

Surtax Municipal Workshop

Surtax Grants Guidance

May 25, 2021

1:00 p.m.

Agenda

- I. Introduction
- II. Project Management Office Role
- III. Contract Administration & Monitoring
- IV. Financial Oversight
- V. Branding & Marketing
- VI. Next Steps
- VII. Summary & Q&A

Purpose

- This is the first of two planned Workshops; the next will be June 16th (invitation will be sent immediately following)
- DRAFT Guidebook will be emailed to municipal partners today
- **We need to hear from you!**
- Send feedback about the DRAFT Guidebook to us by **COB June 3, 2021** (using the feedback tool on page 3 of Guidebook)
- We will compile all municipal input and provide responses at the 2nd Workshop, before it goes into effect
- **Publishing the Guidebook on MAPBroward.broward.org website week of June 20th for quick reference**

Workshop Structure

- This Workshop is being recorded and is intended to offer a high-level summary of the Guidebook
- The Guidebook will be updated as needed to reflect the evolution of the Surtax program
- **Please hold all questions to the end**
- **You may place Qs into the chat and they will be read and answered at the conclusion of the Workshop**

Project Management Office (PMO)

Althea Lewis

Program Management Office (PMO) - Mission

Optimizing the value delivered to Broward County by ...

- Enabling and ensuring alignment of **all Surtax-funded projects** to the committed goals and objectives of the Broward County Surtax program
- Adhering to the operating policies and guidelines of the county
- Delivering consistency and predictability in the County's execution and management (of County-led projects)

Realizing the County's Oversight mandate

Program Management Office - Expected Outcomes

- Improved outcomes for projects funded by the Surtax
- Improved project planning
 - Scope definition and management
 - Execution planning; adherence to committed timelines and costs
- Proactive risk/issue management; identification, analysis and management
- For the County, identification of gaps in skills and/or training *

* County will make access available to the Municipalities for certain continuing education products

Ultimately ... increasing the returns on the Surtax investment

Municipal Project Management (PM)Liaison Role

Objective: *Execute the County's oversight role by monitoring execution of Municipal-led Surtax projects and leveraging expertise and experience- when requested - to **support the Municipalities in their role as the accountable party for project execution***

Key Activities:

- County Surtax PMO representative for the municipal projects
- Review each municipal's project plan of record; in order to fully understand the objective, approach and major milestones
- Guide the authorized municipal designees (e.g., City Engineer, Dir. of Public Works, City Manager, etc.) re: County's execution oversight process (including compliance requirements, templates, etc.)
- On request, may provide guidance to the municipalities re: their issue management plans
- Support any queries from County leadership, Surtax Stakeholders and Surtax Administration

Execution oversight and – on request – support to cross the finish line

PMO Guiding Principles and Key Assumptions

- Deliver on the **County's Oversight** mandate
- The Municipality is ACCOUNTABLE for compliance with the Project Funding Agreement (PFA)
- The Municipality is ACCOUNTABLE for the Project; Planning, execution, management of consultants/contractors, etc.
- The Municipality is the PROJECT MANAGER
- County PM Liaison will NOT interact in any way with the Municipal's solicitation process and/or its consultants/contractors
- County PM Liaison does not perform Construction Engineering & Inspection (CEI) functions, site inventory checks or review contractor/municipality invoices
- Any activities other than project execution oversight, are per written request from the Municipality
- The **Plan of Record (POR) is the basis of execution oversight**
 - POR is the updated project plan; agreed to by consultant/contractor and municipality and committed to County

Operating Assumptions

- For clarity and continuity, all communications between the Municipality and the PMO must be through or with the identified **Municipal Project Manager**, who will be the Municipal Single Point of Contact (SPOC) related to PMO
- All Municipal submittals to be made via MAP portal (in development)
- Project Plan/Plan of Record
 - Identifies all critical/key activities and durations, milestones (including start and end dates)
 - Intended deliverables/outcomes for the project
- Common Municipal submittals; with attestation
 - Plan of Record (POR)
 - Monthly status reporting; including revisions to POR
 - Other compliance criteria; including PFA-required deliverables

Municipal PM Liaison – Key Engagement Activities

PFA PHASE	ENGAGEMENT ACTIVITY
Concept/Application	None
Post-PFA Execution	Meeting with Municipality to: review key execution compliance terms and conditions
Pre-Solicitation	On request, provide guidance for proactive issue management
Post-Award/NTP	Review Plan of Record (POR); updated project plan
Project Execution	On-going; site visits and review progress with Municipalities to support monthly PMO meetings. Includes activities, schedule, financial “burn rate” (actual vs. planned spend)
Project Complete	Confirmation of completion milestone
Contract Closeout	Post-mortem review with Mobility Advancement Program (MAP Admin)

Note: shaded overlay highlights activities essential to the PM Liaison role

PM Liaison's Municipal Site Visit

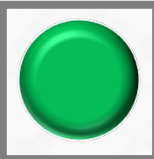
IS ...

- Visual affirmation of project progress
- Verification of project completion

• IS NOT ...

- Verification of site inventory
- Project asset management
- Construction, Engineering & Inspection (C.E.I.)
- Negotiating issue resolution
- Approval of means & methods

Surtax PMO Project Status Report Template*



Overall Status

<Municipality> Project: <i><fill in project name and/or id></i>		Municipal Project Manager: <i><fill in></i>	<date>
Progress update: <ul style="list-style-type: none"> ▪ ? 		Overall Progress Summary: <i>(may include)</i> <ul style="list-style-type: none"> • <i>Key take-aways for BoCC, County Administration, Surtax Admin, Public/Oversight Board</i> • <i>Key reminders of critical decisions/milestones/etc.</i> • <i>Gantt chart indication of current status within the plan (insert .png, etc.)</i> 	
Key upcoming activities: <ul style="list-style-type: none"> ▪ ? 		Project Metrics: <ul style="list-style-type: none"> • <i>Financial burn rate; actual vs. planned</i> • <i>% Milestones met (on time or early)</i> • <i># Days over budget</i> 	
Issues/Challenges: <ul style="list-style-type: none"> ▪ ? 		Proposed solutions:	

* Format is subject to change

	Red = Execution critical delay
	Amber = Delay; but recoverable
	Green = On track

Standard Project Milestones

PMO requires monthly project status reports; including milestone tracking

Project Type	Milestones Required	Notes
PLANNING	Project START	Consultant Planner/EOR to provide interim milestones; as applicable
	Project END	
DESIGN	Project START	<p><u>Exception:</u> Design projects less than \$250K and/or project duration:</p> <ul style="list-style-type: none"> • 6 weeks or less; 0 intermediate milestones • 6 weeks to 3 months; 1 intermediate milestone decided by Municipality <p>The Engineer of Record (EOR) provides and certifies the Critical Milestone activities; which serve as the basis for the POR</p>
	Preliminary (for projects longer than 3 months) (aka 30%/Phase I)	
	Design Development (for projects longer than 3 months) (aka 60%/Phase II)	
	Complete – subject to change (for projects longer than 3 months) (aka 90%/Phase III)	
	Project END (i) Complete – not subject to change (ii) Plans signed & sealed	
CONSTRUCTION	TBD; proposed by the CEI provider and agreed to by the Municipality (Including START & END) <u>NOTE:</u> for capital projects, the plan of record is expected to be developed after the first CPM (received from the contractor)	Based on the CPM, the CEI provider/EOR identifies and certifies the Critical Milestone activities; which serve as the basis for the POR submitted and certified by the Municipality



Contact Information

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- Municipal PM Liaison

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Backup

Project Execution “Cheat Sheet”

	PFA PHASE	CONCEPT	POST - PFA EXECUTION	PRE-SOLICITATION	POST AWARD / NTP	PROJECT EXECUTION	PROJECT COMPLETE	CONTRACT CLOSEOUT
Expected Activities	Broward County, PM Liaison	None	Meet with Municipality to: review key execution compliance Terms and Conditions	On request, provide guidance for proactive issue management	Review Plan of Record (POR); Submitted by Municipality	On-going; review meetings with Municipality and site visits to support monthly PMO meetings	Confirm project scope of work completion per PFA.	Sync-up with MAP re: execution performance assessment
	Municipality Project Manager			Draft solicitation requirements and submit draft to Surtax Legal Counsel for review	Certify and submit the Plan of Record (POR) within first 30 Days; post NTP Notify PM Liaison of project START	Certify and submit the Monthly Status Report (include required deliverables where applicable)	Notify PM Liaison of project END	

Contract Administration & Monitoring

Lina Silva & Alexander Mayorga

MAP Administration: Our Role

- Operationalize the County's and Oversight Board's responsibility for all aspects of programmatic performance & financial compliance of surtax-funded projects and initiatives
- Work with municipalities, the PMO & the Transportation Surtax Counsel Legal Team, to ensure awarded projects are delivered per the Project Funding Agreement (PFA)
- Support our municipal partners through ongoing technical assistance, trainings/workshops, and monitoring

Surtax Grantees: Municipal Role

Municipalities with an executed Surtax Project Funding Agreement (PFA) are responsible for the management of the grant, including:

- Compliance with the terms of the PFA
- Project Management
- Financial Management
- Procurement and solicitation of services (consistent with the PFA and solicitation package provided to the Transportation Surtax Counsel Legal Team)
- Timely & accurate reporting

Contract Administration

- Contract administration will be a collaborative process involving County agencies: MAP Administration, PMO, Surtax Legal, Accounting, and the Office of Economic & Small Business Development (OESBD), as well as participating Municipalities' corresponding entities
- MAP's contract managers are available to review each project's PFA with municipal representatives to facilitate compliance with all terms & conditions of the PFA, including:
 - **Project description & schedule**
 - **Solicitation & Procurement**
 - **Deliverables**
 - **Funding Schedule**
 - **Reporting Requirements**

See 'Contract Compliance' section in the Guidebook (p. 43)

Solicitation & Procurement

- Municipalities have the option of soliciting, utilizing an existing contract for services, or doing the project in-house
- County approval is needed for the use of a proposed contract or solicitation bid (with certain exceptions)
- Solicitations for services published by each municipality should specify the County Business Enterprise (CBE) goals assigned (if applicable)
- The Surtax Legal team needs to review and approve the documents, including cost and scope, at least 20 days before solicitations are presented to City Commissions for final review and approval

Deliverables

- **Deliverables** should be submitted in accordance with the PFA and must meet the acceptance criteria and deadlines established
- The Project Status and Deliverables Submission Form (Appendix B in the guidebook) must accompany deliverables and be signed by the Municipal Project Manager
- For projects soliciting services, the deliverables timeline in the PFA will be modified once a Plan of Record (POR) is completed

Funding Schedule

- Exhibit B of the PFA defines the schedule proposed for advances
- After each advancement, municipalities must submit evidence of actual expenditures with a complete invoice before additional advances can be made
- Exhibit B of the PFA, 'Funding Schedule', defines how a municipality may invoice the County, details funding intervals, and outlines maximum-not-to-exceed amounts per applicable phase
- **Complete Invoices** need to be submitted with the Project Financials Attestation Form (Appendix C in the guidebook), signed by the Municipal Project Manager and Chief Financial Officer/Finance Director, and should comply with all requirements in Exhibit B

Reporting Requirements

Report	Frequency	Requirements
Audit Reports	Annually	On an annual basis, copies of Municipality’s most recent annual financial reporting packages, reports, or other information required to be submitted in accordance with Section 215.97, Florida Statutes. A copy of Municipality’s most recent single audit complies with this requirement
Performance Metrics (Exhibit C)	Monthly (with limited exceptions)	Municipality must provide written reports to the PMO (as described in PMO presentation) documenting the Project’s compliance with the applicable Performance Metrics.
Expenditures	Quarterly	For both total to date and total for the applicable quarter, the total funds received from any funding source for the Project (itemized by funding source) and total funds (by funding source) expended to date for the Project (See “Sample Financial Report” in Exhibit C of the PFA)
Project Schedule	Monthly	The updated Project Schedule, summary of progress during the applicable quarter, and any adjustments to the Project Schedule (including all approved adjustments and pending requests for adjustments). See MAP PMO Project Status Report Template in the PFA.
Material Changes or Impacts	Monthly	All material changes to the Project, the Project Schedule, or any other aspect of the Project that may impact the cost of the Project or the ability of the Project to achieve the intended goals or purposes

Contract Compliance Monitoring

- Monitoring will occur as needed, on a case-by-case basis, to ensure terms and conditions of the PFA are being adhered to
- Monitoring will vary in nature, and may include:
 - In person, phone and/or virtual interviews and meetings
 - Desk Audits
 - Project Site Visits
 - Review consistency of any project-related contracts with the PFA
 - Access to all project-related records and financial documents (includes payroll, invoices, etc.)

Contract Compliance Monitoring

Access Requirements

- PFA requires Surtax grantees to provide reasonable access to:
 - All documents, records and data related to the project execution under a PFA
 - Access to surtax-funded job sites, facilities, assets, etc.
 - Permits, inspection records
 - Review of performance and financial reports

Performance Audits

As indicated in Article 8.2 of the PFA, any funds received, maintained, or expended relating to a surtax-funded project are subject to the Oversight Board's review, critique, and analysis for the duration of the Project continuing 5 years after completion of the project, expiration or termination of the Agreement, or resolution of any audit findings

MAP ADMIN Contacts

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- Cooper City
- Dania Beach
- Davie
- Hallandale Beach
- Hollywood
- Miramar
- Pembroke Park

- Pembroke Pines
- Plantation
- Southwest Ranches
- Sunrise
- West Park
- Weston

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- Coconut Creek
- Coral Springs
- Deerfield Beach
- Fort Lauderdale
- Hillsboro Beach
- Lauderdale by the Sea
- Lauderdale Lakes
- Lauderhill

- Lighthouse Point
- Margate
- North Lauderdale
- Oakland Park
- Parkland
- Pompano Beach
- Tamarac
- Wilton Manors

Financial Oversight

Margaret Dalley-Johns

Financial Monitoring

- Monitoring will focus on:
 - Ensuring appropriate use of funds based on eligibility criteria (see [212.055 \(1\)\(d\), Florida Statutes](#), and [Section III of the Global Interlocal Agreement as amended](#))
 - Reviewing fiscal practices, expenditure of surtax funds, including invoice and billing review
- All surtax funding received and expended by the municipality, is subject to review and audit

See 'Financial Monitoring' section in the Guidebook (p. 41)

Segregation of Surtax Funds

- A separate general ledger fund must be maintained to account for all surtax related financial transactions
- The expenses must have appropriate supporting documentation consistent with the 'Funding Schedule'- Invoicing/Application for Funding Documentation (Exhibit B of the PFA)
- The municipality should be able to generate a Financial Report on a quarterly basis, consistent with 'Reporting Requirements' (Exhibit C of the PFA)

See 'Surtax Funding' section in the Guidebook (p. 29)

Leverage

- If a municipality receives a surtax grant that will be using other sources of revenue, including their own municipal funds, this should be reported as leverage on the Financial Report, as indicated in the PFA (see Sample Financial Report- Exhibit C)
- The non-surtax funding awarded/committed, should be specified, indicating the funding source(s) and amount(s)

Invoices

- Invoices must be sent electronically and addressed to your contract manager until a portal is fully operational
- Invoices must contain the following information:
 - Invoice number and invoice date
 - Project name and Project ID
 - Total invoice amount (not-to-exceed maximum advance in PFA for the specific phase)

Invoices (cont.)

Municipalities must also include the following documentation with their invoices:

- Updated progress schedule
- Backup documentation of all invoices received from, or payments made to: contractors, subcontractors, invoices for labor, purchases, and other expenditures (if applicable)
- Statement indicating cumulative amount of CBE participation to date
- Financial Attestation

Ineligible Costs

The following costs are ineligible under the PFA:

- Costs incurred by Municipality prior to agreement execution (**Cycle 1**)
- Costs incurred by Municipality after expiration of agreement
- Costs not included in Project Description (**Exhibit A**) or specified in *Funding Parameters* (**Exhibit B**)
- Amounts that Contractor, Consultant or Subcontractor are responsible to pay, credit or reimburse to Municipality or County
- Amounts received under a contract or agreement, not approved by County
- Audit costs incurred by the Municipality
- Legal and accounting fees & expenses
- Costs for operation, support or maintenance of the project
- Interest expenses incurred by the municipality
- Municipality's staff or other personnel costs **indirectly** performing on the project

Overpayment

- Prior to the surtax grant closeout, any funding provided by the County exceeding actual amounts paid by the Municipality for the project must be promptly refunded to the County upon:
 - Municipality's discovery of an overpayment
 - County's request for refund, or
 - Sixty (60) days after completion of the Project, whichever occurs first

Financial Reporting Requirements

- A detailed Financial Report (Exhibit C) must be submitted on a quarterly and annual basis
- Municipality's annual financial report must be audited and certified by an independent CPA
- **Failure by municipality to comply with the Reporting Requirements or Performance Metrics will be a basis for withholding or limiting future funding for the Project**

Certified Business Enterprise (CBE) CPA Firms

- MAP Administration will utilize Certified Business Enterprise (CBE) Certified Public Accounting (CPA) firms to promote the overall program goal of using local certified firms on surtax funded projects and initiatives
- Use of CBE firms will assist with financial monitoring

Branding & Marketing

Nichole Kalil & Tashauna Williams

Surtax Branding and Marketing

- Section 6.5 of the PFA, 'Branding and Marketing', requires surtax-funded projects to include MAP Broward branding including approved logo or other imagery provided by MAP's Public Information Officer, to acknowledge the surtax grant funding
- The County will provide specific and limited signage and materials (clings, wraps, markers, etc.) at its own expense, and will coordinate with each municipality for maintenance schedules and updates as needed
- The cost for all branding and marketing related to surtax projects (primarily construction) will be funded by the County
- **Individualized Marketing and Branding Kits, specific to each municipality's projects—by type!- will be provided June 17th**
- Technical assistance will be provided upon request

See 'Branding & Marketing Guidelines' section in the Guidebook (p. 47)

For more information Municipal Marketing special event is being held June 17th, 2021
Contact Nkalil@broward.org for more details

Transportation Surtax MAIN Logo



MAP Broward
Mobility Advancement Program
Brought to you by the
Penny For Transportation

Secondary Logo Options

- These are additional options which can be used in addition to the main logo:




SAMPLE Municipal Cooperative



SAMPLE Municipal Project



Surtax Project Branding Reference Sheet

LOGO REFERENCE GUIDE	LOGO'S NAME
	<p>Primary Surtax Logo</p>
	<p>Municipal Cooperative Logo</p> <p>This logo mixes in the MAP primary logo with the specific name of your city. This logo is to be used in lieu of your city logo or city seal.</p>
	<p>Municipal Project Logo</p> <p>This logo mixes in the MAP primary logo, your municipality's name, and gives a description of the project type you are referencing.</p>

Surtax Project Branding Reference Sheet

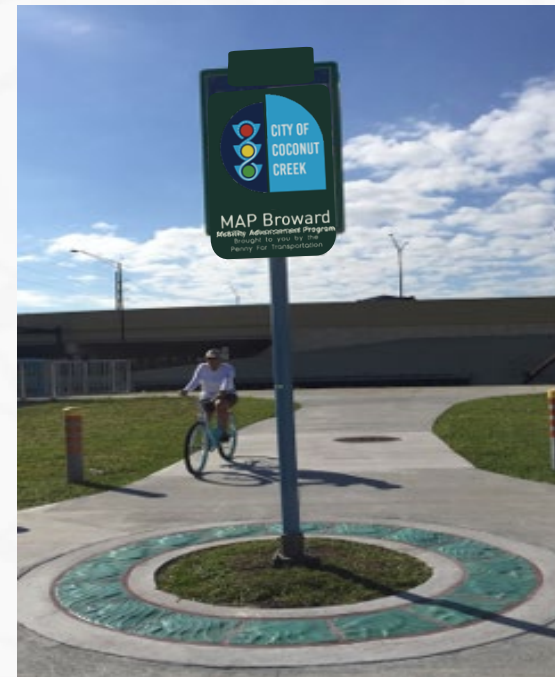
Pre, Post or During Construction	Project Branding Scenario	Option 1	Option 2	Option 3
Preconstruction	Planning and Design	Primary Surtax Logo	N/A	N/A
Preconstruction	Project Construction Site Board	Primary Surtax Logo	Primary Surtax Logo & or Municipal Cooperative Logo	N/A for this scenario
During Construction	Public notice project update flyers	Primary Surtax Logo	Primary Surtax Logo & or Municipal Cooperative Logo	Municipal Project Logo - only
Post Construction	Project type specific permanent signage will be provided by MAP Admin once project is complete, based on coordination and in collaboration with municipality (context sensitive)	Primary Surtax Logo	Primary Surtax Logo & or Municipal Cooperative Logo	N/A for this scenario
Preconstruction & Post Construction	Press Release	Primary Surtax Logo	Primary Surtax Logo & or Municipal Cooperative Logo	N/A for this scenario
Preconstruction, during & Post Construction	Social Media Posts	Primary Surtax Logo	Primary Surtax Logo & or Municipal Cooperative Logo	Municipal Project Logo - only
Preconstruction, during & Post Construction	Website	Primary Surtax Logo	Primary Surtax Logo & or Municipal Cooperative Logo	Municipal Project Logo - only
Preconstruction, during & Post Construction	Municipal Marketing Communications such as: Newsletters, Magazines and Broadcast stations	Primary Surtax Logo	Primary Surtax Logo & or Municipal Cooperative Logo	Municipal Project Logo - only
Post Construction	Bridge Painting	Primary Surtax Logo	N/A	N/A

Project Communications & Signage

- When surtax is the primary (majority) source of funds for a project, MAP Broward logo or the cooperative logo should be applied to:
 - preconstruction notices (digital and printed)
 - project board signage
 - any other communications which will be used to update the public
- The municipal point of contact (project manager) with contact details should also be listed
- Names of elected officials should never be placed on surtax-funded project signage, communications, or memorialized/permanent signage
- In situations where projects receive blended funding, multiple logos may be used (contact us for direction on placement/size)

Samples of Permanent Signage

- Memorialized branding options are pictured below (*for illustrative purposes only*)
- Municipal project types range from: Bike/Ped/Greenway, Community Shuttles, Rehab and Maintenance, Intersection/Roadway Improvements, School Safety Zones, Bridges, Transit Infrastructure, etc.
- County Public Works surtax-funded projects will be using similar memorialized signage, which is compliant with all applicable regulations
- Permanent signage options will include sidewalk inserts, embedded tiles approximately 10' in diameter, stamped concrete (placed along “edges” reducing wear and hazards and assuring longevity), post signs, decals



Project Construction Boards

What goes on a project construction board?

- Project location
- Type of project
- Construction start date
- Construction finish date
- Total project cost
- Municipal Project Manager contact information
- MAP Broward logo (three options provided, unless a blended funding situation, in which case multiple logos may be used)

What does not go on a project construction board?

- Names of any elected official, city, or Broward County logo for fully-surtax funded projects

Closing and Next Steps

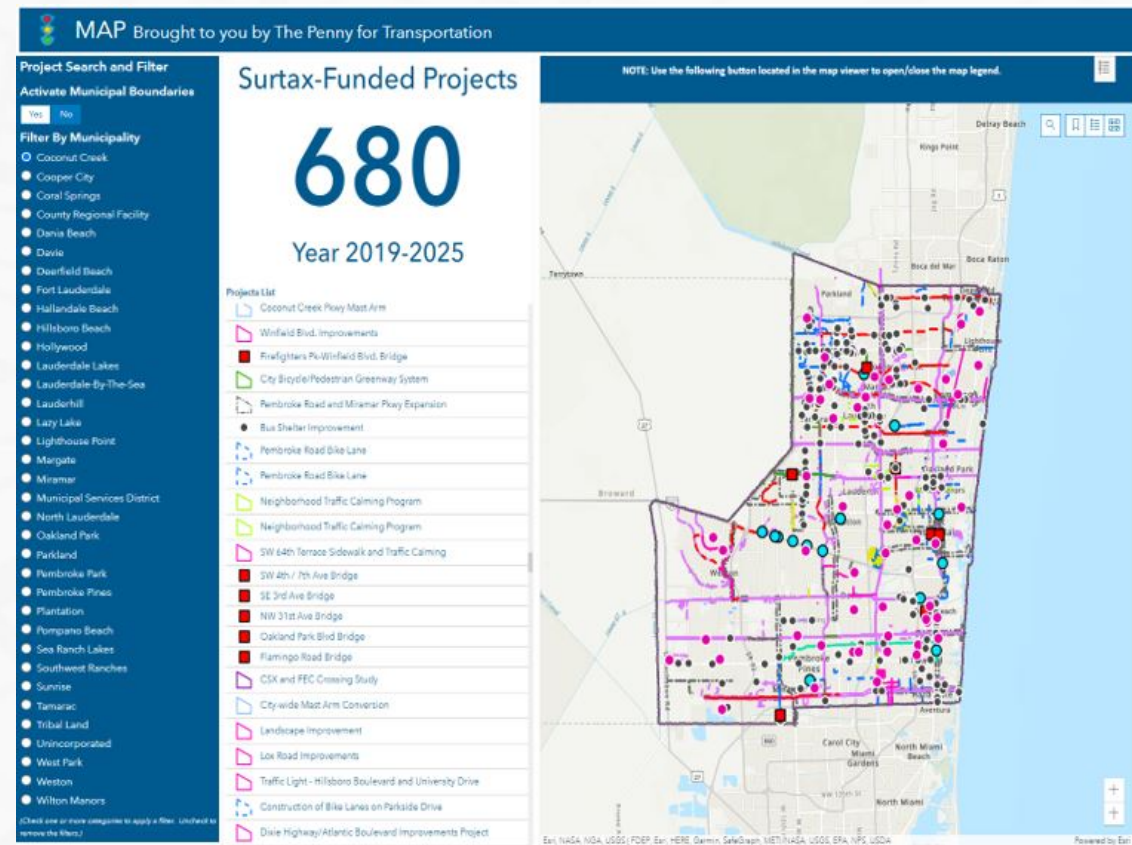
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- **Publishing the Guidebook on MAPBroward.broward.org website week of June 20th for quick reference**

Time for Q&A

- First, we will read through questions that came in through the chat feature during the presentation (if any)
- Then, we will unmute participants to take additional questions; please raise your “virtual hand” to indicate you would like to speak
- Please keep yourself muted unless speaking
- In the event we are unable to answer a question, it will be provided to staff who can; you will receive a response in writing later
- This entire Workshop is being recorded and will be available on our website in a few business days

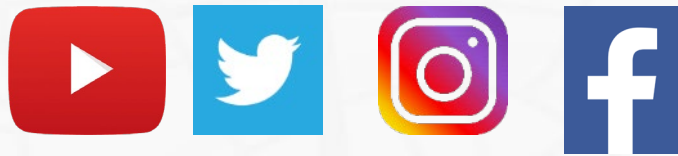
Thank you for your time

- Without your insights and input on the Guidebook and surtax grant processes, we cannot build a collaborative, effective experience
- The Mobility Advancement Program is an opportunity to create lasting change and transform mobility in this community
- Please remember to connect with us on social media (next slide)
- And use the Public Project Dashboard on the MAP Broward website or using the QRC
- We'd love to hear from you! Let us know ways we can make the Dashboard more functional or user-friendly



Connect with Us

- Follow @MAPBroward



Contact Nichole Kalil (nkalil@broward.org) to subscribe to our newsletter, or receive program/project-related notifications, as well as information about MAP Broward events! MAPBROWARD.BROWARD.ORG

For technical assistance with surtax project branding or marketing, feel free to call (954) 357.9505

Please encourage your Marketing Professionals to attend the Municipal Marketing Special Event June 17th, 2021
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