

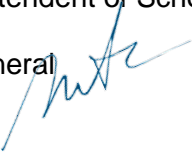


Mary T. Cagle
Office of the Inspector General
for Miami-Dade County Public Schools



19 West Flagler Street ♦ Suite 220 ♦ Miami, FL 33130 ♦ Phone: (305) 375-1946 ♦ Fax: (305) 579-2593

TO: Alberto M. Carvalho, Superintendent of Schools

FROM: Mary T. Cagle, Inspector General 

DATE: March 4, 2015

SUBJECT: **Receipt of M-DCPS' Status Report and Closeout of the OIG's Final Report of Investigation Re: *On-going Misclassification by M-DCPS of EPIC Construction's Licensure Status for Contractor Prequalification and Contract Award Eligibility*, Re: SB1314-1001**

The Office of the Inspector General (OIG) is in receipt of several correspondences from Miami-Dade County Public Schools in response to our suggested recommendation made pursuant to the final report of the above-captioned subject. In that final report, dated October 10, 2014, the OIG recommended:

That the OEO and Facilities each implement a checklist that would provide an audit trail demonstrating that certain checks were performed and that no exceptions were noted. For example, the form would list the types of verifications conducted by staff and would require the staff member to affirmatively acknowledge the results of that check. Such a form would identify by name the staff member conducting the review, and the form should require supervisory sign-off. One checklist should be developed for the prequalification and prequalification renewal process. A separate checklist should be developed for reviewing bids. This completed form should accompany the recommendation to award the contract.

The Office of the Superintendent has provided the OIG with four (4) separate checklists. Three will be utilized by the Office of Economic Opportunity: one each for new applicants, renewals and increasing single bid limits. (Attachment 1) The fourth will be utilized by the Office of School Facilities as part of its contract review and award process (Attachment 2)

The OIG has reviewed the checklists provided. We find that they comport with our recommendation and should provide additional accountability to both the contractor prequalification process and the contract award process. We appreciate your office's timely submissions, and no further responses are required. Accordingly, the OIG considers this matter closed.

Attachments

- c: Hon. Chairwoman Perla Tabares Hantman and Members
Miami-Dade County School Board
Mr. Jose L. Dotres, Chief of Staff, Office of the Superintendent
Mr. Jose F. Montes de Oca, Chief Auditor, Office of Management and Compliance Audits
Mr. Walter J. Harvey, School Board Attorney
Mr. Jaime G. Torrens, Chief Facilities Officer, Office of School Facilities
Mr. Brian Williams, Economic Development Officer, Office of Economic Opportunity

MEMORANDUM

December 16, 2014

TO: Ms. Mary Cagle
Miami-Dade County Office of the Inspector General

FROM: Brian A. Williams, Economic Development Officer
Miami-Dade County Public Schools



SUBJECT: FOLLOW-UP TO SUGGESTED RECOMMENDATIONS

As a follow-up to your formal report dated October 10, 2014, Miami-Dade County Public Schools (M-DCPS) has affirmatively responded to your recommendations. M-DCPS has created new checklists for the Contractor Prequalification process. (See attachments) The three checklists are relevant to the specific type of contractor prequalification process including new applicant, renewal applicant, and increase to single bid limit. Each checklist provides guidelines for staff review and approval along with approval by a supervisor. The Board Attorney's office also will review lien and litigation information involving the district and report this to M-DCPS staff. Specifically, the Board Attorney's office will review the School Board Attorney's Office internal files to check for any pending and/or current litigation against the applicants. Moving forward, these checklists will be standard operating procedure in the contractor prequalification department.

If you should require any additional information, please feel free to contact Mr. Brian A. Williams, Economic Development Officer, M-DCPS Office of Economic Opportunity at 305-995-1307.

BAW:ta

Attachments – Contractor Prequalification Applications (New, Renewal, and Increase)

cc: Mr. Walter Harvey
Mr. Jose Montes de Oca
Mr. Jose Dotres
Mr. Jim Torrens

NEW

CONTRACTOR PREQUALIFICATION APPLICATION CHECKLIST

Type Request: **NEW** Date: _____ (date application was received)

Company: _____

Contact: _____ Email: _____

License Type: _____ Phone: _____

President: _____

ITEM	REQUIRED DOCUMENTS	ACCEPTED	NEED
A	Statement of Contractor's Qualification Certification Application		
B	Signed Notarized Affidavit: <input type="radio"/> Completed <input type="radio"/> Notarized <input type="radio"/> Corporate Seal		
PLEASE NOTE THAT SREF REQUIRES PROOF OF WRITTEN BONDING CAPACITY OR AUDITED NOTARIZED FINANCIAL STATEMENT/BALANCE SHEET			
C	Signed Notarized Surety Letter of Intent OR Item "D" (NOT BOTH)		
C.1	Signed Notarized Power of Attorney for Item "C"; (AM BEST=yes or no)		
D	Audited Notarized Financial: Income P & L Statement/Balance. (12 MONTHS)		
E	Current Contractor's License (MYFLA=yes or no)		
F	Current Local Business Tax Receipt: (formerly Occupational License)		
G	Current Insurance: <input type="radio"/> General <input type="radio"/> Auto <input type="radio"/> Workers Compensation or Exemption Certificate		
H	Disclosure of Litigation: <input type="radio"/> Yes <input type="radio"/> No-Provide Letter Pending Litigation: <input type="radio"/> Yes		
I	Corporate Certificate: SUNBIZ : <input type="radio"/> Yes <input type="radio"/> No		
J	Bylaws <input type="radio"/> Yes <input type="radio"/> No; Articles of Incorporation <input type="radio"/> Yes <input type="radio"/> No (include names of principals, history of the company to include state and dates of incorporation) Waived by Board Attorney: <input type="radio"/> Yes <input type="radio"/> No		
K	Resumes:		
L	Projects must include the following: 5 yrs. <input type="radio"/> ; Dates <input type="radio"/> ; Clients <input type="radio"/> ; Dollar Value <input type="radio"/> ; Scope <input type="radio"/>		
M	Joint Venture <input type="radio"/> Yes		

Current Bond Limits:	Single: \$ _____ Aggregate: \$ _____
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Neither the District, OEO nor any of its employees, makes any warranty, expressed or implied, or assumes any legal liability for the accuracy, completeness, or usefulness of this checklist or the process utilized to complete the checklist.

Staff Approval: _____ Print Name: _____

Supervisor Approval: _____ Print Name: _____

BOARD ATTORNEY REVIEW PROCESS:

Dated Submitted to Legal _____

ITEM	REQUIRED DOCUMENTS	APPROVED
B	Affidavit	
G	Insurance	
H	Lien/Litigation	
I	Corporate Certificate (Sunbiz)	
J	Bylaws Article of Incorporation	
M	Joint Venture	

NOTES:

School Board Attorney

Date: _____

Print Name: _____

CPRC REVIEW PROCESS:

DATE of CPRC	SUMMARY	VOTE
		Yay
		Nay

RENEWAL

CONTRACTOR PREQUALIFICATION APPLICATION CHECKLIST

Type Request: **RENEWAL** Date: _____ (date application was received)

Company: _____

Contact: _____ Email: _____

License Type: _____ Phone: _____

President: _____

ITEM	REQUIRED DOCUMENTS	ACCEPTED	NEED
A	Statement of Contractor's Qualification Renewal Application		
B	Signed Notarized Affidavit: <input type="radio"/> Completed <input type="radio"/> Notarized <input type="radio"/> Corporate Seal		
PLEASE NOTE THAT SREF REQUIRES PROOF OF WRITTEN BONDING CAPACITY OR AUDITED NOTARIZED FINANCIAL STATEMENT/BALANCE SHEET			
C	Signed Notarized Surety Letter of Intent OR Item "D" (NOT BOTH)		
C.1	Signed Notarized Power of Attorney for Item "C"; (AM BEST=yes or no)		
D	Audited Notarized Financial: Income P & L Statement/Balance. (12 MONTHS)		
E	Current Contractor's License (MYFLA=yes or no)		
F	Current Local Business Tax Receipt: (formerly Occupational License)		
G	Current Insurance: <input type="radio"/> General <input type="radio"/> Auto <input type="radio"/> Workers Compensation or Exemption Certificate		
H	Disclosure of Litigation: <input type="radio"/> Yes <input type="radio"/> No-Provide Letter Pending Litigation: <input type="radio"/> Yes		
I	Corporate Certificate: SUNBIZ : <input type="radio"/> Yes <input type="radio"/> No		
J	Bylaws <input type="radio"/> Yes Articles of Incorporation <input type="radio"/> Yes (include names of principals, history of the company to include state and dates of incorporation)		
K	Joint Venture <input type="radio"/> Yes		

Certificate Expiration Date:	_____
Current Bond Limits:	Single: \$ _____ Aggregate: \$ _____
Current Bid Limits:	Single: \$ _____ Aggregate: \$ _____
Requested Increase	<input type="radio"/> YES <input type="radio"/> NO

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Staff Approval: _____ Print Name: _____

Supervisor Approval: _____ Print Name: _____

BOARD ATTORNEY REVIEW PROCESS:

Dated Submitted to Legal _____

ITEM	REQUIRED DOCUMENTS	APPROVED
B	Affidavit	
G	Insurance	
H	Lien/Litigation	
I	Corporate Certificate (Sunbiz)	
J	Bylaws Article of Incorporation	
K	Joint Venture	

NOTES:

School Board Attorney

Date: _____

Print Name: _____

CPRC REVIEW PROCESS:

DATE of CPRC	SUMMARY	VOTE
		Yay
		Nay

INCREASE

CONTRACTOR PREQUALIFICATION APPLICATION CHECKLIST

Type Request: **INCREASE** Date: _____ (date application was received)

Company: _____

Contact: _____ Email: _____

License Type: _____ Phone: _____

President: _____

ITEM	REQUIRED DOCUMENTS	ACCEPTED	NEED
A	Letter requesting increase on Company Letterhead		
B	Signed Notarized Affidavit: <input type="checkbox"/> Completed <input type="checkbox"/> Notarized <input type="checkbox"/> Corporate Seal		
PLEASE NOTE THAT SREF REQUIRES PROOF OF WRITTEN BONDING CAPACITY OR AUDITED NOTARIZED FINANCIAL STATEMENT/BALANCE SHEET			
C	Signed Notarized Surety Letter of Intent OR Item "D" (NOT BOTH)		
C.1	Signed Notarized Power of Attorney for Item "C"; (AM BEST-yes or no)		
D	Audited Notarized Financial: Income P & L Statement/Balance. (12 MONTHS)		
F	Projects must include the following: 5 yrs. <input type="checkbox"/> ; Dates <input type="checkbox"/> ; Clients <input type="checkbox"/> ; Dollar Value <input type="checkbox"/> ; Scope <input type="checkbox"/>		

Certificate Expiration Date:	
Current Bond Limits:	Single: \$ _____ Aggregate: \$ _____

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Staff Approval: _____ Print Name: _____

Supervisor Approval: _____ Print Name: _____

School Board Attorney

Date: _____

Print Name: _____

CPRC REVIEW PROCESS:

DATE of CPRC	SUMMARY	VOTE
		Yay
		Nay



OFFICE OF SCHOOL FACILITIES CONTRACT REVIEW INVITATION TO BID (ITB) SOLICITATIONS

Date: _____ Requestor: Construction Maintenance Other _____

Contractor Name: _____

Bid/Project Number	Project/Facility Name	Description

Construction Budget	Base Bid Amount	Additive (Deductive) Alternates	Accepted	Revised Contract Total
\$ _____	\$ _____	1. \$ _____ 2. \$ _____ 3. \$ _____	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	\$ _____

Bid Opening Date: _____

Due Diligence:

- M-DCPS Prequalification Certificate
- Florida Division of Corporations (required with bid package)
- Applicable Professional Licenses as it relates to the Solicitation (Solicitation attached), check Florida Department of Business and Professional Regulation (DBPR)

Administrative Approvals:

Executive Director, Capital Budgets and Contract Management: Isora Castro Approval Granted: <input type="checkbox"/> Yes <input type="checkbox"/> No	Signature & Date:	Comments:
Legal: Name: _____ Approval Granted: <input type="checkbox"/> Yes <input type="checkbox"/> No	Signature & Date:	Comments:
Economic Development Officer: Brian A. Williams, Esq. Approval Granted: <input type="checkbox"/> Yes <input type="checkbox"/> No	Signature & Date:	Comments:
Administrative Director, Construction Management (for Construction bids): Raul Perez Approval Granted: <input type="checkbox"/> Yes <input type="checkbox"/> No	Signature & Date:	Comments:
Assistant Superintendent, Facilities Operations – Maintenance (for Maintenance bids): Carl Nicoleau Approval Granted: <input type="checkbox"/> Yes <input type="checkbox"/> No	Signature & Date:	Comments:
Risk Management Officer or Designee: Name: _____ Approval Granted: <input type="checkbox"/> Yes <input type="checkbox"/> No	Signature & Date:	Comments:
Chief Facilities Officer or Designee: Jaime G. Torrens Approval Granted: <input type="checkbox"/> Yes <input type="checkbox"/> No	Signature & Date:	Comments: