

Southeast Florida Regional Partnership – Sustainable Communities Initiative  
Status Report as of 31/Dec/11

Background

- In July 2009, the U.S. Department of Housing and Urban Development (HUD), U.S. Department of Transportation (DOT), and the U.S. Environmental Protection Agency (EPA) announced the creation of an interagency partnership to better align their national funding programs towards sustainable community planning and infrastructure investment. They established the Sustainable Communities Planning Grant Program that would award their first round of grantees in 2010. HUD's inaugural grants under this program support metropolitan and multi-jurisdictional planning efforts to better integrate housing, land use, economic development, community development, social equity, water / environmental protection, transportation, energy conservation, and infrastructure. As part of this interagency effort, six "Livability Principles" were articulated and adopted by the Interagency Partnership. These principles are: 1. Promote more transportation choices; 2. Promote more equitable, affordable housing; 3. Enhance economic competitiveness; 4. Support existing communities; 5. Coordinate policies and leverage investment; and 6. Value communities and neighborhoods.
- In January 2010, the South Florida Regional Planning Council (SFRPC) convened regional partners to discuss the development of a joint Southeast Florida application to the Sustainable Communities Grant Program. At that meeting it was decided that the SFRPC, working in partnership with the Treasure Coast Regional Planning Council (TCRPC), would spearhead development of the grant application for submittal on behalf of what would become the Southeast Florida Regional Partnership. Isabel Cosio Carballo of SFRPC staff was designated the project lead. Michael Busha was the key point of contact for the TCRPC.
- HUD announced that it was seeking comments to a Pre-NOFA (Notice of Funding Availability) from potential grantees as part of their process to finalize the final Notice of Funding Availability which was expected to be released in April 2010. HUD stipulated that applications would only be accepted from regional partnerships and grantees would be developing "Regional Plans for Sustainable Development."
- The Pre-NOFA was circulated to key regional stakeholders for their comments and observations. The Partnership's joint comments were submitted to HUD on March 12, 2010.
- Absent a formal regional partnership, during this same time period work began in earnest to develop the framework for a regional partnership and application. Key milestones included development of a Partnership Memorandum of Understanding (MOU) for execution by regional stakeholders. The MOU was a statement of commitment by the signatory to work collaboratively with regional partners to develop a competitive grant application and complete the work funded under the grant. The Partnership adopted the six "Livability Principles" and added a seventh: 7. Enhance community resilience to the impacts of climate change. It was further stated that the purpose of the effort was to establish a comprehensive regional plan or vision identifying critical projects and infrastructure to: 1) improve the Region's sustainability; and 2) assist and guide federal funding agencies in prioritizing and focusing future federal investment in Southeast Florida.
- In anticipation of the release of the NOFA, a series of subject work groups were developed to discuss and articulate the key issues facing Southeast Florida. With the assistance of FDOT Consultant Kimley-Horne and Partnership members, staff began compiling strategic planning documents from public, private and nonprofit partners in the region to begin the creation of a regional repository of information.
- After much delay, the final NOFA FR-5396-N-03 and supplemental NOFA FR-5015-N-01 were released on June 23, 2010. The NOFA had some significant differences from the original Pre-NOFA, most notably a new requirement for a "Consortium" of partners that would commit to play a key role in the development and implementation of the grant and "Regional Plan for Sustainable

Development.” The NOFA also spelled out two categories of grantees: Category 1 and Category 2 grantees where the Pre-NOFA originally had three. Category 1 grantee communities were defined as those communities who did not have an existing “Regional Plan for Sustainable Development.” Category 2 grantees were defined as those communities with an existing plan who needed funding assistance to implement their plans.

- At the time of application submittal on August 23, 2010, more than 130 public, private and nonprofit organizations had executed the Memorandum of Understanding with an additional 65 organizations or entities having prepared letters and resolutions of support. These letters included a joint letter signed by the state delegation chairs representing the 7 county region as well as a joint, bipartisan letter of support of Southeast Florida’s congressional delegation and both U.S. Senators.
- In the application, we requested the maximum allotted funding of \$5,000,000. On October 15, 2010 it was announced that the Southeast Florida Regional Partnership had been selected one of 45 recipients of the initial grants. The Partnership was awarded a \$4.25 million dollar grant, one of the top four awards nationally, in the regional plan development category (Category 1). The HUD Sustainable Communities Regional Planning Grant was executed on February 21, 2011 when the Cooperative Agreement with HUD was executed. The grant period spans a 3-year period ending February 20, 2014.
- This is a Cooperative Grant with HUD which means that HUD is a contributing partner to the grant with direct involvement in the review, modification, and approval of work plans and products such as the Consortium and Partnership Agreements, Statement of Qualification for the Consultant Teams, Executive Committee and Work Group structure, Statement of Organization, monthly conference calls, webinars, and most recently the visit by Shelley R. Poticha, director of the HUD Office of Sustainable Housing and Communities. This partnership allows HUD to provide direct ongoing technical assistance and other resources in support of work program implementation.
- A revised Work Plan and Budget were submitted to HUD on April 22, 2011, and subsequently approved. The Work Plan identified the Regional Vision and Blueprint for Economic Prosperity as the principal product of the grant. The approved Work Plan includes a scoping phase and 7 substantive tasks, each of which is broken into sub-tasks.
- The budget approved by HUD includes \$4,250,000 in federal funds, of which \$1,250,000 was programmed for the SFRPC, \$420,000 for the TCRPC, and \$2,580,000 for consultant and consortium member work. It also requires a match of \$2,354,403, for a total project cost of \$6,604,403.
- A request for a “Statement of Qualifications” to select a master consultant was issued on June 24, 2011 with applications due on July 22, 2011. Six teams submitted proposals. After an initial ranking by the Technical Review Committee (TRC), the top five ranked teams were invited to give a presentation to the TRC on August 24<sup>th</sup> and the teams were ranked. The team led by Dover-Kohl was selected as the top-ranked team and the Executive Committee approved the top rated team on September 30, 2011. At that time, the Executive Committee directed staff to negotiate a contract for services. A contract was negotiated with the chosen team and reviewed and recommended to the South Florida Regional Planning Council by the Executive Committee on October 28<sup>th</sup>. The contract was approved for signature at the South Florida Regional Planning Council’s November 7<sup>th</sup> meeting subject to review and approval by HUD. The contract was executed in January 2012.
- Required HUD Deliverable “Logic Model” completed in September 2011.

#### Significant Events

- As SFRPC staff was working on revisions to the Work Plan and Budget submitted to HUD on April 22, 2011, the Florida Legislature was in the process of modifying the State of Florida’s institutional framework related to growth management, shifting to a focus on economic development. The Florida Department of Community Affairs was dismantled, and the Division of Community Planning was transferred to the new Department of Economic Opportunity (DEO). As this set of changes played out over the Summer and Fall, several additional important initiatives converged to support staff development of the Regional Vision and Blueprint for Economic Prosperity.

- The DEO launched the development of a 5-year strategic plan. SFRPC and TCRPC staff is working with the Department to prepare for the meeting to be convened on March 7, 2012, to receive input on the State plan.
- The regional planning councils coordinated with the Florida Chamber of Commerce Six Pillars initiative, through membership on the committees.
- The 11 regional planning councils in the State of Florida began preparation of the next round of Comprehensive Economic Development Strategy (CEDS) for the US Economic Development Administration, and agreed to integrate those plans with the State strategic plan and the Six Pillars initiative.
- On October 26, 2011, the Southeast Florida Regional Partnership, in collaboration with the Federal Reserve Bank of Atlanta, the Regional Business Alliance and the Urban League of Broward County, convened the 2011 Southeast Florida Economic Development Symposium at the Greater Fort Lauderdale / Broward County Convention Center.
- At the Southeast Florida Economic Development Symposium, Citi Community Development announced a \$100,000 investment in support of the Southeast Florida Regional Indicators Project to further the work of the Southeast Florida Regional Partnership through enhancement of data and information resources that will be developed as part of the Sustainable Communities process. These resources have enabled the South Florida Regional Planning Council to join the Open Indicators Consortium (OIC), a national partnership organized through the University of Massachusetts at Lowell Institute for Visualization and Perception Research. The OIC is developing an open source data and visualization platform called WEAVE (Web-based Analysis and Visualization Environment). Working in collaboration with other metropolitan regions across the country, WEAVE will provide the Partnership with the tools needed to improve regional information sharing and communication, and facilitate enhanced participation in ongoing planning and decision-making in the region.
- On December 8–9, 2011, the Southeast Florida Regional Climate Change Compact held their Third Annual Summit in North Key Largo. At the Summit the draft Regional Climate Action Plan was presented. The Action Plan was the result of several months of collaboration among Partnership Consortium Members Monroe, Miami-Dade, Broward and Palm Beach Counties working with regional stakeholders. The Action Plan was developed through a one-year process of working groups and steering committee and calls for collaboration by the Compact with the Southeast Florida Regional Partnership. In 2012, the SFRPC, on behalf of the Partnership, and Broward County, on behalf of the Compact, will execute a sub-grantee contract under the Sustainable Communities grant to assist in the implementation of the Action Plan and to provide technical assistance to Martin, St. Lucie and Indian River Counties.
- Leadership transitions at the South Florida Regional Planning Council
  - Carolyn Dekle, the long-time Executive Director of the Council, passed away in November 2010, after the application had been submitted to HUD, but before the grant award was announced.
  - Jack Osterholt was hired as a consultant to fill the role of Interim Executive Director in early 2011, and accepted a permanent position in May 2011, three months after the grant was announced. As a consultant, none of his work on the grant was charged to the grant from its start date (February 21, 2011) until his contract became effective. By the end of July, Mr. Osterholt had accepted a position as Deputy Mayor of Miami-Dade County. Over the 10 weeks he was a salaried employee, Mr. Osterholt logged a total of 32 hours to the grant.
  - While he was Executive Director, Mr. Osterholt hired Jim Murley to become the grant Project Director, effective June 1, 2011. During the first two months Mr. Murley dedicated his time entirely to the HUD grant. However, upon Mr. Osterholt's departure, Mr. Murley accepted the position of Interim Executive Director. During the months that followed, while the Council and Mr. Murley considered his permanent appointment and negotiated a contract, Mr. Murley accumulated the roles of Interim Executive Director of the Council and Project Director of the HUD grant, while continuing to receive only the salary that was negotiated upon his original hire. During this time, he charged less than half of his time to the HUD grant.

### Scoping Phase and Early Implementation Steps

- The scoping phase of the approved Work Plan included tasks that ended up taking longer than was initially anticipated when the Work Plan was approved. Many of these activities are essentially complete, although staffing needs and committee refinements are likely to be ongoing activities. Where appropriate, scoping phase deliverables have been reviewed and accepted by HUD.
  - Governance, Organization – Partnership / Work Group structure; Statement of Organization; Executive Committee membership
  - Work Plan Development – Cooperative Agreement Matrix of Activities and Budget; April 2011 Work plan and Budget; Logic Model
  - Consortium Agreements<sup>1</sup> - Development and ongoing execution of Consortium Agreements
  - Recruit Staff – Project Director, Program Manager
  - Form and Operationalize Work Groups and Committees – Organization and Equity Subcommittee, and Organization Subcommittee
  - Initiate Early Stages of Activities
  - Develop RFPs – Request for Statement of Qualifications
- Task 1 is an ongoing activity, which also required a considerable amount of effort during the initial stages of grant implementation.
  - Continue Developing Regional Partnership
  - Identify Opportunities to Enhance Collaboration
  - State and Regional Coordination
  - Strategies for Regional Collaboration
  - Expand Participation
- Task 2 has been initiated, but its pace will be driven largely by the work of the master consultant.

### Budget Performance

- Total HUD-reimbursed expenditures from 21/Feb/2011 to 31/Dec/2011 = \$561,228.32 (see attached Part 3 Financial Reporting and SF-PPR-E forms). Another \$43,519.21 were due to TCRPC for expenses incurred during the Oct-Dec/2011 quarter, and paid in Jan/2012, bringing total federal expenses incurred to \$604,747.53 out of the \$4.25 million grant, excluding all match expenses. SFRPC reimbursed TCRPC a total of \$141,558.88 (see attached graph of total expenditures).
- Direct expenditure by SFRPC through 31/Dec/2011 = \$463,188.65
 

○ Salaries	\$191,099.61
○ Fringe Benefits (allocated)	\$48,172.07
○ Travel Reimbursements	\$7,975.35
○ Printing, Notices and Advertising	\$559.90

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<sup>1</sup> Role of the Consortium. The Consortium is intended to collectively to have the capacity and experience to carry out the proposed activities in the target geography and to enter into an agreement to submit a single application for the Sustainable Communities Planning Grant funding. The minimum requirements for consortium membership were spelled out in NOFA FR-5396-N-03. Required members: 1) the traditional principal city (or cities if more than one) located within the region; 2) the city, county or other unit of general local government with the largest population; 3) all MPOs that have jurisdiction within the region; and 4) a nonprofit organization, foundation or educational institution that has the capacity to engage a diverse representation of the general population. The Partnership's Consortium is comprised of 46 organizations that have executed consortium agreements. Four additional organizations are in the process of executing the Consortium Agreement. The Consortium is designed to grow over time. The Partnership structure envisions three tiers of membership: Tier 1 – Partnership Member, the basic tier of participation; Tier 2 – Consortium Member, This includes the basic commitments and responsibilities outlined for Partnership members, but also includes additional commitment of leveraged resources in terms of staff, financial investment or other resources; Tier 3 – Consortium subgrantees. In addition to general Consortium participant commitment and responsibilities, a subset of Consortium participants may be asked to perform specific work program tasks. Consortium subgrantees will be required to enter into a contract with specific deliverables and timeframes, and meet all requirements.

- Communication and Postage \$4,020.29
- Consultant Expenses \$5,000.00
- Indirect Costs \$206,383.43
- SFRPC staff direct charged a total of 3,711 hours to the Grant over the 10+ months (44 weeks), distributed as follows (with the % of time of one FTE dedicated to the project):
  - Executive Director / Project Director 747 42%
  - Isabel Cosio Carballo 1,428 81%
  - Eric Swanson 512 29%
  - Richard Ogburn 312 18%
  - Jeanne Tan 216 12%
  - Other Program / Policy Staff 86 6%
  - Support Staff (Admin, Graphics, IT) 410 23%
  - Current annual salaries at the SFRPC range from \$30,900 to \$160,000.
- Indirect costs in the approved budget refer only to expenses incurred by SFRPC. The estimated total 3-year indirect cost (\$560,960) represents the maximum amount eligible for reimbursement from federal funds (89.27% of the projected expenditures on salary and fringe).<sup>2</sup>
- Consultants: In 2011, the SFRPC contracted with Mark Buchbinder for support in preparing the HUD required deliverable "The Logic Model" (\$3,000) and with Content Creators for support in developing an information management tool and slide presentations (\$2,000). These are the only two consultant contracts entered into by the SFRPC for the Sustainable Communities Initiative.
- TCRPC staff direct charged a total of 476 hours to the Grant over the 10+ months (44 weeks), distributed as follows (with the % of time of one FTE dedicated to the project):
  - Michael J. Busha, Executive Director 249 12.7%
  - Kim Delaney 166.5 8.5%
  - Greg Vaday 15.5 0.8%
  - Liz Gulick, Administrative Supervisor 45 2.3%

In addition, in June, the TCRPC contracted with consultant Marcela Cambor to be the Sustainable Communities Initiative Project Manager for the Treasure Coast region's role in the grant. The contract is for \$129,000 per year with \$1,000 per month in travel expenses. Through 31/Dec/11 the total paid on this contract was \$69,461.56.

#### <sup>2</sup> Indirect Rate Details – South Florida Regional Planning Council

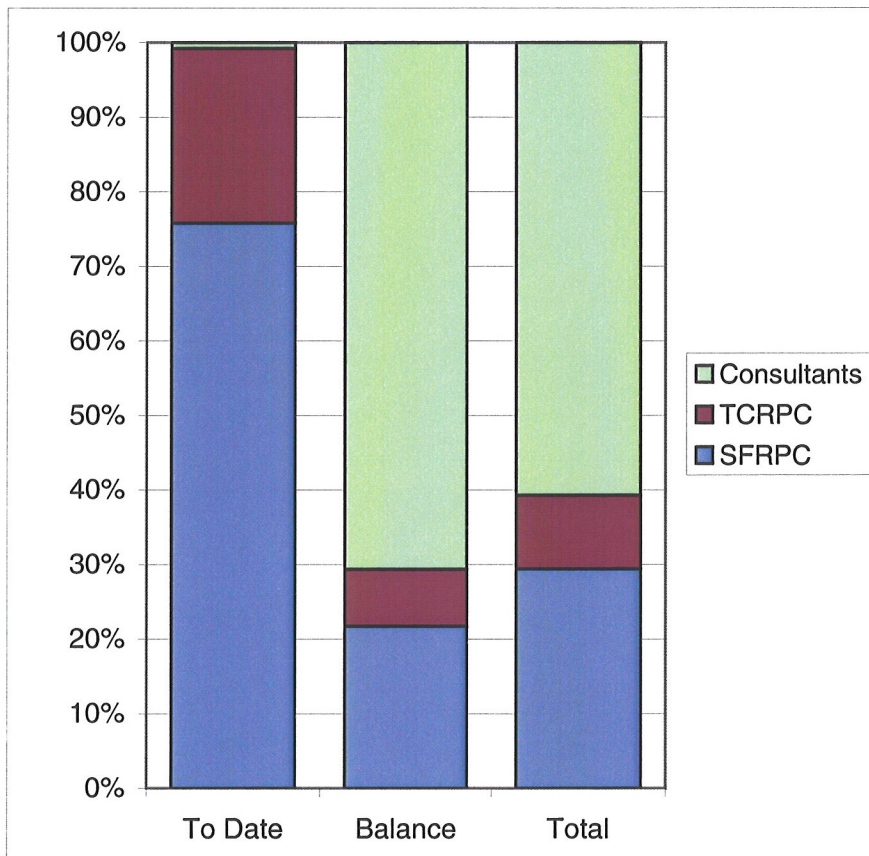
In accordance with the Council's federally approved and audited Cost Allocation Plan, all leave, fringe benefits and indirect costs are calculated monthly and allocated across all active projects. Since actual costs vary from month to month, so do the leave, fringe and indirect cost rates. The Council requests reimbursement from HUD for actual costs, except in the case of indirect costs, which are limited by the agreed upon rate of 89.27%. When indirect costs exceed that rate, the Council requests reimbursement only for the maximum allowed.

- First, the cost of leave taken during the month (including annual leave, sick leave and holidays) is allocated to each active project in proportion to direct salary charges in the month.
- Next, fringe benefits (including FICA, Medicare, Workers Comp, health/life insurance, pension and FRS) are calculated and allocated to each active project in proportion to direct salary and allocated leave charges in the month. For budgetary purposes, fringe benefits were estimated at 30% for this project, but the Council only bills for actual fringe benefits costs, which so far have averaged a little over 25%.
- Finally, indirect costs are calculated and allocated in proportion to the total direct salary, allocated leave and allocated fringe cost of each project in the month. Over the period from February to December 2011, the actual monthly rate varied from a low of 76.7% to a high of 109.8%. For this grant, the Council has incurred an additional \$11,775.59 in unreimbursed indirect costs due to the higher than usual indirect cost rate during several months of 2011.

The indirect cost pool is made up of two categories of expenses: (1) non-personnel overhead costs (such as rent, insurance, legal fees, etc.); and (2) personnel costs that cannot be direct charged to any specific project (most finance/audit, administrative, IT and Council meeting costs). When positions that normally would be salaried are filled with consultants, those fees go into the indirect cost pool, elevating the rate.

**Sustainable Communities Initiative  
Approved Project Budget and Expenditures  
As of 31/Dec/2011**

Partner	To Date	Balance	Total
SFRPC	\$458,188.65	\$791,811.35	\$1,250,000.00
TCRPC	\$141,558.88	\$278,441.12	\$420,000.00 *
Consultants	\$5,000.00	\$2,575,000.00	\$2,580,000.00
Total	\$604,747.53	\$3,645,252.47	\$4,250,000.00



**\* The SFRPC and TCRPC have agreed that an additional \$150,000 will need to be allocated to the TCRPC in a future budget amendment.**

**PART 3**  
**Financial Reporting**  
**Office of Sustainable Housing and Communities**

Grant Agreement Number:	FLRIP0009-10		
Grantee Organization:	SOUTH FLORIDA REGIONAL PLANNING COUNCIL		
Reporting Period:	DECEMBER 1	to	DECEMBER 31 2011
	(Month, Day	to	Month Day Year)

BUDGET CATEGORIES	HUD NEGOTIATED BUDGET	HUD EXPENDED THIS PERIOD	HUD EXPENDED TO DATE	HUD AVAILABLE BALANCE	MATCH CONTRIBUTION (IF APPLICABLE)
1. Personnel (Direct Labor)	\$ 483,374.00	\$ 25,435.34	\$ 191,077.61	\$ 292,296.39	
2. Fringe Benefits	\$ 145,012.00	\$ 6,865.73	\$ 48,172.07	\$ 96,839.93	
3. Travel	\$ 26,334.00	\$ 1,776.67	\$ 7,975.35	\$ 18,358.65	
4. Equipment					
5. Supplies and Materials	\$ 6,300.00		\$ -	\$ 6,300.00	
6. Consultants					
6a.					
6b.					
6c.					
6d.					
7. Sub-Recipients / Contractors 8c.	\$ 3,000,000.00	\$ 98,039.67	\$ 103,039.67	\$ 2,896,960.33	
7a.					
7b.					
7c.					
7d.					
7e.					
7f.					
Subtotal Item 7					
8. Construction					
9. Other Direct Cost	\$ 28,020.00	\$ 9.27	\$ 4,580.19	\$ 23,439.81	
10. Indirect Costs	\$ 560,960.00	\$ 28,835.17	\$ 206,383.43	\$ 354,576.57	\$ 11,775.59
TOTALS	\$ 4,250,000.00	\$ 160,961.85	\$ 561,228.32	\$ 3,688,771.68	\$ 11,775.59

Note: This form is part of the Office of Healthy Homes Quarterly Progress Reporting Form

**PERFORMANCE PROGRESS REPORT**  
**Activity Based Expenditures SF-PPR-E**

			Page 3 of 6 Pages
1. Federal Agency and Organization Element to Which Report is Submitted  <b>HUD OSHC</b>	2. Federal Grant or Other Identifying Number Assigned by Federal Agency <b>FLRIP0009-10</b>	3a. DUNS <b>0722352860000</b> 3b. EIN <b>59-1358704</b>	4. Reporting Period End Date <i>(Month, Day, Year)</i> <b>December 31, 2011</b>
<b>E. Activity Based Expenditures</b>			
(1) Activity Number or Label	(2) Activity Description	(3) Total Estimated Expenditures	(4) Funding Expended
S1	Governance, Organization	\$6,375.00	\$6,375.00
S2	Work Plan Development	\$6,375.00	\$6,375.00
S3	Consortium Agreements	\$12,750.00	\$12,750.00
S4	Recruit Staff	\$12,750.00	\$12,750.00
S5	Form & Operationalize Work Groups and Committees	\$12,750.00	\$12,750.00
S6	Initiate Early Stages of Activities	\$12,750.00	\$12,750.00
S7	Develop RFP(s)	\$63,750.00	\$63,750.00
1.1	Continue Developing Regional Partnership	\$51,000.00	\$51,000.00
1.2	Identify Opportunities to Enhance Collaboration	\$51,000.00	\$51,000.00
1.3	State, Regional and National Coordination	\$51,000.00	\$51,000.00
1.4	Strategies for Regional Collaboration	\$51,000.00	\$51,000.00
1.5	Expand Participation	\$51,000.00	\$51,000.00
2.4	Demographic Forecast	\$68,425.00	\$45,000.00
2.5	Regional Housing Assessment	\$148,325.00	\$60,000.00
2.6	Virtual Present	\$124,525.00	\$60,000.00
2.10	Develop Range of Regional Indicators for Scorecard	\$88,400.00	\$13,728.00
<b>TOTAL</b>		<b>\$812,175.00</b>	<b>\$561,228.00</b>

**Note:**

- Agencies will specify if this page is required
- This page can be used for one or more activities and results, and can be duplicated