



**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

Revised August 4, 2011

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Notice of Federal Grant Requirements

Potential applicants should review the FTA's regulations at http://www.fta.dot.gov/laws/leg_reg_808.html and required Certifications and Assurances at http://www.fta.dot.gov/funding/grants_financing_93.html prior to applying. Selected recipients will be required to comply with all applicable FTA regulations and agree to applicable Certifications and Assurances in order to be eligible for a grant award.

JARC AND NF PROGRAM OVERVIEW

The Safe, Accountable, Flexible, Efficient Transportation Act, a Legacy for Users (SAFETEA-LU) was enacted in August 2005 and provides funding for Federal surface transportation programs, including the Section 5316 Job Access and Reverse Commute (JARC) and Section 5317 New Freedom (NF) programs.

The **Job Access and Reverse Commute (JARC)** program is intended to provide funding for local programs that offer job access and reverse commute services which provide transportation for low income individuals who may live in the city core and work in suburban locations. The program also is intended to improve access to transportation services to employment, job training and support activities for welfare recipients and eligible low-income individuals.

The **New Freedom Program (NF)** is intended to encourage services and facility improvements to address the transportation needs of persons with disabilities that go beyond those required by the Americans with Disabilities Act (ADA).

The South Florida Regional Transportation Authority (SFRTA) as the designated recipient is responsible for overseeing and administering the JARC/NF programs in the Miami Urbanized Area (urbanized areas of Broward, Miami-Dade, and Palm Beach Counties). Through a competitive selection process, the SFRTA will select projects for FY 2010 & 2011 funding and carryover funds from FY 2007. SFRTA will submit the selected projects to the Federal Transit Administration (FTA) for final determination. Once FTA's concurrence is received, a sub-recipient agreement will be executed by the applicants and SFRTA authorizing the initiation of scope of the projects.

The potential for sustainability and self-sufficiency beyond the grant period will be a major determining factor for operating projects. In order to achieve the most benefit with available resources, project readiness will be considered for all project types.

ESTIMATED FUNDING AVAILABILITY

Indicated below are the estimated JARC and New Freedom funds available for this application cycle. This estimate of available funding is subject to revision as previously programmed funds or additional Federal appropriations become available.

| Program | FY2010 | FY2011 | Carryover Funds | Total |
|-------------|-------------|-------------|-----------------|--------------|
| JARC | \$3,586,567 | \$3,581,172 | \$167,758 | \$7,335,497 |
| New Freedom | \$2,050,227 | \$2,060,816 | \$840,700 | \$4,951,743 |
| Total | \$5,636,794 | \$5,641,988 | \$1,008,458 | \$12,287,240 |

Note: SFRTA, the Designated Recipient for JARC and New Freedom programs in the Miami UZA, may use up to 10 percent of the yearly apportionment of funding for administration, planning, and technical assistance.

ELIGIBLE APPLICANTS

The following organizations are eligible to submit applications for JARC/New Freedom funding:

- Private nonprofit organizations;
- State or local governmental authorities, and
- Operators of public transportation services, including private, for-profit operators of public transportation services

Only organizations whose proposed public transportation projects serve the Miami Urbanized Area are eligible to apply.

IMPORTANT PROGRAM DATES

| Date(s) | Action |
|-------------------|----------------------------------------------------------------------------|
| June 15, 2011 | Call for Projects |
| June 28, 2011 | Pre-application Teleconference |
| September 9, 2011 | Applications due before 12:00 noon EST |
| October 25, 2011 | PTAC Board Meeting – Presentation of preliminary Program of Projects (POP) |
| December, 2011 | POP presented to SFRTA Board for Approval |

IMPORTANT INSTRUCTIONS FOR APPLICANTS

All applicants must strictly adhere to the following procedures:

- All applicants must use the application provided in **Appendix A** of this document. Any alterations to the application or the use of a non-standard application will result in rejection.
- All application responses must be type written. Hand written applications will be rejected.
- Incomplete applications (technically and administratively) will be rejected. The applicant must submit all necessary information to evaluate the application.
- Project cost and revenue data must be clearly provided using the forms provided in the application. Non use of the budget sheets provided in **Appendix A** will result in rejection. Additional information may be provided as an appendix to the application. The applicant must provide all the information used to estimate the proposed project cost, local match, revenues, etc. Inadequate information may result in the rejection of application.
- Applications are due to the SFRTA before 12:00 noon EST on September 9, 2011. This is a competitive process. Therefore, late or incomplete applications will be rejected regardless of the circumstances.

TECHNICAL ASSISTANCE AND CONTACT INFORMATION

The SFRTA will provide technical assistance to prospective applicants to assist them with questions they may have with regard to the Program and Application. All applicants are strongly encouraged to participate in the pre-application teleconference. Applicants may refer to the program website or contact the SFRTA directly by phone or email. Please submit all questions in writing.

SFRTA Contact Information:

Ms. Natalie Yesbeck Pustizzi
South Florida Regional Transportation Authority (SFRTA)
Phone: (954) 788-7957
Email: JARC-NF@sfrta.fl.gov
Fax: (954) 942-3325

Program Website: www.sfrta.fl.gov/grants

DIRECT RECIPIENT AND SUB-RECIPIENT RESPONSIBILITIES

The competitive selection process may result in JARC and/or NF funds being allocated to a transit authority that is a designated recipient of Section 5307 funds, and thus, typically receives funds directly from FTA. Such agencies will be required to become a direct recipient of JARC and/or NF funds from FTA. If this occurs, the SFRTA and the direct recipient will enter into a supplemental agreement to release the SFRTA from any liability under the grant agreement. All other recipients (i.e., sub-recipients) will be required to enter into a sub-recipient agreement with SFRTA in order to receive funding and implement the project.

The applicants must submit a resolution adopted by their governing body specifying the applicant has the authority to file a grant application to the SFRTA, indicating who has the authority to act on behalf of the applicant, and that the applicant will provide local share. The local match certification is provided in **Appendix A**.

All applicants are encouraged to work with other interested parties that may be affected by the proposed project. Projects are evaluated, in part, on an applicant's demonstrated efforts to coordinate with other parties. Evidence of such coordination may be demonstrated through letters of support or through other appropriate documentation.

PROJECT ELIGIBILITY AND EXPENSES

The JARC projects should comply with program objectives outlined in FTA Circular C. 9050.1, and the NF projects should comply with the program objectives outlined in FTA Circular C. 9045.1. For a detailed list of eligible projects, please refer to **Appendix B: JARC and NF Eligible Projects**. Furthermore, to be eligible for funding, projects must be consistent with and derived from a locally developed, coordinated public transit-human services transportation plan (HSTP/"Coordinated Plan"). Broward, Miami-Dade, Palm Beach Counties have developed Transportation Disadvantaged Service Plans (TDSPs) that are considered as Coordinated Plans. Applicants are encouraged to familiarize themselves with the local HSTP/TDSP. The Coordinated Plans of Broward, Miami-Dade, and Palm Beach Counties are available online in the SFRTA website www.sfrta.fl.gov/grants.

The proposed JARC and NF projects must be confined to the geographic boundaries of the Miami Urbanized Area (Broward, Miami-Dade, and Palm Beach counties).

Operating, capital, and mobility management/planning projects are eligible under both the JARC and NF programs. General administrative expenses are not considered as an eligible expense.

For JARC, operating, capital and mobility management/planning expenses are eligible that support the development and maintenance of transportation services designed to transport low-income individuals and welfare recipients to and from jobs and activities related to their employment and to support reverse commute projects.

For New Freedom, operating, capital and mobility management/planning expenses are eligible that support new public transportation services and alternatives beyond those required by the Americans with Disabilities Act of 1990 (ADA) designed to assist individuals with accessing transportation services, including to and from jobs and employment services.

For the purpose of the New Freedom Program, "new" service is any service or activity that was not operational on August 10, 2005, as evidenced by inclusion in the Transportation Improvement Plan

(TIP) or the State Transportation Improvement Plan (STIP). In other words, if not for the New Freedom Program, these projects would not have consideration for funding and proposed service enhancements would not be available for individuals with disabilities. Recipients or sub-recipients may not terminate ADA paratransit enhancement or other services funded as of August 10, 2005, in an effort to reintroduce the services as “new” and then receive New Freedom funds for those services.

Projects currently receiving JARC/NF funds may be eligible for continued funds. 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 may be eligible for JARC/NF funding.

PURCHASE OF VEHICLES

All vehicle purchases must comply with procurement requirements outlined in FTA Circular 4220.1 or latest version. The applicants are responsible for the procurement process and will be reimbursed only after the purchase invoices are submitted. No advance payments will be made by SFRTA to applicants toward purchasing of vehicles under any circumstances.

LOCAL MATCH REQUIREMENTS

JARC and New Freedom funds may be used to finance capital, mobility management/planning and operating expenses. The federal share of eligible capital and mobility management expenses may not exceed 80 percent of project costs. The federal share of eligible operating expenses may not exceed 50 percent of project costs.

| Match Requirements | | |
|------------------------------|------------------------------|----------------------------|
| <i>Type of Funding</i> | <i>Maximum Federal Share</i> | <i>Minimum Local Share</i> |
| Capital | 80% | 20% |
| Operating | 50% | 50% |
| Mobility Management/Planning | 80% | 20% |

Consistent with FTA guidance, the local share must be provided from sources other than U.S. Department of Transportation (USDOT) funds. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service. Examples of sources of local match that may be used include the following:

- State or local appropriations
- Other non-DOT Federal funds
- Dedicated tax revenues
- Private donations
- Net income generated from advertising and concessions
- Toll Revenue Credit (Capital Projects only)

Fare box revenue is considered an income and is deducted from the total operating cost to determine the net cost of the activity. However, it is important to note that fare box revenue may not be used as local match. A sample calculation to determine local cash match for two projects is provided below.

| Steps to Calculate Local Match | Operating Projects (50% Local Match Required) | All Other Projects (20% Local Match Required) |
|---------------------------------------------------------------------------|-----------------------------------------------|-----------------------------------------------|
| 1) Start with Total Project Budget: | \$100,000 | \$100,000 |
| 2) Deduct Project Income (e.g., fare box revenue for operating projects): | (\$10,000) | (\$0) |
| 3) Deducting the revenue or project income produces the net project cost: | \$90,000 | \$100,000 |
| 4) Multiply the net project cost by the required percentage match: | x 50% | x 20% |
| 5) The resultant figure is the minimum amount of local match required: | \$45,000 | \$20,000 |

APPLICATION REVIEW AND SELECTION PROCESS

The SFRTA is conducting this call for projects as part of a competitive selection process. After initial screening by SFRTA staff to determine eligibility, the SFRTA's Planning Technical Advisory Committee (PTAC), which consists of representatives from two Florida DOT districts, as well as three local transit operators, two Regional Planning Councils, and three MPOs, will evaluate and score the applications. The evaluation will be strictly based on the content of the written application. The ranked Program of Projects (POP) will then be submitted to the SFRTA Governing Board for approval at its regularly scheduled meeting in December 2011. Once approved, the POP will be submitted to FTA for final determination of funding.

The criteria and methods for ranking project applications can be found in **Appendix C: Selection Criteria**. The criteria are designed to affirm project eligibility of the submitted projects and to gauge the relative strengths of the projects with respect to:

- Eligibility
- Coordination and Consistency with the HSTP/TDSP
- Project readiness/ability to implement
- Sustainability
- Need
- Efficiency

FUNDING LIMITATIONS

Applicants may request for project funding of up to two years in any funding cycle. However, projects may be limited to one year of funding at the discretion of the PTAC. The PTAC may recommend project approval at an amount and scope less than originally requested. Grant contract budgets may be lower than amounts originally awarded based on refined cost estimates.

Funds should be expended three years from the date of award.

FINANCIAL MANAGEMENT

Applicants whose projects are selected for JARC and/or New Freedom Program funds will be required to comply with all FTA requirements and are subject to audits and monitoring reviews.

REPORTING REQUIREMENTS

Successful applicants will be required to comply with FTA reporting requirements. Quarterly reports and performance measures should be submitted directly to the SFRTA.

APPLICATION DEADLINE

The application deadline is **12 noon (EST), September 9, 2011**. Applications must be received by SFRTA by this time to be eligible for consideration. **Applications found to be incomplete or received after the deadline will not be considered for funding.** No exceptions will be made.

APPLICATION SUBMITTAL

Six (6) completed hard copy applications and one (1) digital application must be submitted to:

South Florida Regional Transportation Authority
Attn: JARC/NF
800 NW 33rd Street
Pompano Beach, FL 33064

APPENDIX A: APPLICATION PACKAGE

Contents of Grant Application Package

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

Exhibits

Exhibit A1: Governing Board Resolution and Local Match Certification

Exhibit A2: Local Match Certification

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

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: Brent McLaughlin, Executive Director
(Individual authorized to execute contracts with South Florida Regional Transportation Authority)

Signature: _____

Date:

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 Urban Ministries, Inc. |
| Contact Person | Isabelle Pike |
| Address | 2850 SW 27 th Avenue, Miami, FL 33133 |
| Email | isabelle@sflum.org |
| Phone Number | (305) 442-8306 |

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 | United Way of Broward County |
| Contact Person | Howard Bakalar |
| Address | 1300 S Andrews Ave Ft Lauderdale FL 33316 |
| Email | HBakalar@unitedwaybroward.org |
| Phone Number | -954462485153 |

Project Type (place an X in the appropriate box)

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

Project Information

| | |
|---------------------------------------------|-----------------------------------------------------------------|
| Project Name | South Florida Urban Ministries Ways to Work Program (SFLUM WtW) |
| Service Area | Miami Urbanized Area (Miami-Dade and Broward Counties) |
| Start Date | January 1, 2012 |
| Total Project Cost | \$746,323.00 |
| JARC/NF Funding Requested | \$440,661.00 |
| Number of Years for Which Funding Requested | 2 |
| Total Local Match | \$305,661.00 |

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 | BRENT McLAUGHLIN, Executive Director |
| Date | |

SECTION 2: PROJECT INFORMATION

1) **Project Title:** South Florida Urban Ministries Ways to Work (SFLUM WtW) Program

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.

Project Elements

South Florida Urban Ministries, Inc. (SFLUM) proposes to address the following need identified in the Miami-Dade HSTP Updated 2011 (page 22), Broward County Transit Development Plan 2009-2018 Executive Summary (page 13) and the South Florida Regional Transportation Authority's 2009 Public Opinion Study Executive summary (pages ES-2 and ES-4): Improved Mobility and Access To Employment. SFLUM proposes to improve mobility and access to employment by implementing a Ways to Work car loan program in the Miami Urbanized area, focusing on Miami-Dade and Broward Counties. The South Florida Urban Ministries Ways to Work (SFLUM WtW) program will provide small short-term, low-interest loans to low-income families to purchase, repair and/or maintain a car to get to work, childcare and/or to pursue educational or job training opportunities. The program is coupled with targeted financial literacy education and credit repair assistance to help families achieve economic self-sufficiency.

If selected, the SFLUM WtW program will provide small low-interest loans to 300 low-income families in the Miami urbanized area over a two-year period. The loans will finance the purchase of an automobile to be used primarily for transportation to work, school, and childcare facilities. The maximum loan size will be \$6,000, at an 8% APR (a highly subsidized interest given the fact that all Ways to Work clients are considered non-creditworthy by conventional lenders), with a loan term of up to 30 months. To qualify, applicants must submit an application, be unable to utilize existing transit services to reach employment and other destinations, take financial management classes, and repay the loan within the agreed upon loan term.

During the application process, the program staff reviews budget issues with the potential borrower. A volunteer loan committee, made up of community representatives, approves applications for processing. Borrowers participate in financial management classes and may receive additional support services as need(s) are identified. The program staff maintains close contact with borrowers during the entire repayment period. The eligibility screening process ensures that families selected possess a combination of great need for flexible transportation and a willingness to take the necessary steps to escape the cycle of poverty associated with underemployment and lack of financial literacy.

Applications for the WtW program will be accepted from the general public throughout the target area. Prior to applying, qualified individuals must be employed a minimum of 20 hours per week and have been employed for at least six consecutive months; exceptions can made for brief unemployment. Loan applicants must have exhausted other sources of loans, and household income cannot exceed 80% of the area median income. All program participants who receive a loan through SFLUM WtW will be educated about and assisted with registering with a ride-sharing

database in order to promote the importance and benefits of carpooling. Carpooling will also be an important strategy to reduce overall transportation costs for borrowers and to minimize additional traffic congestion on area roadways. SFLUM will also make information and pamphlets available to program participants on the Miami and Broward train stations, buses, metro rail, paratransit buses. Additionally, since many of the clients have extended families the assistance to purchase one vehicle will provide transportation assistance for more than the client and their children. Vehicle purchases can also be for individuals that will use it in their small businesses ensuring that the vehicle helps them generate additional income to maintain the vehicle and repay the loan.

Funds from this proposal will be used for program expenses associated with client screening, financial education, helping clients identify reliable vehicles, case management/financial coaching during the loan repayment period and for a small loan guarantee pool. The loan guarantee pool is the only capital expense associated with this project, and is required to offset the risk of default that is a reality of any lending program. As per the Federal Transit Administration's guidelines governing Job Access and Reverse Commute (JARC)-funded auto loan programs, the Federal interest will be in the loan guarantee pool, not in the vehicle or loan. Neither the local or federal share will be used for funding loans to program participants. WtW, Inc., the national office of the WtW program, will provide the loan capital.

Population to be served and marketing

SFLUM WtW will serve low-income residents of Miami-Dade and Broward Counties. A vast majority of Ways to Work clients are single mothers who must make multiple stops throughout the day in order to transport children to and from childcare facilities, reach employment, attend school or job training, reach medical facilities, and purchase household necessities.

SFLUM WtW services will be marketed to current clients served by SFLUM, the United Way Center for Financial Stability (UWCFS), clients of UWCFS program partners, clients of organizations served by United Way of Broward County, the Broward County Centers for Working Families and the general public. From program experience, SFLUM knows that the best marketing strategy and vehicle is word-of-mouth by satisfied clients. Thus, SFLUM will provide all its adult clients and the parents/caregivers of minor clients with information about the services of SFLUM WtW that they can distribute among people they know. As needed, SFLUM will also issue press releases and other forms of public dissemination of SFLUM WtW information for the purpose of recruiting potential clients and cultivating potential stakeholders.

Market studies and project design

SFLUM WtW is based on the Ways to Work model, a replicable national program with more than 30 local programs operating in 20 states. The Ways to Work program model was developed by Ways to Work, Inc., a unique Community Development Financial Institution (CDFI) based in Milwaukee, WI that serves a network of loan offices across the United States, including SFLUM WtW. The national Ways to Work, Inc. provides small, short-term, low-interest loans to working poor families with challenging credit histories. Ways to Work, Inc. provides an alternative to predatory lenders for people with a demonstrated commitment to achieving increased self-sufficiency.

Since 1984, 30,000 families across the United States have borrowed nearly \$60 million through the Ways to Work program and its predecessors, the Single Parent Loan Program and Family Loan Program. The program provides \$5 million annually in small, low-interest loans while maintaining an overall repayment rate of over 90%. Ways to Work is the only organization of its kind making low-cost, character-based, direct-to-consumer loans to low-income families on a national scale.

In 2006 and 2007, Ways to Work completed a comprehensive evaluation of program outcomes and are in the process of another comprehensive review. The evaluation was conducted by OMG Center for Collaborative Learning in Philadelphia, a third party evaluation firm. The results of this evaluation are highlighted below:

1) Higher Income - Nearly 3 out of 4 program participants reported higher net monthly income after receiving their car loan and averaged a 41% increase in income (take-home pay). We obtain income levels from borrowers when they apply for the loan (entry), at 6 months post-entry, at 12 months post-entry, at the end of the 2-year repayment period (exit) and 6 months post-exit to obtain outcomes about their income levels.

2) Employment/Education - Approximately half of all borrowers attribute their ability to obtain or complete education or job training programs to their ownership of a car through a Ways to Work loan. Nearly 2/3 of all borrowers cited a reduction in lateness or fewer days missed at work or training programs.

3) Decreased or Eliminated Need for Public Assistance - More than 3 out of 5 borrowers decrease or eliminate the use of cash assistance, food stamps and/or medical assistance despite having received it before entering the program. The level of assistance received by borrowers is tracked at entry, at 6 months post-entry, at 12 months post-entry, at exit and 6 months post-exit to obtain these outcomes.

4) Increased Financial Literacy - 99% of our applicants show an increase in financial literacy after completing our Financial Literacy Course. Applicants are tested on their level financial literacy prior to the course and again once they have completed the course to determine outcomes in this area.

5) Use of Mainstream Financial Markets - 2/3 of all borrowers have obtained some type of conventional financial services since receiving their loan (i.e., checking, savings, bank loan, credit card, etc.). This information is obtained from our borrowers at 6 months post-entry, at 12 months post-entry, at exit and at 6 months post-exit.

6) Improved Credit Scores - At least 50% of our borrowers increase their credit scores after having received a Ways to Work loan. We pull a credit report at the beginning of the loan when a client applies. With the client's permission, we obtain a second report at the conclusion of the loan to see if they were able to improve their credit scores at the end of the 2-year term of the loan.

7) Better Quality of Life - About 90% of all borrowers reported a significant impact on their quality of life resulting from the car loan, such as more time with family and friends more frequent attendance of church and more frequent volunteering.

As demonstrated by the outcomes highlighted above, this proposed project will have a meaningful and lasting impact on the lives of some of the area's most transportation-challenged and at-risk families.

SFLUM WtW Coordination and Consistency with the HSTP and TDSP

The 2011 Human Service Transportation Plan of Miami-Dade, Broward County Transportation Disadvantaged Service Plan and the Broward County Transit Development Plan 2009-2018 all agree that "long commute between where people can afford to live and where they go for jobs and daily services" is a problem in the metropolitan area that will not be resolved easily. The South Florida Regional Transportation Authority, Miami-Dade Transit and Broward Transit are doing commendable jobs of extending public mass transit facilities in the region. However, studies released by these three agencies show that public mass transit does not meet the needs of all commuters in the region. The Executive Summary of the South Florida Regional Transportation Authority's 2009 Public Opinion Study summarizes this situation well, "The principal reason for not using public transportation was lack of convenience, characterized by

lengthy time of travel, inconvenient schedules and public transportation not coming close enough to home."

The SFLUM WtW program provides solutions to the transportation problems identified in these three plans, as follows:

1) . . . to design and implement cost-efficient transportation for individuals working unconventional shifts at location previously not served by conventional transportation" and "to fund transportation modules of non-profit organizations, agencies and programs that serve the transportation disadvantaged . . . (page 24, 2011 Human Service Transportation Plan of Miami-Dade).

2) to provide a viable, affordable and tenable solution to the transportation problems identified by Broward County residents, such as lack of public transit service to where they need to go, public transit takes too long, public transit is not close to their home or work, etc.) (page 5-12, Broward County Transit Development Plan).

3) people do not use public transportation because they are inconvenient, characterized by lengthy time of travel, inconvenient schedules and public transportation not coming close enough to home. (pages ES-2 and ES-4, 2009 SFRTA Public Opinion Survey Executive Summary).

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.

N/A

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

SFLUM WtW will serve the south portion of the Miami Urbanized/Transportation Management Area identified on Page 8 of the Florida Department of Transportation: Miami Urbanized Area/Transportation Management Area 2009-2010 Regional Report.

Our service area boundaries are: Biscayne Bay and the Atlantic Ocean to the east, Everglades National Park to the west, Florida Keys to the south and Palm Beach County to the north. Our service area is served by the SFRTA's Tri-Rail system that serves Miami-Dade, Broward and Palm Beach counties. The area is part of the 2010 Miami-Fort Lauderdale-Pompano Beach metropolitan statistical area. This includes the rural and urban areas of 35 municipalities in Miami-Dade, 31 municipalities Broward Counties and the unincorporated areas in both counties.

The 35 municipalities of Miami–Dade County include Aventura, Bal Harbour, Bay Harbor Islands, Biscayne Park, Coral Gables, Cutler Bay, Doral, El Portal, Florida City, Golden Beach, Hialeah, Hialeah Gardens, Homestead, Indian Creek, Islandia, Key Biscayne, Medley, Miami, Miami Beach, Miami Gardens, Miami Lakes, Miami Shores, Miami Springs, North Bay Village, North Miami, North Miami Beach, Opa-Locka, Palmetto Bay, Pinecrest, South Miami, Sunny Isles Beach, Surfside, Sweetwater, Virginia Gardens and West Miami. The unincorporated areas of Miami-Dade County is home to over one million residents. If declared a city, it would form the largest city in Florida and one of the largest in the nation. (Source: <http://www.miamidade.gov/info/library/at-a-glance.pdf>)

The 31 municipalities of Broward County include Coconut Creek, Cooper City, Coral Springs, Dania Beach, Davie, Deerfield Beach, Fort Lauderdale, Hallandale Beach, Hillsboro Beach, Hollywood, Lauderdale-By-The-Sea, Lauderdale Lakes, Lauderhill, Lazy Lake, Lighthouse Point, Margate, Miramar, North Lauderdale, Oakland Park, Parkland, Pembroke Park, Pembroke Pines, Plantation, Pompano Beach, Sea Ranch Lakes, Southwest Ranches, Sunrise, Tamarac, West Park, Weston and Wilton Manors. Source: <http://www.browardsoe.org/content.aspx?id=212> and <http://www.broward.org/PlanningAndRedevelopment/DemographicsAndEconomics/Documents/bbtn41.pdf>

Maps of our service area are attached on the following pages.

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

The Miami Urbanized/Transportation Management Area described in the preceding section is part of the US Census of 2010 Miami-Fort Lauderdale-Pompano Beach Metropolitan Statistical Area (MSA). The US Census of 2010 identified the Miami-Fort Lauderdale-Pompano Beach MSA as the 8th largest in the county. This survey estimated 2,006,923 households in this area. Total population is 5,564,635, out of which almost 45% or 2,496,435 reside in Miami-Dade County. With its population, Miami-Dade County ranks # 1 and # 8 most populous county in Florida and the US, respectively.

Based on the above data, we estimate that 3,977,842 or 71% of the population are between 19 to 64 years old - typical ages of those actively working and are therefore in need of transportation to go to work..

The same survey estimated that there are Miami-Dade and Broward Counties have a combined population of 4,244,501. Estimated number of households in Miami-Dade and Broward Counties was 1,498,403. Out of the total population, an estimated 3,086,752 or 73% of the population are ages 19 to 64 - typical ages of those actively working and are therefore in need of transportation to go to work.. SFLUM WtW will serve a small portion of this population.

Data sources:

<http://quickfacts.census.gov/qfd/states/12/12086.html>

<http://quickfacts.census.gov/qfd/states/12/12011.html>

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 Florida Department of Transportation estimates that an average of 11% of households in this region do not have cars (http://www.fta.dot.gov/documents/Miami_DemographicProfile15.doc). Based on this estimate and the estimated number of households described in our response to Question #3, there are at least 164,824 households in Miami-Dade and Broward Counties who could potentially benefit from the services of SFLUM WtW. With an estimated average household size of 2.83 for these two counties, at least 466,453 people in our service area will benefit from the services of SFLUM WtW.

Page 15-25 of the report from the Florida Department of Transportation quoted in this section gives a good estimate of the number of low-income people in our service area who could potentially benefit from the services of SFLUM WtW, "there is a strong correlation between the minority population and below poverty population, but there is an even stronger connection between below poverty and zero car households in the Miami-Ft. Lauderdale-Miami Beach, FL CBSA. There are 149 census tracts, with a total population of 763,803 that have both an above average minority population, below poverty population and zero car households. "

Page 23 of the 2011 Human Service Transportation Plan of Miami-Dade County estimates that at least 1,147,943 "transportation disadvantaged" individuals in Miami-Dade County alone. Out of these, 210,571 are people who are either unable to drive themselves or unable to purchase transportation. The remaining 937,372 individuals include the disabled, elderly, low-income persons and children at-risk. Page 25 of the same report alerts that the existing services for "transportation disadvantaged" in Miami-Dade County were unable to meet at least 559,000 trips required in FY 2009-2010 alone.

Page 28 of the Broward County Transportation Plan 2009-2018 forecasts that there will be at least 812,364 residents who are "transportation disadvantaged" by 2012. Out of these, at least 125,024 are individuals who are unable to drive themselves or purchase vehicles.

Approximately 8% of current clients have a diagnosed disability or are supporting someone with a disability. We anticipate a similar percentage of future clients to have disabilities. Individuals with disabilities that prevent them from operating a vehicle or which require expensive retrofitting likely would not be able to take advantage of the program because of the maximum loan size.

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

SFLUM WtW proposes to address the following need: Improved Mobility and Access To Employment.

The above need was identified through community surveys and summarized on page 13 of the Broward County Transit Development Plan 2009-2018 Executive Summary:

- 1) public transit does not go where clients want and/or need to go
- 2) public transit takes too long
- 3) public transport is not close to where working people live

Page 22 of the Human Service Transportation Plan 2011 Update prepared by the Miami-Dade Transit Authority likewise confirms the need to provide more transportation services in Miami-Dade County: “. . . With all services offered, provided, and coordinated for the transportation disadvantaged in Miami-Dade County, Unmet Trips for Fiscal year 2009-2010 was over 559,000. Clearly there is a need to provide more services to the disadvantaged in Miami-Dade County.”

Pages ES-2 and ES-4 of the 2009 Public Opinion Study Executive Summary issued by the SFRTA also affirms that public transportation in our region does not always meet the needs of commuter. This reports admits that “Public transportation simply did not meet their needs, either in terms of locations for accessing the system or schedule.”

The need for improved mobility and access to employment identified by Miami Transit, Broward Transit and the SFRTA is confirmed by the Brookings Institute's extensive analysis of transit access in the 100 largest metropolitan areas in the United States. The Brookings Institute released the results of this study in a report called "Missed Opportunity: Transit & Jobs in Metropolitan America." This study found that the Miami-Fort Lauderdale-Pompano Beach MSA ranks # 63 in combined transit coverage and job access. The study found the following gap in our service area that SFLUM WtW proposes to address:

89% of the working age residents in the Miami-Fort Lauderdale-Pompano Beach MSA live near a transit stop. However, only 16% of jobs are reachable via transit in 90 minutes.

The above finding confirms a research conducted by the national Ways to Work, Inc. office that has shown that more than two-thirds of all new jobs are located in suburban areas, while three-quarters of welfare recipients and low-income individuals live in central cities or rural areas. This spatial mismatch between jobs and workers represents a significant barrier to full employment for many low-income residents in the Miami-Fort Lauderdale-Pompano Beach metropolitan area. As the metropolitan has expanded further and further beyond the downtown nexus, many employers and jobs have also moved to the outer lying areas and communities. Thus, people are being required to commute to jobs, making access to reliable personal transportation a necessity and/or requirement to secure and keep a job.

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

SFLUM WtW will uniquely address the above need by providing low-income families whose transportation needs cannot be fully met by public transit an affordable alternative to underemployment due to lack of personal transportation or buy-here-pay-here car lots that charge high financing costs. SFLUM WtW will provide loans to finance the purchase of an automobile to be used primarily for transportation to work, school, and childcare facilities. In addition to the loan program, clients will participate in financial management classes and/or coaching to help them acquire and use personal financial management skills that will help ensure that they will meet their financial obligations, including repaying the loan within the agreed upon loan term. This program does not create greater dependence on a social service and Federal funding but rather enables individual ownership and responsibility. By leveraging national loan dollars more clients can be served and as the funds are repaid more clients can be served. Additionally it is not only the 300 clients receiving the loans that will improve their transportation. SFLUM WtW helps others who are able to correct their credit and access cars through traditional financing. Additionally SFLUM WtW helps new and existing car owners to understand how to better maintain their vehicles to ensure they retain reliable transportation and keep the roadways safe.

Although our region has several existing transit options available to the general public, the geographic range and hours of operation of even the most comprehensive transit system is limited, making promising jobs inaccessible to low-income families that are in great need of employment. This in turn diminishes the opportunities for low-income families to make a transition from welfare to work. Limited hours lead to availability and safety issues for travel to night or weekend shifts. Even when public transit is an option, it requires relatively long travel times, thereby causing a large drain on productivity that is magnified with every additional destination. Thus, parents with multi-point commutes may lose hours per day in transit that could otherwise be spent on more productive activities and/or time with their children.

The unmet need for reliable transportation is a major obstacle preventing low-income families from escaping the poverty cycle. Far from being a luxury item in our society, a car is often a necessity for getting or keeping a job. In urban areas, public transportation systems are designed to meet the needs of most residents. However, in the case of low-income parents, night shifts and/or multi-point commutes to jobs, daycare, and schools can make public transit options untenable. A reliable car can help struggling families secure and sustain employment, regularize their lives and finances, and transport their children to child care, school, and youth activities. Coupled with financial education, a reliable car can help families move along the path to self-sufficiency and a brighter future.

SFLUM WtW is a solution for those individuals and families whose mobility needs are not met by current mass transit and paratransit options. SFLUM WtW services does not compete or

duplicate current services. Instead, SFLUM WtW complements current services provided by Miami Transit, Broward Transit and the SFRTA by providing an option for low-income residents of the Miami Urbanized area whose mobility needs are not met by current public transit services to obtain and/or maintain a personal vehicle that will help them obtain and/or maintain employment and transport themselves or family members to educational, enrichment and other services that support and promote their efforts to attain financial stability in the long-term.

- 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.**

SFLUM WtW will partner with existing public transportation service providers in Miami-Dade, and Broward/Fort Lauderdale area wherever possible. There is little room for duplication of services since to our knowledge: 1) there are no other providers offering a similar service; 2) there are no providers offering competing services; and, 3) there are very few providers providing complementary services. SFLUM WtW is open and interested in entering into agreements with the programs listed below, where it is possible and necessary. However, whether we have a formal agreement or not, SFLUM WtW will promote and cooperate with the following public transportation programs:

Park and Ride. We have clients whose work/employment destinations are accessible or near a reliable mass transit line but they do not use mass transit because the terminal or stations are not easily accessible from their home. For these clients, we will educate and share information about the Park and Ride locations and how to use the information available online such as those available here on <http://www.1800234ride.com/images/file/Website%20Park%20%20Ride%20List%207-7-11.pdf>.

Carpooling and Emergency Ride Home. All clients will be provided with this information and encouraged to register as a rideshare to help them save money and reduce vehicle maintenance costs.

School Pool. We will educate and provide information about school carpools to all clients who are responsible for the care of school-age children. School carpools can save time and money while building new relationships.

STS and other paratransit/disability transportation services. All clients with disabled family members will be connected to appropriate public transportation services to ensure that the client and their family members have access to appropriate transportation.

Other transportation options. SFLUM WtW will make information about the various transportation services offered, provided and coordinated by the Miami-Dade Transit, Broward County Transit and South Florida Transportation Authority available to clients.

- 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.**

To date, SFLUM partners with the United Way of Broward County, the national office of Ways to Work, Inc. and the United Way of Miami-Dade to bring the services of SFLUM WtW to qualified clients in the Miami Urbanized area. United Way of Broward County and United Way of Miami-Dade provide local match funding to SFLUM WtW. The national office of Ways to Work, Inc. will provide the loans to SFLUM WtW clients. Support letters from all three partners are provided in Section 6 of this application.

SFLUM WtW also partners with AutoNation and Enterprise Fleet Management who will help us reach and educate potential clients. They will serve as resources for SFLUM WtW staff in their task to help clients find, appraise and secure reliable transportation. Letters of support from Enterprise Fleet Management and AutoNation are included in Section 6 this application.

Goodwill of South Florida, one of the largest social service agencies in South Florida, is also a program partner of SFLUM WtW. In addition to referring potential clients to SFLUM WtW, Goodwill of South Florida will serve as host site for related education and training activities. A letter of support from them is included in Section 6 of this application.

SFLUM has Memoranda of Understanding with various non-profit and for-profit agencies that provide housing, credit, employment, social services, emergency services, small business, educational and other services in a variety of languages. Copies of these agreements can be made available to South Florida Regional Transportation staff and/or proposal reviewers upon request. Additionally, SFLUM has working relationships with dozens of other agencies that provide legal, insurance, financial and other niche (content or population) services. Among these partners are the following:

79th St Development
ACCION USA-Miami
City of Miami –Office of the Mayor
Consolidated Credit Counseling Services
Consumer Credit Counseling Services/Aprisen Financial Advocates
Cuban American National Council
Financial Planning Association
FIU – Pino Center
Internal Revenue Services – Miami Liaison Office
Lakeview Elementary School
Launchpad – University of Miami
Little Haiti Housing Association
MDC Entrepreneurship Center
Minority Business Development Center – operated by M. Gill and Associates
Neighbor and Neighbor Association
Neighborhood Housing Services of South Florida
OUR MicroFinance
Partners For Self Employment, Inc.
Switchboard Miami
The Beacon Council
WorkSquare
Youth Co-Op
YWCA of Greater Miami

Finally, as mentioned in the first paragraph of this section, the United Way of Broward County and United Way of Miami-Dade support the SFLUM WtW project. This relationship opens doors for SFLUM WtW to establish reciprocal relationships with their partners and grantees to provide wrap-around services, including the services of SFLUM WtW, to clients in our service area whom they serve who could benefit from the services provided by SFLUM WtW.

- 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.**

SFLUM and the SFLUM WtW are prepared to initiate service within one (1) month of receiving a service authorization letter from the South Florida Regional Transportation Authority.

SFLUM WtW is a new program. SFLUM started researching the feasibility of a program based on the Ways to Work model since 2010. During 2011, SFLUM worked with the staff of the

national office of Ways to Work, Inc. to plan the implementation of the SFLUM WtW program. To date, agreements with the national office of Ways to Work, Inc. have been executed, SFLUM raised some of the program funding, the program staff are in place, and SFLUM WtW staff are currently conducting community education about SFLUM WtW and recruiting potential clients.

Therefore, we have every reason and confidence that services will be delivered as soon as we receive authorization from South Florida Regional Transportation Authority to do so.

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?

As highly data-driven organizations, SFLUM and the national Ways to Work, Inc. are committed to rigorous tracking of output and outcome measures in order to 1) facilitate program management and governance; and, to 2) communicate the scale and scope of the program in terms of families served and outcomes achieved. Ways to Work, Inc. has established comprehensive data tracking systems including a technology platform and reporting processes for its network of program offices, including SFLUM WtW. Standards for the program offices are established and updated on a regular basis to promote a continuously improving performance level across the Ways to Work program network. The following measures will be used to gauge the success of the SFLUM WtW program:

| Measurement | Goal – Year 1 |
|-----------------------------------------------------|--------------------------|
| Total inquiries | 600 |
| Number of loans produced | 120 |
| Number of individuals receiving financial education | 300 |
| Total loan \$ | \$600,000 |
| Percentage default rate (total dollars defaulted) | Less than 15% (\$90,000) |
| Estimated number of jobs to be accessed: | 156 |
| Estimated number of rides (one-way trips): | 162,240 |

| Measurement | Goal – Year 2 |
|-----------------------------------------------------|---------------------------|
| Total inquiries | 600 |
| Number of loans produced | 180 |
| Number of individuals receiving financial education | 300 |
| Total loan \$ | \$900,000 |
| Percentage default rate (total dollars defaulted) | Less than 15% (\$135,000) |
| Estimated number of jobs to be accessed: | 234 |
| Estimated number of rides (one-way trips): | 243,360 |

To measure the SFLUM WtW project's effectiveness, SFLUM WtW will participate in the long and short-term outcome assessment process conducted by the national Ways to Work, Inc. Ways to Work, Inc. has worked with research professionals, foundations, and program operators to design an evaluation process to assess the critical outcomes of the program in the lives of borrowers over time. The design captures data at various intervals (program entry, six months post-entry, program exit, and six months post-exit). The Ways to Work proprietary data tracking software, Greenlight, was designed to incorporate this outcome information. Greenlight is a secure web-based system that was developed through a grant from the U.S. Department of Treasury Community Development Financial Institutions Program.

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?

SFLUM WtW is the only transportation related program that SFLUM provides.

However, the targeted financial literacy education and credit repair assistance aspects of SFLUM WtW are provided through complementary programs offered by SFLUM and the United Way Center for Financial Stability which is housed and operated by SFLUM.

SFLUM partners with the national Ways To Work, Inc. who provides loan capital to the SFLUM WtW program and to other similar partners across the country.

Finally, SFUM WtW staff are experienced and qualified not only to deliver the program services of SFLUM WtW but also to connect their program clients to other services that will support their clients. Michele Collie, SFLUM Loan Coach and member of the SFLUM WtW program team, has over 20 years of banking/underwriting experience. In addition to her banking experience, Ms. Collie is trained and experienced in delivering financial education, financial coaching and related services to low-income community members. Her passion for helping disadvantaged community members improve their lives has kept her engaged as a community volunteer in the last 20 years. In addition to helping provide much-needed services to people in need, Ms. Collie's community service helped her develop relationships that often facilitate connecting clients to other services, as needed.

Lars Gilberts, Director of the United Way Center for Financial Stability which is housed and operated by South Florida Urban Ministries, Inc., oversees the SFLUM WtW program. Mr. Gilberts has over eight years of solid experience in developing economic development programs. He is instrumental in the development of the SFLUM WtW program, United Way Center for Financial Stability and other programs at SFLUM. For the last several years, SFLUM's free VITA tax preparation services that Mr. Gilberts initiated has been among the top performers in our service area. He holds an MBA Management degree from Barry University.

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

Yes, South Florida Urban Ministries, Inc. is experienced in administering federal grants. Since 2002, SFLUM has been competing for and secured annual grants from the Emergency Food & Shelter program (EFSP). EFSP is managed by United Way of Miami-Dade. In 2003-2004, SFLUM competed for and won a capacity-building grant through the Office of Community Services of the US Department of Health and Human Services. Shortly thereafter, SFLUM competed for and won a grant award from the Community Development Block Grants (CDBG). The CDBG, funded through the US Department of Housing and Urban Development, is managed by the Miami-Dade County Department of Housing and Community Development. SFLUM has managed this award since 2005.

SFLUM leadership and staff have the necessary skills to manage a federal grants such as JARC.

SECTION 3: ADDITIONAL INFORMATION OF OPERATING PROJECTS

Questions 16 - 24 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).

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?

N/A. SFLUM WtW Program is new and not a continuation of an existing JARC/NF funded project.

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?

SFLUM WtW is not an expansion but rather a complementary program to the current programs operated by SFLUM, the United Way Center for Financial Stability and the Center for Working Families to help low-income people improve their financial situation.

SFLUM WtW differs from existing and current transit services. It is a solution for those families whose mobility needs are not met by mass transit, Paratransit and other public transportation options because of routes, schedules or the complexity of the individual's commute. SFLUM WtW provides loans to low-income clients to purchase a vehicle to be used primarily to access employment, education and family life enhancement opportunities. SFLUM WtW services complement the transportation services offered, provided and coordinated by local transit authorities.

- 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?

There are no programs similar to SFLUM WtW in Miami-Dade and Broward counties. SFLUM WtW is the only program in these metropolitan areas that provides affordable loans to low-income clients for the purpose of buying and/or maintaining a vehicle that will be used to transport them to job opportunities, child care services, and other services that enhance family life. There are businesses that sell used cars at very high financing costs. These are beyond the ability of our target clients to afford, even if they qualify for car loans. Most of the clients we serve do not have the credit record to qualify for conventional car loans. Many clients try to use available public transportation to meet their needs, however, as previously addressed in various sections of this proposal, public transportation options do not reach certain job sites or do not meet the whole transportation needs (education, medical, food) of the family.

- 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.

A car purchased through or because of the Ways to Work program has no limitations as to what destinations it can meet. It is the ultimate in flexible transportation and access to current and potential employment. A personal vehicle through Ways to Work has been documented to also increase access to quality child care, medical services, enriching cultural activities, after school activities, continued education, religious services, volunteer activities and civic engagement.

The target clients to be served by SFLUM WtW are low-income people without cars. Therefore, SFLUM schedules program-related trainings and one-on-one services in locations that can be accessed through mass transit since our program participants will be dependent on mass transit until after they qualify for a car loan and purchase a vehicle. After they purchase a car, our clients and their families will be able to access key destinations and activity centers including but not limited to the following key destinations and activity centers:

Work, school and childcare. As discussed in various sections of this proposal, the main goal of the SFLUM WtW program is to enable low-income clients to purchase a personal vehicle to be used primarily to transport them to work, education opportunities and activities that enhance their families' well-being.

Multiple errand destinations. A personal car allows families to run multiple errands more easily and efficiently, leaving time for the family to spend together. For example, a mother can stop at the grocery on her way home from work before picking up her children from a daycare or afterschool program. Without a car, this mother will need to make difficult choices: if she picks up her children first, they may not have food at home; so she may feed her children at a fast-food restaurant that serves unhealthy food. If she goes to the grocery first, she may be late in picking up her children which will put her and her children in a difficult situation.

Parks and other enrichment destinations. Experience in other program areas of SFLUM, shows that the only opportunities for our program clients (who are low-income) to experience the Everglades National Park and other parks in our services area are those times when SFLUM programs organize trips with transportation. There are family destinations, such as Orlando, that are accessible by public transportation. However, the schedules and travel time of public transportation facilities do not always match the free time of parents, or may require overnight accommodations that add to the cost of the trip which is likely to discourage families from making the trip.

Other family destinations. A personal car will allow families to travel to other destinations affordably. Again, experience in other SFLUM program areas show that many of our youth program participants are unable to visit potential colleges because their families do not have cars. A personal car will allow families to undertake these trips affordably.

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

Since a personal vehicle provides the greatest flexibility in transportation it also provides the greatest access to transportation services and destinations beyond South Florida. A personal car can be used to quickly and easily access bus/ train stations and airports in Miami-Dade and Broward Counties, allowing travellers to choose the options that best meet their needs and budget. For example, Southwest Airlines often provides discount airfare, if a traveller were willing to fly in and out of the Fort Lauderdale airport. American Airlines flies non-stop to many destinations from the Miami airport, often at the same airfare price as connecting flights.

People with personal cars maybe able to take advantage of more efficient air travel at cheaper price by flying out of either airport. However, this is only possible for those with access to personal cars.

According to mapquest, the distance between the Miami and the Fort Lauderdale airports is about 28 miles one way or 56 miles round trip. At the current federal mileage rate of 54 cents per mile, it will cost \$30.34 round trip to drive to and from the Fort Lauderdale airport from the Miami airport. Mapquest calculates that a one-way trip between the two airports takes 47 minutes. Assuming 2 trips to drop off a family member and pick her/him up on the return trip, the cost of two trips total \$60.68 and travel time of under two hours.

Shuttle services charge \$28 + tip for a one-way ride between the two airports; taxi cabs charge \$82 + tip minimum one-way. To use the shuttle service, one must travel to the Miami Airport to get on the shuttle bus. Ordering shuttle service pick-up from home is very unreliable in Miami (based on SFLUM staff experience).

Another option is to take the Tri-Rail from the Miami airport to the Fort Lauderdale airport. Round trip airfare costs \$6.25. Round trip to the Miami airport by bus (assuming no transfers) is an additional \$4. Thus, one can travel between the Miami and the Fort Lauderdale airports for as little as \$10.25 round trip. If the tri-rail is running on schedule, the trip from the Miami airport to the transfer center at Dania Beach for the Fort Lauderdale Airport is about 40 minutes. The shuttle bus to the airport meets the train. Depending on the destination terminal, the bus ride between the transfer center and the airport is about 30 minutes.

In reality, it takes at least 2 hours for a traveller to travel between the Miami and Fort Lauderdale airport one-way using the tri-rail and the shuttle bus NOT INCLUDING travel from home to the Miami airport. It is not a very attractive option for those who travel with check-in luggage and on a tight schedule. This does not include waiting time and travel from home.

For many people, the length of the travel time negates the savings from a lower airfare offered by an airline flying out of either the Miami or the Fort Lauderdale airport. People with personal cars, however, are able to take advantage of the lower airfare or the more efficient travel time by choosing to fly from either airport.

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 | 0 | 75840 |
| New Freedom | Individuals with Disabilities | 0 | 0 |
| | Other | 0 | 18960 |
| | TOTAL | 0 | 94800 |

Explain how the ridership and cost estimates were determined.

Year 1

Assumptions

Total # of loans = 120

10 one-way rides per week for primary jobs per loan recipient = 1,200 rides per week

40% of the loan recipients will provide 10 one-way rides to a second job site (borrower either has secondary employment or provides transportation to a second family/household member) per week = 480

20% of the loan recipients will provide 6 one-way rides to continuing education for one adult family/household member per week = 144

30% of the loan recipients will have 2 one-way rides to social services related to TANF, unemployment and related needs = 72

Total Rides per week = 1,896 (an average of 15.8 one way rides per week per loan)

50 weeks per year (assume 2 weeks for holidays, sick time, vacation time) = 94,800 rides per year

Year 2

Assumptions

Total # of loans = 180 + 120 = 300

10 one-way rides per week per loan recipient = 1,800 + 1,200 = 3,000

40% of the loan recipients will provide 10 one-way rides to a second job site (borrower either has secondary employment or provides transportation to a second family/household member) per week = 720 + 480 = 1,200

20% of the loan recipients will provide 6 one-way rides to continuing education for one adult family/household member per week = 216 + 144 = 360

30% of the loan recipients will have 2 one-way rides to social services related to TANF, unemployment and related needs = 108 + 72 = 180

Total Rides per week = 2,844 + 1,896 = 4,740 rides per week

50 weeks per year (assume 2 weeks for holidays, sick time, vacation time) = 142,200 + 94,800 = 237,000 rides per year

Total 2 years

Assumptions

Total # of loans = 120 + 180 = 300

10 rides per week per loan recipient = 1,200 + 3,000 = 4,200 rides per week

40% of the loan recipients will provide 10 one-way rides to a second job site (borrower either has secondary employment or provides transportation to a second family/household member) per week = 480 + 1,200 = 1,680 rides per week

20% of the loan recipients will provide 6 one-way rides to continuing education for one adult family/household member per week = 360 + 144 = 504 rides per week

30% of the loan recipients will have 2 one-way rides to social services related to TANF, unemployment and related needs = 72 + 180 = 252 rides per week

50 weeks per year (assume 2 weeks for holidays, sick time, vacation time) = 94,800 + 237,000 = 331,800 rides over 2 years

Additional Assumptions:

All clients served by SFLUM WtW are at or below 80% of the Area Median Income. Of these clients approximately 80% of all clients are low income or on public assistance.

Vehicles secured through SFLUM WtW will operate for at least 3 years. During year one only rides from the first year can be counted. During the second program year, the rides made possible by first year vehicle purchases as well as the second year purchases will be counted. When calculating the average cost per ride total rides will be based on the annualized cost of the vehicles, which extends beyond this grant period.

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) | \$248345 | \$521323 |
| Less Project Revenues (Fare box) | \$(0) | \$(0) |
| Net Project Cost | \$248345 | \$521323 |
| Local Share Requirement (50% of Net Project Cost) | \$124173 | \$260662 |
| Request for Operating Funding | \$124172 | \$200,661 |

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.

\$746,623 – Total cost for two program years and 300 vehicle loans (including default guarantee)
 \$2,488 – Cost per vehicle loan: $\$764,323/300 = \$2,488$
 \$829.33 – Annualized cost per vehicle loan: $\$2,488/3 = \829.33
 \$1.05 – Cost per one-way trip: $\$829.33/(15.8 \times 50) = \1.05

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 |
|------------------|-------------------|------------------|-------------------|
| Default Reserve | \$ 225,000 | \$ 45,000 | \$ 180,000 |
| | \$ | \$ | \$ |
| | \$ | \$ | \$ |
| | \$ | \$ | \$ |
| TOTALS | \$ 225,000 | \$ 45,000 | \$ 180,000 |

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 #25 (with the exception of vehicles), please explain the major items that are included in the estimated cost and how the estimate was derived.

The Default Reserve is set at 15% of the total value of the loan portfolio. The total projected loan portfolio is calculated by multiplying the total number of loans to be given by the average loan amount (300 x \$5,000 = \$1,500,000). By this calculation the Default Reserve needs to be funded \$225,000 to ensure the program can operate efficiently.

The Default Reserve is a capital item because for the loans that default the SFLUM WtW program will have to purchase the loans from the national WtW who provides the lending capital. While clients are supported and monitored extensively to ensure they repay their loans, factors such as economic conditions, auto repairs, loss of jobs, disabilities, injuries and natural disasters may prevent clients from repaying. The Default Reserve is in place to ensure that the minority of clients that are not able to repay their loans do not stop the program from serving the majority who are able to repay the loans that give them access to improved ways to work.

Please see the attached budget sheet to see how this capital cost was calculated and how it fit into the program.

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 |
|------------------|----------------|-------------|-----------------|
| N/A | \$ | \$ | \$ |
| | \$ | \$ | \$ |
| | \$ | \$ | \$ |
| | \$ | \$ | \$ |
| TOTALS | \$ | \$ | \$ |

28) For each element identified in question #27, please explain the major items that are included in the cost estimate and how the estimate was derived.

N/A

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 23, 25, and 27 as appropriate for the funding request. If a request is for less than 12 months please note the funding period in terms of months.

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 | Operational Personnel | \$102210.50 | \$102210.50 | \$204421 | \$112734 | \$112734 | \$225468 |
| | Operational Supplies | \$21962 | \$21962 | \$43924 | \$23754.50 | \$23754.50 | \$47509 |
| Capital - 20% Match Required | Default Reserve | \$72000 | \$18000 | \$90000 | \$108000 | \$27000 | \$135000 |
| | | \$ | \$ | \$ | \$ | \$ | \$ |
| | | \$ | \$ | \$ | \$ | \$ | \$ |
| | | \$ | \$ | \$ | \$ | \$ | \$ |
| Mobility Management / Planning - 20% Match Required | | \$ | \$ | \$ | \$ | \$ | \$ |
| TOTAL | | \$196172.50 | \$142172.50 | \$338345 | \$244488.50 | \$163488.50 | \$407977 |

- 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.

SFLUM WtW has raised local match funding from the following sources to date:

| | Year 1 | Year 2 | TOTAL |
|-------------------------------------------------|------------------|------------------|------------------|
| Ways to Work Wal-Mart Growth Fund | 3,932 | 29,402 | 33,334 |
| NeighborWorks® America (Citi Foundation) | 17,000 | 17,000 | 34,000 |
| United Way Citi Fund for Financial Capabilities | 50,000 | 0 | 50,000 |
| Volunteer Florida (AmeriCorps) | 21,240 | 31,050 | 52,290 |
| United Way of Broward County | 50,000 | 50,000 | 100,000 |
| SFLUM Matching Grant & Other Donations | | 36,036 | 36,036 |
| Total Match Raised to Date/ To Be Raised | \$142,172 | \$163,488 | \$305,660 |

We are reasonably confident that most of these matches will continue to provide funding to SFLUM WtW in the future. South Florida Urban Ministries is committed to raising funding to sustain and grow the SFLUM WtW project. Copies of the award letters from the following are provided in Section 6 of this application:

- Ways to Work Wal-Mart Growth Fund Grant
- NeighborWorks® America (Citi Foundation)

United Way Citi Fund for Financial Capabilities
Volunteer Florida (AmeriCorps)
United Way of Broward County

- 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.

The funding from the Ways to Work Wal-Mart Growth Fund Grant comes from a three year grant that will extend one year beyond this JARC grant period. Fundraising for this program is ongoing and growing. Funding is being pursued to both expand the program and to ensure its sustainable operation. SFLUM is working with the National WtW office as well as United Way of Broward and United Way of Miami Dade to secure additional local, regional and national funding for the SFLUM WtW program. This cooperative fundraising is currently underway and will be continued.

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

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

Resolution No. **Resolution # FY2012-01**

Project Title **South Florida Urban Ministries Ways to Work Program**

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 [South Florida Urban Ministries, Inc. *Name of Applicant*]:

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

Section 2. That the [**Brent McLaughlin *Authorized Official***], {**Executive Director *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 [**Brent McLaughlin *Authorized Official***], {**Executive Director *Title***} and his/her successor certify that [**South Florida Urban Ministries, Inc. *Name of Applicant***] will provide the required local match from { ***Source of Funds and the Amount of Local Match***} funds.

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

Section 5. That the [**Brent McLaughlin *Authorized Official***], {**Executive Director *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 [**South Florida Urban Ministries, Inc. *Name of Applicant***].

PRESENTED and ADOPTED the _____ day of _____, 20_____

FY 2010 & 2011 Programs Guide and Application
FTA 5316 Job Access Reverse Commute (JARC) and 5317 New Freedom (NF) Programs

Signature of Authorized Official

Signature of Attest

Title

Title

EXHIBIT A2: LOCAL MATCH CERTIFICATION

TO BE COMPLETED BY ALL APPLICANTS WITHOUT A GOVERNING BOARD

The undersigned hereby certifies that _____ 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 _____ agrees to provide the
(applicant)
requisite local share of *{Enter the amount}* from *{Enter source(s) of funds}*
funds.

Name

Title

Notary: _____

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.

Brent McLaughlin, Executive Director

(Type name and title of authorized individual)

(Signature of authorized individual)

(Date)

EXHIBIT D: FEDERAL CERTIFICATES AND ASSURANCES

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 (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.

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.

APPENDIX B: JARC and NF Eligible Projects

References: FTA Circulars C 9045.1 and C 9050.1

ELIGIBLE SECTION 5316 JOB ACCESS AND REVERSE COMMUTE (JARC) PROJECTS

Eligible projects under JARC may include, but are not limited to:

- late-night and weekend service;
- guaranteed ride home service;
- shuttle service;
- expanding fixed-route mass transit routes;
- demand-responsive van service;
- ridesharing and carpooling activities;
- transit-related aspects of bicycling (such as adding bicycle racks to vehicles to support individuals that bicycle a portion of their commute or providing bicycle storage at transit stations);
- local car loan programs that assist individuals in purchasing and maintaining vehicles for shared rides;
- promotion, through marketing efforts, of the:
 - use of transit by workers with nontraditional work schedules;
 - use of transit voucher programs by appropriate agencies for welfare recipients and other low-income individuals;
 - development of employer-provided transportation such as shuttles, ridesharing, carpooling; or
 - use of transit pass programs and benefits under Section 132 of the Internal Revenue Code of 1986.
- supporting the administration and expenses related to voucher programs;¹
- acquiring Geographic Information System (GIS) tools;
- implementing Intelligent Transportation Systems (ITS), including customer trip information technology;
- integrating automated regional public transit and human service transportation information, scheduling and dispatch functions;
- deploying vehicle position-monitoring systems;
- subsidizing the costs associated with adding reverse commute bus, train, carpool van routes or service from urbanized areas and non-urbanized areas to suburban work places;
- subsidizing the purchase or lease by a non-profit organization or public agency of a van or bus dedicated to shuttling employees from their residences to a suburban workplace;
- supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. Mobility management activities may include:²

¹ This activity is intended to supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Vouchers can be used as an administrative mechanism for payment to providers of alternative transportation services. The JARC program can provide vouchers to low-income individuals to purchase rides, including (1) mileage reimbursement as part of a volunteer driver program, (2) a taxi trip, or (3) trips provided by a human service agency. Transit passes for use on fixed-route or Americans with Disabilities Act of 1990 (ADA) complementary paratransit service are not eligible. Vouchers are treated as an operational expense which requires a 50/50 (Federal/local) match.

- the promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, older adults, and low-income individuals;
- support for short-term management activities to plan and implement coordinated services;
- the support of state and local coordination policy bodies and councils;
- the operation of transportation brokerages to coordinate providers, funding agencies and customers;
- the provision of coordination services, including employer-oriented Transportation Management Organizations' and Human Service Organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;
- the development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and
- operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of Geographic Information Systems (GIS) mapping, Global Positioning System technology, coordinated vehicle scheduling, dispatching and monitoring technologies as well as technologies to track costs and billing in a coordinated system and single smart customer payment systems (acquisition of technology is also eligible as a standalone capital expense).
- otherwise facilitating the provision of public transportation services to suburban employment opportunities.

The labor protection provisions of Section 5333(b) apply to the JARC program.

² SAFETEA-LU specified that mobility management expenses are eligible under all FTA grant programs as a capital cost (e.g., 80 percent Federal participation). Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a non-profit agency could receive JARC funding to support the administrative costs of sharing services it provides to its own clientele with other low-income individuals and coordinate usage of vehicles with other non-profits, but not the operating costs of the service. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service.

ELIGIBLE SECTION 5317 NEW FREEDOM (NF) PROJECTS

Eligible projects under New Freedom may include, but are not limited to:

1. New Public Transportation Services Beyond the ADA

- Enhancing paratransit beyond minimum requirements of the ADA. ADA complementary paratransit services can be eligible under New Freedom in several ways as long as the services provided meet the definition of “new.” Eligible projects may include:
 - expansion of paratransit service parameters beyond the 3/4-mile required by the ADA;
 - expansion of current hours of operation for ADA paratransit services that are beyond those provided on the fixed-route services;
 - the incremental cost of providing same day service;
 - the incremental cost of making door-to-door service available to all eligible ADA paratransit riders, but not as a reasonable modification for individual riders in an otherwise curb-to-curb system;
 - enhancement of the level of service by providing escorts or assisting riders through the door of their destination;
 - acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for common wheelchairs under the ADA and labor costs of aides to help drivers assist passengers with oversized wheelchairs;³ and
 - installation of additional securement locations in public buses beyond what is required by the ADA.
- Feeder services. New “feeder” service to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA.
- Making accessibility improvements to transit and intermodal stations not designated as key stations. Improvements for accessibility at existing transportation facilities that are not designated as key stations established under 49 CFR 37.47, 37.51, or 37.53, and that are not required under 49 CFR 37.43 as part of an alteration or renovation to an existing station, so long as the projects are clearly intended to remove barriers that would otherwise have remained. New Freedom funds are eligible to be used for new accessibility enhancements that remove barriers to individuals with disabilities so they may access greater portions of public transportation systems, such as fixed-route bus service, commuter rail, light rail and rapid rail. This may include:
 - building an accessible path to a bus stop that is currently inaccessible, including curb cuts, sidewalks, accessible pedestrian signals or other accessible features;
 - adding an elevator or ramps, detectable warnings, or other accessibility improvements to a non-key station that are not otherwise required under the ADA;
 - improving signage, or wayfinding technology; or
 - implementation of other technology improvements that enhance accessibility for people with disabilities including Intelligent Transportation Systems (ITS).
- Travel training. New training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services.

³ This concept would permit the acquisition of lifts with a larger capacity, as well as modifications to lifts with a 600 lb design load, and the acquisition of heavier-duty vehicles for paratransit and/or demand-response service.

2. New Public Transportation Alternatives Beyond the ADA

- Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs. New Freedom funds can be used to purchase and operate accessible vehicles for use in taxi, ridesharing and/or van pool programs. The vehicles must be able to accommodate a passenger who uses a “common wheelchair” as defined under 49 CFR 37.3, at a minimum, while remaining in his/her personal mobility device inside the vehicle, and meeting the same requirements for lifts, ramps and securement systems specified in 49 CFR part 38, subpart B.
- Supporting the administration and expenses related to new voucher programs for transportation services offered by human service providers. This activity is intended to support and supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Only new voucher programs or expansion of existing programs are eligible under the New Freedom Program. The New Freedom Program can provide vouchers to individuals with disabilities to purchase rides, including: (a) mileage reimbursement as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Transit passes for use on existing fixed-route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense which requires a 50/50 (federal/local) match.
- Supporting new volunteer driver and aide programs. New volunteer driver programs are eligible and include support for costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, and other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs. The costs of new enhancements to increase capacity of existing volunteer driver programs are also eligible. FTA notes that any volunteer program supported by New Freedom must meet the requirements of both “new” and “beyond the ADA.”
- Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. Mobility management is an eligible capital cost. Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. Mobility management activities may include:
 - the promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, older adults, and low-income individuals;
 - support for short term management activities to plan and implement coordinated services;
 - the support of state and local coordination policy bodies and councils;
 - the operation of transportation brokerages to coordinate providers, funding agencies and customers;
 - the provision of coordination services, including employer-oriented Transportation Management Organizations’ and Human Service Organizations’ customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;
 - the development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and
 - operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of Geographic Information Systems (GIS) mapping, Global Positioning System Technology, coordinated vehicle scheduling, dispatching and monitoring technologies as well as technologies to track

costs and billing in a coordinated system and single smart customer payment systems (acquisition of technology is also eligible as a standalone capital expense).

The labor protection provisions of Section 5333(b) do not apply to New Freedom Programs funds.

APPENDIX C: Selection Criteria

The attached series of tables categorize the specific criteria that will be used to assess the applications in accordance to:

- Eligibility (Table 1)
- Coordination and Consistency with the HSTP/TDSP (Table 2)
- Project Readiness/Ability to Implement (Table 3)
- Sustainability (Table 4)
- Need (Table 5)

The Selection Criteria match those questions in the application that are primarily designed to elicit information specific to each criterion. The set of evaluation criteria was developed based on the federal requirements.

| TABLE 1: Project Eligibility Screening Criteria | Relevant Application Questions | Relevance to Type of Project | Point Value of Criteria |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|-------------------------------------|--------------------------------|
| 1. Proposed project addresses unmet needs of welfare recipients, eligible low-income persons and other individuals in urbanized areas seeking employment or employment-related activities in suburban areas (JARC) OR addresses unmet transportation needs of persons with disabilities seeking integration into the workforce or full participation in society (New Freedom). | 2, 3, 4, 7 | All | Eligible / Not Eligible |
| 2. Project application identifies and addresses an unmet need identified in the Human Services Transportation Plan (HSTP)/Transportation Disadvantaged Service Plan (TDSP). This should include: (1) a description of the project; (2) identification of the unmet needs addressed by the project; (3) how the project will address the unmet need(s), e.g., in terms of serving new riders, a new area, a new day and/or times, a higher frequency, less advance notice, more driver assistance, etc.; and (4) an estimated quantification of benefits. Any additional obligations, e.g., the provision of ADA complementary paratransit as a result of implementing a new fixed bus route in a previously unserved area, should be noted. | 2, 8, 9 | All | Eligible / Not Eligible |
| 3. Local match will be supplied. | 30, 31 (Support Documentation) | All | Eligible / Not Eligible |
| 4. Project is consistent with FTA guidelines on eligible JARC and New Freedom projects and activities. | All | All | Eligible / Not Eligible |

| TABLE 2: Coordination and HSTP/TDSP Consistency Criteria (30 points) | Relevant Application Questions | Relevance to Type of Project | Point Value of Criteria |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|-------------------------------------|--------------------------------|
| 5. Project employs one or more strategies that provide: <ul style="list-style-type: none"> • Multi-county service with agency coordination and resource sharing = 10 points • Multi-municipality (but intra-county) service with resource sharing = 5 points • No service or coordination beyond municipality or program = 0 points | 3, 8, 9, 10, 11, | All | 0, 5, or 10 |
| 6. Project employs one or more strategies included in the applicable HSTP/TDSP or otherwise demonstrates innovation. | 8, 9 | All | 0 or 10 |
| 7. Does the project utilize or coordinate with existing public transportation providers; or existing public and private human service agencies; or reflect partnerships with non-transit entities and/or private non-profit/for-profit organizations? | 10, 20, 21, | All | 0, or 10 |

| TABLE 3: Project Readiness / Ability to Implement Criteria (20 points) | Relevant Application Questions | Relevance to Type of Project | Point Value of Criteria |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|---------------------------------------------|----------------------------------------|
| 8. Is the project ready to implement? Does the project require additional planning, design and/or engineering before the project can be implemented? <ul style="list-style-type: none"> Evidence provided that clearly demonstrates all project planning is complete = 10 Points Project planning is incomplete, but a clear schedule of milestones and an explanation of how milestones will be met is provided = 5 Points | 12 | All | 0, 5, or 10 |
| 9. Agency and/or agency contractor(s) qualifications and experience (including key personnel) demonstrate that they have managed similar projects. <ul style="list-style-type: none"> Have experience with similar projects = 10 Points Have managed projects funded through federal grants = 5 Points | 14, 15, 16 | All | 0, 5, or 10 |

| TABLE 4: Sustainability Criteria (20 points) | Relevant Application Questions | Relevance to Type of Project | Point Value of Criteria |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|---------------------------------------------|----------------------------------------|
| 10. Project is sustainable beyond identified project period. <ul style="list-style-type: none"> Applicant has identified sources to fund project above and beyond current levels of funding if project is deemed successful = 10 Points | 13, 30, 31 | All | 0 or 10 |
| 11. Key stakeholder support is demonstrated for the project. <ul style="list-style-type: none"> Project application include letters of support from key stakeholders that delineate specific nature of participation and local share commitment(s) = 10 Points Project application include letters of support from key stakeholders = 5 Points | Letters Submitted | All | 0, 5, or 10 |

| TABLE 5: Need Criteria (30 points) | Relevant Application Questions | Relevance to Type of Project | Point Value of Criteria |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|---------------------------------------------|----------------------------------------|
| 12. Project is an existing pilot JARC/NF project. <ul style="list-style-type: none"> Ridership has increased compared to pre-project ridership or has met other significant objectives = 20 points Ridership has not increased or the applicant has not provided before and after ridership information = 0 points | 2, 6, 17, 22 | Existing Pilot JARC/NF Project | 0 or 20 |

| TABLE 5 (Continued): Need Criteria | Relevant Application Questions | Relevance to Type of Project | Point Value of Criteria |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|------------------------------------|-----------------------------------------|
| 13. Severity of need addressed by new, expanded, or existing project (no prior JARC/NF funds). <ul style="list-style-type: none"> • New project designed to accommodate the needs of target populations of JARC/NF programs. No such service/linkage/agency coordination/sharing of resources currently exists in area = 20 points. • Expansion of an existing service to accommodate the needs of target populations of JARC/NF programs. Current service does not accommodate riders requiring high-level of service, specific trip purpose, and/or same-day service = 10 points • Continuation of an existing fixed route service (<u>JARC only</u>). Current service demonstrates compliance with JARC program goals by serving low income population and/or reverse commute = 5 points | 2, 6, 8, 9, 18, 19, 21 | No Prior JARC/NF Funds | 0, 5, 10, or 20 |
| 14. Estimated number of lower income individuals able to access jobs as a result of the project (JARC) OR persons with disabilities served as a result of the project (New Freedom). | 7, 13, 20 | All | 0, 5, or 10 (based on relative ranking) |

FY 2010 & 2011 Programs Guide and Application
FTA 5316 Job Access Reverse Commute (JARC) and 5317 New Freedom (NF) Programs

Signature of Authorized Official

Rodney Bell
Board chair

Title

Signature of Attest

Isabelle Pike
Acting Board Secretary

Title

EXHIBIT B: PUBLIC MEETING

South Florida Urban Ministries, Inc. is NOT a public agency. Thus, Exhibit B is NOT APPLICABLE to our application.

Although Exhibit B is not required of us, South Florida Urban Ministries, Inc. staff will participate in the meeting scheduled to be held on October 19, 2011 organized by the South Florida Regional Transportation Authority. As of this writing, we were not asked to make a presentation during the meeting. However, South Florida Urban Ministries, Inc. staff are prepared and welcome the opportunity to present during the said meeting.

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.

Brent McLaughlin, Executive Director

(Type name and title of authorized individual)

(Signature of authorized individual)

(Date)

APPENDIX A

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

PREFACE

In accordance with 49 U.S.C. 5323(n), the following certifications and assurances have been compiled for Federal Transit Administration (FTA) assistance programs. FTA requests each Applicant to provide as many certifications and assurances as needed for all programs for which the Applicant intends to seek FTA assistance during Federal Fiscal Year 2011. Category 01 applies to all Applicants. Category 02 applies to all applications for Federal assistance in excess of \$100,000. Categories 03 through 24 will apply to and be required for some, but not all, Applicants and projects. An Applicant may select a single certification that will cover all the programs for which it anticipates submitting an application. FTA requests each Applicant to read each certification and assurance carefully and select all certifications and assurances that may apply to the programs for which it expects to seek Federal assistance.

FTA and the Applicant understand and agree that not every provision of these certifications and assurances will apply to every Applicant or every project for which FTA provides Federal financial assistance through a Grant Agreement or Cooperative Agreement. The type of project and the section of the statute authorizing Federal financial assistance for the project will determine which provisions apply. The terms of these certifications and assurances reflect applicable requirements of FTA's enabling legislation currently in effect.

The Applicant also understands and agrees that these certifications and assurances are special pre-award requirements specifically prescribed by Federal law or regulation and do not encompass all Federal laws, regulations, and directives that may apply to the Applicant or its project. A comprehensive list of those Federal laws, regulations, and directives is contained in the FTA Master Agreement MA(17) for Federal Fiscal Year 2011 at the FTA Web site <http://www.fta.dot.gov/documents/17-Master.pdf>. The certifications and assurances in this document have been streamlined to remove most provisions not covered by statutory or regulatory certification or assurance requirements.

Because many requirements of these certifications and assurances will require the compliance of the subrecipient of an Applicant, we strongly recommend that each Applicant, including a State, that will be implementing projects through one or more subrecipients, secure sufficient documentation from each subrecipient to assure compliance, not only with these certifications and assurances, but also with the terms of the Grant Agreement or Cooperative Agreement for the project, and the applicable Master Agreement for its project, if applicable, incorporated therein by reference. Each Applicant is ultimately responsible for compliance with the provisions of the certifications and assurances applicable to itself or its project irrespective of participation in the project by any subrecipient. The Applicant understands and agrees that when it applies for FTA assistance on behalf of a consortium, joint venture, partnership, or team, each member of that consortium, joint venture, partnership, or team is responsible for compliance with the certifications and assurances the Applicant selects.

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FTA strongly encourages each Applicant to submit its certifications and assurances through TEAM-Web, FTA's electronic award and management system, at <http://ftateamweb.fta.dot.gov>. Twenty-four (24) Categories of certifications and assurances are listed by numbers 01 through 24 in the TEAM-Web "Recipients" option at the "Cert's & Assurances" tab of "View/Modify Recipients." Should the Applicant choose not to submit its certifications and assurances through TEAM-Web, the Applicant may submit its certifications and assurances on paper by submitting the Signature Page(s) at the end of this document, indicating the certifications and assurances it is making on one side of the document or on one page, and signing its affirmation and that of its attorney on the other side or other page.

01. ASSURANCES REQUIRED FOR EACH APPLICANT

Each Applicant for FTA assistance must provide all assurances in this Category "01." Except to the extent that FTA expressly determines otherwise in writing, FTA may not award any Federal assistance until the Applicant provides the following assurances by selecting Category "01."

A. Assurance of Authority of the Applicant and Its Representative

The authorized representative of the Applicant and the attorney who sign these certifications, assurances, and agreements affirm that both the Applicant and its authorized representative have adequate authority under applicable State, local, or Indian tribal law and regulations, and the Applicant's by-laws or internal rules to:

- (1) Execute and file the application for Federal assistance on behalf of the Applicant;
- (2) Execute and file the required certifications, assurances, and agreements on behalf of the Applicant binding the Applicant; and
- (3) Execute grant agreements and cooperative agreements with FTA on behalf of the Applicant.

B. Standard Assurances

The Applicant assures that it will comply with all applicable Federal statutes and regulations in carrying out any project supported by an FTA grant or cooperative agreement. The Applicant agrees that it is under a continuing obligation to comply with the terms and conditions of the FTA grant agreement or cooperative agreement, including the FTA Master Agreement that is incorporated by reference and made part of the latest amendment to its grant agreement or cooperative agreement with FTA issued for its project. The Applicant recognizes that Federal laws and regulations may be modified from time to time and those modifications may affect project implementation. The Applicant understands that Presidential executive orders and Federal directives, including Federal policies and program guidance may be issued concerning matters affecting the Applicant or its project. The Applicant agrees that the most recent Federal laws, regulations, and directives will apply to the project, unless FTA issues a written determination otherwise.

C. Intergovernmental Review Assurance

Except if the Applicant is an Indian tribal government seeking assistance authorized by

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49 U.S.C. 5311(c)(1), the Applicant assures that each application for Federal assistance it submits to FTA has been submitted or will be submitted for intergovernmental review to the appropriate State and local agencies as determined by the State. Specifically, the Applicant assures that it has fulfilled or will fulfill the obligations imposed on FTA by U.S. Department of Transportation (U.S. DOT) regulations, "Intergovernmental Review of Department of Transportation Programs and Activities," 49 CFR part 17. This assurance does not apply to Applicants for Federal assistance under FTA's Tribal Transit Program, 49 U.S.C. 5311(c)(1).

D. Nondiscrimination Assurance

As required by 49 U.S.C. 5332 (which prohibits discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibits discrimination in employment or business opportunity), by Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d, and by U.S. DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act," 49 CFR part 21 at 21.7, the Applicant assures that it will comply with all requirements imposed by or issued pursuant to 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21, so that no person in the United States, on the basis of race, color, national origin, creed, sex, or age will be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity (particularly in the level and quality of transportation services and transportation-related benefits) for which the Applicant receives Federal assistance awarded by the U.S. DOT or FTA.

Specifically, during the period in which Federal assistance is extended to the project, or project property is used for a purpose for which the Federal assistance is extended or for another purpose involving the provision of similar services or benefits, or as long as the Applicant retains ownership or possession of the project property, whichever is longer, the Applicant assures that:

- (1) Each project will be conducted, property acquisitions will be undertaken, and project facilities will be operated in accordance with all applicable requirements of 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21, and understands that this assurance extends to its entire facility and to facilities operated in connection with the project;
- (2) It will promptly take the necessary actions to effectuate this assurance, including notifying the public that complaints of discrimination in the provision of transportation-related services or benefits may be filed with U.S. DOT or FTA. Upon request by U.S. DOT or FTA, the Applicant assures that it will submit the required information pertaining to its compliance with these provisions;
- (3) It will include in each subagreement, property transfer agreement, third party contract, third party subcontract, or participation agreement adequate provisions to extend the requirements imposed by or issued pursuant to 49 U.S.C. 5332, 42 U.S.C. 2000d and 49 CFR part 21 to other parties involved therein including any subrecipient, transferee, third party contractor, third party subcontractor at any level, successor in interest, or any other participant in the project;
- (4) Should it transfer real property, structures, or improvements financed with Federal assistance provided by FTA to another party, any deeds and instruments recording the transfer of that property shall contain a covenant running with the land assuring nondiscrimination for the period during which the property is used for a purpose for which

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the Federal assistance is extended or for another purpose involving the provision of similar services or benefits;

- (5) The United States has a right to seek judicial enforcement with regard to any matter arising under Title VI of the Civil Rights Act, U.S. DOT implementing regulations, and this assurance; and
- (6) It will make any changes in its Title VI implementing procedures as U.S. DOT or FTA may request to achieve compliance with the requirements imposed by or issued pursuant to 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21.

E. Assurance of Nondiscrimination on the Basis of Disability

As required by U.S. DOT regulations, “Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance,” at 49 CFR 27.9, the Applicant assures that, as a condition to the approval or extension of any Federal assistance awarded by FTA to construct any facility, obtain any rolling stock or other equipment, undertake studies, conduct research, or to participate in or obtain any benefit from any program administered by FTA, no otherwise qualified person with a disability shall be, solely by reason of that disability, excluded from participation in, denied the benefits of, or otherwise subjected to discrimination in any program or activity receiving or benefiting from Federal assistance administered by the FTA or any entity within U.S. DOT. The Applicant assures that project implementation and operations so assisted will comply with all applicable requirements of U.S. DOT regulations implementing the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, *et seq.*, and the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*, and implementing U.S. DOT regulations at 49 CFR parts 27, 37, and 38, and any other applicable Federal laws that may be enacted or Federal regulations that may be promulgated.

F. Suspension and Debarment

In accordance with the terms of U.S. DOT regulations, “Nonprocurement Suspension and Debarment,” 2 CFR Part 1200, which adopts and supplements the provisions of U.S. Office of Management and Budget (U.S. OMB) “Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” 2 CFR Part 180:

- (1) The Applicant (Primary Participant) certifies to the best of its knowledge and belief, that it and its principals, including its first tier subrecipients:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded or disqualified from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding its latest application or proposal been convicted of or had a civil judgment rendered against any of them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction, or contract under a public transaction; violation of any Federal or State antitrust statute; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a

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governmental entity (Federal, State, or local) with commission of any of the offenses listed in subparagraph (1)(b) of this certification;

- (d) Have not within a three-year period preceding this certification had one or more public transactions (Federal, State, or local) terminated for cause or default.
- (2) The Applicant (Primary Participant) certifies that it and its principals, including its first tier subrecipients, will treat each lower tier contract or lower tier subcontract under the Project that (a) equals or exceeds \$25,000, (b) is for audit services, or (3) requires the consent of a Federal official, as a covered contract for purposes of 2 CFR Part 1200 and 2 CFR Part 180, and will otherwise comply with the Federal requirements of 2 CFR Part 1200 and 2 CFR Part 180, and will assure that the each lower tier participant involved in the Project is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded or disqualified from participation in this transaction by any Federal department or agency;
- (3) The Applicant (Primary Participant) certifies that if, later, it or its principals, including any of its first tier subrecipients, become aware of any information contradicting the statements of subparagraphs (1)(a) through (d) above, it will promptly provide any necessary information to FTA;
- (4) If the Applicant (Primary Participant) or any of its principals, including any of its first tier subrecipients or lower tier participants, is unable to certify to the statements within paragraphs (1), (2), and (3) above, the Applicant shall indicate so on its Signature Page or a Page attached in FTA's TEAM system providing a written explanation to FTA.

G. U.S. OMB Assurances

Consistent with U.S. OMB assurances set forth in SF-424B and SF-424D, the Applicant assures that, with respect to itself or its project, the Applicant:

- (1) Has the legal authority to apply for Federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project cost) to assure proper planning, management, and completion of the project described in its application;
- (2) Will give FTA, the Comptroller General of the United States, and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives;
- (3) Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain;
- (4) Will initiate and complete the work within the applicable project time periods following receipt of FTA approval;
- (5) Will comply with all applicable Federal statutes relating to nondiscrimination including, but not limited to:
 - (a) Title VI of the Civil Rights Act, 42 U.S.C. 2000d, which prohibits discrimination on the basis of race, color, or national origin;
 - (b) Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 through 1683, and 1685 through 1687, and U.S. DOT regulations, "Nondiscrimination on the

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- Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance,” 49 CFR part 25, which prohibit discrimination on the basis of sex;
- (c) Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, which prohibits discrimination on the basis of disability;
 - (d) The Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 through 6107, which prohibits discrimination on the basis of age;
 - (e) The Drug Abuse Office and Treatment Act of 1972, as amended, 21 U.S.C. 1101 *et seq.*, relating to nondiscrimination on the basis of drug abuse;
 - (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention Act of 1970, as amended, 42 U.S.C. 4541 *et seq.* relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - (g) The Public Health Service Act of 1912, as amended, 42 U.S.C. 290dd through 290dd-2., relating to confidentiality of alcohol and drug abuse patient records;
 - (h) Title VIII of the Civil Rights Act, 42 U.S.C. 3601 *et seq.*, relating to nondiscrimination in the sale, rental, or financing of housing; and
 - (i) Any other nondiscrimination statute(s) that may apply to the project;
- (6) To the extent applicable, will comply with, or has complied with, the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, (Uniform Relocation Act) 42 U.S.C. 4601 *et seq.*, which, among other things, provide for fair and equitable treatment of persons displaced or persons whose property is acquired as a result of federally assisted programs. These requirements apply to all interests in real property acquired for project purposes and displacement caused by the project regardless of Federal participation in any purchase. As required by sections 210 and 305 of the Uniform Relocation Act, 42 U.S.C. 4630 and 4655, and by U.S. DOT regulations, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs,” 49 CFR 24.4, the Applicant assures that it has the requisite authority under applicable State and local law to comply with the requirements of the Uniform Relocation Act, 42 U.S.C. 4601 *et seq.*, and U.S. DOT regulations, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs,” 49 CFR part 24, and will comply with that Act or has complied with that Act and those implementing regulations, including but not limited to the following:
- (a) The Applicant will adequately inform each affected person of the benefits, policies, and procedures provided for in 49 CFR part 24;
 - (b) The Applicant will provide fair and reasonable relocation payments and assistance as required by 42 U.S.C. 4622, 4623, and 4624; 49 CFR part 24; and any applicable FTA procedures, to or for families, individuals, partnerships, corporations, or associations displaced as a result of any project financed with FTA assistance;
 - (c) The Applicant will provide relocation assistance programs offering the services described in 42 U.S.C. 4625 to such displaced families, individuals, partnerships, corporations, or associations in the manner provided in 49 CFR part 24;
 - (d) Within a reasonable time before displacement, the Applicant will make available comparable replacement dwellings to displaced families and individuals as required by 42 U.S.C. 4625(c)(3);
 - (e) The Applicant will carry out the relocation process in such manner as to provide displaced persons with uniform and consistent services, and will make available

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- replacement housing in the same range of choices with respect to such housing to all displaced persons regardless of race, color, religion, or national origin;
- (f) In acquiring real property, the Applicant will be guided to the greatest extent practicable under State law, by the real property acquisition policies of 42 U.S.C. 4651 and 4652;
 - (g) The Applicant will pay or reimburse property owners for their necessary expenses as specified in 42 U.S.C. 4653 and 4654, with the understanding that FTA will provide Federal financial assistance for the Applicant's eligible costs of providing payments for those expenses, as required by 42 U.S.C. 4631;
 - (h) The Applicant will execute such amendments to third party contracts and subagreements financed with FTA assistance and execute, furnish, and be bound by such additional documents as FTA may determine necessary to effectuate or implement the assurances provided herein; and
 - (i) The Applicant agrees to make these assurances part of or incorporate them by reference into any third party contract or subagreement, or any amendments thereto, relating to any project financed by FTA involving relocation or land acquisition and provide in any affected document that these relocation and land acquisition provisions shall supersede any conflicting provisions;
- (7) To the extent applicable, will comply with the Davis-Bacon Act, as amended, 40 U.S.C. 3141 *et seq.*, the Copeland "Anti-Kickback" Act, as amended, at 18 U.S.C. 874, and at 40 U.S.C. 3145, and the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. 3701 *et seq.*, regarding labor standards for federally assisted projects;
 - (8) To the extent applicable, will comply with the flood insurance purchase requirements of section 102(a) of the Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. 4012a(a), requiring the Applicant and its subrecipients in a special flood hazard area to participate in the program and purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more;
 - (9) To the extent applicable, will comply with the Lead-Based Paint Poisoning Prevention Act, 42 U.S.C. 4831(b), which prohibits the use of lead-based paint in the construction or rehabilitation of residence structures;
 - (10) To the extent applicable, will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities on which a construction project supported with FTA assistance takes place without permission and instructions from FTA;
 - (11) To the extent required by FTA, will record the Federal interest in the title of real property, and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project;
 - (12) To the extent applicable, will comply with FTA provisions concerning the drafting, review, and approval of construction plans and specifications of any construction project supported with FTA assistance. As required by U.S. DOT regulations, "Seismic Safety," 49 CFR 41.117(d), before accepting delivery of any building financed with FTA assistance, it will obtain a certificate of compliance with the seismic design and construction requirements of 49 CFR part 41;
 - (13) To the extent applicable, will provide and maintain competent and adequate engineering supervision at the construction site of any project supported with FTA assistance to assure that the complete work conforms with the approved plans and specifications, and will furnish progress reports and such other information as may be required by FTA or the State;

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- (14) To the extent applicable, will comply with any applicable environmental standards that may be prescribed to implement the following Federal laws and executive orders:
- (a) Institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended, 42 U.S.C. 4321 through 4335 and Executive Order No. 11514, as amended, 42 U.S.C. 4321 note;
 - (b) Notification of violating facilities pursuant to Executive Order No. 11738, 42 U.S.C. 7606 note;
 - (c) Protection of wetlands pursuant to Executive Order No. 11990, 42 U.S.C. 4321 note;
 - (d) Evaluation of flood hazards in floodplains in accordance with Executive Order No. 11988, 42 U.S.C. 4321 note;
 - (e) Assurance of project consistency with the approved State management program developed pursuant to the requirements of the Coastal Zone Management Act of 1972, as amended, 16 U.S.C. 1451 through 1465;
 - (f) Conformity of Federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended, 42 U.S.C. 7401 through 7671q;
 - (g) Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, 42 U.S.C. 300f through 300j-6;
 - (h) Protection of endangered species under the Endangered Species Act of 1973, as amended, 16 U.S.C. 1531 through 1544; and
 - (i) Environmental protections for Federal transportation programs, including, but not limited to, protections for parks, recreation areas, or wildlife or waterfowl refuges of national, State, or local significance or any land from a historic site of national, State, or local significance to be used in a transportation project as required by 49 U.S.C. 303(b) and 303(c);
 - (j) Protection of the components of the national wild and scenic rivers systems, as required under the Wild and Scenic Rivers Act of 1968, as amended, 16 U.S.C. 1271 through 1287; and
 - (k) Provision of assistance to FTA in complying with section 106 of the National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470f; with the Archaeological and Historic Preservation Act of 1974, as amended, 16 U.S.C. 469 through 469c ; and with Executive Order No. 11593 (identification and protection of historic properties), 16 U.S.C. 470 note;
- (15) To the extent applicable, will comply with the requirements of the Hatch Act, 5 U.S.C. 1501 through 1508 and 7324 through 7326, which limit the political activities of State and local agencies and their officers and employees whose primary employment activities are financed in whole or part with Federal funds including a Federal loan, grant agreement, or cooperative agreement except, in accordance with 49 U.S.C. 5307(k)(2) and 23 U.S.C. 142(g), the Hatch Act does not apply to a nonsupervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving FTA assistance to whom that Act does not otherwise apply;
- (16) To the extent applicable, will comply with the National Research Act, Pub. L. 93-348, July 12, 1974, as amended, 42 U.S.C. 289 *et seq.*, and U.S. DOT regulations, "Protection of Human Subjects," 49 CFR part 11, regarding the protection of human subjects involved in research, development, and related activities supported by Federal assistance;

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- (17) To the extent applicable, will comply with the Animal Welfare Act, as amended, 7 U.S.C. 2131 *et seq.*, and U.S. Department of Agriculture regulations, “Animal Welfare,” 9 CFR subchapter A, parts 1, 2, 3, and 4, regarding the care, handling, and treatment of warm blooded animals held or used for research, teaching, or other activities supported by Federal assistance;
- (18) Will have performed the financial and compliance audits as required by the Single Audit Act Amendments of 1996, 31 U.S.C. 7501 *et seq.*, U.S. OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations,” Revised, and the most recent applicable U.S. OMB A-133 Compliance Supplement provisions for the U.S. DOT; and
- (19) To the extent applicable, will comply with all applicable provisions of all other Federal laws or regulations, and follow Federal directives governing the project, except to the extent that FTA has expressly approved otherwise in writing.

02. LOBBYING CERTIFICATION

An Applicant that submits or intends to submit an application to FTA for any Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance exceeding \$100,000 is required to provide the following certification. FTA may not award Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance exceeding \$100,000 until the Applicant provides this certification by selecting Category “02.”

- A. As required by 31 U.S.C. 1352 and U.S. DOT regulations, “New Restrictions on Lobbying,” at 49 CFR 20.110, the Applicant’s authorized representative certifies to the best of his or her knowledge and belief that for each application to U.S. DOT or FTA for a Federal grant, loan (including a line of credit), cooperative agreement, or a commitment that the Federal Government to guarantee or insure a loan exceeding \$100,000:
 - (1) No Federal appropriated funds have been or will be paid by or on behalf of the Applicant to any person to influence or attempt to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress regarding the award of a Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance, or the extension, continuation, renewal, amendment, or modification of any Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance;
 - (2) If any funds other than Federal appropriated funds have been or will be paid to any person to influence or attempt to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any application for a Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance, the Applicant assures that it will complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions; and
 - (3) The language of this certification shall be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, subagreements, and contracts under grants, loans (including a line of credit), cooperative agreements, loan guarantees, and loan insurance).

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- B. The Applicant understands that this certification is a material representation of fact upon which reliance is placed by the Federal government and that submission of this certification is a prerequisite for providing a Federal grant, loan (including a line of credit), cooperative agreement, loan guarantee, or loan insurance for a transaction covered by 31 U.S.C. 1352. The Applicant also understands that any person who fails to file a required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

03. PROCUREMENT COMPLIANCE

In accordance with 49 CFR 18.36(g)(3)(ii), each Applicant that is a State, local, or Indian tribal government that is seeking Federal assistance to acquire property or services in support of its project is requested to provide the following certification by selecting Category "03." FTA also requests other Applicants to provide the following certification. An Applicant for FTA assistance to acquire property or services in support of its project that fails to provide this certification may be determined ineligible for award of Federal assistance for the project, if FTA determines that its procurement practices and procurement system fail to comply with Federal laws or regulations in accordance with applicable Federal directives.

The Applicant certifies that its procurements and procurement system will comply with all applicable Federal laws and regulations in accordance with applicable Federal directives, except to the extent FTA has expressly approved otherwise in writing.

04. PROTECTIONS FOR PRIVATE TRANSPORTATION PROVIDERS

Each Applicant that is a State, local, or Indian tribal government that is seeking Federal assistance authorized under 49 U.S.C. chapter 53 to acquire any property or an interest in the property of a private provider of public transportation or to operate public transportation equipment or facilities in competition with, or operate public transportation equipment or facilities in addition to, transportation service provided by an existing private provider of public transportation is required to provide the following certification. FTA may not award Federal assistance for such a project until the Applicant provides this certification by selecting Category "04."

As required by 49 U.S.C. 5323(a)(1), the Applicant certifies that before it acquires the property or an interest in the property of a private provider of public transportation or operates public transportation equipment or facilities in competition with, or in addition to, transportation service provided by an existing public transportation company, it has or will have:

- A. Determined that the assistance is essential to carrying out a program of projects as required by 49 U.S.C. 5303, 5304, and 5306;
- B. Provided for the participation of private companies engaged in public transportation to the maximum extent feasible; and
- C. Paid just compensation under State or local law to the company for any franchise or property acquired.

05. PUBLIC HEARING

An Applicant seeking Federal assistance authorized under 49 U.S.C. chapter 53 for a capital project that will substantially affect a community or a community's public transportation service is required to provide the following certification. FTA may not award Federal assistance for a capital project of that type until the Applicant provides this certification by selecting Category "05."

As required by 49 U.S.C. 5323(b), for a proposed capital project that will substantially affect a community, or the public transportation service of a community, the Applicant certifies that it has, or before submitting its application, it will have:

- A. Provided an adequate opportunity for public review and comment on the proposed project;
- B. After providing notice, including a concise description of the proposed project, published in a newspaper of general circulation in the geographic area to be served, held a public hearing on the project if the project affects significant economic, social, or environmental interests;
- C. Considered the economic, social, and environmental effects of the proposed project; and
- D. Determined that the proposed project is consistent with official plans for developing the community.

06. ACQUISITION OF ROLLING STOCK FOR USE IN REVENUE SERVICE

An Applicant seeking Federal assistance authorized under 49 U.S.C. chapter 53 to acquire any rolling stock for use in revenue service is required to provide the following certification. FTA may not award any Federal assistance to acquire such rolling stock until the Applicant provides this certification by selecting Category "06."

As required by 49 U.S.C. 5323(m) and implementing FTA regulations, "Pre-Award and Post-Delivery Audits of Rolling Stock Purchases," 49 CFR part 663, at 49 CFR 663.7, the Applicant certifies that it will comply with the requirements of 49 CFR part 663 as modified by amendments authorized by section 3023(k) of SAFETEA-LU when procuring revenue service rolling stock. Among other things, the Applicant agrees to conduct or cause to be conducted the requisite pre-award and post delivery reviews, and maintain on file the certifications required by 49 CFR part 663, subparts B, C, and D.

07. ACQUISITION OF CAPITAL ASSETS BY LEASE

An Applicant that intends to request the use of Federal assistance authorized under 49 U.S.C. chapter 53 to acquire capital assets by lease is required to provide the following certifications. FTA may not provide Federal assistance to support those costs until the Applicant provides this certification by selecting Category "07."

As required by FTA regulations, "Capital Leases," 49 CFR part 639, at 49 CFR 639.15(b)(1) and 49 CFR 639.21, if the Applicant acquires any capital asset by lease financed with Federal assistance authorized under 49 U.S.C. chapter 53, the Applicant certifies as follows:

- (1) It will not use Federal assistance authorized under 49 U.S.C. chapter 53 to finance the cost

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of leasing any capital asset until it performs calculations demonstrating that leasing the capital asset would be more cost-effective than purchasing or constructing a similar asset; and it will complete these calculations before entering into the lease or before receiving a capital grant for the asset, whichever is later; and

- (2) It will not enter into a capital lease for which FTA can provide only incremental Federal assistance unless it has adequate financial resources to meet its future obligations under the lease if Federal assistance is not available for capital projects in the subsequent years.

08. BUS TESTING

An Applicant for Federal assistance appropriated or made available for 49 U.S.C. chapter 53 to acquire any new bus model or any bus model with a new major change in configuration or components is required to provide the following certification. FTA may not provide Federal assistance for the acquisition of any new bus model or bus model with a major change until the Applicant provides this certification by selecting Category "08."

As required by 49 U.S.C. 5318 and FTA regulations, "Bus Testing," at 49 CFR 665.7, the Applicant certifies that, before expending any Federal assistance to acquire the first bus of any new bus model or any bus model with a new major change in configuration or components, or before authorizing final acceptance of that bus (as described in 49 CFR part 665):

- A. The bus model will have been tested at FTA's bus testing facility; and
- B. The Applicant will have received a copy of the test report prepared on the bus model.

09. CHARTER SERVICE AGREEMENT

An Applicant seeking Federal assistance authorized under 49 U.S.C. chapter 53 (except as permitted by 49 CFR 604.2), or under 23 U.S.C. 133 or 142, to acquire or operate any public transportation equipment or facilities is required to enter into the following Charter Service Agreement. FTA may not provide Federal assistance authorized under 49 U.S.C. chapter 53 (except as permitted by 49 CFR 604.2), or under 23 U.S.C. 133 or 142, for such projects until the Applicant enters into this Charter Service Agreement by selecting Category "09."

- A. As required by 49 U.S.C. 5323(d) and (g) and FTA regulations at 49 CFR 604.4, the Applicant understands and agrees that it and each subrecipient, lessee, third party contractor, or other participant in the project at any tier may provide charter service for transportation projects that uses equipment or facilities acquired with Federal assistance authorized under the Federal transit laws (except as permitted by 49 CFR 604.2), or under 23 U.S.C. 133 or 142, only in compliance with those laws and FTA regulations, "Charter Service," 49 CFR part 604, the terms and conditions of which are incorporated herein by reference.
- B. The Applicant understands and agrees that:
 - (1) The requirements of FTA regulations, "Charter Service," 49 CFR part 604, will apply to any charter service it or its subrecipients, lessees, third party contractors, or other participants in the project provide;
 - (2) The definitions of FTA regulations, "Charter Service," 49 CFR part 604, will apply to this Charter Service Agreement; and

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- (3) A pattern of violations of this Charter Service Agreement may require corrective measures and imposition of remedies, including barring the Applicant, subrecipient, lessee, third party contractor, or other participant in the project that has engaged in that pattern of violations from receiving FTA financial assistance, or withholding an amount of Federal assistance as set forth in FTA regulations, "Charter Service," 49 CFR part 604, Appendix D.

10. SCHOOL TRANSPORTATION AGREEMENT

An Applicant that is seeking Federal assistance authorized under 49 U.S.C. chapter 53 or under 23 U.S.C.133 or 142 to acquire or operate public transportation facilities and equipment is required to enter into the following School Transportation Agreement. FTA may not provide Federal assistance authorized under 49 U.S.C. chapter 53 or under 23 U.S.C.133 or 142 for such projects until the Applicant enters into this School Transportation Agreement by selecting Category "10."

- A. As required by 49 U.S.C. 5323(f) and (g) and FTA regulations at 49 CFR 605.14, the Applicant understands and agrees that it and each subrecipient, lessee, third party contractor, or other participant in the project at any tier may engage in school transportation operations in competition with private school transportation operators that uses equipment or facilities acquired with Federal assistance authorized under the Federal transit laws or under 23 U.S.C. 133 or 142, only in compliance with those laws and FTA regulations, "School Bus Operations," 49 CFR part 605, to the extent consistent with 49 U.S.C. 5323(f) or (g), the terms and conditions of which are incorporated herein by reference.
- B. The Applicant understands and agrees that:
 - (1) The requirements of FTA regulations, "School Bus Operations," 49 CFR part 605, to the extent consistent with 49 U.S.C. 5323(f) or (g), will apply to any school transportation service it or its subrecipients, lessees, third party contractors, or other participants in the project provide;
 - (2) The definitions of FTA regulations, "School Bus Operations," 49 CFR part 605 will apply to this School Transportation Agreement; and
 - (3) If there is a violation of this School Transportation Agreement, FTA will bar the Applicant, subrecipient, lessee, third party contractor, or other participant in the project that has violated this School Transportation Agreement from receiving Federal transit assistance in an amount FTA considers appropriate.

11. DEMAND RESPONSIVE SERVICE

An Applicant that operates demand responsive service and applies for direct Federal assistance authorized under 49 U.S.C. chapter 53 to acquire non-rail public transportation vehicles is required to provide the following certification. FTA may not award direct Federal assistance authorized under 49 U.S.C. chapter 53 to an Applicant that operates demand responsive service to acquire non-rail public transportation vehicles until the Applicant provides this certification by selecting Category "11."

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As required by U.S. DOT regulations, “Transportation Services for Individuals with Disabilities (ADA),” at 49 CFR 37.77(d), the Applicant certifies that its demand responsive service offered to individuals with disabilities, including individuals who use wheelchairs, is equivalent to the level and quality of service offered to individuals without disabilities. Viewed in its entirety, the Applicant’s service for individuals with disabilities is provided in the most integrated setting feasible and is equivalent with respect to: (1) response time, (2) fares, (3) geographic service area, (4) hours and days of service, (5) restrictions on trip purpose, (6) availability of information and reservation capability, and (7) constraints on capacity or service availability.

12. ALCOHOL MISUSE AND PROHIBITED DRUG USE

If the Applicant is required by FTA regulations, “Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations,” at 49 CFR part 655, to provide the following certification concerning its activities to prevent alcohol misuse and prohibited drug use in its public transportation operations, FTA may not provide Federal assistance to that Applicant until it provides this certification by selecting Category “12.”

As required by FTA regulations, “Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations,” at 49 CFR part 655, subpart I, the Applicant certifies that it has established and implemented an alcohol misuse and anti-drug program, and has complied with or will comply with all applicable requirements of FTA regulations, “Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations,” 49 CFR part 655.

13. INTEREST AND OTHER FINANCING COSTS

An Applicant that intends to request the use of Federal assistance for reimbursement of interest or other financing costs incurred for its capital projects financed with Federal assistance under the Urbanized Area Formula Program, the Capital Investment Program, or the Paul S. Sarbanes Transit in Parks Program is required to provide the following certification. FTA may not provide Federal assistance to support interest or other financing costs until the Applicant provides this certification by selecting Category “13.”

As required by 49 U.S.C. 5307(g)(3), 5309(g)(2)(B)(iii), 5309(g)(3)(B)(iii), 5309(i)(2)(C), and 5320(h)(2)(C), the Applicant certifies that it will not seek reimbursement for interest or other financing costs unless it is eligible to receive Federal assistance for those costs and its records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, to the extent FTA may require.

14. INTELLIGENT TRANSPORTATION SYSTEMS

An Applicant for FTA assistance for an Intelligent Transportation Systems (ITS) project, defined as any project that in whole or in part finances the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the “National ITS Architecture,” is requested to provide the following assurance. FTA strongly encourages any Applicant for FTA financial assistance to support an

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ITS project to provide this assurance by selecting Category “14.” An Applicant for FTA assistance for an ITS project that fails to provide this assurance, without providing other documentation assuring its commitment to comply with applicable Federal ITS standards and protocols, may be determined ineligible for award of Federal assistance for the ITS project.

As used in this assurance, the term Intelligent Transportation Systems (ITS) project is defined to include any project that in whole or in part finances the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the “National ITS Architecture.”

- A. As provided in subsection 5307(c) of SAFETEA-LU, 23 U.S.C. 512 note, apart from certain exceptions, “intelligent transportation system projects carried out using funds made available from the Highway Trust Fund, including funds made available under this subtitle to deploy intelligent transportation system technologies, [shall] conform to the national architecture, applicable standards or provisional standards, and protocols developed under subsection (a) [of section 5307 of SAFETEA-LU].” To facilitate compliance with subsection 5307(c) of SAFETEA-LU, 23 U.S.C. 512 note, the Applicant assures it will comply with all applicable provisions of Section V (Regional ITS Architecture) and Section VI (Project Implementation) of FTA Notice, “FTA National ITS Architecture Policy on Transit Projects,” at 66 FR 1455 *et seq.*, January 8, 2001, and other FTA policies that may be issued in connection with any ITS project it undertakes financed with funds authorized under Title 49 or Title 23, United States Code, except to the extent that FTA expressly determines otherwise in writing; and
- B. With respect to any ITS project financed with Federal assistance derived from a source other than Title 49 or Title 23, United States Code, the Applicant assures that it will use its best efforts to assure that any ITS project it undertakes will not preclude interface with other intelligent transportation systems in the Region.

15. URBANIZED AREA FORMULA PROGRAM

Each Applicant for Urbanized Area Formula Program assistance authorized under 49 U.S.C. 5307 is required to provide the following certifications on behalf of itself and any subrecipients participating in its projects. Unless FTA determines otherwise in writing, the Applicant is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the Applicant is strongly encouraged to take appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the Applicant has made to FTA. If, however a “Designated Recipient” as defined at 49 U.S.C. 5307(a)(2)(A) enters into a Supplemental Agreement with FTA and a Prospective Grantee, that Grantee is recognized as the Applicant for Urbanized Area Formula Program assistance and must provide the following certifications and assurances.

Each Applicant is required by 49 U.S.C. 5307(d)(1)(J) to expend at least one (1) percent of its Urbanized Area Formula Program assistance for public transportation security projects, unless

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the Applicant has certified that such expenditures are not necessary. Information about the Applicant's intentions will be recorded in the "Security" tab page of the TEAM-Web "Project Information" window when the Applicant enters its Urbanized Area Formula Program application in TEAM-Web.

FTA may not award Urbanized Area Formula Program assistance to any Applicant that is required by 49 U.S.C. 5307(d)(1)(K) to expend one (1) percent of its Urbanized Area Formula Program assistance for eligible transit enhancements unless that Applicant's quarterly report for the fourth quarter of the preceding Federal fiscal year has been submitted to FTA and includes the requisite list or the Applicant attaches in TEAM-Web or includes in its quarterly report information sufficient to demonstrate that the Designated Recipients in its area together have expended one (1) percent of the amount of Urbanized Area Program assistance made available to them for transit enhancement projects.

FTA may not award Federal assistance for the Urbanized Area Formula Program to the Applicant until the Applicant provides these certifications and assurances by selecting Category "15."

As required by 49 U.S.C. 5307(d)(1), the Applicant certifies as follows:

- A. In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
- B. In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities;
- C. In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the Project equipment and facilities;
- D. In compliance with 49 U.S.C. 5307(d)(1)(D), the Applicant will assure that any elderly individual, any individual with disabilities, or any person presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*), will be charged for transportation during non-peak hours using or involving a facility or equipment of a project financed with Federal assistance authorized for 49 U.S.C. 5307, not more than fifty (50) percent of the peak hour fare;
- E. In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5307: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
- F. In compliance with 49 U.S.C. 5307(d)(1)(F), the Applicant has complied with or will comply with the requirements of 49 U.S.C. 5307(c). Specifically, the Applicant: (1) has made available, or will make available, to the public information on the amounts available for the Urbanized Area Formula Program, 49 U.S.C. 5307, and the program of projects it proposes to undertake; (2) has developed or will develop, in consultation with interested parties including private transportation providers, a proposed program of projects for

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- activities to be financed; (3) has published or will publish a proposed program of projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed program and submit comments on the proposed program and the performance of the Applicant; (4) has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed program of projects; (5) has assured or will assure that the proposed program of projects provides for the coordination of transportation services assisted under 49 U.S.C. 5336 with transportation services assisted by another Federal government source; (6) has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final program of projects; and (7) has made or will make the final program of projects available to the public;
- G. In compliance with 49 U.S.C. 5307(d)(1)(G), the Applicant has or will have available and will provide the amount of funds required by 49 U.S.C. 5307(e) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law;
- H. In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with: (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil); (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements);
- I. In compliance with 49 U.S.C. 5307(d)(1)(I), the Applicant has a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation;
- J. In compliance with 49 U.S.C. 5307(d)(1)(J), each Federal fiscal year, the Applicant will spend at least one (1) percent of its funds authorized by 49 U.S.C. 5307 for public transportation security projects, unless the Applicant has certified to FTA that such expenditures are not necessary. Public transportation security projects include increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages), increased camera surveillance of an area in or adjacent to that system, emergency telephone line or lines to contact law enforcement or security personnel in an area in or adjacent to that system, and any other project intended to increase the security and safety of existing or planned public transportation; and
- K. In compliance with 49 U.S.C. 5307(d)(1)(K), if the Applicant is a Designated Recipient serving an urbanized area with a population of at least 200,000, (1) the Applicant certifies either that it has expended or will expend for transit enhancements as defined at 49 U.S.C. 5302(a)(15) not less than one (1) percent of the amount of the Urbanized Area Formula Assistance it receives this Federal fiscal year, or that at least one Designated Recipient in its urbanized area has certified or will certify that the Designated Recipients within that urbanized area together have expended or will expend for transit enhancements as defined at 49 U.S.C. 5302(a)(15) not less than one (1) percent of the total amounts the Designated Recipients receive each Federal fiscal year under 49 U.S.C. 5307, and (2) either the Applicant has listed or will list the transit enhancement projects it has carried out with those funds, or at least one Designated Recipient in the Applicant's urbanized area has listed or

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will list the transit enhancement projects carried out with funds authorized under 49 U.S.C. 5307. If the Designated Recipient's quarterly report for the fourth quarter of the preceding Federal fiscal year includes a list of transit enhancement projects the Designated Recipients in its urbanized area have implemented during that preceding Federal fiscal year using those funds, the information in that quarterly report will fulfill the requirements of 49 U.S.C. 5307(d)(1)(K)(ii), and thus that quarterly report will be incorporated by reference and made part of the Designated Recipient's and Applicant's certifications and assurances.

16. CLEAN FUELS GRANT PROGRAM

Each Applicant for Clean Fuels Grant Program assistance authorized under 49 U.S.C. 5308 is required to provide the following certifications on behalf of itself and its subrecipients. Unless FTA determines otherwise in writing, the Applicant is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the Applicant is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the Applicant has made to FTA. FTA may not award Federal assistance for the Clean Fuels Grant Program until the Applicant provides these certifications by selecting Category "16."

As required by 49 U.S.C. 5308(d)(1), which makes the requirements of 49 U.S.C. 5307 applicable to Clean Fuels Grant Program assistance, and 49 U.S.C. 5307(d)(1), the designated recipient or the recipient serving as the Applicant on behalf of the designated recipient, or the State or State organization serving as the Applicant on behalf of the State, certifies as follows:

- A. In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
- B. In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
- C. In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
- D. In compliance with 49 U.S.C. 5307(d)(1)(D), the Applicant will assure that any elderly individual, any individual with disabilities, or any person presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*), will be charged for transportation during non-peak hours using or involving a facility or equipment of a project financed with Federal assistance authorized under 49 U.S.C. 5308, not more than fifty (50) percent of the peak hour fare;
- E. In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5308: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;

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- F. In compliance with 49 U.S.C. 5307(d)(1)(F), the Applicant has complied with or will comply with the requirements of 49 U.S.C. 5307(c). Specifically, the Applicant: (1) has made available, or will make available, to the public information on the amounts available for the Clean Fuels Grant Program, 49 U.S.C. 5308, and the projects it proposes to undertake; (2) has developed or will develop, in consultation with interested parties including private transportation providers, the proposed projects to be financed; (3) has published or will publish a list of the proposed projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed projects and submit comments on the proposed projects and the performance of the Applicant; (4) has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed projects; (5) has assured or will assure that the proposed projects provide for the coordination of transportation services assisted under 49 U.S.C. 5336 with transportation services assisted by another Federal government source; (6) has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of projects; and (7) has made or will make the final list of projects available to the public;
- G. In compliance with 49 U.S.C. 5307(d)(1)(G), the Applicant has or will have available and will provide the amount of funds required by 49 U.S.C. 5308(d)(2) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law;
- H. In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with: (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil); (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements);
- I. In compliance with 49 U.S.C. 5307(d)(1)(I), the Applicant has a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation; and
- J. The Applicant certifies it will operate vehicles purchased with Federal assistance provided under the Clean Fuels Grant Program, 49 U.S.C. 5308 only with clean fuels.

17. ELDERLY INDIVIDUALS AND INDIVIDUALS WITH DISABILITIES FORMULA GRANT PROGRAM AND PILOT PROGRAM

Before FTA may award Elderly Individuals and Individuals with Disabilities Formula Grant Program assistance and, if applicable, Elderly Individuals and Individuals with Disabilities Pilot Program assistance to a State, the U.S. Secretary of Transportation or his or her designee is required to make the pre-award determinations required by 49 U.S.C. 5310. Because certain information is needed before FTA can make those determinations, each State is requested to provide the following certifications assurances on behalf of itself and its subrecipients. Unless FTA determines otherwise in writing, the State itself is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications

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and assurances that involve the compliance of its prospective subrecipients, the State is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the State has made to FTA. A State that fails to provide these certifications and assurances on behalf of itself and its subrecipients may be determined ineligible for a grant of Federal assistance under 49 U.S.C. 5310 if FTA lacks sufficient information from which to make those determinations required by Federal laws and regulations governing the Elderly Individuals and Individuals with Disabilities Formula Grant Program and, if applicable, the Elderly Individuals and Individuals with Disabilities Pilot Program authorized by 49 U.S.C. 5310 and section 3012 of SAFETEA-LU, respectively. The State is thus requested to select Category "17."

- A. As required by 49 U.S.C. 5310(d), which makes the requirements of 49 U.S.C. 5307 applicable to the Elderly Individuals and Individuals with Disabilities Formula Grant Program to the extent that the Federal Transit Administrator or his or her designee determines appropriate, and 49 U.S.C. 5307(d)(1), the State or State organization serving as the Applicant (State) and that administers, on behalf of the State, the Elderly Individuals and Individuals with Disabilities Program authorized by 49 U.S.C. 5310, and, if applicable, the Elderly Individuals and Individuals with Disabilities Pilot Program authorized by subsection 3012(b) of SAFETEA-LU, 49 U.S.C. 5310 note, certifies and assures on behalf of itself and its subrecipients as follows:
- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5310 or subsection 3012(b) of SAFETEA-LU: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (5) The State has or will have available and will provide the amount of funds required by 49 U.S.C. 5310(c), and if applicable by subsections 3012(b)(3) and (4) of SAFETEA-LU, for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law; and
 - (6) In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with:
 - (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil);
 - (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and
 - (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements);

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- B. The State assures that each subrecipient either is recognized under State law as a private nonprofit organization with the legal capability to contract with the State to carry out the proposed project, or is a public body that has met the statutory requirements to receive Federal assistance authorized for 49 U.S.C. 5310;
- C. The private nonprofit subrecipient's application for 49 U.S.C. 5310 assistance contains information from which the State concludes that the transit service provided or offered to be provided by existing public or private transit operators is unavailable, insufficient, or inappropriate to meet the special needs of the elderly and persons with disabilities;
- D. In compliance with 49 U.S.C. 5310(d)(2)(A) and subsection 3012(b)(2) of SAFETEA-LU, the State certifies that, before it transfers funds to a project funded under 49 U.S.C. 5336, that project has been or will have been coordinated with private nonprofit providers of services under 49 U.S.C. 5310;
- E. In compliance with 49 U.S.C. 5310(d)(2)(C), the State certifies that allocations to subrecipients of financial assistance authorized under 49 U.S.C. 5310 or subsection 3012(b) of SAFETEA-LU will be distributed on a fair and equitable basis; and
- F. In compliance with 49 U.S.C. 5310(d)(2)(B) and subsection 3012(b)(2) of SAFETEA-LU, the State certifies that: (1) projects it has selected or will select for assistance under that program were derived from a locally developed, coordinated public transit-human services transportation plan; and (2) the plan was developed through a process that included representatives of public, private, and nonprofit transportation and human services providers and participation by the public.

18. NONURBANIZED AREA FORMULA PROGRAM FOR STATES

The provisions of 49 U.S.C. 5311 establishing the Nonurbanized Area Formula Program for States do not impose, as a pre-condition of award, any explicit certification or assurance requirements established specifically for that program. Only a State or a State organization acting as the Recipient on behalf of a State (State) may be a direct recipient of this Nonurbanized Area Formula Program assistance. Separate certifications and assurances have been established in Category 22 for an Indian tribe that is an Applicant for Tribal Transit Program assistance authorized by 49 U.S.C. 5311(c)(1).

Before FTA may award Nonurbanized Area Formula Program assistance to a State, the U.S. Secretary of Transportation or his or her designee is required to make the pre-award determinations required by 49 U.S.C. 5311. Because certain information is needed before FTA can make those determinations, each State is requested to provide the following certifications and assurances on behalf of itself and its subrecipients. Unless FTA determines otherwise in writing, the State itself is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the State is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the State has made to FTA. A State that fails to provide these certifications and assurances on behalf of itself and its subrecipients may be determined ineligible for a grant of Federal assistance under 49 U.S.C.

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5311 if FTA lacks sufficient information from which to make those determinations required by Federal laws and regulations governing the Nonurbanized Area Formula Program authorized by 49 U.S.C. 5311. The State is thus requested to select Category “18.”

The State or State organization serving as the Applicant and that administers, on behalf of the State (State) the Nonurbanized Area Formula Program for States authorized by 49 U.S.C. 5311, assures on behalf of itself and its subrecipients as follows:

- A. The State has or will have the necessary legal, financial, and managerial capability to apply for, receive, and disburse Federal assistance authorized for 49 U.S.C. 5311; and to carry out each project, including the safety and security aspects of that project;
- B. The State has or will have satisfactory continuing control over the use of project equipment and facilities;
- C. The State assures that the project equipment and facilities will be adequately maintained;
- D. In compliance with 49 U.S.C. 5311(b)(2)(C)(i), the State’s program has provided for a fair distribution of Federal assistance authorized for 49 U.S.C. 5311 within the State, including Indian reservations within the State;
- E. In compliance with 49 U.S.C. 5311(b)(2)(C)(ii), the State’s program provides or will provide the maximum feasible coordination of public transportation service to receive assistance under 49 U.S.C. 5311 with transportation service assisted by other Federal sources;
- F. The projects in the State’s Nonurbanized Area Formula Program are included in the Statewide Transportation Improvement Program and, to the extent applicable, the projects are included in a metropolitan Transportation Improvement Program;
- G. The State has or will have available and will provide the amount of funds required by 49 U.S.C. 5311(g) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law; and
- H. In compliance with 49 U.S.C. 5311(f), the State will expend not less than fifteen (15) percent of its Federal assistance authorized under 49 U.S.C. 5311 to develop and support intercity bus transportation within the State, unless the chief executive officer of the State, or his or her designee, after consultation with affected intercity bus service providers, certifies to the Federal Transit Administrator, apart from these certifications and assurances herein, that the intercity bus service needs of the State are being adequately met.

19. JOB ACCESS AND REVERSE COMMUTE FORMULA GRANT PROGRAM

Each Applicant for Job Access and Reverse Commute (JARC) Formula Grant Program assistance authorized under 49 U.S.C. 5316 is required to provide the following certifications on behalf of itself and any subrecipient that may be implementing its project. Unless FTA determines otherwise in writing, the Applicant itself is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the Applicant is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the Applicant has made to FTA. FTA may not award Federal assistance for the JARC

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Formula Grant Program until the Applicant provides these certifications by selecting Category "19."

- A. As required by 49 U.S.C. 5316(f)(1), which makes the requirements of 49 U.S.C. 5307 applicable to Job Access and Reverse Commute (JARC) formula grants, and 49 U.S.C. 5307(d)(1), the Applicant for JARC Formula Program assistance authorized under 49 U.S.C. 5316, certifies on behalf of itself and its subrecipients, if any, as follows:
- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(D), the Applicant will assure that any elderly individual, any individual with disabilities, or any person presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*), will be charged for transportation during non-peak hours using or involving a facility or equipment of a project financed with Federal assistance authorized under 49 U.S.C. 5316 not more than fifty (50) percent of the peak hour fare;
 - (5) In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5316: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (6) In compliance with 49 U.S.C. 5316(f)(1) and 49 U.S.C. 5307(d)(1)(F), the Applicant certifies that (1) with respect to financial assistance authorized under 49 U.S.C. 5316, it will conduct in cooperation with the appropriate MPO an areawide solicitation for applications, and make awards on a competitive basis and (2) with respect to financial assistance authorized under 49 U.S.C. 5316, it will conduct a statewide solicitation for applications, and make awards on a competitive basis; and that these activities will be carried out in a manner that complies with or will comply with 49 U.S.C. 5307(c);
 - (7) The Applicant has or will have available and will provide the amount of funds required by 49 U.S.C. 5316(h) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law; and
 - (8) In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with:
 - (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil); and
 - (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements);

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- B. In compliance with 49 U.S.C. 5316(d), the Applicant certifies that (1) with respect to financial assistance authorized under 49 U.S.C. 5316(c)(1)(A), it will conduct in cooperation with the appropriate MPO an areawide solicitation for applications, and make awards on a competitive basis and (2) with respect to financial assistance authorized under 49 U.S.C. 5316(c)(1)(B) or 49 U.S.C. 5316(c)(1)(C), it will conduct a statewide solicitation for applications, and make awards on a competitive basis;
- C. In compliance with 49 U.S.C. 5316(f)(2), the Applicant certifies that any allocations to subrecipients of financial assistance authorized under 49 U.S.C. 5316 will be distributed on a fair and equitable basis;
- D. In compliance with 49 U.S.C. 5316(g)(2), the Applicant certifies that, before it transfers funds to a project funded under 49 U.S.C. 5336, that project has been or will have been coordinated with private nonprofit providers of services;
- E. In compliance with 49 U.S.C. 5316(g)(3), the Applicant certifies that: (1) the projects it has selected or will select for assistance under that program were derived from a locally developed, coordinated public transit-human services transportation plan; and (2) the plan was developed through a process that included representatives of public, private, and nonprofit transportation and human services providers and participation by the public; and
- F. In compliance with 49 U.S.C. 5316(c)(3), before the Applicant uses funding apportioned under 49 U.S.C. 5316(c)(1)(B) or (C) for projects serving an area other than that specified in 49 U.S.C. 5316(2)(B) or (C), the Applicant certifies that the chief executive officer of the State, or his or her designee will have certified to the Federal Transit Administrator, apart from these certifications herein, that all of the objectives of 49 U.S.C. 5316 are being met in the area from which such funding would be derived.

20. NEW FREEDOM PROGRAM

Each Applicant for New Freedom Program assistance authorized under 49 U.S.C. 5317 must provide the following certifications on behalf of itself and any subrecipient that may be implementing its project. Unless FTA determines otherwise in writing, the Applicant itself is ultimately responsible for compliance with its certifications and assurances even though a subrecipient, lessee, third party contractor, or other participant may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its prospective subrecipients, the Applicant is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from each subrecipient, to assure the validity of all certifications and assurances the Applicant has made to FTA. FTA may not award Federal assistance for the New Freedom Program until the Applicant provides these certifications by selecting Category "20."

- A. As required by 49 U.S.C. 5317(e)(1), which makes the requirements of 49 U.S.C. 5310 applicable to New Freedom grants to the extent the Federal Transit Administrator or his or her designee determines appropriate, by 49 U.S.C. 5310(d)(1), which makes the requirements of 49 U.S.C. 5307 applicable to Elderly Individuals and Individuals with Disabilities Formula grants to the extent the Federal Transit Administrator or his or her designee determines appropriate, and by 49 U.S.C. 5307(d)(1), the Applicant for New Freedom Program assistance authorized under 49 U.S.C. 5317 certifies and assures on

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behalf of itself and its subrecipients, if any, as follows:

- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5317: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (5) The Applicant has or will have available and will provide the amount of funds required by 49 U.S.C. 5317(g) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law; and
 - (6) In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with:
 - (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil);
 - (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and
 - (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements);
- B. In compliance with 49 U.S.C. 5317(d), the Applicant certifies that (1) with respect to financial assistance authorized under 49 U.S.C. 5317(c)(1)(A), it will conduct in cooperation with the appropriate MPO an areawide solicitation for applications, and make awards on a competitive basis and (2) with respect to financial assistance authorized under 49 U.S.C. 5317(c)(1)(B) or financial assistance authorized under 49 U.S.C. 5317(c)(1)(C), it will conduct a statewide solicitation for applications, and make awards on a competitive basis;
- C. In compliance with 49 U.S.C. 5317(f)(2), the Applicant certifies that, before it transfers funds to a project funded under 49 U.S.C. 5336, that project has been or will have been coordinated with private nonprofit providers of services;
- D. In compliance with 49 U.S.C. 5317(e)(2), the Applicant certifies that any allocations to subrecipients of financial assistance authorized under 49 U.S.C. 5317 will be distributed on a fair and equitable basis; and
- E. In compliance with 49 U.S.C. 5317(f)(3), the Applicant certifies that: (1) the projects it has selected or will select for assistance under that program were derived from a locally developed, coordinated public transit-human services transportation plan; and (2) the plan was developed through a process that included representatives of public, private, and nonprofit transportation and human services providers and through participation by the public.

21. PAUL S. SARBANES TRANSIT IN PARKS PROGRAM

Each State, tribal area, or local government authority that is an Applicant for Paul S. Sarbanes Transit in Parks Program assistance (Applicant) authorized by 49 U.S.C. 5320, is required to provide the following certifications. FTA may not award assistance for the Paul S. Sarbanes Transit in Parks Program to the Applicant until the Applicant provides these certifications by selecting Category "21."

- A. As required by 49 U.S.C. 5320(i), which makes the requirements of 49 U.S.C. 5307 applicable to the Paul S. Sarbanes Transit in Parks Program to the extent the Federal Transit Administrator or his or her designee determines appropriate, and 49 U.S.C. 5307(d)(1), the Applicant certifies as follows:
- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed project, including the safety and security aspects of that project;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(E), in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5320, the Applicant: (1) will use competitive procurement (as defined or approved by FTA), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (5) In compliance with 49 U.S.C. 5307(d)(1)(F) and with 49 U.S.C. 5320(e)(2)(C), the Applicant has complied with or will comply with the requirements of 49 U.S.C. 5307(c). Specifically, it: (1) has made available, or will make available, to the public information on the amounts available for the Paul S. Sarbanes Transit in Parks Program, 49 U.S.C. 5320, and the projects it proposes to undertake; (2) has developed or will develop, in consultation with interested parties including private transportation providers, projects to be financed; (3) has published or will publish a list of proposed projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed projects and submit comments on the proposed projects and the performance of the Applicant; (4) has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed projects; (5) has assured or will assure that the proposed projects provide for the coordination of transportation services assisted under 49 U.S.C. 5336 with transportation services assisted by another Federal government source; (6) has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of projects; and (7) has made or will make the final list of projects available to the public;
 - (6) In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with:
 - (1) 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and

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- minimize transportation-related fuel consumption and reliance on foreign oil);
- (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements); and
- (7) In compliance with 49 U.S.C. 5307(d)(1)(I), the Applicant has a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation; and
- B. In compliance with 49 U.S.C. 5320(e)(2)(A), (B), and (D), the Applicant assures that it will:
 - (1) Comply with the metropolitan planning provisions of 49 U.S.C. 5303;
 - (2) Comply with the statewide planning provisions of 49 U.S.C. 5304; and
 - (3) Consult with the appropriate Federal land management agency during the planning process.

22. TRIBAL TRANSIT PROGRAM

Each Applicant for Tribal Transit Program assistance must provide all certifications and assurances set forth below. Except to the extent that FTA determines otherwise in writing, FTA may not award any Federal assistance under the Tribal Transit Program until the Applicant provides these certifications and assurances by selecting Category “22.”

In accordance with 49 U.S.C. 5311(c)(1) that authorizes the Secretary of Transportation to establish terms and conditions for direct grants to Indian tribal governments, the Applicant certifies and assures as follows:

- A. The Applicant assures that:
 - (1) It has or will have the necessary legal, financial, and managerial capability to apply for, receive, and disburse Federal assistance authorized for 49 U.S.C. 5311; and to carry out each project, including the safety and security aspects of that project;
 - (2) It has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) The project equipment and facilities will be adequately maintained; and
 - (4) Its project will achieve maximum feasible coordination with transportation service assisted by other Federal sources;
- B. In accordance with 49 CFR 18.36(g)(3)(ii), the Applicant certifies that its procurement system will comply with the requirements of 49 CFR 18.36, or will inform FTA promptly that its procurement system does not comply with 49 CFR 18.36;
- C. To the extent applicable to the Applicant or its Project, the Applicant certifies that it will comply with the certifications, assurances, and agreements in Category 08 (Bus Testing), Category 09 (Charter Bus Agreement), Category 10 (School Transportation Agreement), Category 11 (Demand Responsive Service), Category 12 (Alcohol Misuse and Prohibited Drug Use), and Category 14 (National Intelligent Transportation Systems Architecture and Standards) of this document; and
- D. If its application exceeds \$100,000, the Applicant agrees to comply with the certification in Category 02 (Lobbying) of this document.

23. TIFIA PROJECTS

Each Applicant for Transportation Infrastructure Finance and Innovation Act (TIFIA) credit assistance authorized under 23 U.S.C. chapter 6, is required to provide the following certifications. FTA may not award TIFIA credit assistance to the Applicant until the Applicant provides these certifications by selecting Category “23.”

- A. As required by 49 U.S.C. 5323(o), which makes the requirements of 49 U.S.C. 5307 applicable to Applicants seeking TIFIA credit assistance authorized under 23 U.S.C. chapter 6, and by 49 U.S.C. 5307(d)(1), the Applicant certifies as follows:
- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including the safety and security aspects of that program;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(D), the Applicant will assure that any elderly individual, any individual with disabilities, or any person presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*), will be charged for transportation during non-peak hours using or involving a facility or equipment of a project financed with Federal assistance authorized under 23 U.S.C. chapter 6, not more than fifty (50) percent of the peak hour fare;
 - (5) In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 23 U.S.C. chapter 6:
 - (1) will use competitive procurement (as defined or approved by FTA),
 - (2) will not use exclusionary or discriminatory specifications in its procurements,
 - (3) will comply with applicable Buy America laws, and
 - (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (6) In compliance with 49 U.S.C. 5307(d)(1)(F), the Applicant has complied with or will comply with the requirements of 49 U.S.C. 5307(c). Specifically, it:
 - (a) has made available, or will make available, to the public information on the amounts available for TIFIA credit assistance, 23 U.S.C. chapter 6, and the projects it proposes to undertake;
 - (b) has developed or will develop, in consultation with interested parties including private transportation providers, the proposed projects to be financed;
 - (c) has published or will publish a list of projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed projects and submit comments on the proposed projects and the performance of the Applicant;
 - (d) has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed projects;
 - (e) has assured or will assure that the proposed projects provide for the coordination of transportation services assisted under 49 U.S.C. 5336 with transportation services assisted by another Federal government source;
 - (f) has considered or will consider the comments and views received, especially

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- those of private transportation providers, in preparing its final list of projects; and (g) has made or will make the final list of projects available to the public;
- (7) In compliance with 49 U.S.C. 5307(d)(1)(G), the Applicant has or will have available and will provide the amount of funds required for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal law;
 - (8) In compliance with 49 U.S.C. 5307(d)(1)(H), (1) the Applicant will comply with: 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil); (2) 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and (3) 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements);
 - (9) In compliance with 49 U.S.C. 5307(d)(1)(I), the Applicant has a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation;
 - (10) To the extent that the Applicant will be using funds authorized under 49 U.S.C. 5307 for the project, in compliance with 49 U.S.C. 5307(d)(1)(J), each Federal fiscal year, the Applicant will spend at least one (1) percent of those funds authorized under 49 U.S.C. 5307 for public transportation security projects (this includes only capital projects in the case of a Applicant serving an urbanized area with a population of 200,000 or more), unless the Applicant has certified to FTA that such expenditures are not necessary. Public transportation security projects include increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages), increased camera surveillance of an area in or adjacent to that system, emergency telephone line or lines to contact law enforcement or security personnel in an area in or adjacent to that system, and any other project intended to increase the security and safety of an existing or planned public transportation; and
 - (11) To the extent that the Applicant will be using funds authorized under 49 U.S.C. 5307 for the project, in compliance with 49 U.S.C. 5309(d)(1)(K): (1) an Applicant that serves an urbanized area with a population of at least 200,000 will expend not less than one (1) percent of the amount it receives each Federal fiscal year under 49 U.S.C. 5307 for transit enhancements, as defined at 49 U.S.C. 5302(a), and (2) if it has received transit enhancement funds authorized by 49 U.S.C. 5307(k)(1), its quarterly report for the fourth quarter of the preceding Federal fiscal year includes a list of the projects it has implemented during that Federal fiscal year using those funds, and that report is incorporated by reference and made part of its certifications and assurances; and
- B. As required by 49 U.S.C. 5323(o), which makes the requirements of 49 U.S.C. 5309 applicable to Applicants seeking TIFIA credit assistance authorized under 23 U.S.C. chapter 6, and by 49 U.S.C. 5309(g)(2)(B)(iii), 5309(g)(3)(B)(iii), and 5309(i)(2)(C), the Applicant certifies that it will not seek reimbursement for interest and other financing costs incurred in connection with the Project unless the Applicant is eligible to receive Federal assistance for those expenses and the Applicant's records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, to the extent FTA may require.

24. DEPOSITS OF FEDERAL FINANCIAL ASSISTANCE TO STATE INFRASTRUCTURE BANKS

The State organization that administers the State Infrastructure Bank (SIB) Program on behalf of a State (State) and that is also an Applicant for Federal assistance authorized under 49 U.S.C. chapter 53 that it intends to deposit in its SIB is requested to provide the following assurances on behalf of itself, its SIB, and each subrecipient. Unless FTA determines otherwise in writing, the State itself is ultimately responsible for compliance with its certifications and assurances even though the SIB and a subrecipient may participate in that project. Consequently, in providing certifications and assurances that involve the compliance of its SIB and prospective subrecipients, the State is strongly encouraged to take the appropriate measures, including but not limited to obtaining sufficient documentation from the SIB and each subrecipient, to assure the validity of all certifications and assurances the State has made to FTA. FTA may not award Federal assistance for the SIB Program to the State until the State provides these assurances by selecting Category “24.”

The State organization, serving as the Applicant (State) for Federal assistance for its State Infrastructure Bank (SIB) Program authorized by section 1602 of SAFETEA-LU, now codified at 23 U.S.C. 610, or by section 1511 of TEA-21, 23 U.S.C. 181 note, or by section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. 181 note, agrees and assures the agreement of its SIB and the agreement of each recipient of Federal assistance derived from the SIB within the State (subrecipient) that each public transportation project financed with Federal assistance derived from SIB will be administered in accordance with:

- A. Applicable provisions of section 1602 of SAFETEA-LU, now codified at 23 U.S.C. 610, or by section 1511 of TEA-21, 23 U.S.C. 181 note, or by section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. 181;
- B. The provisions of the FHWA, FRA, and FTA or the FHWA and FTA cooperative agreement with the State to establish the State’s SIB Program;
- C. The provisions of the FTA grant agreement with the State that provides Federal assistance for the SIB, except that any provision of the Federal Transit Administration Master Agreement incorporated by reference into that grant agreement will not apply if it conflicts with any provision of section 1602 of SAFETEA-LU, now codified at 23 U.S.C. 610, or section 1511 of TEA-21, 23 U.S.C. 181 note, or section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. 181 note, or Federal guidance pertaining to the SIB Program, the provisions of the cooperative agreement establishing the SIB Program within the State, or the provisions of the FTA grant agreement;
- D. The requirements applicable to projects of 49 U.S.C. 5307 and 5309, as required by 49 U.S.C. 5323(o); and
- E. The provisions of applicable Federal guidance that may be issued and amendments thereto, unless FTA has provided written approval of an alternative procedure or course of action.

##

Selection and Signature Page(s) follow.

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: _____

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: _____

Name and Relationship of Authorized Representative: _____

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 _____ Date: _____

Name _____
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.

From: Benavides, Vanessa [mailto:BENAVIDE@unitedwaymiami.org]
Sent: Tuesday, May 17, 2011 1:31 PM
To: Lars Gilberts
Cc: Isabelle Pike; Brent McLaughlin
Subject: Citi Fund - Final Decision - SFLUM Ways to Work

Congratulations!

I am happy to inform you that **SFLUM's Ways to Work Financial Stability Program** has been selected for funding by the **Citi Fund for Financial Capabilities** in the amount of **\$50,000**.

I will be contacting you within the next few days for contract negotiations. At this stage we will finalize your logic model and framework, deliverables, and measurements so that we can sign and execute the contract which will be effective June 1, 2011 through May 31, 2012.

Thank you for the time and effort that you have put into this process. We appreciate what you do for our community and look forward to working with you in the coming year.

If you have any questions, please let me know.

Thank you.

Vanessa Benavides
Associate Director
United Way of Miami-Dade
305.646.7085 phone
305.978.7084 mobile
305.646.7079 fax
benavidesv@unitedwaymiami.org
www.unitedwaymiami.org
www.facebook.com/UnitedWayMiami
www.twitter.com/UnitedWayMiami

GIVE. | ADVOCATE. | VOLUNTEER. | LIVE UNITED.™

The information transmitted is intended only for the person or entity to which it is addressed and may contain confidential, and/or privileged material. No confidentiality or privilege is waived or lost by any errant transmission. If you receive this message in error, please immediately delete it and all copies of it from your system and notify the sender. E-mail transmission cannot be guaranteed to be secure or error-free as information could be intercepted, corrupted, lost, destroyed, arrive late or incomplete, or contain viruses. - United Way of Miami-Dade, Miami, FL



Walmart Growth Fund Grant Agreement

This Agreement is between Ways to Work, Inc. (the "Grantor"), a Delaware nonprofit corporation and South Florida Urban Ministries (the "Grantee"), a non-profit organization described in Section 501(c)(3) and in Section 509(a)(1) of the Internal Revenue Code of 1986 (the "Code"). Under the terms of this agreement, the Grantor shall provide funds in the amount of \$50,000 from the Walmart Growth Fund held by Grantor for the expansion of the Ways to Work program. This agreement is effective for three years from the date of execution.

The Grantee shall agree to the following:

1. PURPOSE AND ADMINISTRATION

The grant shall be used exclusively for the purposes specified in the Grantee's final proposal, and related documents, attached here as *Exhibit A* as approved by the Grantor and the Grantee.

- The Grantee will directly administer the project or program being supported by the grant and agrees that no grant funds shall be disbursed to any organization or entity, whether or not formed by the Grantee unless this is specifically outlined in the grant proposal referred to as *Exhibit A*, which *Exhibit A* is incorporated herein by this reference.
- Any changes, additions, or deletions to the conditions of the grant or the proposal must be approved in writing by both the Grantee and Grantor.
- The Grantee will use funds for exclusively charitable, scientific, and/or educational purposes within the meaning of Section 501(c)(3) of the Code.

2. USE OF GRANT FUNDS

The Grantee shall use the full amount of the grant for the purposes set forth in *Exhibit A*. The Grantor reserves the right to terminate the grant for cause. Termination for cause will only be exercised for those grant recipients which do not make adequate and sustained progress toward the completion of the activities and achievement of the objectives as specified. Notice of grant termination would be issued in writing from the Grantor to the Grantee. The termination notice would also specify narrative and financial reporting requirements and provisions for repayment or reimbursement to the Grantor of some or all grant funds paid to the project.

The Grantee agrees not to use any portion of the grant or any income derived from the grant for the following:

- To carry on propaganda or otherwise attempt to influence legislation within the meaning of Section 4945(d)(1) of the Code;
- To influence the outcome of any specific public election or to carry on, directly or indirectly, any voter registration drive within the meaning of Section 4945(d)(2) of the Code;
- To provide a grant to an individual for travel, study, or similar purpose within the meaning of Section 4945(g) of the Code, without prior written approval of Grantor.
- Payments of salaries, other compensation, or expense reimbursement to employees of the Grantee within the scope of their employment do not constitute “grants” for these purposes and are not subject to these restrictions;
- To provide a grant to any other organization without prior written approval of the Grantor; or
- To promote or engage in criminal acts of violence, terrorism, hate crimes, the destruction of any state, or discrimination on the basis of race, national origin, religion, military and veteran status, disability, sex, age, or sexual orientation, or support of any entity that engages in these activities.

All unspent or uncommitted grant funds shall be invested in highly liquid investments (such as an interest-bearing bank account) with the primary objective of preservation of principal so that they remain available for the funding of the project in the manner described in *Exhibit A*. Any interest or other income generated by the grant funds must be applied to the charitable purposes of the project.

3. NOTICE PROVISIONS

Any notice required or permitted to be given pursuant to the terms and provisions hereof will be in writing and will be either hand delivered or sent by confirmed facsimile, overnight delivery service, or certified mail, return receipt requested to the parties at their respective addresses set forth below. If hand delivered or sent by facsimile, notice shall be deemed received when actually delivered. If sent by overnight delivery service, notice shall be deemed received by the next business day, or if sent by certified mail, three days after mailing:

TO GRANTOR:

Ways to Work, Inc.
11700 West Lake Park Drive
Milwaukee, WI 53224

Attn: Jeffrey E. Faulkner, President
Phone: 414-359-6541
Email: jfaulkner@waystowork.org

TO GRANTEE:

South Florida Urban Ministries
11500 NW 12th Avenue
Miami, FL 33133

Attn: Brent McLaughlin, Executive Director
Phone: 305-442-8306
Email: director@sflum.org

4. RECORDKEEPING

The Grantee agrees to maintain records of receipts and expenditures and make its books and records available to the Grantor at reasonable times upon its request. Grantee will maintain records of expenditures charged against the grant that are adequate to identify the use of the funds in compliance with the purposes and restrictions specified in this agreement. Such records shall be retained for a period of at least three years after the completion of the use of the grant.

5. DISBURSEMENT OF FUNDS AND REPORTS TO GRANTOR

Grant funds will be dispersed semi-annually (every six months beginning from the Grant Agreement execution date) during the three year grant period. A brief program report format will be supplied by the Grantor at the beginning of the project. Receipt by Grantor of this report from Grantee will act as the trigger for each subsequent payment. Unless otherwise arranged, payment will be made by Grantor via ACH transfer into the Grantee's account as with other program disbursements.

For each year of the grant period, the Grantee will provide the Grantor with a project report and a financial report. In addition, the Grantee will submit a project summary and a financial summary at the end of the grant period. All such reports shall be retained in the Grantee's files for a period of not less than three years after expiration of the grant period. Guidance for these reports will be supplied under separate cover and may change from period to period during the life of the grant. To the extent possible, Grantor will endeavor to embed these reports into the Ways to Work program management software system (Greenlight).

The Grantor may, at its expense, monitor and conduct an evaluation of operations under the grant, which may include visits by representatives of the Grantor to observe the Grantee's program, procedures and operations, and discussions of the program with the Grantee's personnel.

6. COPYRIGHT, USE OF DATA, AND PUBLIC USE DATA

All copyright interests in materials produced as a result of this grant are owned by the Grantee. The Grantee will, however, grant to the Grantor a nonexclusive, irrevocable, perpetual, royalty-free license to reproduce, publish, republish in print or electronic form, including in electronic databases or in any future form not yet discovered or implemented, copy, summarize, condense, abstract or excerpt, or otherwise use and to license others to use any and all such materials which are or will be produced as a result of this grant. This includes any and all data collected in connection with the grant except as prohibited by federal privacy laws.

7. PUBLICITY

The Grantor may make information regarding this grant public at any time and in a manner which it deems appropriate. Grantee agrees to cooperate with any effort by Grantor to publicize the grant, including but not limited to designating a suitable representative to appear on behalf of Grantee at publicity events, providing relevant and pertinent information to include in press releases and distributions, and responding as appropriate to relevant and pertinent press inquiries. Grantee will acknowledge the support of Grantor in all publications reporting or discussing the programs funded by the grant.

Grantee agrees to provide Grantor an opportunity to review and comment on the contents of any statement, release or report concerning this grant in advance of its release to the public. The Grantee shall send to Grantor copies of all papers, manuscripts, and other materials which it produces for distribution that are related to the project supported by Grantor.

As with the Grantor, the Grantee also will provide full recognition of the Grantor's source for the grant funds, the Walmart Foundation, through the full three year grant cycle. The Grantee's Ways to Work-related press releases, website and marketing materials will clearly identify the Walmart Foundation as a financial supporter of the program.

In all public statements concerning the Grantor – press releases, annual reports, or other announcements – the Grantee is specifically requested to refer to the Grantor as “Ways to Work, Inc.” and the financial supporter as the “Walmart Foundation”.

8. ADDITIONAL FINANCIAL SUPPORT

It is expressly understood that the Grantor has no obligation to provide additional financial support to the Grantee for this or any other project or purposes.

9. COMPLIANCE

Grantee will comply with all applicable laws, regulations and policies relating to Grantee's acceptance and use of the grant. Grantor and Grantee will also comply with the terms of three preexisting agreements between the organizations: Certification Agreement, Ways to Work Loan System Agreement and the Guidance Credit Line Agreement; which all must remain in force and in good standing throughout the grant period.

10. APPLICABLE LAW

This agreement, and the rights and obligations of the parties, will be construed, interpreted and enforced in accordance with, and governed by, the laws of the State of Wisconsin.

11. AUTHORITY

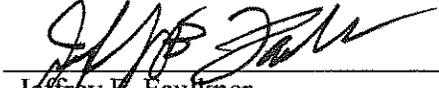
Each signatory to this agreement represents and warrants that he or she possesses all necessary capacity and authority to act for, sign and bind the party on whose behalf he or she is signing this agreement.

12. REPRESENTATIVES AND SUCCESSORS BOUND

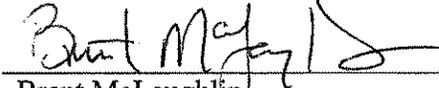
This agreement shall be binding upon and inure to the benefit of the parties, their legal representatives, successors and assigns.

IN WITNESS WHEREOF, the parties hereto have executed this Walmart Growth Fund Grant Agreement as of the date(s) below.

WAYS TO WORK, INC.

SIGNATURE:  **DATE:** 8/1/11
PRINT NAME: Jeffrey E. Faulkner
TITLE: President

SOUTH FLORIDA URBAN MINISTRIES

SIGNATURE:  **DATE:** 7/26/11
PRINT NAME: Brent McLaughlin
TITLE: Executive Director

received
7-11-11



1-800-331-0000 www.walmartstores.com

2011 Walmart Grants for Ways to Work Programs Final Grant Application/Proposal

Please complete and submit this application with the requested supporting documentation **once you have secured the required matching funding for the first two years of operation and have a solid plan for obtaining year three support.** Your completed application, proposed program profile, and supporting documentation should be emailed to rfpinfo.walmart@waystowork.org or faxed to (414) 359-9548. The competition will continue until the Walmart funds are exhausted. All questions regarding this application should be sent by email to rfpinfo.walmart@waystowork.org.

Agency Name: South Florida Urban Ministries

Address/City/State/Zip: 2850 SW 27th Avenue, Miami, FL 33133

Executive Director/CEO

| | | | |
|------------------|--------------|--------------|--------------------|
| Brent McLaughlin | 305-442-8306 | 305-442-9726 | Director@sflum.org |
| Name | Phone | Fax | Email |

Primary Contact

| | | | |
|---------------|--------------|--------------|--------------------|
| Isabelle Pike | 305-442-8306 | 305-442-9726 | Isabelle@sflum.org |
| Name | Phone | Fax | Email |

I. AGENCY BACKGROUND

1. What year was the agency established? 1973
2. How long has the agency been a member of the Alliance for Children and Families (non-members can join the Alliance prior to submitting an application)? SFLUM is member as of May 2011.
3. Does the agency support other forms of economic empowerment programming? Yes No
 - If so, please list: ASSETS Small Business Program, Financial Stability Services
4. How long has the Executive Director/CEO been with the agency? 10 years The head of finance? 1.5 years
(Please attach resumes for ED/CEO and head of finance.)

II. PROJECT INFORMATION

1. New Program (N)/Expansion (E): N
2. Anticipated Start Date: July 1, 2011
3. Geography to be served (existing WtW programs list expansion area only Miami-Dade and Broward Counties in Florida)
4. If this request is for a new WtW project, please describe your interest in the program, your organizational capacity

for service delivery, proposed service area, and anticipated start date (1 Page Max). Please refer to attached description.

5. If this request is for expansion of an existing WtW program, please briefly describe your expansion of the program in terms of geography, staffing, program participants served, and anticipated start date (500 Max). N/A
6. Amount Requested from Walmart Grant: \$150,000 over 3 years

III. FINANCIAL CAPACITY OF AGENCY

1. What is the size of the agency's budget? \$2,384,252
2. In the past 10 years, has the agency historically been able to meet its budget? Yes No
If not, please explain. N/A
3. Does your agency have a dedicated Development Department? Yes No
4. If so, what percent of the agency's budget is derived from development efforts? 51.63%
5. What is the nature of any temporary restriction(s) on net assets? Grants paid upon award are temporarily restricted until the expenses for the project funded are incurred and paid.
6. Does the agency have a policy for managing its cash and liquidity? (Attach or explain). SFLUM does not have an agency policy for managing its cash and liquidity; however, all of SFLUM's funds are deposited in FDIC-insured banking institutions.
7. Note: Please be sure to attach financial information requested in Section IX, Supporting Documentation.

IV. PROGRAM BUDGET

1. Total projected operating budget for WtW program (3 years): \$408,170
2. Please provide a detailed individual budget for your new program or current and expansion programs using the templates *attached*. (Note: New sites will submit a detailed budget for 3 years of program operation. Existing sites will submit a separate detailed budget for both their current program as well as their expansion program for 3 years of program operation.)

Please be sure to complete a detailed budget for your new program or both your current and your expansion programs (budget templates & sample attached).

V. PROGRAM STAFFING

1. For *EXISTING* programs that are expanding:
 - a. Please detail current staffing level: N/A
 - i. List position titles: N/A
 - ii. Identify area(s) served by this staff: N/A

b. Please detail additional staff for your expansion (# of dedicated FTEs): N/A

i. List position titles: N/A

ii. Identify area(s) to be served by this staff: N/A

2. For *NEW* programs:

a. Please detail staffing level (# of dedicated FTEs): 1.5

i. List position titles: 1 FTE Loan Coach; 1 FTE AmeriCorps Member, 1 HT Economic Development Assistant

ii. Identify area(s) to be served: Miami-Dade County

3. Who will supervise the program (name & title): Lars Gilberts, Director of Economic Development and of the United Way Center for Financial Stability

VI. LOCAL PROGRAM FUNDING

The average annual cost of operating a WtW program is approximately \$110,000 (salaries, benefits, administration, loan losses etc). This cost represents a standard WtW program with a full-time loan counselor and a part-time administrative staff generating 50-60 loans per year.

Please detail the source of your agency's available **matching funds** for each of the 3 years in the tables below (use additional sheets if necessary):

NOTE: Existing WtW sites need to submit separate funding detail forms for existing and expansion programs.

| YEAR 1 | | | | |
|---------------------------------------------------|------------------------------|-----------------|--------------------------------------|------------------------------------|
| Source | Purpose/Allowable Use | Amount | Committed (C) Pending (P) | Projected Decision Date |
| WtW-Walmart | Ways-to-Work | \$50,000 | P | |
| Chh Bank (NeighborWorks® & United Way) | Ways-to-Work | \$42,000 | C | N/A |
| Volunteer Florida (AmeriCorps) | Ways-to-Work | 10,765 | C | N/A |
| Chase Bank (WTW Share) | Ways-to-Work | 24,819 | C | N/A |
| Matching Grant & Other Donations | Ways-to-Work | 5,000 | C | N/A |

| YEAR 2 |
|---------------|
|---------------|

| Source | Purpose/Allowable Use | Amount | Committed (C) Pending (P) | Projected Decision Date |
|------------------------------------|-----------------------|----------|------------------------------|----------------------------|
| WtW - Walmart | Ways-to-Work | \$50,000 | P | |
| Citi Bank (Through NeighborWorks®) | Ways-to-W-Work | 17,000 | C | N/A |
| Citi Bank (Through United Way) | Ways-to-Work | 25,000 | C | N/A |
| Matching Grant & Other Donations | Ways-to-Work | 33,411 | P | 06/30/2012 |
| Volunteer Florida (AmeriCorps) | Ways-to-Work | 10,980 | P | N/A |

| YEAR 3 | | | | |
|----------------------------------|-----------------------|----------|------------------------------|----------------------------|
| Source | Purpose/Allowable Use | Amount | Committed (C) Pending (P) | Projected Decision Date |
| WtW - Walmart | Ways-to-Work | \$50,000 | P | |
| Matching Grant & Other Donations | Ways-to-Work | 77,994 | P | 06/30/2013 |
| Volunteer Florida (AmeriCorps) | Ways-to-Work | 11,200 | P | N/A |
| | | | | |
| | | | | |

VII. COMMUNITY NEEDS & RESOURCES (New and Expansion Programs)

1. What are the counties to be served? Miami-Dade County
2. What is the general population size? Latest data available from the US Census Bureau shows that there are 1,910,219 residents in Miami-Dade County who are 16 years old and above. Of this population, 1,116,107 are employed. Of these employed, 848,900 drive themselves to work; 98,745 carpool with others to work; and, 143,011 find other means of transportation to work (public, walk, and "other means" -the Census Bureau does not provide a definition of "other means"). This data shows that there are at least 241,756 people who could potentially use cars to drive themselves to work. In terms of households, data from the US Census Bureau show that 89,163 households from the 833,199 occupied housing units in Miami-Dade do not have access to a vehicle.
3. Are there other programs which may compete or complement WtW? Please explain. At this time, there are no programs providing services similar to those provided by WtW. The only "competition" are predatory lenders. The financial stability services offered by the United Way Center for Financial Stability (UWCFS)

which is housed and operated by South Florida Urban Ministries (SFLUM) complements and supports the WtW program by providing the financial education, coaching and support to clients of WtW.

4. What other potential community resources for borrowers are available (i.e., which other agency programs or community services would your WtW borrowers likely utilize)? The UWCFS partners with 16 local organizations who services may be utilized by borrowers of the WtW program. These partners offer services ranging from credit repair, employment training and counseling, new/prospective homeowners education to banking services and small business loans. Partners include: Bank of America, United Way of Miami-Dade, ACCION USA, Consolidated Credit Counseling Services, Consumer Credit Counseling Services/Aprisen Financial Advocates, Cuban American National Council, Financial Planning Association, Lakeview Elementary School, Little Haiti Housing Association, Neighborhood Housing Services of South Florida, South Florida Workforce, Switchboard of Miami, War on Poverty, WorkSquare, Youth Co-op and YWCA of Greater Miami.
5. What other information is important for the national WtW loan committee to be aware of in the consideration of your application? SFLUM and the UWCFS work with local partner organizations to make sure that our clients are connected to other services they may need that we do not provide. As mentioned in Section 4 above, SFLUM has strong working partnerships with other local organizations who help us provide holistic services to our clients. In addition to these partners, SFLUM and the UWCFS also have good relationships to banking institutions who could potentially provide loans to clients we are unable to serve through WtW loans, and schools who are potential sources of WtW clients and the current families we serve. With our relationships in our community and with the funding support of WtW, we anticipate that we will be able to increase the scale and reach of our WtW program fairly quickly. We will start the WtW program to serve Miami-Dade, with plans to provide similar services to clients in Broward and Monroe Counties in the future.

VIII. MARKETING/OUTREACH (New and Expansion Programs)

1. Please describe how you will market your Ways to Work program. Please refer to attached description of how we will market our WtW program.
2. Does your agency have dedicated outreach and marketing staff? Yes No
3. What are the top five groups or organizations your Ways to Work program will target in its outreach? The top five groups we will target outreach to include: 1) existing clients; 2) Goodwill clients; 3) YWCA clients; 4) school employees and students; 5) workforce centers.

IX. SUPPORTING DOCUMENTATION

The following supporting documentation should be sent along with the Application Form:

1. Copies of the organization's last three years of audited financial statements.

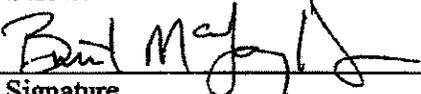
2. Copy of the organization's last unaudited internal financial statement.
3. Copy of the organization's current operating budget.
4. Resumes for the Executive Director/CEO and the head of the finance department.

X. COMMENTS

Please describe any additional considerations or comments that you would like to include (1/2 page max):

N/A.

I certify that the above information is accurate and that I am authorized to represent the agency listed below.



Signature

BRENT McLAUGHLIN

Name (please print)

Executive Director

Title

June 30, 2011

Date

South Florida Urban Ministries

Agency Name

05/11/11

Question II.4. Description of SFLUM interest, organizational capacity for service delivery, proposed service area and anticipate start date

SFLUM's interest in the WtW program

The WtW loan program is a perfect complement to our SFLUM Ways to Work Financial Stability program. This program is a holistic and realistic approach to addressing the multiple needs of low to moderate-income families to move towards greater financial independence, attain employment and increase their income. It combines empowerment based high-touch financial coaching and education to increase clients' financial management skills with loans to purchase reliable vehicles. Clients learn and leverage their increased financial management skills to develop practical individual financial plans and take specific steps towards achieving their financial goals. The WtW loan component provides practical support by helping qualified clients to access affordable car loans to purchase a vehicle that they will use primarily for employment and/or business-related commute. Throughout their engagement with our Ways to Work program, our clients receive personalized support and guidance from their financial coaches. Thus, WtW directly promotes our mission "to serve, educate and empower people by partnering with volunteers, congregations, and organizations to make a lasting impact in people's lives and communities" and our vision "to empower people to move from poverty to prosperity."

Organizational capacity for service delivery

SFLUM is equipped and has the capacity to deliver the services of the WtW program. SFLUM is committed to providing 2.5 FTE staff to deliver the services of the WtW program. WtW staff will be properly supervised and supported by Lars Gilberts, Director of the UWCFS. The WtW team is further supported by the Director of Finance and Administration and the Director of Development.

Proposed service area

Miami-Dade and Broward Counties in South East Florida.

Anticipated start date

We propose program start date of July 1, 2011.

Question VIII.1 Please describe how will you market your Ways to Work program

We will market our Ways to Work program to existing and new clients and program partners in the following ways:

- Referrals from SFLUM programs. SFLUM integrates continuum of services by providing a menu of services that promote the efforts of families and individuals to prosper in the long-term. Staff members in each of these programs refer the families, friends and neighbors of their clients to other SFLUM programs including the Ways to Work Financial Stability program. Potential clients include parents in the after-school programs, VITA tax prep clients, clients seeking housing assistance, individuals participating in our business services program, etc.
- Community Presentations. Program staff are often invited to present for various community groups who wish to know more about SFLUM or its specific programs.
- Flyers. Various sizes of flyers, posters, brochures are used at times to get the word out into the community. The process of distributing these flyers often is more effective itself than the flyers themselves. When staff members distribute the flyers, they connect with potential clients by explaining the purpose of the Ways to Work program in a personal way face-to-face. The flyers are often useful after the intended marketed event is past; clients often find them weeks or months later and call to learn if we are still offering the services or how they might participate.
- Inter-agency Referral. All SFLUM programs partner with other local organization such as local banks, microlenders, matched savings programs, community groups, churches, career centers as well as various other for- and non-profit organizations (including the United Way of Miami-Dade) with whom we mutually refer clients. We value these relationships highly and connect many of our clients through mutual referrals with them.
- Community Events. Staff members participate in community events held throughout the Miami-Dade area to connect with new potential clients as well as develop additional relationships with non-profits, professional service providers and potential volunteers.
- Press Releases and Other Unpaid Media Coverage – Unpaid media coverage continues to be an effective method of introducing financial stability in general and the Ways to Work program in particular to new audiences. The impact tends to be temporary yet does provide a 'bump' to the other marketing efforts.
- Website listing. All of SFLUM's programs are listed on our website and on Switchboard Miami. Our programs regularly receive inquiries from potential clients who were referred to us by Switchboard Miami and/or other service providers who use the service. Some clients also found us through an online search that led to our website.
- Word-of-Mouth – This continues to be one of the most effective tools to recruiting more clients as well as specifically high potential clients. It is used intentionally as a marketing channel by providing current participants with tools to recruit their connections, asking participants who might be interested in these services, incentive programs and other techniques to increase word-of-mouth referrals.



Ways to Work, Inc.
South Florida Urban Ministries, Inc.
For a Three Year Period

| | Year One | Year Two | Year Three | Total |
|--------------|-----------|-----------|------------|-----------|
| | FY2012 | FY2013 | FY2014 | |
| Loans | | | | |
| Number | 40 | 45 | 50 | 135 |
| Amount | \$190,000 | \$225,000 | \$262,500 | \$677,500 |

| | Year One | Year Two | Year Three | Total |
|------------------------------------|----------------|----------------|----------------|----------------|
| | FY2012 | FY2013 | FY2014 | |
| Revenue | | | | |
| Walmart Grant | 16,667 | 16,667 | 16,666 | 50,000 |
| Citi Bank (Through NeighborWorks®) | 17,000 | 17,000 | | 34,000 |
| Citi Bank (Through United Way) | 50,000 | | | 50,000 |
| Volunteer Florida (AmeriCorps) | 10,765 | 10,980 | 11,200 | 32,945 |
| Chase Bank (WTW Share) | 24,819 | | | 24,819 |
| Matching Grant & Other Donations | 2,833 | 33,411 | 77,994 | 114,238 |
| Remaining Amount to be raised | | 46,500 | 21,911 | 68,411 |
| Total Revenue | 122,084 | 124,558 | 127,771 | 374,413 |

| | Year One | Year Two | Year Three | Total |
|-------------------------------|----------------|----------------|----------------|----------------|
| | FY2012 | FY2013 | FY2014 | |
| Expenses | | | | |
| <i>Personnel</i> | | | | |
| Loan Coach | 38,450 | 40,800 | 41,616 | 120,866 |
| Loan and Administrative Asst. | 14,560 | 14,851 | 15,148 | 44,559 |
| AmeriCorps Member | 12,500 | 12,750 | 13,005 | 38,255 |
| Fringe Benefits & Taxes | 14,849 | 15,211 | 15,364 | 45,424 |
| <i>Operating</i> | | | | |
| Conferences & Training | 1,800 | 1,000 | 1,020 | 3,820 |
| Defaults | 19,000 | 20,250 | 19,688 | 58,938 |
| Insurance | 500 | 510 | 520 | 1,530 |
| Local Travel | 2,400 | 2,448 | 2,497 | 7,345 |
| Mngmt. and General Admin. | 9,375 | 5,854 | 7,940 | 23,169 |
| Occupancy | 5,200 | 5,304 | 5,410 | 15,914 |
| Postage/Shipping | 700 | 714 | 728 | 2,142 |
| Printing | 500 | 1,326 | 1,224 | 3,050 |
| Professional Fees | 250 | 1,500 | 1,530 | 3,280 |
| Supplies | 800 | 816 | 832 | 2,448 |
| Telephone | 1,200 | 1,224 | 1,248 | 3,672 |
| Total Expenses | 122,084 | 124,558 | 127,771 | 374,413 |

| | | | |
|------------------------------------|-------|-------|-------|
| Other Assumptions | | | |
| Default Rate | 10.0% | 9.0% | 7.5% |
| Avg. Loan Amount | 4,750 | 5,000 | 5,250 |
| Number of Offices | 1 | 1 | 1 |
| Loan Coach FTEs | 1.0 | 1.0 | 1.0 |
| Loan and Administrative Asst. FTEs | 0.5 | 0.5 | 0.5 |
| AmeriCorps Member FTEs | 1.0 | 1.0 | 1.0 |
| | 2.5 | 2.5 | 2.5 |

Additional Notes

Loan capital is provided by Way to Work, Inc. The agency operating a Ways to Work program is responsible for any defaults (as indicated in the projections above).

NeighborWorks® America
GRANT AGREEMENT

Neighborhood Reinvestment Corporation, doing business as NeighborWorks® America ("NeighborWorks® America"), a nonprofit, public corporation chartered by the Congress of the United States, and **South Florida Urban Ministries** accept the terms and conditions outlined below, which will govern the disbursement and expenditure of any grant funds provided by NeighborWorks® America to **South Florida Urban Ministries**.

South Florida Urban Ministries
2850 SW 27th Avenue
Miami, FL 33133

Expendable Grant Funds Being Provided via this Grant Agreement:

\$40,000.00

These funds will be disbursed in accordance with the terms and conditions outlined below:

I. Purpose of Funds

The expendable grant funds provided herein will be used for the activities outlined in the attached exhibit. The funds will be provided by the Citi Foundation.

II. Organizational Requirements of the Grant Recipient

South Florida Urban Ministries has received recognition of exemption from Federal Income Tax under Section 501(c)(3) of the Internal Revenue Code and will conduct its activities so as not to jeopardize that status. **South Florida Urban Ministries** will notify NeighborWorks® America immediately if such status changes.

III. Reporting Requirements

South Florida Urban Ministries shall submit the reports outlined in the attached exhibit.

IV. Management of Grant Funds

- a. Unrestricted expendable grant funds shall be invested in securities of the United States or deposited in federally insured or, if approved by NeighborWorks® America, state insured institutions, until their disbursement.
- b. If unrestricted grant funds provided under this Agreement are used to pay a consultant the maximum rate allowable for any individual shall not be greater than the daily equivalent of basic pay payable for level IV of the Executive Schedule, unless a lower limit is specified.
- c. Grant recipients remain liable for the accounting and full repayment of all unrestricted expendable grant funds in accordance with the terms and conditions of this *Grant Agreement*.
- d. The expendable grant funds being provided herein shall be spent within two years of the date of execution of this *Grant Agreement*.
- e. **South Florida Urban Ministries** agrees to remain fully informed of all laws and regulations that apply to the organization, and will give NeighborWorks® America prompt notice of any action or event that may be cause for suspension or termination of this agreement. Failure to provide such notice constitutes a material breach of this agreement. Notices shall be sent to:

Finance Department
NeighborWorks® America
1325 G Street, NW, Suite 800
Washington, DC 20005

V. Disbursement of Grant Funds

These grant funds will be disbursed by NeighborWorks® America to **South Florida Urban Ministries** shortly following the execution of this *Grant Agreement*.

VI. Equal Employment Opportunity

South Florida Urban Ministries shall not discriminate against any employee or applicant on the basis of race, ethnicity, religion, gender, sexual orientation, age, disability or national origin.

VII. Termination Provisions

Should **South Florida Urban Ministries** fail to comply with any of the terms of this *Grant Agreement* or become defunct, the remaining expendable grant funds shall revert to NeighborWorks® America.

VIII. Entire Agreement

This agreement constitutes the whole agreement between NeighborWorks® America and **South Florida Urban Ministries** and supersedes all prior written or oral agreements involving grant funds. This *Grant Agreement* may be amended or superseded only in writing and executed by the authorized representatives of both parties.

IX. Expiration of Grant Agreement

Failure to return this *Grant Agreement* by April 30, 2011 will invalidate the terms and conditions within.

X. Authorization of Signature

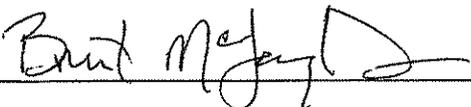
The person signing the agreement hereby certifies that he/she is authorized to execute this agreement on behalf of **South Florida Urban Ministries**.

XI. District of Columbia Law

This *Grant Agreement* shall be construed and interpreted under the laws of the District of Columbia regardless of its place of execution or performance.

IN AGREEMENT TO THE FOREGOING:

SOUTH FLORIDA URBAN MINISTRIES

By: 

Date: 3/25/11

Authorized Representative

Brent McLaughlin, Executive Director

Name and Title of Authorized Representative (please print)

NEIGHBORHOOD REINVESTMENT CORPORATION, DBA NEIGHBORWORKS® AMERICA



By: Robert Burns, Director of Field Operations

Date: March 24, 2011

Exhibit
Financial Capability Demonstration Project

The purpose of this Exhibit between NeighborWorks America and South Florida Urban Ministries (the Grantee), is to outline the goals and responsibilities of NeighborWorks and the Grantee in the implementation of the Financial Capability Demonstration Project funded by the Citi Foundation.

Program Goals

The Financial Capability Demonstration Project was established to achieve the following goals:

- Expand the scope and enhance the quality and sustainability of nonprofit financial capability programs in key Citi markets by providing training on effective implementation and financial coaching.
- Ensure that financial capability programs more effectively turn consumers' knowledge into sustainable action.
- Develop a deeper understanding of what methods and programs work by evaluating changes in consumers' financial behaviors, attitudes and practices.
- Provide nonprofits with the tools and resources they need through Success Measures to incorporate ongoing impact measurement into their programs, and to evaluate the effectiveness of their financial capability initiatives over the long-term.

Responsibilities of Financial Capability Demonstration Program Participants

In support of these goals, the Grantee agrees to undertake the following responsibilities:

- Attend the required Training Courses provided by NeighborWorks® America, which consist of a revised course on sustaining an effective financial capability program and a new course on developing 1-on-1 financial counseling. Each participating organization must designate 2 staff to take the required project courses at a NeighborWorks Training Institute or Regional "place based" Training sponsored by NeighborWorks and Citi Foundation as part of the Financial Capability Project. Each "scholarship" will include the full cost of the tuition and lodging, whether at a Training Institute or Regional training. Travel and all other expenses will be the responsibility of the organization; grant monies may be used to defray these costs. **Training for these designated staff must be completed between late February and early June, 2011.** Additional training opportunities will be available throughout the grant period (February 2011-December 2012) for other staff and/or topics.
- Engage in needs assessment and technical assistance provided by NeighborWorks® America to strengthen or expand grantees' financial capability programs
- Plan and conduct evaluations of your financial capability programs by collecting and analyzing at least two rounds of data using Success Measures Financial Capability tools by September 15, 2012.
- Identify a lead staff member to coordinate the evaluation process in conjunction with the Executive Director. This person must have the skills and authority within the organization to implement an evaluation process effectively

- Share your aggregate Success Measures evaluation data on your financial capability programs with Citi Foundation and Success Measures at NeighborWorks® America
- Participate in peer learning sessions, including one in-person session at a NeighborWorks Training Institute in 2012
- Produce interim and final reports
- Adhere to program deadlines and work collaboratively with financial capability project manager and other professionals involved.
- Demonstrate an effective plan for the \$40,000 grant provided. (A budget template is attached to this document)

Responsibilities of NeighborWorks® America

NeighborWorks® America will provide the following support to the Grantee under the Financial Capability Project:

Training: Registration, including full tuition and lodging, to NeighborWorks Training Institute (NTI) and/or Regional training events in 2011 and 2012 for two staff members conducted by NeighborWorks® America through the NeighborWorks Center for Homeownership Education and Counseling (NCHEC). Coursework includes:

1. Running and sustaining an effective financial capability program (Required - HO209rq Delivering Effective Financial Education for Today's Consumer), plus free access to required prerequisite on-line course
2. Developing a new or expanding and existing 1-1 financial counseling/coaching program (Required - HO310 Financial Coaching-Helping Clients Reach Their Goals)
3. Other relevant financial capability courses offered at NTI's and Regional training events. If any of these opportunities arise the program manager will inform you. This will be optional and will be at no cost for registration.

Technical Assistance: Consulting assistance to support developing, expanding or sustaining effective financial capability programs.

Success Measures Evaluation Tools, Technology and Technical Assistance: Organizations will receive training and technical assistance to conduct financial capability program evaluations. This will include access to the Financial Capability data collection tools, a comprehensive new set of tools designed to measure changes in clients' financial status, behaviors, attitudes and practices.

To support successful implementation of their evaluation tools, grantees will receive individual technical assistance from a Success Measures consultant and access to group technical assistance via web conferences. Consultants will guide grantees through the evaluation process, including identifying the outcomes the organization is most interested in measuring, selecting data collection tools that best align with their programs, collecting data over a two-year time period and analyzing and communicating results. Organizations will also be required to use one common data collection module.

Each organization will receive a two-year subscription to the web-based Success Measures Data System (SMDS) to manage the evaluation process. A separate SMDS agreement will be executed for this subscription. Success Measures will work with organizations that may be using other suitable technology options to manage survey and other client response data to determine the best ways to integrate.

Grants: Grantees will receive \$40,000 in grant support for their financial capability capacity building and evaluation efforts.

Peer Exchange: Through one or more national convenings in 2012, the Demonstration Project cohort will have an opportunity to share their experiences and provide input to Citi Foundation and NeighborWorks® America about ways to continue to support and expand the financial capability field. Organizations will receive travel and lodging scholarships to attend the peer exchange.

Payment Schedule

The total monetary support NeighborWorks® America will provide to the grantee for program activities is **\$40,000**. This grant will be awarded by March 31, 2011.

Upon submission of a budget by the Grantee and approval from the Financial Capability Demonstration Project Manager, NeighborWorks® America will provide the award in the amount of \$40,000. This grant may be used to cover general financial capability program operating costs such as program planning, travel expenses for required trainings and other related project expenses. Please complete the attached budget template and return with your grant agreement.

Reporting Requirements

The Grantee agrees to submit progress reports (template attached) to the Financial Capability Demonstration Project on the following schedule:

1. Interim report: September 1, 2011
2. Interim report: March 1, 2012
3. Final report: December 20, 2012

The Grantee agrees to submit interim and final reports reflecting:

- Major activities, achievements, insights and lessons learned
- Copies of any products or materials developed and press coverage
- Summary of training staff has completed
- In addition, by September 15, 2012, the Grantee agrees to share two rounds of data on its client outcomes via the Success Measures Data System or other approved format.

Obligation to Notify

The grantee agrees to notify the Financial Capability Demonstration Project Manager within 48 hours if:

- There are serious concerns about the continued operations of their financial coaching program
- Changes in senior program management staff
- If the organization or its fiscal sponsor loses nonprofit 501(c)(3) status.

Publicity

The organization agrees that NeighborWorks® America may publicize or share information about the work of the organization in outreach or development publications.

Citi Foundation shall be credited in all materials related to the program; prior approval from NeighborWorks® America and the Citi Foundation is necessary prior to distribution of any such materials.

Financial Capability Demonstration Project

Interim Narrative Report

We'll be asking you to provide periodic updates on your progress via brief narrative reports. These interim reports should not exceed two pages.

Organization Name: South Florida Urban Ministries, Inc.
Primary Contact: Lars Gilberts
Title: Director - UWCFPS
Email Contact: L Gilberts @sfum.org

Financial Coaching Program

- 1) To date, how has participation in this initiative supported your organization's goals to strengthen your financial coaching program?
- 2) Please describe ways you have implemented new ideas or strategies based on what you've learned through training, technical assistance to build coaching programs, and evaluation, as well as any plans for future implementation.
- 3) Site two or three takeaways that you have learned and applied as a result of training and technical assistance in your financial capability programs.
- 4) Please share with us any materials you have produced during this grant period (i.e., marketing materials, revisions to curriculum, publications, events, etc.)? These can be sent to the Financial Capability Project at FinancialCapability@nw.org.
- 5) Please add any additional comments.

The final report will contain additional questions regarding your program and will require a budget narrative. An example of this narrative is below:

Budget Narrative:

Please describe how your organization used the funds provided:

- Staff Compensation-(i.e. funds for activities including program management, product planning, and business/partner development.)
- Professional Services-(i.e. consultant services and their roles)
- Travel and expenses-(i.e. travel and expenses related to attending Neighbor Works Financial Capability Training and other related trainings, conferences or events.)
- Operating Expenses- (i.e. supply rentals, internet hosting , purchasing administrative supplies and services)
- Other-

**Financial Capability Demonstration Project
Proposed Program budget**

Organization: South Florida Urban Ministries, Inc.

| Budget Category | Requested Grant Budget |
|--------------------------------|-------------------------------|
| Personnel/ Staff Compensation: | \$19,800 |
| Professional Services: | - |
| Travel & Expenses: | \$ 4,000 |
| Operating Expenses: | \$ 6,200 |
| Others: | \$10,000 |
| Totals: | \$40,000 |



5105 Johnson Road
Coconut Creek, FL 33073
954-354-5400
efleets.com

September 6, 2011

Mr. Brent McLaughlin
Executive Director
South Florida Urban Ministries, Inc.
2850 SW 27th Ave, Miami, FL 33133

Dear Mr. McLaughlin:

Please accept this letter of my support for the South Florida Urban Ministries "Ways to Work" Program. We are happy to be of assistance in this wonderful initiative.

Enterprise Fleet Management and all of the Enterprise Holdings companies, applaud the work of community partners like the South Florida Urban Ministries, the United Way of Broward County and the South Florida Regional Transportation Authority for their work in Miami-Dade and Broward counties.

Enterprise, through our network of partners, vendors and at our own select locations has the ability to serve as a resource in the Ways to Work Program. Having fully vetted referral partners and vendors, we can help direct and educate low-income families to help them find, appraise and secure reliable used transportation. This education can be part of the broader scope in assisting families to avoid unforeseen issues, predatory practices and other potential roadblocks in the used vehicle marketplace.

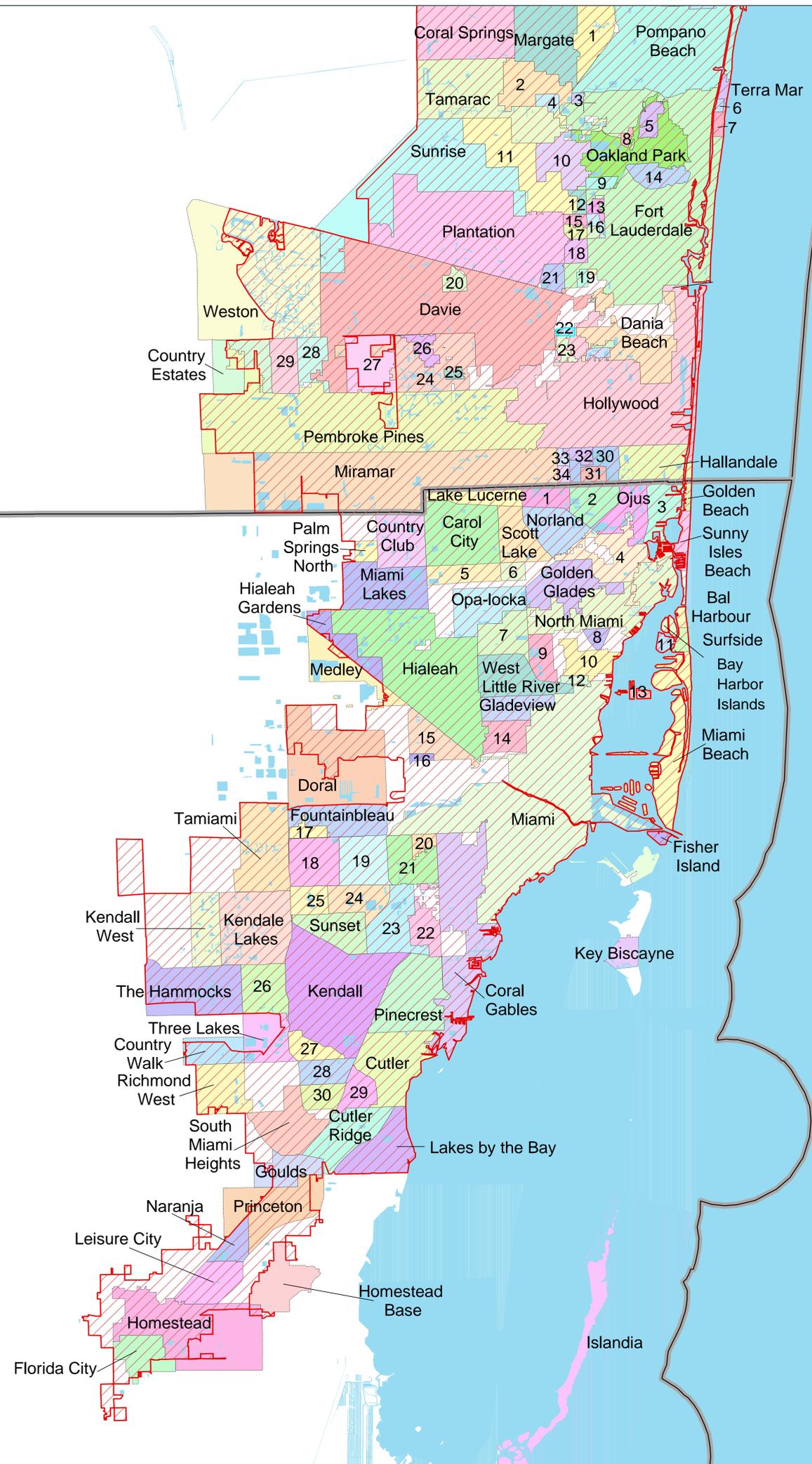
We know that having reliable transportation is one of many challenges low-income families face, and are happy to be a partner in this cause. We look forward to serve as a resource in this endeavor.

Sincerely,

A handwritten signature in black ink, appearing to read "Brett Frazee". The signature is fluid and cursive, with a large, sweeping initial "B".

Brett Frazee
Vice President
Enterprise Fleet Management

Miami, Florida Urbanized Area - South Portion Storm Water Entities as Defined by the 2000 Census



2000 Census Urbanized Areas

-  Miami, FL
-  Municipal Boundaries
-  County Boundaries
-  Major Waterbodies

SOURCE:
US Census Bureau TIGER data, 2000 Census

PROJECTION:
State Plane Coordinate System: Florida East
Horizontal datum: NAD83

MAP DESIGN:
August 21, 2002



Note: The green box represents the full extent of Miami and the red box is the actually extent shown.

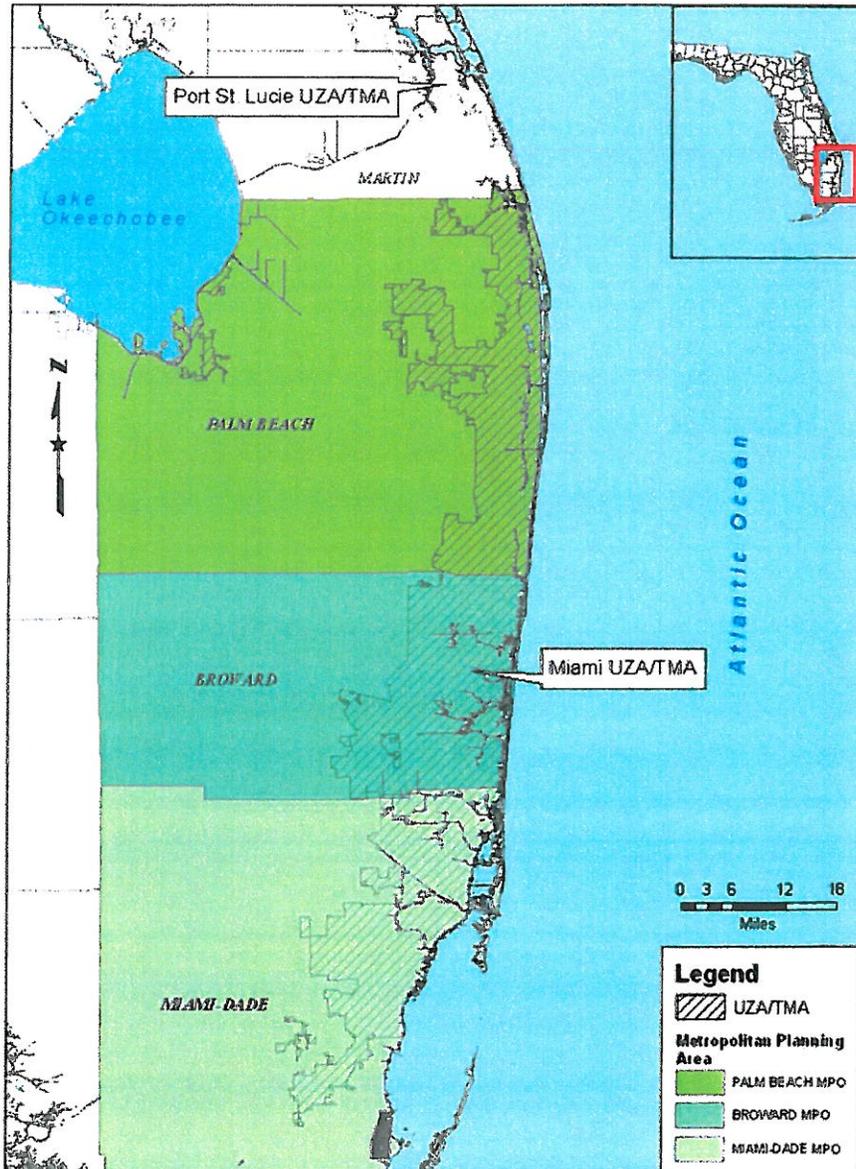
Numbered Municipalities in Broward County

- | | |
|------------------------------|-------------------------|
| 1- Coconut Creek | 18 - Melrose Park |
| 2- North Lauderdale | 19 - Riverland |
| 3- Palm Aire | 20 - Pine Island Ridge |
| 4 - Broadview - Pompano Park | 21 - Broadview Park |
| 5 - North Andrews Gardens | 22 - Edgewater Park |
| 6 - Sea Ranch Lakes | 23 - Chambers Estates |
| 7 - Lauderdale-by-the-Sea | 24 - Cooper City |
| 8 - Twin Lakes | 25 - Royal Palm Ranches |
| 9 - Rock Island | 26 - Sunshine Acres |
| 10 - Lauderdale Lakes | 27 - Sunshine Ranches |
| 11 - Lauderhill | 28 - Green Meadow |
| 12 - West Ken-Lark | 29 - Rolling Oaks |
| 13 - Roosevelt Gardens | 30 - Pembroke Park |
| 14 - Wilton Manors | 31 - Lake Forest |
| 15 - St. George | 32 - Carver Ranches |
| 16 - Washington Park | 33 - Utopia |
| 17 - Bravard Estates | 34 - Miami Gardens |

Numbered Municipalities in Miami-Dade County

- | | |
|------------------------|-----------------------|
| 1 - Andover | 16 - Virginia Gardens |
| 2 - Ives Estates | 17 - Sweet Water |
| 3 - Aventura | 18 - University Park |
| 4 - North Miami Beach | 19 - Westchester |
| 5 - Opa-locka North | 20 - West Miami |
| 6 - Bunche Park | 21 - Coral Terrace |
| 7 - Westview | 22 - South Miami |
| 8 - Biscayne Park | 23 - Glenvar Heights |
| 9 - Pinewood | 24 - Olympia Heights |
| 10 - Miami Shores | 25 - Westwood Lakes |
| 11 - Indian Creek | 26 - The Crossings |
| 12 - El Portal | 27 - Richmond Heights |
| 13 - North Bay Village | 28 - Palmetto Estates |
| 14 - Brownsville | 29 - East Perrine |
| 15 - Miami Springs | 30 - West Perrine |

Miami Urbanized Area/Transportation Management Area



Source: Florida Department of Transportation, "Miami Urbanized Area/ Transportation Management Area 2009-2010 Regional Report, Page 8."

<http://www.seftc.org/system/datas/12/original/Final%20SEFTC%202008%20Regional%20Report.pdf?1285096877>