Transportation Plan (FTP) both highlight the commitment to a vision of zero deaths. The FDOT Florida Highway Safety Improvement Program (HSIP) annual report documents the statewide interim performance measures toward that zero deaths vision. As such, the MPO is supporting the adoption of the FDOT statewide HSIP interim safety performance measures and FDOT's 2018 safety targets, which set the target at "0" for each performance measure to reflect the Department's goal of zero deaths.</p> <p>There are no interim safety performance measures. Please revise.</p>
	Critical	Where is the TIP Table that shows the Grand Totals for the 5-Year Summary of Funding by source?

# CHECKLIST FOR TIP

## Public Involvement

- Y 1. Did the MPO/TPO hold a formal public meeting during the TIP development (YES or NO)  
*utilized TAC & Board meetings* (Y = Yes and N = NO) *pg 9 of 78* *April 25 Public Hearing @ Gov Bldg* *May 23 Adoption*
- Y Did the MPO/TPO provide adequate and timely notice about public participation activities; *MPO community database?* *advertisements per PIP, at least 21 days* *pg 9 of 78*
- Y Did the MPO/TPO provide opportunity to comment at key decision points; *pg 9 of 78*
- Y Did the MPO/TPO provide reasonable access to information about transportation issues and processes; *check logic at deadlines* *access per PIP* *pg 9 of 7*
- ? Did the MPO/TPO use visualization techniques to describe the TIP; *tables in mtg pks*
- Y Did the MPO/TPO make public information available in electronic formats such as the World Wide Web; *on website* *pg 9 of 78*
- Y Did the MPO/TPO hold public meetings at convenient times and locations; *regular board mtg* *pg 9 of 78*
- Y Did the MPO/TPO demonstrate explicit consideration and response to public input; *deal reviewed* *pg 9 of 78*
- ? Did the MPO/TPO seek out and consider the needs of those traditionally underserved by existing transportation systems such as low-income and minority households; *TDLCB/PIP*
- ? Did the MPO/TPO provide additional opportunity for public comment if the Final TIP differs significantly from the Draft TIP; *no changes*
- Y Did the MPO/TPO provide a summary, analysis, and report on the comments received on the TIP if there were a significant number of comments received; *pg 9 of 78*
- ? Did the MPO/TPO consult with state and local agencies that are responsible for other types of planning within the metropolitan area (such as planned growth, economic development, environmental protection, airport operations, and freight movements); *inter-agency + computer center*
- N/A When the MPA includes Federal public lands, did the MPO/TPO involve the Federal land management agencies.

## TIP Document

1. Cover Page/Title Page
- a. Official MPO/TPO Name *pg 1*
- b. State Fiscal Years Covered *pg 1*
- c. MPO/TPO Board Approval Date *pg 1*
2. Table of Content, title of each section and beginning page number *need to fix page numbers* *pg 2*
3. Endorsement stating the date of official MPO/TPO approval and that the TIP has been developed consistent with federal and state requirements. This may be a copy of the MPO/TPO resolution approving the TIP or a signature block on the document cover page signed by the Chairperson. *need compliance statement + signature of MPO resolution*
4. List of definitions, abbreviations of acronyms and phase codes *pg 11-12 of 78*
5. Statement that purpose of the TIP is to provide a prioritized listing of transportation projects covering a period of four years that is consistent with the metropolitan long-range transportation plan (LRTP). *pg 6 of 78* *need to add priority projects into TIP*

- ✓ 6. Statement that TIP contains all transportation project with Title 23 and Title 49 pg 6 of 78
- ✓ 7. Statement explaining that the TIP is financially constrained for each year pg 6 of 78
- ✓ 8. Provide a financial plan that demonstrates how the TIP can be implemented. pg 6-8 of 78
- ? 9. Statement that TIP is developed in cooperation with State and the transit operator pg 9 of 78 = consistent w/ TDP + TDSB's
- ✓ 10. Describe the project selection process and state that it is consistent with the federal requirements in 23 C.F.R. 450.330(b) for non-TMA MPOs or 23 C.F.R. 450.330(c) for TMA MPOs pg 8 of 78
- N 11. Statement that TIP is consistent with Port and Aviation plans and transit development plans TDP & POP projects TDP = pg 9 of 78
- ✓ 12. Statement that projects are in the Local Comprehensive plans pg 9 of 78
- N 13. Statement identifying the MPO/TPO criteria and process for prioritizing projects
- ✓ 14. Show a list of projects for which federal funds have been obligated in the preceding year. Appendix C
- ✓ 15. Statement that the DRAFT TIP has been made available to public. What techniques were used. pg 9 of 78
- ✓ 16. Statement of when the Joint Certification was completed wrong date pg 9 of 78
- ~~N~~ 17. Statement of last FHWA/FTA Certification and when the next one will be done.
- N 18. Congestion Management Process if in Transportation Management Areas
- ? 19. Statement related to the Transportation Disadvantaged services developed pursuant to 427.015 pg 9 of 78
20. Performance Measures for TIP and LRTP not amended into LRTP yet
- A. Safety Performance Measures (Starting with FY19 through 23 TIP) revise language & number pages
- N/A B. Systems Performance Measures (Starting with FY 20 through 24 TIP)
- N/A C. Bridge Performance Measures (Starting with FY 20 through 24 TIP)
- N/A D. Pavement Performance Measures (Starting with FY 20 through 24 TIP)
- N/A E. State Asset Management Plan
- N/A F. State Freight Plan
21. Project Information to include: revise per download notes
- ✓ a. Financial Management Number
  - ✓ b. Project Description the same as Work Program, Work Type, Termini, and Length some error
  - ✓ c. Phase or Phases
  - ✓ d. Fund Source
  - ✓ e. Estimated Total Project Cost
  - ✓ f. Fiscal Year Funding Is In
  - ✓ g. Summary tables showing the financial constraint of the program not included
  - ✓ h. Reference of LRTP page project is on need corrections
  - ✓ i. Category of Federal Funds and sources(s) of Non-Federal Funds
  - ✓ j. Responsible Agency need corrections
  - ✓ k. The FTA Section Number should be indicated for FTA projects

*missing projects*  
*look in old TIP*  
*is it letting before Oct*

# TIP Review Checklist

Federal or State laws and rules do not specify a particular format for the TIP. The following TIP review checklist is provided to assist in review of the TIP.

## TIP Review Checklist

MPO Name and Year: Lake-Sumter MPO FYs 18/19 - 22/23

### Introduction

- Cover Page
- Table of Contents *pg 1*
- Legal Endorsement – *add resolution* “Developed following State/Federal Requirements”; include date of official MPO/TPO approval of the TIP *need adopted date on cover page*
- List of definitions, abbreviations, funding and phase codes, and acronyms *pg 11-12*

### Narrative

- Statement of Purpose – *? LOPP* prioritized listing of five-year transportation projects; consistent with LRTP; contains all projects funded by Title 23 and Title 49 funds *pg 9*
- Discussion of the TIP's Financial Plan *pg 6*
  - TIP is financially constrained *pg 6*
  - Financial Plan for project implementation *pg 6-8*
  - Statement that TIP is developed by MPO in cooperation with the State and Public Transit Operator, who will provide estimates of funds to develop a financial plan *pg 9? consistent w/ TDP*
  - Describe project selection process *pg 9*
  - Describe consistency with LRTP and other plans *pg 9*
  - Identify criteria and process for project prioritization *pg 9*

wrong date?

- FDOT Annual Listing of Obligated Projects *pg 67*
- Public Involvement *pg 9*
- Completion date of FDOT-MPO Certification *pg 9 May 2018*
- Date of last Federal MPO Certification (if applicable) *N/A?*
- Discussion of Congestion Management Process
- Discussion of Transportation Disadvantaged *pg 9*
- Discussion of how the TIP, once implemented, will make progress toward achieving the performance targets for: (23 CFR 450.326(c)) *OPP language*
- Safety Performance Measures
  - System Performance Measures [**note:** this item does not apply to the FY 19 to FY 23 TIP, but will apply beginning with the FY 20 to FY 24 TIP]
  - Bridge Performance Measures [**note:** this item does not apply to the FY 19 to FY 23 TIP, but will apply beginning with the FY 20 to FY 24 TIP]
  - Pavement Performance Measures [**note:** this item does not apply to the FY 19 to FY 23 TIP, but will apply beginning with the FY 20 to FY 24 TIP]
  - State Asset Management Plan
  - State Freight Plan
- A description of the anticipated effect of the TIP toward achieving the performance targets identified in the metropolitan transportation plan (LRTP), linking investment priorities to those performance targets for: (23 CFR 450.326(d)) *Safety Perf Measures pg 3!*
  - Safety Performance Measures
  - System Performance Measures [**note:** this item does not apply to the FY 19 to FY 23 TIP, but will apply beginning with the FY 20 to FY 24 TIP]
  - Bridge Performance Measures [**note:** this item does not apply to the FY 19 to FY 23 TIP, but will apply beginning with the FY 20 to FY 24 TIP]



- Pavement Performance Measures [**note**: this item does not apply to the FY 19 to FY 23 TIP, but will apply beginning with the FY 20 to FY 24 TIP]
- State Asset Management Plan
- State Freight Plan

**Project Listing**

For each project or phase:

- Descriptive material to identify the project or phase (type of work, termini, and length) *some lengths incorrect or missing* *some descriptions don't match work program* *lead agency error* *L RTP pg # miss.*
- Financial Project Number (FPN)
- FDOT's Work Program fund code *fund source?*
- Estimated total project cost
- Year of anticipated funding
- Summary tables showing the financial constraint of the program
- Page number or identification number where the project can be found in the LRTP *some missing*
- Category of Federal funds and source(s) of non-Federal funds *fund source?*
- FTA section number for FTA funded projects

**Comments**

Date Completed: \_\_\_\_\_

Reviewer Signature: \_\_\_\_\_



# **UNIFIED PLANNING WORK PROGRAM (UPWP)**

## **APPENDIX B**

## **Required Elements from the Checklist**

### ***Cover and Title Page***

1. Add "M" to the end of your FAP (0457 056 M)
2. Delete the space in the middle of your FM# (439329-2-14-01)
3. Is your mailing address the same as your physical address? If not, put both on your cover page.

### ***Table of Contents***

1. Do not use acronyms on this page (MPO, TMS, etc, should be written out)
2. Include "Table 1" and "Table 2" in table titles
3. Separate Funding Source Tables and Agency Participation Tables onto their own lines
4. "District Planning Activities" should be listed in the Table of Contents
5. Remove "Joint Certification 2019" until next year's revision
6. "Certifications and Assurances" should be "Statements and Assurances"

### ***Organization and Management***

1. Identification of participants and a brief description of their respective roles in the UPWP metropolitan area planning process – CAC section talks about who the committee members are and how they are appointed, but there needs to be some discussion about their role (eg. TAC recommends solutions based on technical expertise. What does the CAC do?)

### ***Work Program Task Sheets***

1. Per the Handbook, "Soft match values must not be reflected on the individual UPWP tasks" (Section 3.3.6, page 3-12). Soft match is not actual dollars to be expended so shouldn't be showing up in your table totals. Exclude soft match numbers from your totals on all tables.

### ***Table 1: Agency Participation***

1. Include "Table 1" title
2. When soft match is shown on a table, include a note that clearly identifies soft match as a non-cash match.

### ***Table 2: Funding Source***

1. Include "Table 2" title
2. Soft match credits aren't dollars that can be expended and shouldn't show up in final totals. When soft match is shown on a table, include a note that clearly identifies soft match as a non-cash match.

## **General Comments**

### ***Cover and Title Page***

1. Since the FM and FAP numbers are the same for both years, you can list them only once (as opposed to by FY)

## **Table of Contents**

1. "Agency Comments & MPO Responses to the Draft UPWP" isn't a required element. It can be removed if you want or left in if you prefer to have it.
2. "Transportation Planning Funds Agreement FY 2018/19 & FY 2019/20" is not required to be included. It can be removed if you want or left in if you prefer to have it.
3. "Lake County Support Services Agreement" is not required to be included. It can be removed if you want or left in if you prefer to have it.

## **UPWP Contents**

1. Page 3 – "FDOT District Five Planning ~~Activities~~ **Studies**" – what's listed here is the planning studies, so change the title to reflect
2. Page 3 – identify acronym for urbanized area (UA) before using it
3. Page 3 – typo, need "s" on "Lady Lake-The Villages"
4. Page 4 – "the metropolitan area created under Section 186.504" - capitalize the S in Section
5. Page 4 – "The ~~staffs~~ of the MPOs and FDOT" (the plural of "staff" is "staff")
6. Page 4 – "Greatest accomplishment of the CFMPOA occurred in 2013" not current accomplishment, should be removed.
7. Page 4 – identify acronym for Metropolitan Planning Organization (MPOAC)
8. Page 4 – Is the MPOAC currently working on any specific planning activities that could be discussed in this section?
9. Page 5 – "MPO Governing Board adopted the plan on December 9"
10. Page 5 – "Sidewalks, and Transportation Systems Management and Operations"
11. Page 5 – "MPO Planning priorities in support of the MPO's Long Range Transportation Plan" – add apostrophe to show possession
12. Page 6 – identify acronym Transportation System Management & Operation (TSMO)
13. Page 8 – 1.0 Administration – "technical support from FDOT" isn't a required task that the MPO is performing and doesn't show up in the Task 1.0 Administration task sheet, so should probably be removed from this section
14. Page 8 – 1.0 Administration – "development and update of the Transportation Improvement Program (TIP) – Task 3.0 covers this activity
15. Page 9 – 5.0 Regional Planning – identify acronym MPO Advisory Council (MPOAC)
16. Page 11 – 8. Public Involvement Plan – "Adoption of or amendments to"
17. Page 11 – 8. Public Involvement Plan – "many opportunities to comment on the 2018/19-2019/20 UPWP" – should reflect the fiscal years, not calendar years
18. Page 11 – identify acronyms Technical Advisory Committee (TAC), Citizens Advisory Committee (CAC), etc
19. Page 11 – 8.0 Public Involvement Plan – "The MPO mailing list includes<sub>z</sub> civic associations" – remove misplaced comma
20. Page 11 – "10. Florida Planning Emphasis Area—~~2018~~" – remove the year
21. Page 13 – This matrix appears to be the same as the one on page 22; don't need it in both places
22. Page 14 – "Lake-Sumter" or Lake~Sumter" – be consistent
23. Page 14 – "was established on February 25"
24. Page 14 – "The designation couldn't have come quickly enough"
25. Page 15-17 – Spacing between headings and text – be consistent

26. Page 15 – Technical Advisory Committee – “The Technical Advisory Committee (TAC),<sup>2</sup> composed of engineers, planners, and other related transportation professionals” – add comma
27. Page 17 – identify acronym Water Management District (WMD)
28. Page 20 – MPO Agreements – provide a brief description of what the Interlocal Agreement for the Creation of the MPO and the Metropolitan Planning Organization Agreement are
29. Page 20 – ICAR description – ICAR is an intergovernmental agreement to coordinate planning efforts, not a funding agreement
30. Page 20 – check for updated Title VI policy language (eg. includes “sex, age, disability/handicap, or income status”)
31. Page 20 – 3. Operational Procedures and Bylaws – replace “assure” with “ensure”
32. Page 20-21 – Bylaws of the Metropolitan Planning Organization – this section should be a brief description of the bylaws and their function/purpose
33. Pages 21 – Staff Services Agreement – “Section 339.175(5)h and 163.01, Florida Statutes” -
34. Page 21 – MPO Staff Agreement – don’t use the names of employees
35. Page 26 and all following Estimated Budget Detail pages – “FTA State Prior Year Carryover”
36. Page 26 and all following Estimated Budget Detail pages – Is there a reason there’s a “Consultant” line under Personnel Services in addition to the Consultant Services section?
37. Page 26 – I’d recommend changing “Legal Advertisements” to just “Advertisements” to be more inclusive of potential ads placed (eg. job ads aren’t classified as legal ads)
38. All Estimated Budget Detail pages – only need to list the budget line items applicable to the task (eg. Office Supplies in Data Collection – will office supplies be changed to that task?)
39. Page 28 – “Collect, analyze, and update data”
40. Page 31 – End Product: TIP – year of development - will the 2018/19-22/23 TIP or the 2019/20-23/24 TIP be completed in May 2019? Which TIP will be completed in May 2020?
41. Page 34 – Previous Work Completed - “Implemented and amended 2040 LRTP”
42. Page 34 – “Develop and implement the update of the Public Involvement Plan”
43. Page 34 – Utilize and update as needed the ETDM process – does the MPO have its own process that it would be updating?
44. Page 40 – Required Activities - identify acronym Socio-Economic (SE) data
45. Page 43 – Required Activities – “Planning Grant Deliverables” – vague – what deliverables?
46. Page 43 – “Staff support for Major TDP update” – it might be good to provide a little more detail about what type of support activities
47. Page 43 – Multimodal studies should be listed out
48. Page 64 – Appendix D: Transportation Planning Funds Agreement – if you leave this section in the UPWP, make sure the appendix title reflects that it’s a two-year agreement – FY 2018/19-2019/20.

MPO Name	Draft / Final		Date Received
	Yes	No	Comment
<b>UPWP Check List</b>			
<b>A. COVER AND TITLE PAGE</b>			
Includes CFDA Number?	✓		
Includes Federal Aid Project Number (FAP)?	✓		
Includes FM Number (Work Program)?	✓		
Name of MPO and Funding Agencies?	✓		
The correct fiscal years for the proposed UPWP are listed?	✓		
MPO physical, mailing, and website addresses; phone numbers	✓		
The Final UPWP includes an approved signature or MPO resolution and the date of MPO Board action?	✓		Res. 2018-4 pg 72
The Final UPWP includes the Cost Analysis Certification signed and dated by the Grant Manager (MPO Liaison)?			to be signed after review pg 8
<b>B. TABLE OF CONTENTS</b>			
Introduction	✓		
Organization and Management	✓		
Work Program Task Sheets - includes the following sections:			
• Administration	✓		
• Data Collection	✓		
• Transportation Improvement Program	✓		
• Long Range Transportation Plan	✓		
• <del>Special Project Planning</del> Regional Planning	✓		
• <del>Public Involvement</del> • Systems Planning	✓		
Summary Budget - Table 1 Agency Participation (broken out by year)	✓		
Summary Budget - Table 2 Funding Source (broken out by year)	typo ✓		typo pg 3 "Funding Source Table 1"
District Planning Activities	✓		
Statements and Assurances	✓		
FTA Grant Application (if included in UPWP)	✓		
Each Task is consistent in number, wording, and references page numbers with each respective task sheet			pg #s missing on some tables
<b>C. INTRODUCTION</b>			
Brief definition of the UPWP	✓		pg 4
Current overview of the status of comprehensive transportation planning activities	✓		pg 6
Discussion of local and regional planning priorities	✓		pg 8

MPO Name	Draft / Final		Date Received
	Yes	No	Comment
UPWP Check List			
Planning tasks to be performed with funds under Title 23 and Title 49 Chapter 53 (Public Transportation)	✓		pg 11
A description of the metropolitan transportation and transportation related air quality planning activities (if applicable) anticipated in the non-attainment area regardless of funding sources or agencies conducting air quality activities;	✓		pg 11
Discussion of soft match, including a definition and the amount (both as a total and the percent)	✓		pg 14
Indirect Cost Rate (if applicable)	✓		pg 14
Description of Public Involvement process used in development of UPWP	✓		pg 14
Discussion of Planning Emphasis Areas (FL)	✓		pg 14
<b>D. ORGANIZATION AND MANAGEMENT</b>			
Identification of participants and a brief description of their respective roles in the UPWP metropolitan area planning process	✓		pg 18
Discussion of appropriate agreements:			
• Standard Interlocal Agreement	✓		pg 24
• Metropolitan Planning Organization (MPO) Agreement	✓		pg 24
• Joint Participation Agreement - FTA 5305 funds	✓		pg 24
• ICAR Agreement	✓		pg 24
• Other agreements	✓		TD, STAFF SVCS pg 24
Identification and discussion of operational procedures and bylaws	✓		pg 25
<b>E. WORK PROGRAM TASK SHEETS</b>			
Each sheet should describe individual tasks, be in the same format, and include:			
• Task number and title	✓		
• Purpose	✓		
• Previous work completed	✓		
• Required Activities - how task will be performed; who will perform the task	✓		
• Responsible agency or agencies	✓		
• Proposed funding source(s) - tied into Table 2	✓		in est budget data?
Schedule that adequately describes activities that will take place during the year, including:			
• Schedule of milestones or benchmarks	✓		
• End product(s)			
• Estimated completion date(s)			

MPO Name	Draft / Final		Date Received
UPWP Check List	Yes	No	Comment
Proposed funding source(s) with anticipated costs by fiscal year and by budget line item ( <i>an Estimated Budget Detail</i> )	✓		
<b>F. STATEMENTS AND ASSURANCES</b>			
DBE	✓		
Debarment and Suspension	✓		
Lobbying	✓		
Title VI Nondiscrimination Agreement	✓		
Appendix A	✓		
Appendix E	✓		
<b>G. FTA SECTION 5305(D) APPLICATION (IF INCLUDED IN UPWP)</b>			
Certain FTA grants - Form 424	✓		
Certain FTA Grants: FTA Certification / Assurances	✓		
Affirmation of Applicant	✓		
Affirmation of Applicant's Attorney	✓		
Budget showing total funds by classifications			
Budget showing FTA funds only by classifications			
<b>H. TABLE 1: AGENCY PARTICIPATION</b>			
Participating agencies identified with funding commitments	✓		
Table includes only those District planning activities scheduled to occur within the MPO Boundaries	✓		
Table shows the amount of funds set aside for work by consultants	✓		
There is one table for Year 1 and one table for Year 2	✓		
<b>I. TABLE 2: FUNDING SOURCE</b>			
Proposed funding sources and budgeted funds are identified by task and subtask for each appropriate funding source, and are consistent with applicable Task Sheet	✓		
The Department's PL and FTA matching funds are shown separately	✓		
Federal, state, and local contribution levels are provided by task and subtask	✓		
The total amounts shown in each task agree with the amounts shown in Table 1: Agency Participation	✓		
There is one table for Year 1 and one table for Year 2	✓		
<b>J. GENERAL</b>			
The Final UPWP was reviewed and endorsed or approved by the TAC, CAC, and the MPO prior to distribution	✓		CAC canceled due to lack of quorum



MPO Name	Draft / Final		Date Received
	Yes	No	Comment
Documentation of the endorsement or approvals (e.g., a MPO Resolution, meeting minutes, letter of authentication) are included	✓		pg 71
Tasks or activities to correct or eliminate deficiencies noted in the previous federal and/or state certification reviews are identified in the UPWP	✓		Appendix G pg 127
The annual audit is included as part of the Program Administration Task, and as a separate line item	✓		pg 28
Equipment purchases are identified as part of a task	✓		Task 1
Equipment rentals and leases are included by tasks	✓		Task 1
Matrix that identifies how each task relates to the Planning Emphasis Areas and Planning Factors	✓		pg 26





**Lake-Sumter MPO**  
**Joint Certification – 2018**  
**February 2019**

## Contents

Purpose .....	1
Certification Process .....	2
Part 2 Section 1: MPO Overview .....	4
Part 2 Section 2: Finances and Invoicing .....	8
Part 2 Section 3: Title VI and ADA.....	11
Part 2 Section 4: Disadvantaged Business Enterprises .....	14
Part 2 Section 5: Noteworthy Practices & Achievements .....	16
Part 2 Section 6: MPO Comments.....	17

## Purpose

Each year, the District and the 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 Statements and Assurances](#) document must accompany the completed Certification report. Please use the electronic form fields to fill out the Statements and Assurances document. Once all the appropriate parties sign the Statements and Assurances, 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 2**

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

## Part 2 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 agreement; and any other applicable agreements? Please list all agreements and dates that they need to be readopted.

**Please Check:** Yes  No

The MPO has executed all required agreements to facilitate the transportation planning process. A list and execution status of these agreements follows. 1. Interlocal Agreement for the Creation of Metropolitan Planning Organization between Florida Department of Transportation (FDOT), the County of Lake, the County of Sumter, Town of Astatula, City of Bushnell, City of Center Hill, City of Clermont, City of Coleman, City of Eustis, City of Fruitland Park, City of Groveland, Town of Howey-in-the-Hills, Town of Lady Lake, City of Leesburg, City of Mascotte, City of Minneola, Town of Montverde, City of Mount Dora, City of Tavares, City of Umatilla, City of Webster, City of Wildwood, Florida Central Railroad, Lake County School Board, Sumter County School Board, and the Central Florida Expressway Authority. Updated October 28, 2015 Renew on October 2020. 2. Metropolitan Planning Organization Agreement is financial assistance through the FDOT in the form of FHWA funds to the MPO for the completion of transportation related planning activities set forth in the Unified Planning Work Program (UPWP) of the MPO. Updated April 27, 2016 Renewed on June 30, 2018. 3. Intergovernmental Coordination and Review and Public Transportation Coordination (ICAR) Joint Participation Agreement is an interlocal agreement between the FDOT, Lake~Sumter MPO, East Central Florida Regional Planning Council, Lake County Community Transportation Coordinator, and the Sumter County Community Transportation Coordinator to coordinate planning efforts. Updated August 26, 2015 Renew by August 2020. 4. Public Transportation Joint Participation Agreement 5305(d) provides funds for transit related task elements for the UPWP Updated October 25, 2016 Renew by September 2021. 5. Transportation Disadvantaged (TD) Planning Grant provides state planning funds to coordinate the Transportation Disadvantaged Services in Lake County and Sumter County Annual application July 1, 2018 thru June 30, 2019. 6. MPO Staff Services Agreement provides staff for carrying out MPO activities Renewed May 2018 - Effective August 2018 through August 2019. All agency plans and programs comply with the public involvement provisions of Title VI which states: "No persons in the United States shall, on grounds of race, color, sex, age, disability/handicap, income level or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance". To further ensure full compliance with federal requirements, the Lake~Sumter MPO Governing Board adopted a formal plan covering Title VI issues in July 2007 and updated the plan in April 2018.

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

**Please Check: Yes  No**

The Lake~Sumter MPO meets with the Central Florida MPO Alliance quarterly and the MPOAC to discuss and prioritize regional projects. The Central Florida MPO Alliance has developed a Regional Priority List and it is on their website. Lake~Sumter MPO staff have also coordinated Regional Trail planning with neighboring MPO's and have participated in the Regional Truck Stop Study, Regional Indicators Report, Regional Transit Study. Current Regional planning projects include the Black Bear Scenic Trail along SR40 Feasibility Study, US 192 Corridor Planning Study, SR 50 Widening Project from US 301 in Hernando County to SR 33 in Lake County.

3. How does the MPOs planning process consider the 10 Planning Factors?

**Please Check: Yes  No**

The Lake~Sumter MPO discusses the incorporation of the 10 planning factors on page 15 and 11 of the FY 2018/19-2019/20 UPWP and demonstrates the connection between the planning factors and planning activities of the MPO in a table provided on page 16. The UPWP is posted on their website at: <http://www.lakesumtermo.com/pdfs/upwp/2018-2020-Unified-Planning-Work-Program-Amended%208-22-18.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 Lake~Sumter MPO discusses their 3C process in their Unified Planning Work Program (UPWP) for Fiscal Years 2018/19 2019/20 on pages 11-14. The UPWP is posted on their website at: <https://www.lakesumtermo.com/pdfs/upwp/2018-2020-Unified-Planning-Work-Program-Amended%208-22-18.pdf>

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

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

The MPOs Congestion Management Process (CMP) was last updated in FY 2012-13 as a revision to the previous Congestion Management System (CMS). The data collection required to maintain the CMP relies on the MPOs Transportation Management System (TMS) for much of the data required. The MPO has drafted a Scope of Work for the updates to the TMS database and the CMP database. The CMP Goals and Objectives will be updated along with the development of the LRTP during the next 18 months.

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

**Please Check: Yes  No**

The Lake~Sumter MPOs Public Involvement Plan was last updated and approved on April 25, 2018.

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 opened the Public Hearing for the Public Involvement Plan (PIP) on February 28, 2018 and it remained open until April 25, 2018 when the MPO Governing Board closed the public hearing and approved the PIP. Link: [ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO\\_PIP\\_Adopted\\_20180425.pdf](ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO_PIP_Adopted_20180425.pdf)

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 all of the methods listed in 200.320. MPO solicitations are generally a RSQ or RFP sealed solicitations. As per the Procurement Manual that can be viewed at this link: [ftp://ftp.co.lake.fl.us/MPO/Procurement/Lake~Sumter%20MPO%20Procurement\\_Policy\\_and\\_Procedure\\_Manual.pdf](ftp://ftp.co.lake.fl.us/MPO/Procurement/Lake~Sumter%20MPO%20Procurement_Policy_and_Procedure_Manual.pdf)

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 MPO maintains all records of all documentation that is created throughout the bidding process. As per the Procurement Manual that can be viewed at this link: [ftp://ftp.co.lake.fl.us/MPO/Procurement/Lake~Sumter%20MPO%20Procurement\\_Policy\\_and\\_Procedure\\_Manual.pdf](ftp://ftp.co.lake.fl.us/MPO/Procurement/Lake~Sumter%20MPO%20Procurement_Policy_and_Procedure_Manual.pdf)

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

Yes the MPO has a Staff Services Agreement with Lake County that covers all procurement services required by the MPO. A copy of the executed agreement is attached to this document. A copy of the Staff Services Agreement can be viewed at this link:



<ftp://ftp.co.lake.fl.us/MPO/Procurement/Amended%20and%20Restated%20MPO%20Staff%20Services%20Agr.pdf>

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

The MPO requires monthly invoices and Progress reports from all of our consultant teams. The MPO project manager and the Executive Director review and sign off on the invoice and related progress report. Each invoice details that exact task performed and % complete per month. All invoices are reviewed by the MPO Executive Assistant for compliance with procurement and financial guidelines. Tracking also include review and approval of the consultant invoices by the PM which are submitted to the Financial Analyst consultant team who checks for accuracy of the dollar amounts, then moves on to the Executive Director for final approval and authorization of payment. After payment is made, the checks authorizations are signed by the Executive Director and another authorized individual.

## Part 2 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) Dept. of Financial Services Guide for State Expenditures, Disbursement (DOO) Handbook, and The MPO 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 Lake~Sumter MPO submits invoices to the District 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 MPO did not meet the \$750,000 threshold of expenditures of federal or state financial assistance that would require an annual single audit.

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

1. The MPO identifies in all of its accounts, of all Federal awards received and expended and the Federal programs under which they were received.
2. 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 200.328
3. The MPO maintains records that identify adequately the source and application of funds for federally-funded activities.
4. The MPO maintains effective control over and accountability for all funds, property and

other assets

5. The MPO completes comparisons of expenditures with budget amounts for each award.
6. The MPO has written procedures within our consultant contracts to implement the requirements of 200.305
7. The MPO has language with our consultant contracts to address allow ability 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 and its financial support agent, Lake County, keep both an electronic and paper version of invoices that are submitted to FDOT and are readily available upon request by FDOT. Records are maintained in accordance with Lake County's record retention policies.

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

The MPO provides all supporting documentation to FDOT that is sufficient for proper monitoring, with each monthly invoice submitted. Supporting documentation includes copies of checks, copies of approved invoices, payroll summaries, copies of related contracts and agreements, and general ledger support as needed.

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?

The Consultant Contract contains an article that 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 2 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 developed an updated Title VI/Nondiscrimination Plan in April 2018. The Title VI/Nondiscrimination contains the signed FDOT Title VI/Nondiscrimination Assurance, Michael Woods, Executive Director is responsible for the Title VI/ADA Program, and the Nondiscrimination policy is posted on the MPO website at [www.LakeSumterMPO.com](http://www.LakeSumterMPO.com). The MPO has amended the Staff Services Agreement with Lake County Government to add the MPO ADA program to the Lake County ADA coordinator SOW. Link: [ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO\\_TitleVI\\_Adopted\\_20180425.pdf](ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO_TitleVI_Adopted_20180425.pdf)

2. Do the MPO’s contracts and bids include the appropriate language, as shown in the appendices of the [Nondiscrimination Agreement](#) with the State?

**Please Check:** Yes  No

Yes all contracts and bids include the appropriate language as shown in the appendices of the Nondiscrimination Agreement with the State. FDOT and FHWA review all contracts and bids prior to advertising and provide the MPO with comments.

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

Yes, The Title VI Complaint Procedure is located in APPENDIX C: of the Title VI Nondiscrimination Plan adopted April 25, 2018 and attached to this document. The Plan complies with FDOT procedures and was reviewed prior to adoption by FDOT D5 staff and FHWA. Link: [ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO\\_TitleVI\\_Adopted\\_20180425.pdf](ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO_TitleVI_Adopted_20180425.pdf)

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

**Please Check:** Yes  No

Yes. A review of the 2015 U.S. Census data, specifically the American Community Survey results, for the Lake~Sumter area was conducted to evaluate the distribution of minority populations and low income households throughout the region. The representation for each of these groups is summarized in the Title VI Nondiscrimination Plan page 13 through 20. The data collection was completed during the update to the Title VI Nondiscrimination plan developed in 2018 and approved by the MPO Governing Board April 2018. Link:  
[ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO\\_TitleVI\\_Adopted\\_20180425.pdf](ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO_TitleVI_Adopted_20180425.pdf)

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

Yes. The MPO organized Title VI training for MPO staff during 2018, including viewing and discussing the Title VI Program Requirements Video developed by FHWA and Title VI Summary for Transportation projects and programs video developed by FHWA. The Executive Assistant also attending a 2 day ADA training in Orlando in February 2019. Executive Director and the Executive Assistant attended a half day ADA website compliance training hosted by the Public Information Officers Alliance of Lake County.

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

Yes. The documentation retention procedure is in place and ready to implement. At this time the MPO has not received any ADA noncompliance complaints. The MPO Title VI Specialist will maintain a log of all verbal and non-written complaints received by the MPO. The log will include the following information: a. Name of Complainant. Name of Respondent. Basis of Complaint (i.e., race, color, national origin, sex, age, disability, religion, familial status or retaliation)d. Date verbal or non-written complaint was received by the MPO. Date the MPO notified the FDOT's District Five Title VI Coordinator of the verbal or on-written complaint. Explanation of the actions the MPO has taken or proposed to resolve the issue raised in the complaint Note: Consistent with the organization's Title VI Nondiscrimination Policy and Complaint Processing and Procedure, LSMPO accepts written or verbal discrimination complaints related to Title VI and other nondiscrimination authorities. A standard form, titled LSMPO Title VI Discrimination Complaint Form, is available in English and Spanish, online or by request. A copy of the form is available in the appendix of the plan. This form, whether completed by the individual filing the complaint or by staff when reducing elements of a verbal complaint to writing, also serves as: (1) standard written notification transmitted to the

FDOT District Five Title VI Coordinator and (2) documentation filed in the official LSMPO log of Title VI complaints.

## Part 2 Section 4: Disadvantaged Business Enterprises

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

**Please Check:** Yes  No

Yes. The MPO's Disadvantaged Business Enterprises Plan was adopted on April 25, 2018. Policy Statement It is the policy of the Lake-Sumter MPO that disadvantaged businesses, as defined by 49 Code of Federal Regulations, Part 26, shall have an opportunity to participate in the performance of MP contracts in a nondiscriminatory environment. The objectives of the Disadvantaged Business Enterprise Program are to ensure non-discrimination in the award and administration of contracts, ensure firms fully meet eligibility standards, help remove barriers to participation, create a level playing field, assist in development of a firm so it can compete successfully outside of the program, provide flexibility, and ensure narrow tailoring of the program. The Lake-Sumter MPO, and its consultants, shall take all necessary and reasonable steps to ensure that disadvantaged businesses have an opportunity to compete for and perform the contract work of the Lake-Sumter MPO in a non-discriminatory environment. The Lake-Sumter MPO shall require its consultants to not discriminate on the basis of race, color, national origin, and sex in the award and performance of its contracts. This policy covers in part the applicable federal regulations and the applicable statutory references contained therein for the Disadvantaged Business Enterprise Program Plan, Chapters 337 and 339, Florida Statutes, and Rule Chapter 14-78, Florida Administrative Code. Link: [ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO\\_DBE\\_Adopted\\_20180425.pdf](ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO_DBE_Adopted_20180425.pdf)

2. Does the MPO use the Equal Opportunity Compliance (EOC) system or other 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 Directory The Lake~Sumter MPO utilizes the DBE Directory published by the Florida Department of Transportation. A list of certified UCP DBEs is maintained by the Department's Equal Opportunity Office at <https://fdotxwp02.dot.state.fl.us/EqualOpportunityOfficeBusinessDirectory>.

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

**Please Check:** Yes  No

Yes. This Policy Statement is as follows in APPENDIX A: DBE POLICY STATEMENT Disadvantaged Business Enterprise Utilization It is the policy of the Lake-Sumter MPO that disadvantaged businesses, as defined by 49 Code of Federal Regulations, Part 26, shall have an opportunity to participate in the performance of MPO contracts in a nondiscriminatory environment. The objectives of the Disadvantaged Business Enterprise



Program are to ensure non-discrimination in the award and administration of contracts, ensure firms fully meet eligibility standards , help remove barriers to participation , create a level playing field, assist in development of a firm so it can compete successfully outside of the program , provide flexibility , and ensure narrow tailoring of the program. The Lake-Sumter MPO, and its consultants shall take all necessary and reasonable steps to ensure that disadvantaged businesses have an opportunity to compete for and perform the contract work of the Lake-Sumter MPO in a non-discriminatory environment. The Lake-Sumter MPO shall require its consultants to not discriminate on the basis of race, color, national origin and sex in the award and performance of its contracts. This policy covers in part the applicable federal regulations and the applicable statutory references contained therein for the Disadvantaged Business Enterprise Program Plan, Chapters 337 and 339, Florida Statutes, and Rule Chapter 14-78, Florida Administrative Code. Link: [ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO\\_DBE\\_Adopted\\_20180425.pdf](ftp://ftp.co.lake.fl.us/MPO/Procurement/LSMPO_DBE_Adopted_20180425.pdf)

## Part 2 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.

During the 2018 update to the MPO List of Priority Projects, a TOP 15 list of projects, from our was developed to better communicate with FDOT as to the MPO's top funding priorities for the next funding cycle.

## Part 2 Section 6: MPO Comments

The MPO may use this space to make any additional comments, if they desire. This section is not mandatory, and its use is at the discretion of the MPO.

Please Explain
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