



FISCAL YEAR 2010 & 2011  
5317 JARC APPLICATION PACKAGE

FOR THE

*Opa-Locka South Route*

SEPTEMBER 2, 2011



**Fiscal Year 2010 & 2011  
5316 Job Access Reverse Commute and  
5317 New Freedom  
Programs Guide and Application Package**

**Miami Urbanized Area (Broward, Miami-Dade, and  
Palm Beach Counties)**

**June 2011**

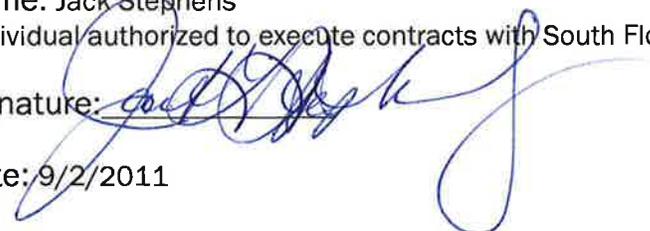
## Application Checklist

The following information must be included in the final JARC or New Freedom application packet to be considered complete. Incomplete applications will be disqualified after the application deadline has passed. Six (6) copies of the application must be submitted on 8 ½ x 11 inch paper and bounded with a paper clip or black binder clip and in electronic format on a CD. Failure to provide either will disqualify project from consideration.

ALL PROJECT APPLICATIONS MUST BE RECEIVED AT THE SOUTH FLORIDA REGIONAL TRANSPORTATION AUTHORITY OFFICE BY **SEPTEMBER 9, 2011 AT 12:00 NOON EST.**

- Signed Application Checklist
- Section 1: Summary of Application
- Section 2: Project Information
- Section 3: Additional Information - Operating Projects Only
- Section 4: Additional Information - Capital/Mobility Management Projects Only
- Section 5: Summary of Project Cost
- Section 6: Letters of Support
- Exhibit A1: Governing Board Resolution and Local Match Certification
- Exhibit A2: Local Match Certification (To be filled by entities without a Governing Board)
- Exhibit B: Public Hearing
- Exhibit C: Single Audit Act
- Exhibit C-1: Certification of Exemption
- Exhibit D: Federal Certification and Assurances
- Exhibit E: Disadvantaged Business Enterprise Program

Name: Jack Stephens  
(Individual authorized to execute contracts with South Florida Regional Transportation Authority)

Signature: 

Date: 9/2/2011

**SECTION 1: SUMMARY OF APPLICATION**

Application Type

Please indicate whether this is a JARC or New Freedom Application. CHECK ONLY ONE PROGRAM. If both Program boxes below are checked, the application may be deemed ineligible.

- Section 5316 – Job Access and Reverse Commute (JARC)
- Section 5317 – New Freedom

Applicant Name and Contact Information

Name of Applicant	South Florida Regional Transportation Authority
Contact Person	William L. Cross, P.E. Manager of Planning and Capital Development
Address	800 NW 33 <sup>rd</sup> Street, Pompano Beach, FL 33064
Email	crossw@sfrta.fl.gov
Phone Number	954-788-7916

Organization Type

- Local Government Authority
- Private Non-Profit Organization *(please attach IRS 501(c)(3) documentation of non-profit status)*
- Public Operator of Public Transportation Services
- Private Operator of Public Transportation Services

Partnering Organization and Contact Information (Indicate N/A if not applicable)

Partnering Organization	City of Opa-Locka
Contact Person	Charmaine Parchment
Address	12950 NW 42 Avenue Opa-locka, FL 33054
Email	Cparchment@Opalockafl.gov
Phone Number	(305) 953-2828

Project Type (place an X in the appropriate box)

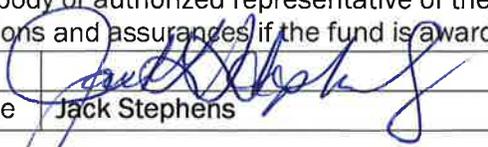
Capital Only	
Operating Only	X
Capital & Operating	
Mobility Management/Coordinated Planning	

Project Information

Project Name	Opa-Locka South Route
Service Area	Opa-Locka and surrounding areas
Start Date	N/A
Total Project Cost	\$757,900.00
JARC/NF Funding Requested	\$378,950.00
Number of Years for Which Funding Requested	2
Total Local Match	\$378,950

**IMPORTANT:** Cost information provided in the above table will be used when the projects are evaluated and funding is requested for successful projects from FTA.

To the best of my knowledge, all information in this application is true and accurate. The document has been duly authorized by the governing body or authorized representative of the applicant and the applicant will comply with any certifications and assurances if the fund is awarded.

Signature of Authorized Representative	
Printed Name of Authorized Representative	Jack Stephens

## SECTION 2: PROJECT INFORMATION

- 1) **Project Title:** Opa-Locka South Route
- 2) **Provide a description of the project.** If the project has multiple elements (i.e., operating, mobility management, capital), please include a description of how these elements relate to each other. For all services, please include anticipated hours of operation by day of week. Also, specify what populations the project will serve and how will the project be marketed to those populations. In addition, cite any market studies conducted and the corresponding recommendations that contributed to the development and/or service design of the project.

The proposed project will be a continuation of existing shuttle service connecting the City of Opa-Locka with the Opa-Locka Tri-Rail Station via the Opa-Locka South Route shuttle. The Opa-Locka South Route Tri-Rail shuttles operate on weekdays from 5:30 am to 7:25 pm.

The project will continue to serve populations of the City of Opa-Locka, the Miami-Dade College north campus, and the surrounding areas. This population consists of residents and visitors of many different socio-economical backgrounds including demographics that are more likely to be dependent on public transportation, such as the elderly, low-income, and/or disabled. In addition, areas with high employment and high density residential as depicted on the map are also considered targeted populations. Maps and tables included geographically depict the populations served by the routes as well as provide population numbers and the percent of the route that will serve areas with transit supportive demographics.

The Tri-Rail marketing department will continue advertising and promoting the project through various forms of media including; [www.tri-rail.com](http://www.tri-rail.com), television and radio advertising, electronic message signs at stations, banners, flyers, as well as coordination with either employers registered through the Tri-Rail Employer Discount Program (EDP) or reaching out to other major employers served by the new service.

The south route was originally identified in a study funded by the Miami-Dade MPO to identify circulator service in the Opa-Locka area. Public outreach was conducted to identify key points of interest and route alignments and schedules were developed. The City of Opa-Locka then contacted the SFRTA to discuss partnering on one or both routes identified in their study.

The SFRTA included the two routes in an ongoing comprehensive systemwide study that identified potential new shuttle routes. The study included; a review of SFRTA TDP goals, employer interviews, SFRTA Staff interview, and input from South Florida Commuter Services, as well as an analysis of GIS socio-economic data and Tri-Rail origin-destination survey data. This upfront coordination and technical analysis was then used to rank and select potential new shuttle routes to be implemented including the Opa-Locka South route.

If the project will serve others in addition to the target population, specify how you will assure that the target population will be given priority on all project activities and how the availability of service to the target population will not be compromised by the provision of services to those other than the target population.

Since this shuttle began service it has served the general and target populations. The service will not be compromised by provision of services to the general population. In fact, high ridership numbers by the general public will support continued shuttle service in the future.

**3) Describe the geographic boundaries of the project. Applicants must attach a map (8.5 x 11) depicting the project boundaries.**

The Opa-Locka South Route directly serves the community of Opa-Locka and the surrounding employment centers such as Miami-Dade College, the Opa-Locka Airport, as well as other businesses within the city. Employees and students of Miami-Dade College benefit greatly from the regional connection to the Tri-Rail System. A sizeable portion of this route provides shuttle service along local streets within the community that are not currently served by fixed bus routes.

Attached is a map of the route.

**4) Provide the total estimated population of the project service area.**

A GIS buffer analyses was performed for the route service area (population within 1/4 mile radius of the proposed route). The estimated total population served by the Opa-Locka South route is 10,563. A detailed methodology is provided in the attached map. The population total presented is derived from 2009 socio-economic data from ESRI.

**5) Specify which elements your project includes (check all that apply). For a detailed list of eligible projects, please refer to [Appendix B: JARC and NF Eligible Projects](#).**

- Capital (80% Federal / 20% Local Match)
- Operating (50% Federal / 50% Local Match)
- Mobility Management / Planning (80% Federal / 20% Local Match)

**6) Specify the type of project.**

- Continuation of an Existing JARC/NF Project
- Expansion of an Existing Project not previously funded through JARC/NF
- Existing fixed route service not previously funded through JARC
- New Project

- 7) **Estimate the number of low-income population and individuals with disabilities that will be served by the project and provide an explanation as to how the estimate was determined.**

The low-income population estimate is based on the GIS analysis performed in the previous question. The Opa-Locka South route will continue to serve a low-income population of 2,206.

It should be noted that the low-income population served only includes census blocks that meet density thresholds. Therefore, the routes are expected to serve a greater low-income population not shown in the map and table. A detailed methodology is provided in the attached map. The population total presented is derived from 2009 socio-economic data from ESRI.

- 8) **Please specify what unmet needs this project is designed to meet and how those unmet needs were identified.**

Several factors contribute to a need for better public transit service in the City of Opa-Locka. Approximately 50 percent of the city's population is within the very low to moderate income categories. With a median annual household income of \$19,600, the City is below County and national income levels.

In addition to having a large population which exhibits a high propensity to use public transportation, the county is reducing bus service within the city. The city is served by county bus service along major roadways; however, many locations within the city are underserved by public transportation. The aforementioned factors imply that a large population of transit dependent residents would be well served by a new community shuttle bus.

As mentioned previously, the unmet needs were identified in a circulator study coordinated and funded through the Miami-Dade County Metropolitan Planning Organization and managed by the City of Opa-Locka. The city then contacted the SFRTA to coordinate a partnership for operation and funding of the route.

- 9) **Please explain how this project will address the unmet needs identified in question 8.**

This shuttle serves areas of the city that are not effectively served by Miami-Dade Transit fixed bus routes. The proposed route will directly serve Miami-Dade College, a major employer in the area, the Opa-Locka Airport, as well as the low income and general populations. In addition, this route matches the arrival and departure times of the Tri-Rail trains serving Opa-Locka.

- 10) Explain how this project will utilize or coordinate with existing public transportation providers. This should include a discussion of anticipated formal agreements, arrangements to coordinate services, joint funding initiatives, the pooling of resources and any other coordination efforts planned or already initiated.

The continued shuttle route is, and will be coordinated with the local public transportation providers to avoid duplication of existing fixed route transit service. The shuttles will be coordinated with the existing Tri-Rail service schedule to enhance the connectivity between the two modes. The Miami-Dade MPO and Miami-Dade Transit were involved in the initial development of the route.

- 11) Explain how this project will utilize or coordinate with human service agency providers and/or other private non-profit/for-profit operators. This should include a discussion of anticipated formal agreements, arrangements to coordinate services, joint funding initiatives or the pooling of resources and any other coordination efforts planned or already initiated.

In the course of its day to day operations, Tri-Rail coordinates with many human service providers and private non-profit operators. Through its role as the regional JARC administrator, SFRTA coordinates with non-profit transit providers serving the elderly and transportation disadvantaged. SFRTA shuttle services are contracted to a for-profit operator. This project will provide additional service and benefit these existing relationships.

The SFRTA also maintains a yearly Transit Development Plan (TDP), which serves as the authority's guide to needed operational and capital improvements. The TDP has identified the need for an expanded shuttle bus system. The following recommendations are taken directly from the SFRTA's TDP:

"Expand Tri-Rail feeder bus service coverage to improve the interconnections between Tri-Rail stations and major South Florida land uses, including the downtown areas, airports, employers, colleges and beaches."

"Expand Tri-Rail feeder bus service hours to include weekday evenings and weekends as warranted by demand and within funding constraints."

**12) Please provide the number of months needed upon receipt of award to begin providing services to the project's target population. If your service is dependent upon the purchase of vehicles, use the vehicle anticipated delivery date as your starting point to determine the number of months needed to begin initiation of service.**

The service is currently being provided to the targeted population. If awarded, this grant will provide service for an additional two years with no break in service.

13) How will the project be monitored and evaluated on an ongoing basis? What criteria will be used to establish the success of the project?

Ridership data will be collected daily by the contractor as required as a component of the shuttle bus contract. Performance measures that will be used to determine the effectiveness of the new shuttle routes include:

Annual Ridership  
Average Weekday/Weekend Daily Ridership  
Average Weekday/Weekend Hourly Ridership  
Passenger Trips per Revenue Hour  
Operating Cost per Passenger Trip

SFRTA staff will monitor the daily shuttle bus operations and document any customer comments or complaints.

*Please note that the FTA requires that the following measures be reported on by program:*

JARC

- *Actual or estimated number of jobs that can be accessed as a result of geographic or temporal coverage of JARC projects implemented in the current reporting year.*
- *Actual or estimated number of rides (as measured by one-way trips) provided as a result of the JARC projects implemented in the current reporting year.*

New Freedom

- *Services provided that impact availability of transportation services for individuals with disabilities as a result of the New Freedom projects implemented in the current reporting year. Examples include geographic coverage, service quality and/or service times.*
- *Additions or changes to environmental infrastructure (e.g., transportation facilities, sidewalks, etc), technology, vehicles that impact availability of transportation services as a result of the New Freedom projects implemented in the current reporting year.*
- *Actual or estimated number of rides (as measured by one-way trips) provided for individuals with disabilities as a result of New Freedom projects implemented in the current reporting year.*

14) Does your organization or agency provide similar services to the project you are seeking to fund?

Yes. SFRTA provides contracted shuttle bus services to additional Tri-Rail stations.

15) Does your organization have experience in administering federal grants?

Yes. SFRTA has administered numerous federal grants as we are a recipient of federal grants. Additionally, SFRTA has also administered a Full Funding Grant Agreement which it received in 2001 for its Segment 5 Double Tracking Project.

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**SECTION 3: ADDITIONAL INFORMATION OF OPERATING PROJECTS**

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*Questions 16 - 23 apply to projects that include an operations element. If your project does not include an operations element, please skip to question 25.*

16) Indicate the proposed operator of the service.

- Applicant will operate service  
 Service will be contracted out (if service is contracted out, please explain how an operator will be selected or if already known, please identify the operator).

The current operator, Limousines of South Florida, will operate the service.

17) If the proposed project is the continuation of an existing JARC/NF funded project, is the project currently meeting its main objectives including serving target population ridership projections?

Current ridership numbers show that the routes have been effective in serving the intended target populations. June ridership totaled 4,145 trips. This exceeds the SFRTA's performance standard of seven riders-per-hour. As mentioned previously, performance measures were established for total route ridership to determine the route's effectiveness.

18) If the proposed project is an expansion of an existing project, explain how the expanded project will differ from the current service with respect to service coverage area, hours of service, trip purpose, or level of service. For instance, will reservations requirements be less restrictive allowing same-day reservations instead of requiring reservations 24 hours in advance?

This project is not an expansion of an existing project.

19) Explain how the project you are seeking funding for differs from other services in the area with respect to service coverage area, hours of service, trip purpose, or level of service. For instance, will reservation requirements be less restrictive allowing same-day reservations instead of requiring reservations 24 hours in advance?

The level/quality of service differs from county bus routes as it is coordinated to meet trains more effectively, reducing the amount of time between rail and bus transfers. The service provided also provides a direct one-seat-ride connection between the Tri-Rail station and the surrounding areas.

- 20) Explain what connections the project provides to key destinations and activity centers, particularly those destinations that present opportunities for employment assistance or employment. Be as specific as possible in identifying significant destinations.

The Opa-Locka South Route will directly serve the community of Opa-Locka and the surrounding employment centers such as Miami-Dade College, the Opa-Locka Airport, as well as other businesses within the city. Employees and students of Miami-Dade College will benefit greatly from a regional connection the Tri-Rail System. A sizeable portion of this route will provide shuttle service along local streets within the community that are not currently served by fixed bus routes.

- 21) Explain how this project provides access to other transportation services that go beyond the project's proposed geographic boundary.

This project provides access to populations within the service area to the South Florida region via Tri-Rail. These routes also provide connections to the Miami-Dade County transit system.

- 22) Please provide the projected ridership in the table below.

**PROJECTED RIDERSHIP (12-month period)**

Program	Target Population	Current Ridership (one-way trips)	Projected Ridership (one-way trips)
JARC	Low Income/Welfare	11938	
New Freedom	Individuals with Disabilities		
	Other	37802	
	<b>TOTAL</b>	49740	

Explain how the ridership and cost estimates were determined.

Total ridership was determined based on existing ridership data. Ridership data from the month of June 2011 - the most recent data available - was used and multiplied by 12 months to get the total annual ridership since the route has not been in operation for a full year.

Low-income ridership was based on 2008 survey data which showed that 24% of Tri-Rail riders are from low-income households.

23) Please provide operating funding request in the table below.

**OPERATING FUNDING REQUEST (50%/50% Match Required)**

	12-month period	24-month period (maximum allowable)
Total Operating Cost (all eligible operating costs)	\$378950	\$757900
Less Project Revenues (Fare box)	\$(0)	\$(0)
Net Project Cost	\$378950	\$757900
Local Share Requirement (50% of Net Project Cost)	\$189475	\$378950
Request for Operating Funding	\$189475	\$378950

*If the funding request is for any other duration, clearly state the project duration,*

Provide supplementary budget sheets to illustrate how the total operating cost was derived. If funding is sought for multiple routes, cost estimates must be provided for individual routes. Failure to provide necessary details to justify the project cost may result in rejection of the application.

If the funding request is for expanding an existing service that currently does not receive JARC/NF funding; only the expansion portion of the project is eligible for JARC/NF funding consideration.

24) Based on the projected ridership and operating cost, estimate the cost per one-way trip.

\$7.62

**SECTION 4: ADDITIONAL INFORMATION OF CAPITAL/MOBILITY MANAGEMENT PROJECTS**

*Questions 25 - 28 apply to projects that include Capital and/or Mobility Management elements. If your project does not include these elements, please skip to question 29.*

25) For each capital project element, please provide the appropriate information in the table below:

**CAPITAL FUNDING REQUEST (80%/20% Match Required)**

Capital Elements	Estimated Cost	Local Share	Federal Request
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
<b>TOTALS</b>	\$	\$	\$

Provide supplementary budget sheets to illustrate how the total capital cost was derived. Failure to provide necessary details to justify the project cost may result in rejection of the application.

26) For each element identified in question #24 (with the exception of vehicles), please explain the major items that are included in the estimated cost and how the estimate was derived.

27) For each Mobility Management/Planning project element, please provide the appropriate information below:

**MOBILY MANAGEMENT/PLANNING FUNDING REQUEST (80%/20% Match Required)**

Major Activities	Estimated Cost	Local Share	Federal Request
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
<b>TOTALS</b>	\$	\$	\$

- 28) For each element identified in question #26, please explain the major items that are included in the cost estimate and how the estimate was derived.

**SECTION 5: SUMMARY OF PROJECT COST**

*Questions 29-31 apply to all projects.*

29) Provide the requested information in the following table for the year you are requesting funds. If you are using Toll Credits as match for an allowable activity, please indicate "Toll Credit" in the appropriate box and have the Federal share reflect 100% of the net project cost. Transfer the information from questions 22, 24, and 26 as appropriate for the funding request. If a request is for less than 12 months please note the funding period in terms of months.

N/A

**TOTAL FUNDING REQUEST**

Eligible Project Activities		Year 1 Request			Year 2 Request		
		Federal Funding	Local Match	Total Net Cost	Federal Funding	Local Match	Total Net Cost
Operating - 50% Match Required	Opa-Locka South Route	\$189,475	\$189,475	\$378,950	\$189,475	\$189,475	\$378,950
		\$	\$	\$	\$	\$	\$
Capital - 20% Match Required		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
Mobility Management / Planning - 20% Match Required		\$	\$	\$	\$	\$	\$
<b>TOTAL</b>		<b>\$189,475</b>	<b>\$189,475</b>	<b>\$378,950</b>	<b>\$189,475</b>	<b>\$189,475</b>	<b>\$378,950</b>

30) Indicate the source of local match for each year that funding is requested. If local match funds are being derived from an existing grant, please attach a copy of the grant agreement/contract or supporting documentation.

The project will draw funds from the SFRTA shuttle bus operating budget. Funds will also come from an inter-local agreement with the City of Opa-Locka.

31) Is there a commitment of funds beyond the requested grant period?  Yes  No  
 If yes, please explain the nature of the commitment.  
 If no, please explain the steps you will take to attain sustainability.

SFRTA maintains a shuttle bus operating budget which has a commitment of funds beyond the requested grant period.

**SECTION 6: LETTERS OF SUPPORT**

**Letters of Support**

All letters of support must be submitted with the application. Letters should indicate the nature of support (financial, participation, coordination, etc.).

Indicate if letters of support are included.  Yes       No

“ THE GREAT CITY “

Myra Taylor  
Mayor



City of  
**OPA-LOCKA**  
Florida

(305) 953-2801 Office  
(305) 953- 2834 Fax

September 2, 2011

Kristin Jacobs, SFRTA Governing Board Chair  
South Florida Regional Transportation Authority  
800 N.W. 33rd Street  
Pompano Beach, FL 33064

Re: Job Access Reverse Commute - City of Opa-locka Bus Shuttle

Dear Ms. Jacobs:

As Mayor of the Great City of Opa-locka, allow me to first thank South Florida Regional Transportation Authority for supporting the citizens of this community by providing the potential for transit improvement. This service assists countless members of my community.

The City of Opa-locka is located in northwestern Miami-Dade County. The City is home for approximately 15,000 citizens that occupy just over four square miles. The median age of our population is 27 and the 2000 census reported that \$19,600.00 is the median annual household income, and fifty percent (50%) of the households are within very low to moderate income.

Although Opa-locka was once an area of thriving industry and economic growth, the City was negatively impacted by the fuel recession of the 1970's and, unfortunately, failed to regain its posture of vibrant economic strength. Today, we struggle with failing infrastructure, minimal growth and limited job opportunities within the City. Most of our residents are employed in areas outside of the city boundaries thus forcing them to commute to places of employment.

The City has two examples of effective transportation systems, specifically the Opa-locka Airport and the Tri-Rail Station. The Opa-locka Bus Shuttle is critical in stimulating economic growth by facilitating the movement of residents to places of work and school. With the assistance of the Metropolitan Planning Organization (MPO), we have executed a study to determine specific transit needs of our residents and businesses. This study was conducted through a series of town hall discussions by transportation consultants in conjunction with our residents. As a result, we have arrived at two optimal routes and we are committed to continue providing matching funds towards shuttle operating costs. Shuttle ridership has increased and the service has proved beneficial to our residents.

Again, I want to reiterate my gratitude to your organization for its commitment to improving this critical access to the citizens of City of Opa-locka.

Sincerely,

Myra Taylor  
Mayor



**METROPOLITAN PLANNING ORGANIZATION  
(MPO) SECRETARIAT**

111 N.W. 1 STREET, SUITE 920  
MIAMI, FLORIDA 33128-1904  
(305) 375-4507  
FAX: (305) 375-4950

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September 6, 2011

Mr. Joseph Giuliatti, Executive Director  
South Florida Regional Transportation Authority  
800 NW 33<sup>rd</sup> Street, Suite 100  
Pompano Beach, FL 33064

Dear Mr. Giuliatti,

I am writing this letter in support of the continuation of the Tri-Rail Opa-Locka South route as identified in the South Florida Regional Transportation Authority's Job Access Reverse Commute (JARC) application.

The continuation of this Tri-Rail shuttle bus service will maintain the premium regional transit connection to the City of Opa-Locka, Miami-Dade College, and the surrounding areas. This project has been a good fit for the JARC program because it has provided reverse commute opportunities to workers in the Opa-Locka area. We hope that this Tri-Rail shuttle service will continue in the future since it has been successful in providing much needed transportation alternatives for South Florida workers.

Sincerely,

Irma San Roman, Interim Director  
Miami-Dade County MPO

**APPLICANT SIGNATURE**

I certify, to the best of my knowledge, that the information in this application is true and accurate and that this organization has the necessary fiscal, data collection, and managerial capability to implement and manage the projects associated with this application.

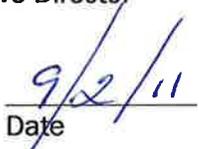
Applicant Agency      South Florida Regional Transportation Authority

Project Title            Opa-Locka South Route

Name of Signatory     Jack Stephens

Title of Signatory      Deputy Executive Director

  
Authorized Signature

  
Date

**EXHIBIT A1: GOVERNING BOARD RESOLUTION AND LOCAL MATCH CERTIFICATION  
TO BE COMPLETED BY ALL APPLICANTS WITH A GOVERNING BOARD**

**Resolution No.**

**Project Title**

Resolution authorizing applications for and execution of a Job Access Reverse Commute or New Freedom grant agreement under the South Florida Regional Transportation Authority's general authority to make such Grants.

**Whereas**, the South Florida Regional Transportation Authority ("SFRTA"), is authorized make such grants as the designated recipient of Job Access Reverse Commute and New Freedom programs for Broward, Miami-Dade, and Palm Beach counties; and

**Whereas**, the SFRTA has the power to expend funds for use in connection with Job Access Reverse Commute or New Freedom projects, and

**Whereas**, the SFRTA has the power to make and execute all contracts and other instruments necessary or convenient to the exercise of its powers, and

**Whereas**, approval for said funds will impose certain financial obligations upon the recipient.

**NOW, THEREFORE, BE IT RESOLVED BY THE GOVERNING BOARD OF THE [ *Name of Applicant*]:**

**Section 1.** That the [ *Authorized Official*], { *Title* } and his/her successor is authorized to execute and file applications on behalf of [ *Name of Applicant*] with the South Florida Regional Transportation Authority for a Job Access Reverse Commute or New Freedom grant for [ *Project Title*].

**Section 2.** That the [ *Authorized Official*], { *Title* } and his/her successor is authorized to furnish such additional information, assurances, certifications and amendments as the SFRTA may require in connection with this Job Access Reverse Commute or New Freedom grant agreement application.

**Section 3.** That the [ *Authorized Official*], { *Title* } and his/her successor certify that { *Name of Applicant* } will provide the required local match from { *Source of Funds and the Amount of Local Match* } funds.

**Section 4.** That the [ *Authorized Official*], { *Title* } and his/her successor is authorized and directed on behalf of the [ *Name of Applicant*] to execute and deliver grant agreements and all subsequent amendments thereto between the [ *Name of Applicant*] and the SFRTA for Job Access Reverse Commute or New Freedom grant, and the Secretary of the ( *Name of Applicant*) is authorized and directed on behalf of the [ *Name of Applicant*] to attest said agreements and all subsequent amendments thereto.

**Section 5.** That the [ *Authorized Official*], { *Title* } and his/her is authorized and directed to take such action as is necessary or appropriate to implement, administer and enforce said agreements and all subsequent amendments thereto on behalf of the [ *Name of Applicant*].

PRESENTED and ADOPTED the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Signature of Attest

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

**SOUTH FLORIDA**  
**REGIONAL TRANSPORTATION**  
**AUTHORITY**  
**GOVERNING BOARD**

**REGULAR MEETING AGENDA**  
**AUGUST 26, 2011**  
**9:30 a.m.**

South Florida Regional Transportation Authority  
Board Room  
800 NW 33<sup>rd</sup> Street  
Pompano Beach, FL 33064

SFRTA BOARD MEETINGS ARE SCHEDULED ON THE FOURTH FRIDAY OF EACH MONTH AT 9:30 A.M. FOR FURTHER INFORMATION CALL (954)942-RAIL (7245). TIME OF MEETINGS SUBJECT TO CHANGE.

**SFRTA Board Members**

Commissioner Steven L. Abrams  
Marie Horenburger  
George Morgan, Jr.

Commissioner Bruno Barreiro  
Commissioner Kristin Jacobs, Chair  
Gus Pego

James A. Cummings  
Felix M. Lasarte  
F. Martin Perry

**Executive Director**

Joseph Giuliatti

**GOVERNING BOARD REGULAR MEETING**  
**OF AUGUST 26, 2011**

The meeting will convene at 9:30 a.m., and will be held in the Board Room of the South Florida Regional Transportation Authority, Administrative Offices, 800 NW 33<sup>rd</sup> Street, Suite 100, Pompano Beach, Florida 33064.

**CALL TO ORDER**

**MOMENT OF SILENCE**

**PLEDGE OF ALLEGIANCE**

**AGENDA APPROVAL** – Additions, Deletions, Revisions

**MATTERS BY THE PUBLIC** – Persons wishing to address the Board are requested to complete an “Appearance Card” and will be limited to three (3) minutes. Please see the Minutes Clerk prior to the meeting.

**DISCUSSION -**

D1. FDOT Update

<b>CONSENT AGENDA</b>
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Those matters included under the Consent Agenda are self-explanatory and are not expected to require review or discussion. Items will be enacted by one motion in the form listed below. If discussion is desired by any Board Member, however, that item may be removed from the Consent Agenda and considered separately.
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**C1. MOTION TO APPROVE:** Minutes of Governing Board’s Regular Meeting June 24, 2011.

<b>REGULAR AGENDA</b>
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Those matters included under the Regular Agenda differ from the Consent Agenda in that items will be voted on individually. In addition, presentations will be made on each motion, if so desired.
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**R1. MOTION TO APPROVE:** South Florida Regional Transportation Authority (SFRTA) FY 2012- 2021 Transit Development Plan Annual Update (TDP).

Department: Planning & Capital Development  
Project Manager: William L. Cross

Department Director: Daniel R. Mazza, P.E.  
Procurement Director: Chris Bross

**R2. MOTION TO APPROVE:**

- (1) Interlocal Agreement between the South Florida Regional Transportation Authority (SFRTA) and the Fort Lauderdale Downtown Development Authority (DDA), where the SFRTA will be the Designated Recipient grantee of Federal funds for the DDA to provide funding for the Fort Lauderdale Downtown Transit Circulator Transit Improvement project (WAVE) and to administer expenditures under the grant.
- (2) Delegated Authority to the Executive Director to enter into the Grant Agreement with the Federal Transit Administration (FTA) (as referenced in the Interlocal Agreement).

Department: Finance and IT  
Project Manager: Carla D. McKeever

Finance & IT Director: Edward T. Woods  
Procurement Director: Christopher Cross

**R3. MOTION TO APPROVE:** The Sub-Recipient Agreement between the South Florida Regional Transportation Authority (SFRTA) and the City of Doral (City).

Department: Finance and IT  
Project Manager: Carla D. McKeever

Finance & IT Director: Edward T. Woods  
Procurement Director: Christopher Cross

**R4. MOTION TO APPROVE:** Amendment No. 1 to the South Florida Regional Transportation Authority (SFRTA) FY 2011-2012 Operating Budget to increase the Marketing Budget by \$210,747 for a campaign to market the new regional fare card and \$30,205 for a marketing effort to inform passengers of the closing of the Miami Airport Station/Relocation to the Hialeah Market Station.

Department: Finance and IT  
Project Manager: Elizabeth Walter-Ebersol

Finance & IT Director: Edward T. Woods  
Procurement Director: Christopher Cross

**R5. MOTION TO APPROVE:** An adjustment to the transfer discount amount provided to passengers transferring from the Broward County Transit (BCT), Miami-Dade Transit (MDT) and PalmTran transit systems to Tri-Rail of \$2.00 for full fare passengers and \$1.00 for discounted fare passengers.

Department: Executive  
Project Manager: Renee Matthews

Department Director: Jack Stephens  
Procurement Director: Christopher Cross

**R6. MOTION TO APPROVE:** the Updated Draft SFRTA Ethics Policy, incorporating the relevant provisions of the Code for Public Officers, Ch. 112, Part III, F.S. and the Governing Board's selection of proposed alternative language, if any, regarding Key Ethical Issues.

Department: Legal  
Project Manager: Teresa Moore

Department Director: Teresa Moore  
Procurement Director: N/A

**R7. MOTION TO APPROVE:** the Amended SFRTA By-laws, as outlined herein.

Department: Legal  
Project Manager: Teresa Moore

Department Director: Teresa Moore  
Procurement Director: N/A

**R8. MOTION TO APPROVE:**

- (1) Interlocal Agreement between the South Florida Regional Transportation Authority (SFRTA) and the Town of Miami Lakes (the Town) where the SFRTA will be the recipient grantee of funds for the Town to provide capital funding for Hybrid Electric Vehicles and Trolleybus Procurement; and
- (2) Delegated Authority to the Executive Director to enter into the Grant Agreement with the Federal Transit Administration (FTA) and the Subrecipient Agreement with the Town (both as referenced in the Interlocal Agreement)

Department: Finance and IT  
Project Manager: Carla D. McKeever

Finance & IT Director: Edward T. Woods  
Procurement Director: Christopher Bross

**R9. MOTION TO APPROVE:**

- A. Delegate authority to the Chair to make changes to the FY 2011-12 State Legislative Plan (to be brought before the Governing Board in September) during the legislative session and to report any changes to the Board at each regularly scheduled Board meeting.
- B. Approval of additional advocacy assistance, as needed to effectuate the 2011-12 State Legislative Plan, in an amount not to exceed \$350,000.00.

Department: Executive  
Project Manager: Vicki A. Wooldridge

Department Director: Joseph Giuliatti  
Procurement Director: N/A

**R10. MOTION TO APPROVE:**

Amendment No. 2 to the South Florida Regional Transportation Authority (SFRTA) FY 2011-2012 Operating Budget to increase the Professional Fees by \$350,000 and to reduce the amount of Personnel Expense by \$350,000.

Department: Finance & Information Technology  
Project Manager: Elizabeth Walter-Ebersole

Finance & IT Director: Edward Woods  
Procurement Director: Christopher Bross

<b>INFORMATION / PRESENTATION ITEMS</b>
---

Action not required, provided for information purposes only. If discussion is desired by any Board Member, however, that item may be considered separately.
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**I-1 INFORMATION** – Planning Technical Advisory Committee (PTAC) Report

**I-2 INFORMATION** - Bus Route Elimination Operational Reassessment and Progress Report

**I-3 INFORMATION** - Grant Update

## COMMITTEE REPORTS / MINUTES

Action not required, provided for information purposes only. If discussion is desired by any Board Member, however, that item may be considered separately.

- A. PROPERTY TASK FORCE
- B. [CONSTRUCTION OVERSIGHT COMMITTEE](#) June and July
- C. [PLANNING TECHNICAL ADVISORY COMMITTEE](#) June
- D. [MARKETING COMMITTEE](#) June and July
- E. OPERATIONS TECHNICAL COMMITTEE
- F. CITIZENS ADVISORY COMMITTEE
- G. AUDIT COMMITTEE
- H. LEGISLATIVE COMMITTEE
- I. ADVISORY COMMITTEE FOR PERSONS WITH DISABILITIES
- J. LEGAL SERVICES COMMITTEE

## MONTHLY REPORTS

Action not required, provided for information purposes only. If discussion is desired by any Board Member, however, that item may be considered separately.

- A. [ENGINEERING & CONSTRUCTION MONTHLY PROGRESS REPORTS](#) – June and July
- B. [RIDERSHIP GRAPHS](#) – June and July
- C. [ON-TIME PERFORMANCE GRAPHS](#) – June and July
- D. [MARKETING MONTHLY SUMMARY](#) – June and July
- E. [BUDGETED INCOME STATEMENT](#) – June and July
- F. [PAYMENTS OVER \\$2,500.00](#) – June and July
- G. [REVENUE AND FARE EVASION REPORTS](#) – June and July
- H. [SOLICITATION SCHEDULE](#) – June and July
- I. [CONTRACT ACTIONS EXECUTED UNDER THE EXECUTIVE DIRECTOR'S AUTHORITY](#) - June and July
- J. [CONTRACT ACTIONS EXECUTED UNDER THE CONSTRUCTION OVERSIGHT COMMITTEE](#) – June and July
- K. [PROPERTY COMMITTEE – PROJECT SCHEDULE](#) - Current
- L. [SECURITY REPORT](#) – June and July
- M. [EXPIRING CONTRACTS REPORT](#) - June and July

N. CONTRACT ACTIONS EXECUTED UNDER GENERAL COUNSEL'S AUTHORITY - June and July

OTHER BUSINESS

EXECUTIVE DIRECTOR REPORTS/COMMENTS

LEGAL COUNSEL COMMENTS

CHAIR COMMENTS

BOARD MEMBER COMMENTS

ADJOURNMENT

In accordance with the Americans with Disabilities Act and Section 286.26, Florida Statutes, persons with disabilities needing special accommodation to participate in this proceeding, must at least 48 hours prior to the meeting, provide a written request directed to the Executive Office at 800 NW 33<sup>rd</sup> Street, Suite 100, Pompano Beach, Florida, or telephone (954) 942-RAIL (7245) for assistance; if hearing impaired, telephone (800) 273-7545 (TTY) for assistance.

Any person who decides to appeal any decision made by the Governing Board of the South Florida Regional Transportation Authority with respect to any matter considered at this meeting or hearing, will need a record of the proceedings, and that, for such purpose, he/she may need to ensure that a verbatim record of the proceedings is made, which record includes the testimony and evidence upon which the appeal is to be based.

Persons wishing to address the Board are requested to complete an "Appearance Card" and will be limited to three (3) minutes. Please see the Minutes Clerk prior to the meeting.

SOUTH FLORIDA REGIONAL TRANSPORTATION AUTHORITY  
GOVERNING BOARD MEETING: AUGUST 26, 2011

AGENDA ITEM REPORT

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Information Item       Presentation

GRANT UPDATE

SUMMARY EXPLANATION AND BACKGROUND:

In the spring and summer of 2011, numerous grant funding programs were announced by the Federal Transit Administration and the State of Florida. Many of these programs were a good fit for existing SFRTA plans and projects. The following list of grant applications includes both grant applications that have been submitted by SFRTA which are currently pending and grant applications that SFRTA is intending to submit.

Department: Planning & Capital Development      Department Director: Daniel R. Mazza, P.E.  
Project Manager: Lynda Kompelein Westin, AICP      Procurement Director: Chris Bross

EXHIBITS ATTACHED: Exhibit 1 - 2011 Grant Application Summary

GRANT UPDATE

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Recommended by: Daniel Mejia 8/17/11 Approved [Signature]  
Department Director Date Contracts Director Date

Authorized by: [Signature] 8/17/11 Approved as to Form [Signature] 8-18-11  
Executive Director Date General Counsel Date

## South Florida Regional Transportation Authority

2011 Grant Applications  
As of August 5, 2011

1. **State of Florida FY 13/14 Transportation Regional Incentive Program Priorities (TRIP)**
  - a. **Purpose:** TRIP was created to improve regionally significant transportation facilities in "regional transportation areas". State funds are available throughout Florida to provide incentives for local governments and the private sector to help pay for critically needed projects that benefit regional travel and commerce.
  - b. **Application Date:** June 1, 2011
  - c. **Project Applied for:** New Locomotive
  - d. **Description of Project:** To add system capacity.
  - e. **Project Budget:** \$4,500,000
  - f. **Grant Request:** \$2,250,000
  - g. **Project Match:** \$2,250,000
  
2. **State of Florida Transportation Community, and System Preservation Program (TCSP)**
  - a. **Purpose:** The Transportation, Community, and System Preservation (TCSP) Program provides funding for a comprehensive initiative including planning grants, implementation grants, and research to investigate and address the relationships among transportation, community, and system preservation plans and practices and identify private sector-based initiatives to improve those relationships.
  - b. **Application Date:** June 3, 2011
  - c. **Project Applied for:** Tri-Rail Northern Layover Facility
  - d. **Description of Project:** TSCP funds would be used to accelerate the project development process for a proposed Tri-Rail Northern Layover Facility in Palm Beach County.
  - e. **Project Budget:** \$2,000,000
  - f. **Grant Request:** \$ 500,000
  - g. **Project Match:** \$1,500,000
  
3. **Federal Section 5309 Discretionary Bus and Bus Facilities "State of Good Repair" Grant Program**
  - a. **Purpose:** Financing of capital projects to replace, rehabilitate, and purchase buses and related equipment and to construct/ rehabilitate bus-related facilities.
  - b. **Application Date:** July 28, 2011
  - c. **Project Applied for:** Cypress Creek Mobility Hub Implementation Project
  - d. **Description of Project:** The proposed project consists of replacing 345 space surface parking lot with an approximately 1,000 space shared use intermodal parking structure to unlock the private sector investment opportunities at the Cypress Creek Tri-Rail station.
  - e. **Project Budget:** \$15,000,000

- f. **Grant Request:** \$12,000,000
- g. **Project Match:** \$ 3,000,000

**4. Federal Section 5309 Bus and Bus Facilities Livability Initiative Grant Program**

- a. **Purpose:** The program goal is to further the DOT/HUD/EPA six liveability principles, by replacing, rehabilitating, and purchasing buses and related equipment and to construct bus related facilities.
- b. **Application Date:** July 28, 2011
- c. **Project Applied for:** Alternative Fuel Shuttle Bus Fleet Procurement
- d. **Description of Project:** In order to improve SFRTA operational efficiencies and to provide more environmentally friendly transportation options, the SFRTA is seeking to replace the existing diesel shuttle bus fleet, with is currently owned by SFRTA's shuttle bus contractor, with new alternative fuel buses owned by SFRTA.
- e. **Project Budget:** \$5,695,000
- f. **Grant Request:** \$4,556,000
- g. **Project Match:** \$1,139,000

**5. Federal Section 5309 Bus and Bus Facilities Livability Initiative Grant Program**

- a. **Purpose:** The program goal is to further the DOT/HUD/EPA six liveability principles, by replacing, rehabilitating, and purchasing buses and related equipment and to construct bus related facilities.
- b. **Application Date:** July 28, 2011
- c. **Project Applied for:** Cypress Creek Mobility Hub Implementation Project
- d. **Description of Project:** The proposed project consists of replacing 345 space surface parking lot with an approximately 1,000 space shared use intermodal parking structure to unlock the private sector investment opportunities at the Cypress Creek Tri-Rail station.
- e. **Project Budget:** \$15,000,000
- f. **Grant Request:** \$12,000,000
- g. **Project Match:** \$3,000,000

**6. Federal FY 2011 Discretionary Sustainability Funding Opportunity Transit Investment for Greenhouse Gas and Energy Reduction (TIGGER)**

- a. **Purpose:** Capital investments that will assist in reducing the energy consumption of a transit system or reduce greenhouse gas emissions of a public transportation system.
- b. **Application Date:** Anticipated August 9, 2011
- c. **Project Applied for:** Tri-Rail Pompano Beach Green Station Demonstration Project
- d. **Description of Project:** The project is an innovative demonstration project that will showcase Tri-Rail's first green, LEED certified, sustainable station, which will generate more than 100% of the station's energy demand through solar panels, and reconstruction of an existing parking lot to be more environmentally friendly and energy efficient.
- e. **Project Budget:** \$12,836,029
- f. **Grant Request:** \$ 5,713,549
- g. **Project Match:** \$ 7,122,480

**7. Federal FY 2011 Discretionary Bus and Bus Facilities Grant Program Supporting the Clean Fuels Grant Program**

- a. **Purpose:** Assisting attainment areas in reducing ozone and CO and supporting emerging clean fuel and advanced propulsion technologies for transit buses and markets for those technologies.
- b. **Application Date:** Anticipated August 9, 2011
- c. **Project Applied for:** Alternative Fuel Shuttle Bus Fleet Procurement
- d. **Description of Project:** In order to improve SFRTA operational efficiencies and to provide more environmentally friendly transportation options, the SFRTA is seeking to replace the existing diesel shuttle bus fleet, with is currently owned by SFRTA's shuttle bus contractor, with new alternative fuel buses owned by SFRTA.
- e. **Project Budget:** \$5,695,000
- f. **Grant Request:** \$4,556,000
- g. **Project Match:** \$1,139,000

**8. Federal Discretionary FTA National Research Program**

- a. **Purpose:** The Federal Transit Administration (FTA) is soliciting proposals for transit climate change adaptation assessment pilots to assess the vulnerability of transit agency assets and services to climate change hazards.
- b. **Application Date:** Anticipated August 9, 2011
- c. **Project Applied for:** Systemwide Climate Change Adaptation Study
- d. **Description of Project:** The Systemwide Climate Change Adaptation Study will investigate systemwide impacts on SFRTA assets and infrastructure from events such as extreme storms, lightning strikes, prolonged heat and humidity, intense sunlight, increasing severity of drought and wildfires, heavy downpours and sea level rise.
- e. **Project Budget:** \$175,000
- f. **Grant Request:** \$157,500
- g. **Project Match:** \$ 17,500

**9. Federal Job Access Reverse Commute (JARC) Grant Program**

- a. **Purpose:** The JARC Program is intended to improve access to jobs for eligible low-income individuals and welfare recipients, as well as to provide reverse- commute trips for the general population. A reverse-commute trip provides transportation for urban, suburban and rural residents to suburban employment opportunities.
- b. **Application Date:** Anticipated September 9, 2011
- c. **Project Applied for:** Boynton Beach Shuttle
- d. **Description of Project:** Provision of shuttle services supporting commuters using the Boynton Beach Tri-Rail station.
- e. **Project Budget:** \$740,740
- f. **Grant Request:** \$370,370
- g. **Project Match:** \$370,370

**10. Federal Job Access Reverse Commute (JARC) Grant Program**

- a. **Purpose:** The JARC Program is intended to improve access to jobs for eligible low-income individuals and welfare recipients, as well as to provide reverse- commute trips for the general population. A reverse-commute trip provides transportation for urban, suburban and rural residents to suburban employment opportunities.
- b. **Application Date:** Anticipated September 9, 2011
- c. **Project Applied for:** Fort Lauderdale Shuttles 2 & 3
- d. **Description of Project:** Continuation of shuttle services supporting commuters using the Fort Lauderdale Tri-Rail station.
- e. **Project Budget:** \$550,550
- f. **Grant Request:** \$275,275
- g. **Project Match:** \$275,275

**11. Federal Job Access Reverse Commute (JARC) Grant Program**

- a. **Purpose:** The JARC Program is intended to improve access to jobs for eligible low-income individuals and welfare recipients, as well as to provide reverse- commute trips for the general population. A reverse-commute trip provides transportation for urban, suburban and rural residents to suburban employment opportunities.
- b. **Application Date:** Anticipated September 9, 2011
- c. **Project Applied for:** Opa-locka shuttle.
- d. **Description of Project:** Continuation of shuttle services supporting commuters using the Opa-locka Tri-Rail station.
- e. **Project Budget:** \$757,900
- f. **Grant Request:** \$378,950
- g. **Project Match:** \$189,475

**12. Federal Job Access Reverse Commute (JARC) Grant Program**

- a. **Purpose:** The JARC Program is intended to improve access to jobs for eligible low-income individuals and welfare recipients, as well as to provide reverse- commute trips for the general population. A reverse-commute trip provides transportation for urban, suburban and rural residents to suburban employment opportunities.
- b. **Application Date:** Anticipated September 9, 2011
- c. **Project Applied for:** Tri-Rail Train Frequency
- d. **Description of Project:** SFRTA hopes to add an additional weekend evening Tri-Rail train if awarded the funds.
- e. **Project Budget:** TBD
- f. **Grant Request:** TBD
- g. **Project Match:** TBD

**13. New Freedom Grant Program**

- a. **Purpose:** The New Freedom Program has been established to provide public transportation services and alternatives to public transportation for people with disabilities, beyond those required by the Americans with Disabilities Act (ADA) of 1990.
- b. **Application Date:** Anticipated September 9, 2011
- c. **Project Applied for:** Pompano Beach Station ADA Improvements

- d. **Description of Project:** SFRTA hopes to construct ADA improvements above those required by the ADA act of 1990 at the Pompano Beach Tri-Rail Station, during its upgrade to station standards used at the new Tri-Rail Stations constructed during the double tracking project for the South Florida Rail Corridor.
- e. **Project Budget:** \$3,216,256
- f. **Grant Request:** \$2,573,004
- g. **Project Match:** \$ 643,251

**14. Federal FY 2011 Discretionary Transportation Investment Generating Economic Recovery Grant Program (TIGER III)**

- a. **Purpose:** Capital Investments in surface transportation infrastructure awarded on a competitive basis for projects that will have a significant impact on the nation, a metropolitan area or a region.
- b. **Application Date:** Between October 5 and October 31.
- c. **Project Applied for:** The WAVE
- d. **Description of Project:** Construction of a 2.7 mile modern streetcar system in Downtown Fort Lauderdale connecting with major downtown destinations and existing and planned transit services.
- e. **Project Budget:** \$142,983,000
- f. **Grant Request:** TBD
- g. **Project Match:** TBD

**15. Federal Capital Investment Program - New Starts and Small Starts Program Funds**

- a. **Purpose:** Funds will be used for construction of new fixed guideway systems, or extensions to existing fixed guideway systems, or corridor based bus systems to promote livable communities, improve mobility by providing alternatives to automobile, and reduce the impact on the environment.
- b. **Application Date:** Anticipated Fall 2011
- c. **Project Applied for:** The WAVE
- d. **Description of Project:** Construction of a 2.7 mile modern streetcar system in Downtown Fort Lauderdale connecting with major downtown destinations and existing and planned transit services.
- e. **Project Budget:** \$142,983,000
- f. **Grant Request:** TBD
- g. **Project Match:** TBD

**EXHIBIT A2: LOCAL MATCH CERTIFICATION**

**TO BE COMPLETED BY ALL APPLICANTS WITHOUT A GOVERNING BOARD**

The undersigned hereby certifies that \_\_\_\_\_ South Florida Regional Transportation Authority  
(SFRTA) \_\_\_\_\_ is authorized to enter \_\_\_\_\_  
(applicant)

into an Agreement with the South Florida Regional Transportation Authority to receive a Section 5316 (Job Access and Reverse Commute) and/or a Section 5317 (New Freedom) grant for programs and services designed to improve access to transportation for people with disabilities or individuals with lower incomes as noted herein.

The undersigned also certifies that \_\_\_\_\_ SFRTA \_\_\_\_\_ agrees to provide the  
(applicant)  
requisite local share of \$378,950 {*Enter the amount*} from the SFRTA Operating Budget and through an inter-local agreement with the City of Opa-Locka {*Enter source(s) of funds*} funds.

  
Edward T. Woods

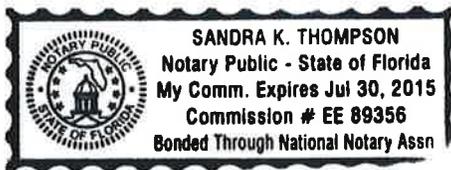
Name

Director of Finance and IT  
Title

Notary: \_\_\_\_\_



**SFRTA**  
Organization



## EXHIBIT B: PUBLIC MEETING

An opportunity for a public hearing is required **ONLY** for Public Agencies requesting capital grants under Sections 5316 and 5317. An application for Section 5316 and/or Section 5317 submitted by a public agency should contain a copy of the notice of public hearing (identified as Exhibit B) and an affidavit of publication. If Exhibit B is not applicable, this should be stated in the application.

A public notice should contain all pertinent information relating to the project (such as number and types of vehicles as well as the estimated cost of the vehicles) and should be published at least one time in a newspaper of general circulation in the applicant's service area, no less than 15 or more than 30 days prior to the submission of an application. The notice should state that persons requesting a hearing must notify the applicant of the request, in writing, and send a copy of the request for a hearing to the SFRTA.

The deadline for hearing requests **must** be prior to the date applications are due at the SFRTA. If a hearing is requested:

1. A hearing must be conducted;
2. The SFRTA must be notified of the date, time, and location of the hearing; and
3. A copy of the minutes of the hearing (to include a discussion of issues raised and resolution of issues) must be submitted to SFRTA, before a Section 5316 and/or 5317 award can be made.

**EXHIBIT C: SINGLE AUDIT ACT (as described in OMB Circular A-133)**

**1. If the applicant receives \$500,000 or more for the current fiscal year from all Federal sources:**

A. It is subject to the Single Audit Act. If this requirement applies:

- a. A copy of the applicant's most recent audit report must be submitted with the application if this was not done previously. The report should be marked "Exhibit C."
- b. If the most recent audit report was previously sent to the SFRTA, the date submitted should be shown in "Exhibit C" in the application.
- c. Applicants that received a Section 5316 and/or a Section 5317 award in the last fiscal year should include a copy of the pages from the annual audit that indicates the auditor specifically tested for Section 5316 and/or Section 5317 requirements and certifies compliance.

**2. If the applicant does not receive \$500,000 or more in Federal funds for the current fiscal year from all Federal sources combined,**

**AND / OR**

**3. If the applicant receives ONLY Section 5316 and/or Section 5317-funded vehicles/equipment,**

- a. It is exempt from the Single Audit Act.
- b. Exhibit E, Attachment 1 (below) must be submitted with the Application.

***EXHIBIT C-1 - Certification of Exemption from Single Audit Act***

IT IS HEREBY CERTIFIED THAT the applicant:

1. Will not receive \$500,000 or more for the current Fiscal Year from all federal sources combined, and is, therefore, exempt from the Single Audit Act as described in OMB A-133; and
2. In the event the applicant does receive \$500,000 or more in total from all federal sources during the current fiscal year, the applicant will comply with the Single Audit Act and submit to the SFRTA a copy of its most recent audit conducted in compliance with the Act.

(Type name and title of authorized individual)

\_\_\_\_\_  
(Signature of authorized individual)

\_\_\_\_\_  
(Date)

## Zahn Eric

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**From:** Khouzami Joseph  
**Sent:** Wednesday, August 31, 2011 2:23 PM  
**To:** Westin Lynda; Zahn Eric; Cargill Loraine; Yesbeck Natalie  
**Cc:** McKeever Carla  
**Subject:** single audit FY 2010  
**Attachments:** Single Audit Compliance Reports.pdf

Attached you will find the report

Last year the only grant (003) that we had activity in was relating to ARRA funds. This year there will be testing when it comes to New Freedom and JARC grants due to activity

Thank you

**Joseph Khouzami**  
**Senior Accountant**  
SFRTA Finance & Information Technology  
Phone: 954-788-1780 (External), Phone: 954-788-7780 (SFRTA Internal Only)  
Email: [khouzami@sfra.fl.gov](mailto:khouzami@sfra.fl.gov)

**SOUTH FLORIDA REGIONAL TRANSPORTATION AUTHORITY  
POMPANO BEACH, FLORIDA**

**REPORTS REQUIRED BY OMB CIRCULAR A-133  
AND CHAPTER 10.550, RULES OF THE AUDITOR GENERAL  
OF THE STATE OF FLORIDA**

**JUNE 30, 2010**

**TCBA WATSON RICE LLP  
CERTIFIED PUBLIC ACCOUNTANTS  
AND  
ADVISORS**

**SOUTH FLORIDA REGIONAL TRANSPORTATION AUTHORITY  
REPORTS REQUIRED BY OMB CIRCULAR A-133 AND  
CHAPTER 10.550, RULES OF THE AUDITOR GENERAL OF THE STATE OF FLORIDA  
FISCAL YEAR ENDED JUNE 30, 2010**

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**South Florida Regional Transportation Authority**  
**Schedule of Expenditures of Federal Awards and State Financial Assistance**  
**Year ended June 30, 2010**

Federal Grantor/Pass-Through Grantor Program Title	Financial Management Number	CFDA/ CSFA Number	Expenditures		
			Federal	State	Total
<b>Federal Transit Administration</b>					
<b>Assistance Formula-Section 9 Grants:</b>					
<b>Planning and Preventive Maintenance</b>					
FL-04-031		20.500	272,897	-	272,897
FL-04-039		20.500	5,385	-	5,385
FL-05-099		20.500	27,015	-	27,015
FL-90-104		20.500	9,764	-	9,764
FL-05-109		20.500	3,101,372	-	3,101,372
FL-03-204		20.500	3,442	-	3,442
FL-90-372		20.507	18,491	-	18,491
FL-90-394		20.507	20,600	-	20,600
FL-90-524		20.507	1,184,325	-	1,184,325
FL-05-672		20.507	1,140,618	-	1,140,618
FL-04-097		20.500	4,114,000	-	4,114,000
FL-05-690		20.507	1,998,711	-	1,998,711
			<u>11,896,620</u>	<u>-</u>	<u>11,896,620</u>
<b>Capital</b>					
FL-90-372		20.507	6,380	-	6,380
FL-37-042		20.516	12,847	-	12,847
FL-57-017		20.521	17,899	-	17,899
FL-90-599		20.507	46,630	-	46,630
FL-05-099		20.500	75,561	-	75,561
FL-90-394		20.507	222,307	-	222,307
FL-56-003 ARRA		20.500	227,577	-	227,577
FL-90-690		20.507	259,587	-	259,587
FL-04-031		20.500	372,150	-	372,150
FL-04-009		20.500	380,715	-	380,715
FL-04-059		20.500	434,720	-	434,720
FL-03-204		20.500	476,293	-	476,293
FL-05-672		20.507	765,191	-	765,191
FL-04-039		20.500	926,026	-	926,026
FL-90-524		20.507	2,033,830	-	2,033,830
FL-90-629		20.507	2,212,779	-	2,212,779
FL-90-592		20.507	2,479,888	-	2,479,888
			<u>10,950,380</u>	<u>-</u>	<u>10,950,380</u>
<b>Subtotal-Section 9 Grants</b>			<b><u>22,847,000</u></b>	<b><u>-</u></b>	<b><u>22,847,000</u></b>
<b>Capital Improvements-Section 3 Grants:</b>					
FL-03-248		20.500	924	-	924
<b>Subtotal-Section 3 Grants</b>			<b><u>924</u></b>	<b><u>-</u></b>	<b><u>924</u></b>
<b>Total Federal Transit Administration, balance forwarded</b>			<b><u>\$ 22,847,924</u></b>	<b><u>\$ -</u></b>	<b><u>\$ 22,847,924</u></b>

**South Florida Regional Transportation Authority**  
**Schedule of Expenditures of Federal Awards and State Financial Assistance**  
**Year ended June 30, 2010**

Federal Grantor/Pass-Through Grantor Program Title	Financial Management Number	CFDA/ CSFA Number	Expenditures		
			Federal	State	Total
<b>Balance carried forward</b>			\$ 22,847,924	\$ -	\$ 22,847,924
<b>Federal Highway Administration</b>					
<i>Pass-through the Florida Department of Transportation - Operating:</i>					
JPA # 3 ARRA	23681618401	20.205/55.018	4,000,000	12,705,000	16,705,000
JPA # 51	23468118401/40853328401	55.013	-	1,226,699	1,226,699
JPA # 66	41798318401	55.012	-	1,335,969	1,335,969
JPA # 68	42007918401	55.010	-	2,551,590	2,551,590
JPA # 78	4239311	55.021	-	241,691	241,691
JPA # 79	4239331	55.013	-	69,284	69,284
<b>Total Federal Highway Administration</b>			<b>4,000,000</b>	<b>18,130,233</b>	<b>22,130,233</b>
<b>Florida Department of Transportation</b>					
<i>Pass-through the Florida Department of Transportation - Capital:</i>					
JPA # 55	41596019401	20.312	378,830	-	378,830
JPA # 76	08-DS-66-13-00-20	97.075	2,811	-	2,811
<b>Subtotal</b>			<b>381,641</b>	<b>-</b>	<b>381,641</b>
<b>Capital Grants:</b>					
JPA # 57	41640419401	55.014	-	289,463	289,463
JPA # 63	42058019401	55.014	-	117,794	117,794
JPA # 65	42054619401	55.014	-	11,125	11,125
JPA # 69	42251719401	55.021	-	23,064	23,064
JPA # 70	42187019401	55.026	-	134,192	134,192
JPA # 71	42187119401	55.026	-	436,333	436,333
JPA # 74	42034419401	55.021	-	629,739	629,739
JPA # 77	42486019401	55.021	-	29,025	29,025
JPA # 80	42414049401	55.026	-	82,921	82,921
JPA # 82	41798019401	55.014	-	4,307,654	4,307,654
<b>Subtotal</b>			<b>-</b>	<b>6,061,310</b>	<b>6,061,310</b>
<b>Total Florida Department of Transportation</b>			<b>4,381,641</b>	<b>24,191,543</b>	<b>28,573,184</b>
<b>Total Expenditures of Federal Awards and State Financial Assistance</b>			<b>\$ 27,229,565</b>	<b>\$ 24,191,543</b>	<b>\$ 51,421,108</b>

See accompanying Notes to Schedule of Expenditures of Federal Awards and State Financial Assistance.

# **South Florida Regional Transportation Authority**

## **Note to Schedule of Expenditures of Federal Awards And State Financial Assistance For The Fiscal Year Ended June 30, 2010**

### **NOTE 1. BASIS OF PRESENTATION**

The accompanying Schedule of Expenditures of Federal Awards and State Financial Assistance includes the federal and state grant activity of South Florida Regional Transportation Authority, Pompano, Florida and is presented on the accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of OMB Circular A-133, *Audits of States, Local Governments, and Nonprofit Organizations*, and the requirements described in the Rules of the State of Florida's Department of Financial Services. Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of, the basic financial statements.



**INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**

The Governing Board  
South Florida Regional Transportation Authority  
Pompano Beach, Florida

We have audited the financial statements of the South Florida Regional Transportation Authority (the "SFRTA") as of and for the year ended June 30, 2010, and have issued our report thereon dated November 12, 2010. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States of America.

**Internal Control Over Financial Reporting**

In planning and performing our audit, we considered the SFRTA's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the SFRTA's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the SFRTA's internal control over financial reporting.

*A deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect misstatements on a timely basis. *A material weakness* is a deficiency, or combination of significant deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the SFRTA's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

This report is intended solely for the information and use of the Governing Board, management, the Auditor General of the State of Florida, and federal and state awarding agencies and pass-through entities, and is not intended to be and should not be used by anyone other than those specified parties.

Fort Lauderdale, Florida  
November 12, 2010

*TCBA Water Rice LLP*

**INDEPENDENT AUDITORS' REPORT ON COMPLIANCE WITH REQUIREMENTS  
APPLICABLE TO EACH MAJOR FEDERAL PROGRAM AND STATE PROJECT  
AND INTERNAL CONTROL OVER COMPLIANCE IN ACCORDANCE WITH  
OMB CIRCULAR A-133; AND CHAPTER 10.550, RULES OF THE AUDITOR GENERAL**

The Governing Board  
South Florida Regional Transportation Authority  
Pompano Beach, Florida

**Compliance**

We have audited the compliance of the South Florida Regional Transportation Authority (the "SFRTA"), with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) Circular A-133, *Compliance Supplement*, and the requirements described in the *Department of Financial Services' State Projects Compliance Supplement*, that are applicable to each of its major Federal programs and State projects for the year ended June 30, 2010. The SFRTA's major Federal programs and State projects are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to each of its major Federal programs and State projects is the responsibility of the SFRTA's management. Our responsibility is to express an opinion on the SFRTA's compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*; and Chapter 10.550, Rules of the Auditor General. Those standards, OMB Circular A-133, and Chapter 10.550, Rules of the Auditor General, require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major Federal program or State project occurred. An audit includes examining, on a test basis, evidence about the SFRTA's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination on the SFRTA's compliance with those requirements.

In our opinion, the SFRTA complied, in all material respects, with the requirements referred to above that are applicable to each of its major Federal programs and State projects for the year ended June 30, 2010.

## **Internal Control Over Compliance**

The management of the SFRTA is responsible for establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts, and grants applicable to Federal programs and State projects. In planning and performing our audit, we considered the SFRTA's internal control over compliance with requirements that could have a direct and material effect on a major Federal program or State project in order to determine our auditing procedures for the purpose of expressing our opinion on compliance but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the SFRTA's internal control over compliance.

A *control deficiency* in an entity's internal control over compliance exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect noncompliance with a type of compliance requirement of a Federal program or State project on a timely basis. A *significant deficiency* is a control deficiency, or combination of control deficiencies, that adversely affects the entity's ability to administer a Federal program or State project such that there is more than a remote likelihood that noncompliance with a type of compliance requirement of a Federal program or State project that is more than inconsequential will not be prevented or detected by the entity's internal control.

A material weakness is a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that material noncompliance with a type of compliance requirement of a Federal program or State project will not be prevented or detected by any entity's internal control.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and would not necessarily identify all deficiencies in internal control that might be significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above.

This report is intended solely for the information and use of management, the Governing Board, and the Auditor General of the State of Florida, and Federal and State awarding agencies and pass-through entities, and is not intended to be and should not be used by anyone other than these specified parties.

## **Schedule of Expenditures of Federal Awards and State Financial Assistance**

We have audited the financial statements of the South Florida Regional Transportation Authority (the "SFRTA"), as of and for the year ended June 30, 2010, and have issued our report thereon dated November 12, 2010. Our audit was performed for the purpose of forming an opinion on the financial statements of the SFRTA. The accompanying schedule of expenditures of Federal awards and State financial assistance is presented for purposes of additional analysis as required by the OMB's Circular A-133; and Chapter 10.550, Rules of the Auditor General, and is not a required part of the basic financial statements and, in our opinion, is fairly presented in all material respects, in relation to the basic financial statements taken as a whole.

Fort Lauderdale, Florida  
November 12, 2010

*TCBA Water Rice LLP*

# South Florida Regional Transportation Authority

## Schedule of Findings and Questioned Costs Federal Programs and State Projects Year Ended June 30, 2010

### SECTION I - SUMMARY OF AUDITORS' RESULTS

#### *Financial Statements*

Type of auditors' report issued:	Unqualified
Internal control over financial reporting:	
■ Material weaknesses identified?	_____ Yes <u>  x  </u> No
■ Significant control deficiencies identified that are not considered to be material weaknesses?	_____ Yes <u>  x  </u> None Reported
Noncompliance material to financial statements noted?	_____ Yes <u>  x  </u> No

#### *Federal Programs*

Internal control over major programs:	
■ Material weaknesses identified?	_____ Yes <u>  x  </u> No
■ Significant control deficiencies identified that are not considered to be material weaknesses?	_____ Yes <u>  x  </u> None Reported
Type of auditor's report issued on compliance for major programs:	Unqualified
Any audit findings disclosed that are required to be reported in accordance with Section 510(a) of Circular A-133?	_____ Yes <u>  x  </u> No

#### Identification of major programs:

##### *CFDA Numbers*

20.500 & 20.507  
20.205

##### *Name of Federal Program or Cluster*

Federal Transit Cluster  
Highway Planning and Construction

Dollar threshold used to distinguish between Type A and Type B programs:

\$816,887

Auditee qualified as low-risk auditee?

  ✓   Yes    \_\_\_\_\_ No

South Florida Regional Transportation Authority

Schedule of Findings and Questioned Costs  
Federal Programs and State Projects  
Year Ended June 30, 2010  
(Continued)

**SECTION I - SUMMARY OF AUDITORS' RESULTS**

*State Projects*

Internal control over major projects:

- Material weaknesses identified?  Yes  No
- Significant control deficiency identified that are not considered to be material weaknesses?  Yes  None Reported

Type of auditor's report issued on compliance for major projects: Unqualified

Any audit findings disclosed that are required to be reported in accordance with Chapter 10.550 "Rules of the Auditor General?"  Yes  No

Identification of major programs:

*CSFA Numbers*

55.014  
55.012

*Name of State Projects*

Intermodal Development Program  
Public Transit Service Development Program

Dollar threshold used to distinguish between Type A and Type B programs: \$725,752 for major state project

Auditee qualified as low-risk auditee?  Yes  No

# South Florida Regional Transportation Authority

## Schedule of Findings and Questioned Costs Federal Programs and State Projects Fiscal Year Ended June 30, 2010 (Continued)

### **SECTION II FINDINGS RELATED TO THE FINANCIAL STATEMENT AUDIT AS REQUIRED TO BE REPORTED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**

None.

### **SECTION III FINDINGS AND QUESTIONED COSTS FOR FEDERAL AWARDS**

None.

### **SECTION IV FINDINGS AND QUESTIONED COSTS FOR STATE FINANCIAL ASSISTANCE**

None.

# **South Florida Regional Transportation Authority**

## **Summary Schedule of Prior Audit Findings Fiscal Year Ended June 30, 2010**

### **PRIOR YEAR COMMENTS AND STATUS**

There were no federal awards and state financial assistance findings reported in the June 30, 2009 schedule of findings and questioned costs.

**MANAGEMENT LETTER IN ACCORDANCE WITH THE RULES OF  
THE AUDITOR GENERAL OF THE STATE OF FLORIDA**

The Governing Board  
South Florida Regional Transportation Authority  
Pompano Beach, Florida

We have audited the basic financial statements of the South Florida Regional Transportation Authority (the "SFRTA") as of and for the fiscal year ended June 30, 2010, and have issued our report thereon dated November 12, 2010.

We conducted our audit in accordance with auditing standards generally accepted in the United of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-profit Organizations*. We have issued our Independent Auditors' Report on Internal Control over Financial Reporting and Compliance and Other Matters, Independent Auditors' Report on Compliance with Requirements Applicable to each Major Federal Program and State Project and on Internal Control over Compliance, and Schedule of Findings and Questioned Costs. Disclosures in those reports and schedules, which are dated November 12, 2010, should be considered in conjunction with this management letter.

Additionally, our audit was conducted in accordance with Chapter 10.550, Rules of the Auditor General, which governs the conduct of local governmental entity audits performed in the State of Florida. This letter includes the following information, which is not included in the aforementioned auditors' report or schedule:

- Section 10.554(1)(i)1., Rules of the Auditor General, requires that we determine whether or not corrective actions have been taken to address findings and recommendations made in the preceding annual financial audit report. No significant findings or recommendations were made in the preceding annual financial audit report.
- Section 10.554(1)(i)2., Rules of the Auditor General, requires our audit to include a review of the provisions of Section 218.415, Florida Statutes, regarding the investment of public funds. In connection with our audit, we determined that the SFRTA complied with Section 218.415, Florida Statutes.
- Section 10.554(1)(i)3., Rules of the Auditor General, requires that we address in the management letter any recommendations to improve financial management. In connection with our audit, we did not have any such recommendations.
- Section 10.554(1)(i)4., Rules of the Auditor General, requires that we address violations of provisions of contracts or grant agreements, or abuse, that have occurred, or are likely to have occurred, that have an effect on the financial statements that is less than material but more than inconsequential. In connection with our audit, we did not have any such findings.

- Section 10.554(1)(i)5., Rules of the Auditor General, provides that the auditor may, based on professional judgment, report the following matters that have an inconsequential effect on financial statements, considering both quantitative and qualitative factors: (1) violations of provisions of contracts or grant agreements, fraud, illegal acts, or abuse, and (2) deficiencies in internal control that are not significant deficiencies. In connection with our audit, we did not have any such findings.
- Section 10.554(1)(i)6., Rules of the Auditor General, requires that the name or official title and legal authority for the primary government and each component unit of the reporting entity be disclosed in this management letter, unless disclosed in the notes to the financial statements. The SFRTA was established by Section 343.53(1) of the Florida Statutes. SFRTA has no component units. See also Note 1 to financial statements.
- Section 10.554(1)(i)7.a., Rules of the Auditor General, requires a statement be included as to whether or not the local government entity has met one or more of the conditions described in Section 218.503(1), Florida Statutes, and identification of the specific conditions met. In connection with our audit, we determined that the SFRTA did not meet any of the conditions described in Section 218.503(1), Florida Statutes.
- Section 10.554(1)(i)7.b., Rules of the Auditor General, requires that we determine whether the annual financial report for the SFRTA for the fiscal year ended June 30, 2010, filed with the Florida Department of Financial Services pursuant to Section 218.32(1)(a), Florida Statutes, is in agreement with the annual financial audit report for the fiscal year ended June 30, 2010. In connection with our audit, we determined that these two reports were in agreement.
- Pursuant to Sections 10.554(1)(i)7.c. and 10.556(7), Rules of the Auditor General, we applied financial condition assessment procedures. It is management's responsibility to monitor the SFRTA's financial condition, and our financial condition assessment was based in part on representations made by management and the review of financial information provide by same.

Pursuant to Chapter 119, Florida Statutes, this management letter is a public record and its distribution is not limited. Auditing standards generally accepted in the United States of America require us to indicate that this letter is intended solely for the information and use of management, the Governing Board, the Florida Auditor General, and Federal and State awarding agencies, and is not intended to be and should not be used by anyone other than these specified parties.

Fort Lauderdale, Florida  
November 12, 2010

*TCBA Water Rice LLP*

**SOUTH FLORIDA REGIONAL TRANSPORTATION AUTHORITY**

Management Letter  
Current Year Recommendations and Management's Responses  
Fiscal Year Ended June 30, 2010

**None.**

# SOUTH FLORIDA REGIONAL TRANSPORTATION AUTHORITY

## Management Letter Status of Prior Year's Recommendations and Management's Responses Fiscal Year Ended June 30, 2010

<b><u>Finding Number</u></b>	<b><u>Prior Year Comment</u></b>	<b><u>Comment Has Been Addressed</u></b>	<b><u>Comment Partially Implemented</u></b>
ML-08-03	Address Information Technology (IT) T Risk Assessment Issues	✓	

### **ML-2008-03 Information Technology**

#### ***Finding and Recommendation***

In connection with our audit, we performed a risk assessment of the Authority's Information Technology ("IT") area. As a result of this assessment the following were noted as opportunities for improvement:

- Procedure documentation
- Payment Card Industry (PCI) compliance
- Intrusion Detection Systems (IDS) protection
- Physical security

It was suggested that the foregoing areas for improvement be closely monitored and be addressed immediately for proper corrective action.

#### ***Current Year Status***

The Authority upgraded to a new Fare Collection System which is expected to be functional by January 2011. The new system will address the IT risks previously noted.

#### ***Management's Response***

We concur.

**SFRTA SAS 104-111  
IT AUDIT RECOMMENDATIONS**

Observation and Related Risk	Recommendation	Management Response
<p>1. SFRTA is not in compliance with Payment Card Industry (PCI) standards. During our review we noted that SFRTA is not properly following the 12 PCI requirements for protecting consumer credit cards. In our evaluations we confirmed the following:</p> <ul style="list-style-type: none"> <li>• Credit card transmissions were not encrypted to and from SFRTA’s credit card application.</li> <li>• Customer credit card information stored on backup tapes is not properly secured.</li> <li>• The application used to process customer credit cards are not PCI compliant.</li> </ul> <p><b>Risk 1:</b> There is a risk that PCI Security Council will request that SFRTA suspend processing credit card transactions due to non compliance of the 12 standards.</p>	<p>Management should perform the following:</p> <ul style="list-style-type: none"> <li>• A PCI review should be performed to assess the current status and the enhancements required to bring SFRTA to PCI compliance.</li> <li>• SAS 70 or similar type reports should be obtained from service providers who participate with the administration of the SFRTA credit card systems.</li> </ul>	<p><b>IT Process Owner:</b> Michael Kanefsky</p> <p><b>Remediation/Action Plan:</b> Conduct a PCI Review</p> <p><b>Response:</b> The Agency is actively seeking replacement of existing Fare Collection system. The Agency will seek a SAS70 report from AFC vendor.</p> <p><b>Anticipated Completion Date:</b> Ongoing</p> <p><b>Follow-up Response:</b> Agency remains actively engaged in Fare Collection system replacement. Participation agreement with Miami-Dade Transit to be brought to the Governing Board in December 2009. Agency expects new Fare Collection system to be functional in January 2011.</p>

PCI COMPLIANCE

**SFRTA SAS 104-111**  
**IT AUDIT RECOMMENDATIONS**

Observation and Related Risk	Recommendation	Management Response
<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>LOGICAL SECURITY CONTROLS – INTRUSION DETECTION</b></p> <p>3. During our review we noted that SFRTA does not have an Intrusion Detection System (IDS) that monitors Internet traffic to and from critical systems and alerts the IT Department for possible authorized intruders. A proactive intrusion detection program will provide SFRTA with a greater degree of protection for highly sensitive intellectual and financial assets and processes. Having an IDS is a PCI compliance requirement.</p> <p><b>Risk 1:</b> There is a risk that unauthorized intrusion may go undetected.</p>	<p>IT Management should install IDS monitoring systems around external facing firewalls and sensitive servers.</p>	<p><b>IT Process Owner:</b> Michael Kanefsky</p> <p><b>Remediation/Action Plan:</b> Install IDS near the Firewall and other sensitive database servers.</p> <p><b>Response:</b> Agreed. Agency to implement Intrusion Detection and Network Monitoring system in addition to existing Firewall monitoring.</p> <p><b>Anticipated Completion Date:</b> January 2011</p> <p><b>Follow-up Response:</b> In process of evaluation and implementation of IDS. Additional monitoring has been included as part of the Fare Collection system, scheduled for implementation January 2011.</p>

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**EXHIBIT D: FEDERAL CERTIFICATES AND ASSURANCES**

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The **last** page (Appendix A) of the annual Federal Register Notice that applies to Federal Certifications and Assurances provides applicants with a single signature page on which an applicant and its attorney must certify compliance with the requirements of the various Federal Transit Administration grants or cooperative agreements. The Federal Register Notice is revised annually and is usually available around January 1 of each year. Applicants may obtain a copy of the current year document through the internet at [http://www.fta.dot.gov/funding/grants\\_financing\\_93.html](http://www.fta.dot.gov/funding/grants_financing_93.html) (then, follow instructions on where to proceed.) If unable to access the form, applicants may contact their FDOT District Office for assistance. The appropriate signed Federal certification/assurance form must be included in the application when it is submitted to the South Florida Regional Transportation Authority.

The signature page for Federal Certifications and Assurances should be signed by an individual authorized by the applicant's governing board to sign and submit applications, and its attorney. Blue ink is suggested as it distinguishes an original signature from a photocopied signature.

**Federal Certifications and Assurances Required of Each Applicant:**

- Authority of applicant and its representative
- Standard Assurances
- Debarment, Suspension, and other Responsibility Matters
- Drug Free Workplace Certification
- Intergovernmental Review Assurance
- Federal Transit Administration Master Agreement
- Nondiscrimination Assurance
- Assurance of Nondiscrimination on the Basis of Disability Procurement Compliance.

A. Applicants for Federal Assistance may signify compliance with the above certifications and assurances by placing an "X" at the top of Appendix A next to the statement that reads: "The Applicant agrees to comply with applicable requirements of Categories I-XV". If an applicant chooses to do this, no additional notation is necessary, except for the signature on the reverse.

OR

B. The applicant may signify compliance with certifications and assurances applicable only to the Section 5316 and 5317 programs, specifically, Category XIII, by placing an "X" in Category I, "Certifications and Assurances required of each applicant" (to cover the above-noted items), as well as an "X" in Category XIII.

A description of the certifications required by the Section 5316 and/or Section 5317 Program is provided in the annual Federal Register Notice.

APPENDIX A

**FEDERAL FISCAL YEAR 2011 CERTIFICATIONS AND ASSURANCES FOR  
FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS**

*(Signature page alternative to providing Certifications and Assurances in TEAM-Web)*

Name of Applicant: South Florida Regional Transportation Authority

The Applicant agrees to comply with applicable provisions of Categories 01 – 24. ✓

OR

The Applicant agrees to comply with applicable provisions of the Categories it has selected:

<u>Category</u>	<u>Description</u>	
01.	Assurances Required For Each Applicant.	_____
02.	Lobbying.	_____
03.	Procurement Compliance.	_____
04.	Protections for Private Providers of Public Transportation.	_____
05.	Public Hearing.	_____
06.	Acquisition of Rolling Stock for Use in Revenue Service.	_____
07.	Acquisition of Capital Assets by Lease.	_____
08.	Bus Testing.	_____
09.	Charter Service Agreement.	_____
10.	School Transportation Agreement.	_____
11.	Demand Responsive Service.	_____
12.	Alcohol Misuse and Prohibited Drug Use.	_____
13.	Interest and Other Financing Costs.	_____
14.	Intelligent Transportation Systems.	_____
15.	Urbanized Area Formula Program.	_____
16.	Clean Fuels Grant Program.	_____
17.	Elderly Individuals and Individuals with Disabilities Formula Program and Pilot Program.	_____
18.	Nonurbanized Area Formula Program for States.	_____
19.	Job Access and Reverse Commute Program.	_____
20.	New Freedom Program.	_____
21.	Paul S. Sarbanes Transit in Parks Program.	_____
22.	Tribal Transit Program.	_____
23.	TIFIA Projects	_____
24.	Deposits of Federal Financial Assistance to a State Infrastructure Banks.	_____

## APPENDIX A

**FEDERAL FISCAL YEAR 2011 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE**  
(Required of all Applicants for FTA assistance and all FTA Grantees with an active capital or formula project)

## AFFIRMATION OF APPLICANT

Name of Applicant: South Florida Regional Transportation AuthorityName and Relationship of Authorized Representative: Joseph Giuliotti - Executive Director

BY SIGNING BELOW, on behalf of the Applicant, I declare that the Applicant has duly authorized me to make these certifications and assurances and bind the Applicant's compliance. Thus, the Applicant agrees to comply with all Federal statutes and regulations, and follow applicable Federal directives, and comply with the certifications and assurances as indicated on the foregoing page applicable to each application it makes to the Federal Transit Administration (FTA) in Federal Fiscal Year 2011.

FTA intends that the certifications and assurances the Applicant selects on the other side of this document, as representative of the certifications and assurances in this document, should apply, as provided, to each project for which the Applicant seeks now, or may later, seek FTA assistance during Federal Fiscal Year 2011.

The Applicant affirms the truthfulness and accuracy of the certifications and assurances it has made in the statements submitted herein with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 *et seq.*, and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31 apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with a Federal public transportation program authorized in 49 U.S.C. chapter 53 or any other statute

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Applicant are true and correct.

Signature Joseph Giuliotti Date: 8-30-11Name Joseph Giuliotti  
Authorized Representative of Applicant

## AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): \_\_\_\_\_

As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under State, local, or tribal government law, as applicable, to make and comply with the certifications and assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the certifications and assurances have been legally made and constitute legal and binding obligations on the Applicant.

I further affirm to the Applicant that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these certifications and assurances, or of the performance of the project.

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Name \_\_\_\_\_  
Attorney for Applicant

Each Applicant for FTA financial assistance and each FTA Grantee with an active capital or formula project must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its signature in lieu of the Attorney's signature, provided the Applicant has on file this Affirmation, signed by the attorney and dated this Federal fiscal year.

**EXHIBIT E: DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM**

It is the policy of the South Florida Regional Transportation Authority (SFRTA) that Disadvantaged Business Enterprises, as defined in 49 CFR Part 26, shall have the maximum opportunity to participate in the performance of contracts. SFRTA will never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR Part 26 on the basis of race, color, sex, or national origin.

Contractors are encouraged to take all necessary and reasonable steps to ensure that DBE's have the maximum opportunity to compete for and perform services on contracts, including participation in any subsequent supplemental contracts. If the Contractors intend to subcontract a portion of the services on the project, Contractor are encouraged to seek out and consider DBE's as potential subcontractors, by soliciting their interest, capability, and qualifications.

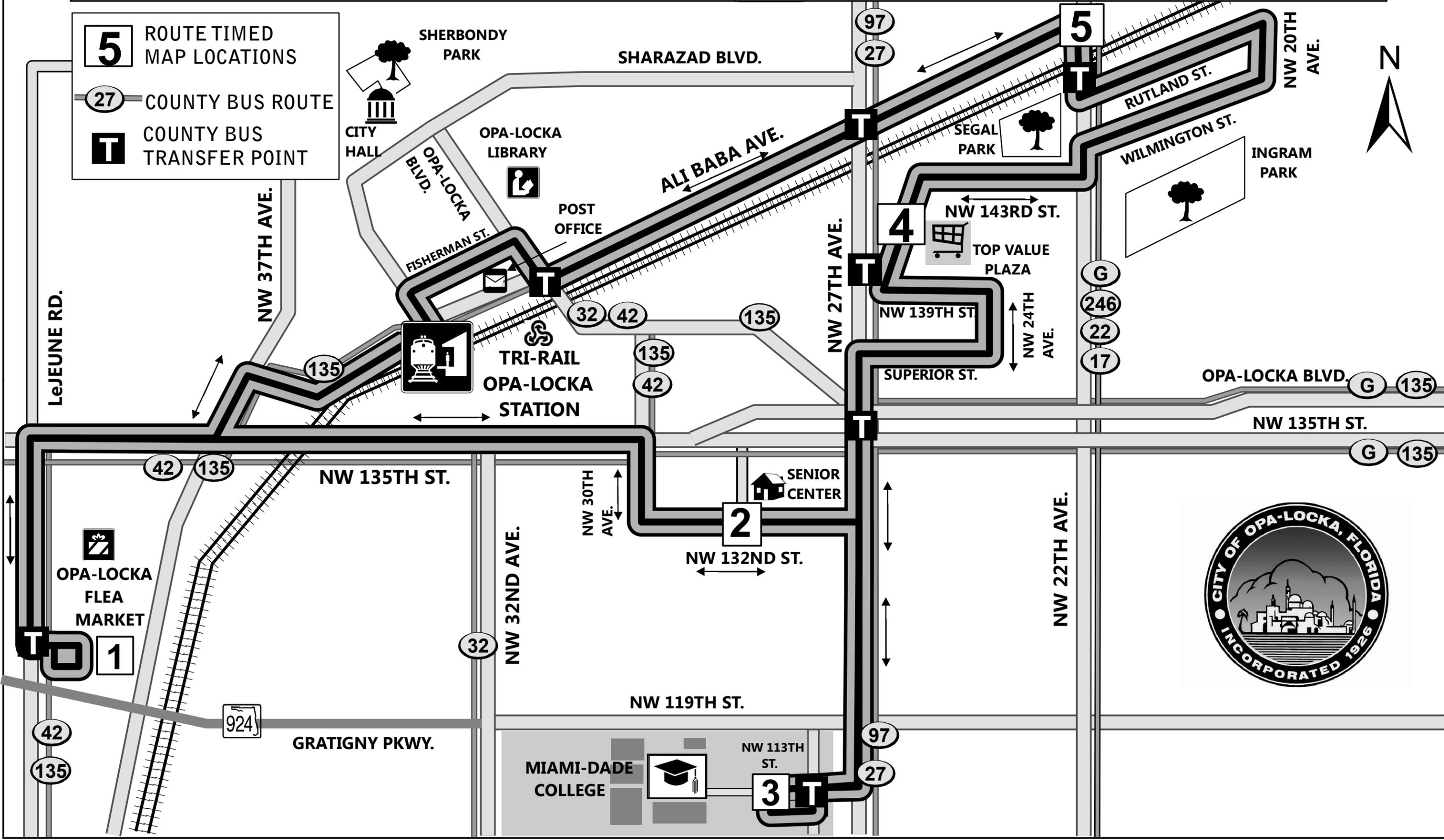
# Exhibit F

# OPA-LOCKA STATION



## OPA-LOCKA EXPRESS SOUTH LINK

- 5** ROUTE TIMED MAP LOCATIONS
- 27** COUNTY BUS ROUTE
- T** COUNTY BUS TRANSFER POINT



2011 JARC Projects Budget (1 Year)									
Project	Annual Operating Hours	Unit Cost		Total Operating Cost	Fare Box Recovery	Total Operating minus Fare Box	RTA Match	Other Match	JARC Match
		Operations (Rate)	Additional Security (Rate)						
Opa-Locka South	6890	\$ 55.00	\$ -	\$ 378,950.00	\$ -	\$ 378,950.00	\$ 94,737.50	\$ 94,737.50	\$ 189,475.00

2011 JARC Projects Budget (2 Years)									
Project	Annual Operating Hours x 2	Unit Cost		Total Operating Cost	Fare Box Recovery	Total Operating minus Fare Box	RTA Match	Other Match	JARC Match
		Operations (Rate)	Additional Security (Rate)						
Opa-Locka South	13780	\$ 55.00	\$ -	\$ 757,900.00	\$ -	\$ 757,900.00	\$ 189,475.00	\$ 189,475.00	\$ 378,950.00

8/30/2011