



Polk TPO

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

2/26/2025

Part 1 is to be completed by the Metropolitan Planning Organization

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Purpose

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

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

Certification Process

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

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

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

Part 1

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

Part 1 Section 1: MPO Overview

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

Please Check: Yes ☒ No ☐

Polk TPO's Agreements as of February 11, 2025

1. The Polk TPO's **Interlocal Agreement for the Creation of the Polk Transportation Planning Organization** was updated on September 1, 2024. This Interlocal Agreement shall remain in effect until terminated by the parties to this Interlocal Agreement. The Interlocal Agreement shall be reviewed by the parties at least every five years, concurrent with the decennial census, and/or concurrent with a new Federal Reauthorization bill, and updated as necessary. [Previous document dated 7-10-2014.]
2. Polk TPO's **Staff Services Agreement between the Polk TPO and the Polk County Board of County Commissioners** was renewed by the TPO on April 14, 2022 and became fully executed by the Polk County BoCC on May 5, 2022. It is renewed for a term of three years commencing upon approval of the agreement by both parties. (April 13, 2025).
3. The **Intergovernmental Coordination and Review (ICAR) and Public Transportation Collaborative Planning Agreement (ICAR)** by and between the TPO, the Central Florida Regional Planning Council (CFRPC), the Lakeland Area Mass Transit District (LAMTD), the Polk Transit Authority (PTA), the Bartow Municipal Airport Development Authority (BMADA), and the Florida Department of Transportation was updated by the Polk TPO on August 24, 2023. This agreement has a five year term (08/23/2028.)
4. The TPO Board approved a **Memorandum of Understanding (MOU) between TPO and the Polk Transit Authority (PTA), the Polk County Board of County Commissioners (BOCC) and the Lakeland Area Mass Transit District (LAMTD)** for cooperation with planning and programming

public transportation projects. This Agreement was fully executed by all parties on April 8, 2015. There is no end date or renewal clause in this agreement; however, *this agreement will be updated in 2025.*

5. On April 9, 2020 the Polk TPO executed an amendment to the **Interlocal Agreement with the Central Florida Metropolitan Planning Organization (MPO) Alliance** in regards to administrative procedures for the Alliance. From the initial document, 10/19/2005, "This agreement shall remain in effect until terminated by the parties to the agreement."
6. On April 9, 2020 the Polk TPO executed a **Fifth Amended and Restated Interlocal Agreement for Regional Transportation Planning and Coordination in West Central Florida**. This agreement was previously known as the "revised Interlocal Agreement for coordinated regional transportation planning activities for the West Central Florida Chairs Coordinating Committee (CCC)," which is now the Sun Coast Transportation Planning Alliance, or (SCTPA). The SCTPA includes the Hernando/Citrus, Hillsborough, Pasco, Pinellas, Polk and Sarasota/Manatee MPO/TPOs. This Agreement shall continue in force until terminated with or without cause by a unanimous vote of the MPOs.
7. FDOT District One (FDOT D1) and the MPOs in District One, have a **Florida Department of Transportation District One Regional Planning Model Agreement**. The parties entered into this agreement in December 2013 for the 2040 LRTP update process. The Polk TPO signed this agreement December 12, 2013. The D1RMP is still being used.

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

Please Check: Yes ☒ No ☐

The Polk TPO coordinates extensively with other MPOs in central Florida as part of formal and informal processes. Due to the strategic location of Polk County at the crossroads of central Florida, the Polk TPO has taken on a leadership role in regional coordination. The Polk TPO is a part of both the Sun Coast Transportation Planning Alliance and the Central Florida MPO Alliance, and it hosted a meeting of the SCTPA on December 1, 2023 in which more than 12 counties from the Tampa Bay and Orlando areas were represented. (Agreements with both organizations are referenced above.)

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

Please Check: Yes ☒ No ☐

Polk TPO's planning process and adopted UPWP address all of the Fast Act and IIJA Planning Factors. This may be found in the adopted UPWP in Appendix D.

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

Please Check: Yes ☒ No ☐

The Polk TPO maintains a comprehensive, cooperative, and continuing (3C") planning process. The TPO's plans and programs are designed to meet the current and future transportation needs of Polk County and are regularly evaluated and updated as needed or required. The

TPO currently has several cooperative agreements with other local and regional entities which ensure joint planning is considered in the TPO's planning process. Likewise, the composition of the Polk TPO along with our public involvement efforts ensure these plans and programs are representative of the transportation needs of Polk County.

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

The major update was conducted in 2020 as part of the TPO's LRTP update -- Momentum 2045.

The TPO typically evaluates our congestion management system annually through our State of the Transportation System Report, Roadway Network Database, as well as our ongoing crash mapping and bicycle and pedestrian inventories. The State of the Transportation System Report was updated in April 2023.

In 2023 staff completed the update of the Roadway Network Database which is a more detailed analysis of traffic and conditions on Polk County's major road network.

6. Has the MPO recently reviewed and/or updated its Public Participation Plan (PPP)? If so, when? For guidance on PPPs, see the Federal Highway Administration (FHWA) checklist in the [Partner Library](#) on the MPO Partner Site.

Please Check: Yes ☒ No ☐

The Polk TPO conducted an update of the Public Participation Plan, Limited English Proficiency Plan, Title VI and ADA Plans in 2023. These updates covered wordsmithing, data, processes. The PPP defines how the public can participate in our planning process. It guides the public involvement process for the TPO's major planning documents; long range transportation plan (LRTP) and transportation improvement program (TIP) regarding outreach strategies, and targets and measures. The TPO experienced unique and successful citizen engagements, including outreach to the traditionally underserved.

The TPO conducted a 45-day public comment period on the documents being update. These updates were all approved in August 2023. The PPP is updated every three years.

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

Please Check: Yes ☒ No ☐

Yes

Part 1 Section 2: Finances and Invoicing

1. How does the MPO ensure that Federal-aid funds are expended in conformity with applicable Federal and State laws, the regulations in 23 C.F.R. and 49 C.F.R., and policies and procedures prescribed by FDOT and the Division Administrator of FHWA?

Through a Staff Services Agreement, the Polk County Board of County Commissioners provides budgeting, finance and accounting services for Polk TPO. Polk TPO uses a financial management system as is utilized by the Polk County BoCC, which complies with requirements set forth in Chapter 129, Florida Statutes, as well as 2 C.F.R. §200.302. Polk County also follows Generally Accepted Accounting Principles (GAAP), as required by the Governmental Accounting Standards Board (GASB), as well as any and all policies and procedures as prescribed by the Division Administrator of FHWA.

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

Polk TPO currently submits invoices to the District One Polk Community Liaison on a quarterly basis; no later than 90 days from the end of the invoicing period.

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

Please Check: Yes ☐ No ☒

The Polk County BoCC receives/deposits the federal funds on behalf of Polk TPO. As part of its staff services agreement with the Polk County BoCC, Polk TPO is included in the Polk County BoCC's annual external audit conducted by an independent auditor.

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

Polk TPO uses a financial management system which is utilized by the Polk County BoCC, which complies with requirements set forth in Chapter 129, Florida Statutes, as well as 2 C.F.R. §200.302. Polk County prepares a Comprehensive Annual Financial Report (CAFR) which includes the expression of an opinion by independent auditors on compliance of each major federal program. The Polk County Comptroller's Office maintains a grant data base in support of the Schedule of Financial Assistance which is required for inclusion in the audited CAFR. The grant data base includes the CFDA title and number, name of grantor agency, pass-through agency (if any), and other pertinent information. Each grant agreement is kept on file in the Comptroller's Office. A separate "child fund" is established in Polk County's General Ledger system for each grant agreement and includes all the accounts necessary to properly record grant related transactions including cash, receivables, obligations, program income and interest earnings, if applicable. Polk County follows Generally Accepted Accounting Principles (GAAP), as required by the Governmental Accounting Standards Board (GASB).

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

Polk TPO's record of costs incurred under the terms of the MPO Agreement are maintained and readily available in accordance with generally accepted accounting principles (GAAP), which is applied to governmental units as promulgated by the Governmental Accounting Standards Board (GASB) and the Financial Accounting Standards Board (FASB). Polk TPO utilizes computerized General Ledger and Accounts Payable systems and an electronic document management system. Vouchers to pay for federally funded projects are available for a minimum of 5 fiscal years after the termination of a project, or as otherwise required.

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

Yes, supporting documentation submitted to FDOT is sufficient in detail for proper pre-audit and post-audit monitoring.

7. How does the MPO comply with, and require its consultants and contractors to comply with applicable Federal law pertaining to the use of Federal-aid funds and applicable State laws?

As part of its staff services agreement with the Polk County BoCC, Polk TPO works in collaboration with the BoCC's Procurement Division in compliance with Polk County Ordinance 06-24, and amendments, to ensure all contracted vendors comply with Florida Statute and Federal Law.

8. **Indirect Cost Rates:**

- a. If the MPO uses an indirect cost rate, do they use a federally approved indirect cost rate, state approved indirect cost rate, or the de minimis rate? The de minimis rate recently changed from 10% to 15% of modified total direct costs, which may be used indefinitely by the MPO ([2 C.F.R. 200.414\(f\)](#)). Either de minimis rate is allowable (10% or 15%). Please check one of the indirect cost rate options below:

MPO has a Federally Approved Indirect Cost Rate ☒

MPO has a State Approved Indirect Cost Rate ☒

MPO uses the De Minimis Rate (either the 10% or 15% indirect cost rate) ☐

N/A (The MPO does not use an Indirect Cost Rate) ☐

In general, only those MPOs that are hosted by agencies that receive direct Federal funding in some form (not necessarily transportation) will have available a Federally approved indirect cost rate. If the MPO has a staffing services agreement or the host agency requires the MPO to pay a monthly fee, the MPO may be reimbursed for indirect costs.

- b. If the MPO has an existing federal or state approved indirect cost rate, did the MPO submit a Cost Allocation Plan?

The TPO is hosted by Polk County and uses an indirect rate from the County, not the Federal Government. This indirect rate is approved by the State, and federally.

- c. If the MPO does not use an indirect cost rate, does it charge all eligible costs as direct costs?

Please Check: Yes ☐ No ☐

Part 1 Section 3: Title VI and ADA

1. Has the MPO signed an FDOT Title VI/Nondiscrimination Assurance, identified a person responsible for the Title VI/ADA Program, and posted for public view a nondiscrimination policy and complaint filing procedure?"

Please Check: Yes x No ☐

Yes, the Title VI and ADA Officer for the Polk TPO is Julia Davis, Transportation Planning Administrator. The information is available on the TPO's website.

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 x No ☐

All FHWA, FTA & FDOT Certifications & Assurances were included in the Polk TPO's Procurement process and carried forward into our General Planning Consultant Master Agreements and contracts.

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

Please Check: Yes x No ☐

The Polk TPO has an adopted policy and procedures in place in the event of any complaints received which is compliant with FDOT's procedure. The policies,

procedures, and the forms (in English and Spanish) are available on TPO's website.

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

Please Check: Yes ☒ No ☐

Several of the Polk TPO's staff attended the four-hour LAP Title VI Sub-recipient Compliance Assessment Tool (SCAT) Training (# BT-05-0153) and the four-hour LAP Americans with Disabilities (ADA) Training Course (# BT-05-0062) in Bartow on November 16, 2023. These two courses were taught by esteemed experts, were very detailed, and provided extensive history and case studies on all the topics.

TPO staff have attended training geared to MPOs over the years, and, the TPO's Title VI staff member provides annual training to staff on how the Public Participation Plan is connected to the Title VI and ADA programs.

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

Please Check: Yes ☒ No ☐

The Polk TPO has identified environmental justice planning areas or communities using data from the United States Census American Community Survey. As part of this analysis, the TPO identified areas by Census Block Group with populations at 175% of the county average for:

1. Persons below the Poverty Level (county average=15.6%);
2. Non-White population (county average=22.0%); and
3. Hispanic population (county average= 27.4%).

[2017-2021 data from Quick Facts, Table #PST045221]

This data is used for TPO's planning efforts to target multi-modal improvements in the future. The TPO has also identified the Justice40 areas.

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, however, the Polk TPO has never received any complaints to date regarding its planning processes or ADA.

Part 1 Section 4: MPO Procurement and Contract Review and Disadvantaged Business Enterprises

1. Is the MPO using a qualifications based selection process that is consistent with [2 C.F.R. 200.320 \(a-c\)](#), [Appendix II to Part 200 - Contract Provision](#), and [23 C.F.R. 172](#), and Florida statute as applicable?

Please Check: Yes ☒ No ☐

Yes.

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

Note: this documentation is required by [2 C.F.R. 200.325](#) to be available upon request by the Federal awarding agency, or pass-through entity when deemed necessary.

Please Check: Yes ☒ No ☐

Yes. All accounting, procurement, management, and administration of contracts are maintained in accordance with 2 CFR 200.324(a).

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

Please Check: Yes ☒ No ☐

The Polk TPO has a Staff Services Agreement with the Polk County Board of County Commissioners, therefore, the BOCC Procurement Division provides the Polk TPO with all services related to the procurement of goods and services. This complies with all federal, state, and local regulations.

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

Please Check: Yes ☒ No ☐

The Polk TPO follows strict guidance and procedures through the Procurement Division and County Clerk's office to ensure that all work performed by Consultants is done in accordance with the terms, conditions and specifications of their contracts.

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

Please Check: Yes ☒ No ☐

Yes, the TPO utilizes all required forms as provided by FDOT and County Procurement, then, the complete procurement packet is reviewed by FDOT staff, prior to procurement being launched.

And, the Polk TPO utilizes all Certifications and Agreements as provided by FTA and or the FDOT, in Grant Applications and subsequent Agreements.

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

Please Check: Yes ☒ No ☐

The Polk TPO uses FDOT's DBE program for FHWA funds in lieu of an independent or internal DBE program.

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

Please Check: Yes ☒ No ☐

Yes, the Polk TPO is gathering and tracking the quarterly reports on DBE utilization from all contractors and supplying the information with the quarterly PL invoices.

8. The MPO must be prepared to use the Grant Application Process (GAP) for DBE compliance with the EOC System. Has the MPO staff been trained on the GAP system? If yes, please provide the date of training. If no, please provide the date by when training will be complete.

Please Check: Yes ☒ No ☐

Yes, we received DBE GAP training in June 2024, and, we went through the steps to get access to the GAP-DBE portal. However, we need some technical assistance, actually using the portal.

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

Please Check: Yes ☒ No ☐

From RFP 20-1009 –

DISADVANTAGED BUSINESS ENTERPRISE (DBE)

For FDOT assisted contracts, the Polk TPO has adopted the FDOT's DBE Program Goal. The FDOT began its race neutral DBE program on January 1, 2000 and has an overall 11.31% goal it must achieve. While the utilization is not mandatory in order to be awarded the contract, continuing utilization of DBE firms on contracts supports the success of Florida's Voluntary DBE Program, and supports the Consultant's Equal Employment Opportunity and DBE Affirmative Action Programs

The Federal DBE Program requires States to maintain a database of all firms that are participating or attempting to participate on FDOT-assisted contracts. The list must include all firms that bid on prime contracts or bid or quote subcontracts on FDOT-assisted projects, including both DBE's and non-DBEs. Please complete the Bidders Opportunity List For Professional Consultants (Attachment G [of RFP 20-1009]), and the DBE Utilization Form (Attachment H [of RFP 20-1009]).

10. Are the MPO procurement packages (Project Advertisements, Notices to Bidders, RFP/RFQs, contract templates and related documents) and contracts free from geographical preferences or bidding restrictions based on the physical location of the bidding firm or where it is domiciled?

Please Check: Yes ☒ No ☐ N/A ☐

11. Are the MPO procurement packages (Project Advertisements, Notices to Bidders, RFP/RFQs, contract templates and related documents) and contracts free of points or award preferences for using DBEs, MBEs, WBEs, SBEs, VBEs or any other business program not approved for use by FHWA or FDOT?

Please Check: Yes x No ☐ N/A ☐

12. Please identify all locally required preference programs applied to contract awards by local ordinance or rule that will need to be removed from Federal-Aid solicitations and contract.

- a) ☐ Minority business
- b) ☐ Local business
- c) ☐ Disadvantaged business
- d) ☐ Small business
- e) ☐ Location (physical location in proximity to the jurisdiction)
- f) ☐ Materials purchasing (physical location or supplier)
- g) ☐ Locally adopted wage rates
- h) ☐ Other:

13. Do the MPO's contracts only permit the use of the approved FDOT race-neutral program?

Please Check: Yes ☐ No x N/A ☐

14. Do the MPO's contracts specify the race neutral or 'aspirational' goal of 10.54%?

Please Check: Yes ☐ No x N/A ☐

15. Are the MPO contracts free of sanctions or other compliance remedies for failing to achieve the race-neutral DBE goal?

Please Check: Yes x No ☐ N/A ☐

16. Do the MPO's contracts contain required civil rights clauses, including:

- a. Nondiscrimination in contracting statement (49 CFR 26.13)
- b. Title VI nondiscrimination clauses Appendices A and E (DBE Nondiscrimination Assurance & 49 CFR 21)
- c. FDOT DBE specifications

Please Check: Yes x No ☐ N/A ☐

Part 1 Section 5: Noteworthy Practices & Achievements

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

1. Envision 2050. The Polk TPO has started updating the Long Range Transportation Plan and branded the plan – Envision 2050. The TPO have adopted a goal, objectives, performance measures and indicators for the plan and will soon begin a robust public involvement campaign in support of the effort.
2. The 2024 State of the Transportation System Report was presented to the TPO in fall of 2024, highlighting performance measures and targets for Polk County's transportation network. This annual report provides an overview of the current state of the county's roadways, transit systems, bicycle and pedestrian infrastructure, and it also provides a regional comparison on traffic growth.
3. In September of 2024 the Polk TPO launched a newly designed website. The new site includes news and updates on transportation projects and safety initiatives. Visitors can easily locate information, including PDFs of current programs and plans, such as the Transportation Improvement Program (TIP) and Long Range Transportation Plan (LRTP). Meetings, workshops and opportunities for public input are regularly posted to the site.
4. Polk TPO completed its Resiliency and Carbon Reduction Plan, which evaluates the vulnerability of the transportation system to hazards such as flooding and wildfires. Building on statewide efforts by FDOT, the plan aims to enhance the local transportation system's resiliency and reduce carbon emissions through innovative infrastructure solutions and community-driven initiatives.

Part 1 Section 6: MPO Comments

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

N/A.



Polk TPO

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

2/26/2025

Part 2 is to be completed by the FDOT District

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Purpose

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

The Certification Package and statement must be submitted to the Central Office, Office of Policy Planning (OPP), by June 1.

Certification Process

Please read and answer each question within this document.

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

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

Note: This certification has been designed as an entirely electronic document and includes interactive form fields. Part 2 Section 10: Attachments allows you to embed any attachments to the certification, including the [MPO Joint Certification Statement](#) document that must accompany the completed certification report. Once all the appropriate parties sign the MPO Joint Certification Statement, scan it and attach it to the completed certification in Part 2 Section 10: Attachments.

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

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

Risk Assessment Process

Part 2 Section 1: Risk Assessment evaluates the requirements described in [2 CFR §200.332 \(b\)-\(e\)](#), also expressed below. It is important to note that FDOT is the recipient of federal funds and the MPOs are the subrecipient, meaning that FDOT, as the recipient of Federal-aid funds for the State, is responsible for ensuring that Federal-aid funds are expended in accordance with applicable laws and regulations.

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

- (1) The subrecipient's prior experience with the same or similar subawards;*
 - (2) The results of previous audits, including whether the subrecipient receives a Single Audit in accordance with Subpart F—Audit Requirements of this part, and the extent to which the same or similar subaward has been audited as a major program;*
 - (3) Whether the subrecipient has new personnel or new or substantially changed systems; and*
 - (4) The extent and results of Federal awarding agency monitoring (e.g., if the subrecipient also receives Federal awards directly from a Federal awarding agency).*
- (c) Consider imposing specific subaward conditions upon a subrecipient if appropriate, as described in §200.208.*
- (d) Monitor the subrecipient's activities as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward, and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:*

- (1) Reviewing financial and performance reports required by the pass-through entity.*
- (2) Following up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies about the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and written confirmation from the subrecipient, highlighting the status of actions planned or taken to address Single Audit findings related to the particular subaward.*
- (3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by [§200.521](#).*
- (4) The pass-through entity is responsible for resolving audit findings specifically related to the subaward and not responsible for resolving crosscutting findings. If a subrecipient has a current Single Audit report posted in the Federal Audit Clearinghouse and has not otherwise been excluded from receipt of Federal funding (e.g., has been debarred or suspended), the pass-through entity may rely on the subrecipient's cognizant audit agency or cognizant oversight agency to perform audit follow-up and make management decisions related to cross-cutting findings in accordance with section [§200.513\(a\)\(3\)\(vii\)](#). Such reliance does not eliminate the responsibility of the pass-through entity to issue subawards that conform to agency and award-specific requirements, to manage risk through ongoing subaward monitoring, and to monitor the status of the findings that are specifically related to the subaward.*
- (e) Depending upon the pass-through entity's assessment of the risk posed by the subrecipient (as described in paragraph (b) of this section), the following monitoring tools may be helpful for the pass-through entity to ensure proper accountability and compliance with program requirements and achievement of performance goals:*
 - (1) Providing subrecipients with training and technical assistance on program-related matters; and*

(2) *Performing on-site reviews of the subrecipient's program operations;*

(3) *Arranging for agreed-upon-procedures engagements as described in [§200.425](#).*

If an MPO receives a Management Decision due to the Single Audit, it may be assigned a high-risk level.

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

The questions in Part 2 Section 1: Risk Assessment are quantified and scored to assign a level of risk for each MPO, which will be updated annually during the joint certification process. The results of the Risk Assessment determine the minimum frequency by which District MPO Liaisons review the MPO's supporting documentation for their invoices for the upcoming year. The [Risk Assessment Scoring Sheet](#) is available in the [Liaison Resources Library](#). This spreadsheet must be used to calculate the Risk Assessment Score. The frequency of review is based on the level of risk in **Table 1**.

Table 1. Risk Assessment Scoring

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

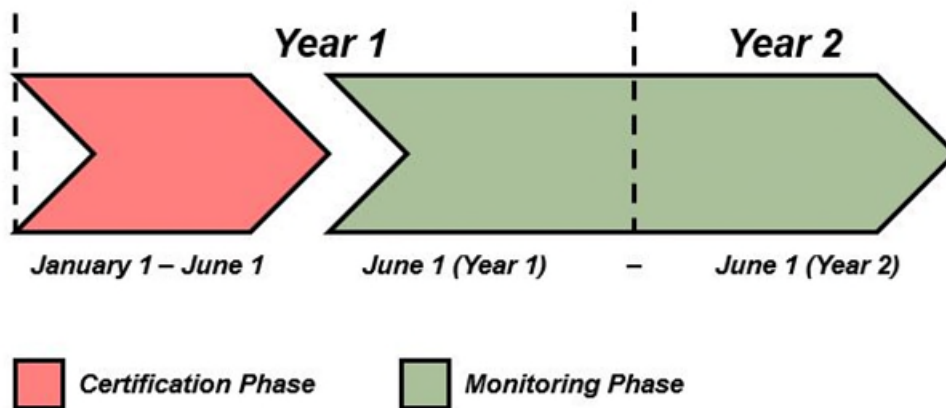
The Risk Assessment part of this joint certification has two main components, the Certification phase and the Monitoring phase, and involves regular reviewing, checking, and surveillance.

1. Certification phase: the first step is to complete this Risk Assessment during the joint certification review, which runs from January 1 to June 1 (*The red arrow in **Figure 1***). During these 5 months, a Risk Assessment assesses the previous calendar year (January 1 through December 31).
2. Monitoring phase: After the joint certification review has been completed, the Risk Assessment enters the Monitoring phase, where the MPO is monitored for 12 months

starting on June 1 (*The green arrow, Year 1 in **Figure 1***) and ending on June 1 of the following year (*The green arrow, Year 2 in **Figure 1***).

This process takes 17 months in total. On January 1 of each year, the new Certification phase begins, which overlaps with the previous year's Monitoring phase. **Figure 1** shows the timeline of the Risk Assessment phases.

Figure 1. Risk Assessment: Certification and Monitoring Phases



Part 2

The District MPO Liaison must complete part 2 of the Joint Certification.

Part 2 Section 1: Risk Assessment

MPO Invoice Submittal

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

Table 2. MPO Invoice Submittal Summary

Invoice #	Invoice Period	Date the Invoice was Forwarded to FDOT for Payment	Was the Invoice Submitted More than 90 days After the End of the Invoice Period? (Yes or No)
G2811-6	10/1/23-12/31/23	3/27/2024	NO
G2811-7	1/1/24-3/31/24	6/25/2024	NO
G2811-8	4/1/24-6/30/24	9/20/2024	NO
MPO Invoice Submittal Total			
Total Number of Invoices that were Submitted on Time			3
Total Number of Invoices Submitted			3

MPO Invoice Review Checklist

List all MPO Invoice Review Checklists that were completed during the certification period in **Table 3** and attach the checklists to this risk assessment. Provide the total number of questions marked with a red asterisk (*) marked “Yes” on each MPO Invoice Review Checklist. “Yes” indicates that the question was addressed satisfactorily and is not a Materially Significant Finding. Examples of Materially Significant Findings include:

- Submitting unallowable, unreasonable, or unnecessary expenses or corrections that affect the total amounts for paying out.
- Exceeding allocation or task budget.
- Submitting an invoice that is not reflected in the UPWP.
- Submitting an invoice that is out of the project scope.
- Submitting an invoice that is outside of the agreement period.
- Documenting budget status incorrectly.
- Not using a federally approved indirect cost rate.
- Not providing an overhead cost rate when claiming overhead costs.

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

- Typos.
- Incorrect UPWP revision number.
- Incorrect invoice number.

Table 3. MPO Invoice Review Checklist Summary

MPO Invoice Review Checklist	Number of “Yes” Responses on * Questions
G2811-6	12
G2811-7	12
G2811-8	12
MPO Invoice Review Checklist Total	
Total Number of “Yes” Responses on * Questions	36

**Note: There are 7 * questions per MPO Invoice Review Checklist for MPOs that do not have Indirect Costs. There are 12 * questions per MPO Invoice Review Checklist for MPOs with Indirect Costs.*

MPO Supporting Documentation Review Checklist

List all MPO Supporting Documentation Review Checklists that were completed in the certification period in **Table 4** and attach the checklists and supporting documentation to this risk assessment. Provide the total number of questions marked with a red asterisk (*) marked “Yes” on each MPO Supporting Documentation Review Checklist. This indicates that the question was addressed satisfactorily and is not a Materially Significant Finding. Examples of Materially Significant Findings include:

- Submitting an invoice with charges not on the Itemized Expenditure Detail Report.
- Submitting an invoice with an expense that is not allowable.
- Not using a federally approved indirect rate
- Failing to submit supporting documentation, such as documentation that shows the invoice was paid.

Submitting travel charges that do not comply with the MPO’s travel policy.

Table 4. MPO Supporting Documentation Review Checklist Summary

MPO Supporting Documentation Review Checklist		Number of “Yes” Responses on * Questions
G2811-7		25
MPO Supporting Documentation Review Checklist Total		
Total Number of “Yes” Responses on * Questions		25

**Note: There are 23 * questions per MPO Supporting Documentation Review Checklist for MPOs that do not have Indirect Costs. There are 25 * questions per MPO Supporting Documentation Review Checklist for MPOs with Indirect Costs.*

Technical Memorandum 19-04: Incurred Cost and Invoicing Practices

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

Please Check: Yes ☒ No ☐ N/A ☐

Risk Assessment Score

Please use the [Risk Assessment Scoring Sheet](#) to calculate the MPO's risk score. Use **Table 5** as a guide for selecting the MPO's risk level. As previously mentioned, the Risk Assessment Scoring Sheet is available in the [Liaison Resources Library](#). This spreadsheet must be used to calculate the Risk Assessment Score, which determines the MPO's level of risk. A screenshot of this spreadsheet is provided in **Figure 2**. The values input into the spreadsheet must match those in this Risk Assessment.

Table 5. Risk Assessment Scoring

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

Risk Assessment Score: 100%

Level of Risk: **Low**

Florida Department of Transportation Metropolitan Planning Program
Annual Joint Certification
Risk Assessment Calculation Sheet



Question Category	Question	Example Response	Directions	Number Correct	Subtotal	Weight Percentage	Total Score
MPO Invoice Submittal	Was invoice submitted within 90 days from the end of the invoice period?	All invoices were submitted within 90 days from the end of the invoice period.	Number Correct Column: Enter the number of invoices that were submitted on time. Subtotal Column: Enter the total number of invoices that were submitted.	3	3	30%	30%
MPO Invoice Review Checklist	How many materially significant findings questions are correct?	There were 21 opportunities for materially significant findings, 18 of the materially significant finding questions were answered correctly.	Number Correct Column: Enter the number of correct materially significant questions. Subtotal Column: Enter the total number of materially significant questions.	21	21	30%	30%
MPO Supporting Documentation Review Checklist	How many materially significant findings questions are correct?	There were 75 opportunities for materially significant findings, 72 of the materially significant finding questions were answered correctly.	Number Correct Column: Enter the number of correct materially significant questions. Subtotal Column: Enter the total number of materially significant questions.	23	23	35%	35%
Technical Memorandum 19-04: Incurred Cost and Invoicing Practices	Were incurred costs billed appropriately at the end of the contract period?	The MPO billed incurred costs appropriately at the end of the invoice period.	if incurred costs were billed appropriately at the end of the contract period, or if this question is not applicable. Enter a 0 if incurred costs were not billed appropriately at the end of the	1	1	5%	5%
Risk Assessment Score						100%	

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

Did the MPO adopt a new LRTP in the year this certification addresses?

Please Check: Yes ☐ No ☒

If yes, please ensure any correspondence or comments related to the draft and final LRTP and the LRTP checklist used by the Central Office and the District are in the [Grant Application Process \(GAP\) System](#) or attach it to Part 2 Section 10: Attachments. List the titles and dates of attachments uploaded to the [GAP System](#) below.

Title(s) and Date(s) of Attachment(s) in the [GAP System](#)

N/A

Part 2 Section 3: Transportation Improvement Program (TIP)

Did the MPO update their TIP for the year this certification is addressed?

Please Check: Yes ☒ No ☐

If yes, please ensure any correspondence or comments related to the draft and final TIP and the TIP checklist used by the Central Office and the District are in the [GAP System](#) or attach them to Part 2 Section 10: Attachments. List the titles and dates of attachments uploaded to the [GAP System](#) below.

Title(s) and Date(s) of Attachment(s) in the [GAP System](#)

The Adopted TIP was uploaded to the GAP portal on 5/14/24.
--

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

Did the MPO adopt a new UPWP in the year this certification addresses?

Please Check: Yes ☒ No ☐

If yes, please ensure any correspondence or comments related to the draft and final UPWP and the UPWP checklist used by the Central Office and the District are in the [GAP System](#) or attach it to Part 2 Section 10: Attachments. List the titles and dates of attachments uploaded to the [GAP System](#) below.

Title(s) and Date(s) of Attachment(s) in the [GAP System](#)

UPWP FY24-26 was approved 4/29/24.

Part 2 Section 5: Clean Air Act

The requirements of [Sections 174 \(Planning Procedures\)](#) and [176 \(c\) and \(d\) \(Limitations on Certain Federal Assistance\)](#) of the Clean Air Act as codified in [42 USC 7504](#) and [42 USC 7506](#) can be found [here](#).

The Clean Air Act requirements affecting transportation only apply to areas designated for nonattainment and maintenance of the National Ambient Air Quality Standards (NAAQS). Florida is currently in attainment for all NAAQS. No certification questions are required at this time. If the Environmental Protection Agency issues a revised NAAQS, this section may need revision.

Title(s) of Attachment(s)

N/A

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

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

Please Check: Yes ☒ No ☐ N/A ☐

Part 2 Section 7: MPO Procurement and Contract Review

To evaluate existing DBE reporting requirements, choose one professional services procurement package and contract between the MPO and a third party to answer the following questions. If the answer is no, the MPO is not penalized. FDOT uses this information to determine technical support and training for the MPOs. Any new procurements after July 1, 2024, must be compliant with the existing DBE reporting requirements.

1. Are the procurement package (Project Advertisements, Notices to Bidders, RFP/RFQs, contract templates and related documents) and contract free from geographical preferences or bidding restrictions based on the physical location of the bidding firm or where it is domiciled?

Please Check: Yes ☒ No ☐ N/A ☐

2. Are the procurement package (Project Advertisements, Notices to Bidders, RFP/RFQs, contract templates, and related documents) and contract free of points or award preferences for using DBEs, MBEs, WBEs, SBEs, VBEs, or any other business program not approved for use by FHWA or FDOT?

Please Check: Yes ☒ No ☐ N/A ☐

3. Does the contract only permit using the approved FDOT race-neutral program?

Please Check: Yes ☐ No ☒ N/A ☐

4. Does the contract specify the race-neutral or 'aspirational' goal of 10.54%?

Please Check: Yes ☐ No ☒ N/A ☐

5. Is the contract free of sanctions or other compliance remedies for failing to achieve the race-neutral DBE goal?

Please Check: Yes ☒ No ☐ N/A ☐

6. Does the contract contain required civil rights clauses, including:
 - a. Nondiscrimination in a contracting statement ([49 CFR 26.13](#))
 - b. Title VI nondiscrimination clauses Appendices A and E ([DBE Nondiscrimination Assurance](#) & [49 CFR 21](#))
 - c. FDOT DBE specifications

Please Check: Yes ☒ No ☐ N/A ☐

Part 2 Section 8: District Questions

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

1. What recommendations, if any, does the MPO/TPO have for improving the partnership between the MPO/TPO and FDOT?

The Polk TPO appreciates the truly fine partnership we have with FDOT. We also note that the multiple training opportunities and in-person meetings have been very helpful.

2. To comply with FHWA requirements, a new LRTP will need to be adopted by the end of 2025. Please provide an updated schedule for LRTP development and adoption.

The Polk TPO is on schedule to complete the adoption of the LRTP on December 8, 2025.

3. Question

PLEASE EXPLAIN

4. Question

PLEASE EXPLAIN

5. Question

PLEASE EXPLAIN

Part 2 Section 9: Recommendations and Corrective Actions

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

Status of Recommendations and Corrective Actions from Prior Certifications

According to the 2024 Joint Certification, Polk did not receive any recommendations or corrective actions. The MPO staff has demonstrated an outstanding collaboration and submitted all required documents in a timely manner throughout the year.

Recommendations for this Certification

Recommendation is that the TPO please continue to provide all back up documents for each quarterly invoice, this is very helpful to have for invoice reviews.

Corrective Actions for this Certification

PLEASE EXPLAIN

Part 2 Section 10: Attachments

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

Title(s) and Date(s) of Attachment(s) in the [GAP System](#)

N/A

FLORIDA DEPARTMENT OF TRANSPORTATION
MPO JOINT CERTIFICATION STATEMENT

525-010-05c
POLICY PLANNING
02/18

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

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

Included in this certification package is a summary of noteworthy achievements by the MPO, attachments associated with these achievements, and (if applicable) a list of any recommendations and/or corrective actions. The contents of this Joint Certification Package have been reviewed by the MPO and accurately reflect the results of the joint certification review meeting held on April 10, 2025.

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

Name: L.K. Nandam
Title: District One Secretary

Date

Name: Trish Pfeiffer
Title: MPO Chairman (or designee)

Date



MPO FHWA FUNDS INVOICE SUPPORTING DOCUMENTATION REVIEW CHECKLIST

MPO: **Polk TPO**

Contract: **G2811**

Date of
Review: 2/20/25

Review #: **1**

Invoice No.: **G2811-7**

Invoice Period: **1/1/2024-3/31/
2024**

Reviewed By: **Edith Perez**

The Invoice Review Checklist should be completed for every MPO Invoice. The MPO's Supporting Documentation Review Checklist is to be completed at the frequency required by the MPO's **Risk Assessment** that is a part of the Annual MPO Joint Certification Process. This checklist should be completed and saved with all invoice documentation, uploaded to the MPO Liaison Toolkit for tracking by Central Office, and forwarded to the MPO for their records.

Please note: Below you will be required to identify any comments, recommendations, or Materially Significant Findings. Comments and recommendations are at the discretion of the District, but Materially Significant Findings must be supported by documentation and identify corrections that must be made for the MPO to be reimbursed. Materially Significant Findings factor into the MPOs level of risk, as determined by the **Risk Assessment** in the Annual MPO Joint Certification.

*** Indicates questions that relate to Tables 1 and 2. If a question is responded to with "Yes," it has been addressed in a satisfactory manner and is not a Materially Significant Finding. If a question is responded with "No", it has not been addressed in a satisfactory manner and will result in a Materially Significant Finding.**

Personnel Service (MPO staff salary & fringe)

Review the payroll register and compare to expenses being reimbursed. Select one staff member and confirm details below.

- Were personnel service expenses incurred within the **Invoice Period**? **Yes**
- Employee's time sheet selected for review? **Ryan Kordek**
- Does the payroll register fall within the dates matching the **Invoice Period**? **Yes**
- * Do the hours shown on the payroll register match the hours being requested for reimbursement? **Yes**
- * Does the employee's timesheet match the expenses being requested for reimbursement? **Yes**
- * Are amounts shown on the payroll register and task charges accurately recorded on the **Itemized Expenditure Detail Report**? **Yes**
- Are fringe charges equitably distributed to all grants? **Yes**
- Is the timesheet signed by an authorized MPO official? **Yes**
- **Technical Memorandum 19-05Rev: Director's Timesheets and Expenses**
Were the Director's timesheets and expenses reviewed at least quarterly by the MPO Board, Executive Committee, Board Chair, or Board Treasurer? **Yes**
- **Comments and Recommendations on Personnel Services Expenses**

[Click to enter details](#)

- **Findings on Personnel Services Expenses**

[Click to enter details](#)

Consultant Services

Select one consultant invoice and confirm details below.

- Were consultant service expenses incurred within the **Invoice Period**? [Yes](#)
- Consultant invoice selected for review (enter consultant and invoice number)?

Kimley Horn, Inv #046359005-0124

- * Are charges shown on the invoice accurately recorded on the Itemized Expenditure Detail Report? [Yes](#)
- Are the consultant services invoice dates of service within the **Invoice Period**? [Yes](#)
- * Are the task services documented in the progress report? [Yes](#)
- * Is there documentation to show that the invoice was paid? [Yes](#)
- **Comments and Recommendations on Consultant Services Expenses**
[Click to enter details](#)
- **Findings on Consultant Services Expenses**
[Click to enter details](#)

Travel Reimbursement

If travel reimbursement was requested on this invoice, select one travel reimbursement. Refer to the MPO's travel policies and regulations to answer questions below.

- Were travel expenses incurred within the **Invoice Period**? [Yes](#)
- Was employee's travel reimbursement selected for review?
[Ryan Kordek, travel date 1/26/2024](#)
- * Are charges shown on the travel form accurately recorded on the task's **Itemized Expenditure Detail Report**? [Yes](#)
- Has the MPO established its own travel policy? [Yes](#)
- Does the travel reimbursement comply with MPO or State travel policies and regulations? [Yes](#)
- Are charges recorded on FDOT Contractor Travel Form (300-000-06)? [No](#)
- Is the travel request signed by an MPO authorized official? [Yes](#)
- * Are travel charges supported by documentation as required by the travel policy? [Yes](#)
- **[Technical Memorandum 19-02: Car Allowance or Mileage Reimbursements](#)**
Was the car allowance or mileage recorded appropriately based on the number of business-related miles an employee drives and the cost associated with operating a personal vehicle? [Yes](#)
- **Comments and Recommendations on Travel Reimbursement Expenses**
[Click to enter details](#)
- **Findings on Travel Reimbursement Expenses**
[Click to enter details](#)

Direct Expenses

Select and review five direct expense line items.

- Were direct expenses incurred within the Invoice Period? **Yes**
- #1 Direct expense selected for review **Verizon, invoice # 9957634801**
 - Was the cost incurred within the **Invoice Period**? **Yes**
 - Is the expense for purchase of equipment under \$5,000? (If over \$5,000, indicate prior approval in findings/recommendation below) **Yes**
 - * Is the expense allowable? **Yes**
 - * Is there documentation to show that the invoice was paid? **Yes**
 - * Are charges shown on the invoice accurately recorded on the **Itemized Expenditure Detail Report**? **Yes**
- #2 Direct expense selected for review **Common Look, invoice # INV015200**
 - Was the cost incurred within the **Invoice Period**? **Yes**
 - Is the expense for purchase of equipment under \$5,000? (If over \$5,000, indicate prior approval in findings/recommendation below) **Yes**
 - * Is the expense allowable? **Yes**
 - * Is there documentation to show that the invoice was paid? **Yes**
 - * Are charges shown on the invoice accurately recorded on the **Itemized Expenditure Detail Report**? **Yes**
- #3 Direct expense selected for review **LocaliQ, invoice #6334269**
 - Was the cost incurred within the **Invoice Period**? **Yes**
 - Is the expense for purchase of equipment under \$5,000? (If over \$5,000, indicate prior approval in findings/recommendation below) **Yes**
 - * Is the expense allowable? **Yes**
 - * Is there documentation to show that the invoice was paid? **Yes**
 - * Are charges shown on the invoice accurately recorded on the **Itemized Expenditure Detail Report**? **Yes**
- #4 Direct expense selected for review **Office Depot, invoice # 350539804-001**
 - Was the cost incurred within the **Invoice Period**? **Yes**
 - Is the expense for purchase of equipment under \$5,000? (If over \$5,000, indicate prior approval in findings/recommendation below) **Yes**
 - * Is the expense allowable? **Yes**
 - * Is there documentation to show that the invoice was paid? **Yes**
 - * Are charges shown on the invoice accurately recorded on the **Itemized Expenditure Detail Report**? **Yes**
- #5 Direct expense selected for review **UPS Store, invoice # CU00067595**
 - Was the cost incurred within the **Invoice Period**? **Yes**
 - Is the expense for purchase of equipment under \$5,000? (If over \$5,000, indicate prior approval in findings/recommendation below) **Yes**
 - * Is the expense allowable? **Yes**
 - * Is there documentation to show that the invoice was paid? **Yes**

- o * Are charges shown on the invoice accurately recorded on the **Itemized Expenditure Detail Report**?
[Yes](#)
- Does the MPO direct bill for indirect costs? [Yes](#)
 - o * If yes, does the MPO provide documentation that supports the indirect costs charged?
[Yes](#)
- **Comments and Recommendations on Direct Expenses**
[Click to enter details](#)
- **Findings on Direct Expenses**
[Click to enter details](#)

Indirect Rate

If applicable, review MPO's APPROVED Indirect Rate.

- Does the MPO have a FEDERALLY APPROVED indirect rate? [Yes](#)
 - o * If yes, does the indirect rate that is charged on the invoice agree with the approved indirect cost allocation plan documented in the MPO's UPWP? [Yes](#)
- **General Comments on Indirect Rate Charges**
[Click to enter details](#)
- **General Comments on Indirect Rate Charges**
[Click to enter details](#)

General Comments, Recommendations, and Findings

- Was the invoice's supporting documentation found to be in good order? [Yes](#)
- Was there evidence that a quality control process or procedure is in place? [Yes](#)
- **General Comments on Recommendations**
[Click to enter details](#)
- **General Comments on Materially Significant Findings**
[Click to enter details](#)

Invoice Supporting Documentation Review Checklist

Please provide the total number of * questions marked **Yes** (Yes indicates that the MPO satisfactorily addressed the question and that there will not be a Materially Significant Finding) in **Table 1** or **2**. **Table 1 or 2 will be used in the Risk Assessment, part of the Annual MPO Joint Certification, to evaluate the MPO's risk level.**

Please fill out either **Table 1** or **Table 2**. **Table 1** will be filled out for MPOs that do not have Indirect Costs. **Table 2** will be filled out for MPOs that have Indirect Costs.

Table 1. Invoice Supporting Documentation Review Checklist Summary (for MPOs that do not have Indirect Costs)

Description	Yes	No	Total
Responses to * Questions			23

Table 2. Invoice Supporting Documentation Review Checklist Summary (for MPOs that have Indirect Costs)

Description	Yes	No	Total
Responses to * Questions	25		25