

**REQUEST FOR PROPOSALS**

**CONSULTING SERVICES TO ASSESS MIAMI-DADE COUNTY PUBLIC SCHOOLS  
FACILITIES CONSTRUCTION DEPARTMENT**

**THE SCHOOL BOARD OF MIAMI-DADE COUNTY, FLORIDA**

**PROPOSAL RETURN DATE**

**May 22, 2003**

**RFP: #153-CC10**

THE SCHOOL BOARD OF MIAMI-DADE COUNTY, FLORIDA  
BUREAU OF PROCUREMENT AND MATERIALS MANAGEMENT  
1450 N.E. 2ND AVENUE, MIAMI, FLORIDA 33132

REQUEST FOR PROPOSALS #153-CC10

CONSULTING SERVICES TO ASSESS MIAMI-DADE COUNTY PUBLIC SCHOOLS  
FACILITIES CONSTRUCTION DEPARTMENT

Sealed proposals will be accepted in the Bureau of Procurement and Materials Management, at the above location, until 2:00 P.M. on May 22, 2003 and may not be withdrawn for ninety (90) days from that date.

ANTI-COLLUSION STATEMENT

THE UNDERSIGNED PROPOSER HAS NOT DIVULGED TO, DISCUSSED, OR COMPARED HIS PROPOSAL WITH OTHER PROPOSERS AND HAS NOT COLLUDED WITH ANY OTHER PROPOSER OR PARTIES TO THE PROPOSAL WHATSOEVER.

PROPOSER ACKNOWLEDGES THAT ALL INFORMATION CONTAINED HEREIN IS PART OF THE PUBLIC DOMAIN AS DEFINED BY THE STATE OF FLORIDA SUNSHINE LAW.

CERTIFICATION AND IDENTIFICATION FOR CONTRACTORS SUBMITTING PROPOSALS.

I certify that this proposal is made without prior understanding, agreement or connection with any corporation, firm or person submitting a proposal for the same service, and is in all respects fair and without collusion or fraud. I agree to abide by all conditions of these proposal specifications and I certify that I am authorized to sign this proposal.

(Please Type or Print Below)

LEGAL NAME OF AGENCY OR  
CONTRACTOR SUBMITTING PROPOSAL : \_\_\_\_\_

MAILING ADDRESS : \_\_\_\_\_

CITY STATE, ZIP CODE : \_\_\_\_\_

TELEPHONE NUMBER : \_\_\_\_\_

BY: SIGNATURE : \_\_\_\_\_

BY: TYPED : \_\_\_\_\_

TITLE : \_\_\_\_\_

## INSTRUCTIONS TO AGENCY/CONTRACTOR SUBMITTING PROPOSAL

### I. PREPARING OF PROPOSALS

- A. THE PROPOSAL IS TO BE SUBMITTED, using 8-1/2" x 11" paper.
- B. IDENTIFICATION. Failure to indicate the contractor's EXACT legal name and an unsigned proposal may be considered non-responsive.

### II. SUBMITTING OF PROPOSALS

- A. Number of Proposal:

A total (12) of the Proposal must be submitted as follows:

- \* The original proposal in a sealed envelope or box marked "Original".
- \*\* (11) copies of the proposal in a separate sealed envelope or box marked "Copies".

The proposal number, proposal title and opening date must be clearly marked on all envelopes and boxes.

- B. Place, Date and Hour. Proposals shall be submitted to The School Board of Miami-Dade County, Florida, Bureau of Procurement and Materials Management, Room 352, 1450 N.E. 2nd Avenue, Miami, Florida, not later than 2:00 P.M., May 22, 2003.

### III. CHANGE OR WITHDRAWAL OF PROPOSAL

- A. PRIOR TO PROPOSAL OPENING. Should the agency or individual contractor withdraw its proposal they shall do so in writing. This communication is to be received by the Associate Superintendent, Bureau of Procurement and Materials Management, 1450 N.E. 2nd Avenue, prior to May 22, 2003. The agency or individual contractor's name and the proposal number should appear on the envelope.
- B. AFTER PROPOSAL OPENING. After May 22, 2003, proposals may not be changed; and they may not be withdrawn for ninety (90) days from that date.

#### IV. PROTEST OF SPECIFICATIONS

Any notice of protest of the specifications contained in a request for proposal shall be filed in writing with the Associate Superintendent, Bureau of Procurement and Materials Management no later than 48 hours prior to the date and hour specified in page i for receipt of proposals. Failure to file a timely notice of protest shall constitute a waiver of proceedings.

#### V. AWARDS

**RESERVATION FOR REJECTION OR AWARD.** The Board reserves the right to waive irregularities or technicalities, reject any or all proposals and to request re-bids.

**AWARD RECOMMENDATION.** Proposer information phone lines have been established in Procurement Management. Proposers may call 995-1375 each Friday to be advised of the recommended proposers and the time it is contemplated that the recommendation will be made. This information will be provided by school system staff as available. In no case will information as to a recommended proposer be available later than the Friday preceding the week when the award is scheduled to be made by the School Board or the Superintendent.

Proposers may file letters of protest no later than 48 hours prior to the Board Meeting for which the award is scheduled to be made. These letters of protest will be reviewed by Staff. Staff will offer the protesting proposer the opportunity for a meeting to discuss the protest. If the proposer is not satisfied with the response to the protest, he/she may request to address the School Board. Alternatively, proposers may invoke the provisions of §120.569, Fla. Stat. Petitions for hearings on protests pursuant to §120.569, Fla. Stat., must be filed in accordance with School Board Rule 6Gx13-8C-1.064. Protests filed later than the date specified herein are deemed waived. This provision supersedes and governs over any conflicting provision in this document.

#### VI. DEFAULT

In the event of default, which may include, but is not limited to non-performance and/or poor performance, the awardee shall lose eligibility to transact new business with the Board for a period of 14 months from date of termination of award by the Board. Proposers that are determined ineligible may request a hearing pursuant to §120.569, Fla. Stat., and School Board Rule 6Gx13-8C-1.064.

## VII. PUBLIC ENTITY CRIMES

**Section 287.133(2)(a) Florida Statute.** A person or affiliate who has been placed on the convicted vendor list following a conviction for a public entity crime may not submit a bid on a contract to provide any goods or services to a public entity, may not submit a bid on a contract with a public entity for the construction or repair of a public building or public work, may not submit bids on leases of real property to a public subcontractor, or consultant under a contract with any public entity, and may not transact business with any public entity in excess of the threshold amount provided in Section 287.017, for CATEGORY TWO for a period of 36 months from the date of being placed on the convicted vendor list.

## VIII. COMPLIANCE WITH FEDERAL REGULATIONS

All contracts involving Federal funds will contain certain provisions required by applicable sections of Title 34, Section 80.36(l) and Section 85.510 Code of Federal Regulations and are included by reference herein. The vendor certifies by signing the proposal that the vendor and its principals are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in Federally funded transactions and may, in certain instances, be required to provide a separate written certification to this effect.

During the term of any contract with the Board, in the event of debarment, suspension, proposed debarment, declared ineligible or voluntarily excluded from participation in Federally funded transactions, the vendor shall immediately notify the Associate Superintendent, Bureau of Procurement and Materials Management, in writing.

Vendors will also be required to provide access to records, which are directly pertinent to the contract and retain all required records for three years after the grantee (The Board) or sub-grantee makes final payment.

For all contracts involving Federal funds, in excess of \$10,000, The Board reserves the right to terminate the contract for cause as well as for convenience by issuing a certified notice to the vendor.

**REQUEST FOR PROPOSALS NO. 153-CC10**

**CONSULTING SERVICES TO ASSESS MIAMI-DADE COUNTY PUBLIC SCHOOLS  
FACILITIES CONSTRUCTION DEPARTMENT**

**THE SCHOOL BOARD OF MIAMI-DADE COUNTY, FLORIDA**

**I. NAME AND ADDRESS OF REQUESTOR**

The School Board of Miami-Dade County, Florida  
Office of the Superintendent of Schools  
1450 N.E. 2<sup>nd</sup> Avenue, Suite 912  
Miami, Florida 33132

**II. PURPOSE OF REQUEST FOR PROPOSALS**

The purpose of the Request For Proposals (RFP) is to obtain consulting services from a private-sector construction firm, consulting firm, or individual with a positive track record and experience in facilities construction services for educational institutions, including public school districts, universities or community colleges. The selected firm or individual will review and assess M-DCPS Facilities Construction Department, specifically as to processes, personnel functions, personnel alignment and work flow and make recommendations for changes and improvements to the Superintendent of Schools.

**III. INSTRUCTIONS FOR SUBMISSION OF PROPOSALS**

Twelve copies of the proposal, one of which must be an original, must be received by 2:00 p.m. (Eastern Standard Time), May 22, 2003, at:

The School Board of Miami-Dade County, Florida  
Bid Clerk, Procurement Management  
1450 N.E. 2<sup>nd</sup> Avenue, Room 352  
Miami, Florida 33132

The responsibility for submitting this proposal to the District on or before the stated time and date will be solely and strictly the responsibility of the Proposer. The District will in no way be responsible for delays caused by the United States mail or any other delivery service or caused by any occurrence. The proposal must be signed by an officer of the firm legally authorized to conduct business in its name. The proposal shall be submitted in a sealed envelope or box, marked, "PROPOSAL FOR CONSULTING SERVICES TO ASSESS MIAMI-DADE COUNTY PUBLIC SCHOOLS FACILITIES CONSTRUCTION DEPARTMENT".

It is anticipated that a proposal may be presented to The School Board of Miami-Dade County, Florida for award on or about June 18, 2003. If accepted, notification to the successful Proposer will be on or after June 18, 2003.

#### **IV. GENERAL INFORMATION ABOUT THE FACILITIES CONSTRUCTION DEPARTMENT**

The School District of Miami-Dade County, Florida, is the fourth largest school system in the nation. The District has approximately 337 schools (this includes alternative schools, exceptional student education centers and outreach programs); 353,512 students (this number is from the October 2002 survey week of students in attendance used for funding purposes by the State); nearly 50,000 full and part-time employees; and a \$4.1 billion budget. The student population is economically, racially, ethnically, and linguistically diverse, with the largest ethnic group being Hispanic students.

The Facilities Construction Department is charged primarily with constructing and renovating educational facilities in accordance with the 5-year work plan approved by The School Board of Miami-Dade County, Florida. Employees of the Facilities Construction department are represented by the Public Employees Relations Commission (PERC) recognized labor organizations: the American Federation of State, County and Municipal Employees (AFSCME), Dade County School Maintenance Employee Committee (DCSMEC), and the Dade County School Administrators Association (DCSAA), and the United Teachers of Dade (UTD).

The Office of Program Policy Analysis and Governmental Accountability (OPPAGA) and the State of Florida Auditor General's Office, reported that Facilities Construction functions and activities need improvements in a number of areas, ranging from staffing to timelines and quality of the work product. In addition, the Land Acquisition and Facilities Construction Oversight Advisory Board has identified a number of issues and perceived deficiencies in the area of construction. The District needs to review process flows as well as staffing levels and personnel alignment.

As supplements to this Request For Proposals the following documents will be provided to further illustrate the needs of the Department and improvement measures begun by District management.

- OPPAGA Best Financial Management Practices Review, Section 10 – Facilities (Attachment A)
- Baldrige/Sterling Improvement Model and Sterling Navigator (Attachment B)
- Current organizational charts of the Facilities Construction Department (Attachment C)
- Findings by State of Florida Auditor General's Office (Attachment D)
- Issues relating to Facilities Construction, as identified by the Advisory Board (Attachment E)

## **V. TECHNICAL REQUIREMENTS**

The Superintendent intends to engage the selected construction firm, consulting firm or individual to review and assess all areas of the Facilities Construction Program, to identify deficiencies, and to develop improvements to work/process flows, personnel staffing levels and alignment, in an effort to increase the efficiency, effectiveness, timelines and quality of the program.

In performing these services, the selected firm or individual, shall adhere strictly to policies and procedures established through School Board Rules, and work closely with the Interim Assistant Superintendent for Facilities Operations, Maintenance and Planning and the Superintendent of Schools, in reviewing and assessing the Facilities Construction Program, and in developing options and recommendations.

The Proposers should be experienced professional firms that can produce improvements in the facilities construction department. The successful Proposer must be on the cutting edge of educational facilities construction techniques and management and have knowledge or management experience with large public education facilities construction programs.

The successful Proposer will be expected to attend relevant staff meetings, submit weekly status reports to the Interim Assistant Superintendent and Superintendent, regarding findings and recommendations, and submit a final report with detailed recommendations including justification analysis with cost estimates of any options identified.

The Board shall provide the successful proposer with access to all pertinent documents and records as requested. Staff will be available, at the discretion of the Superintendent, to clarify questioned information and to coordinate any necessary interaction.

## **VI. REQUIRED INFORMATION TO BE SUBMITTED BY THE PROPOSER**

- A. The proposer's team shall include, at a minimum, a former or current public school superintendent, senior level executive, or head of a facilities construction program, having direct involvement in facilities construction services for educational institutions, including public school districts, universities or community colleges. Supportive documentation shall be submitted with the proposal.
- B. The Proposer shall submit a list of the most recent/relevant comparable contracts (facilities construction consulting services provided to educational institutions including public school districts, universities or community colleges) it has been awarded within the last five years. The information should include:
  - Names and address of institutions for which work was performed.
  - Date contract was awarded.
  - Length of time for which services were rendered to each institution.
  - Scope of services.
  - References with names, address, and telephone numbers of the individuals from the agencies for which the work was performed.

- C. The Proposer shall submit a comprehensive plan for achieving the desired goals including:
- A specific plan of action that identifies the specific steps and timelines for conducting the assessment as described herein, and developing options and recommendations for improvement.
  - A total not to exceed cost of services as described above and herein, with additional per diem cost for any additional work requested by the department (initial-two-month term).
- D. The Proposer shall include a list of any cost savings experienced by clients, as a result of services provided by its company.
- E. The proposal should include relevant experience with performance standards to comply with recommendations presented by OPPAGA and Baldrige/Sterling Improvement Model, as they relate the educational facilities construction programs.
- F. The Proposer must have experience in dealing effectively with organized labor and should provide a list, including contact person and information, of the labor organizations it has dealt with in the past.
- G. The Proposer shall submit the names, addresses, telephone numbers, qualifications, and resumes of the executive team, including their experience in public education facilities programs, who will be assigned to this engagement.
- H. The Proposer shall submit the name, address, telephone number, qualifications, and resume of the person who will serve as the principal consultant responsible for the timely performance of all services and to whom all communications will be directed. The principal consultant must be available throughout the term of the engagement and shall not be replaced, without prior written consent of the Board.
- I. The Proposer should be able to demonstrate that it has the necessary financial resources to devote to the project. Evidence of this must be indicated by capitalization of the Proposer's firm, the history of the firm, the corporate structure, and the number of years the Proposer has been in business. The Proposer must submit a current financial statement.
- J. Proposer should provide any supplemental information, which the Proposer feels, will be valuable to the School Board in evaluating the qualifications of the firm and individual personnel to provide the services described herein.

## **VII. COST OF SERVICES**

Proposal must include an itemization of charges for professional services to be performed as outlined in Section VI, paragraph B. A total not to exceed cost must be included in the proposal for the initial two-month contract period.

## **VIII. TERMS OF CONTRACT**

The successful Proposer shall have 60 days from the date of award to prepare and complete a written assessment of the Facilities Construction Program, unless otherwise authorized by the Superintendent or his designee. The successful Proposer shall provide weekly written reports of findings and assessments. The Board shall have the right to cancel the agreement for unacceptable performance at any given time, giving the other party thirty (30) days prior written notice.

## **IX. EVALUATION OF PROPOSALS**

Proposals will be evaluated by a committee to ascertain which proposal best meets the needs of the School District. Evaluation considerations will include, but not be limited to, the following:

- A. Responsiveness of the proposal, clearly stating an understanding of the work to be performed.
- B. Qualifications of the proposer or proposer's team and documented comparable experience and expertise in the area of educational facilities construction, with an emphasis on current resources, such as a former or current public school superintendent, senior level executive or head of a facilities construction program, having direct involvement in facilities construction services for educational institutions including public school districts, universities or community colleges.
- C. Cost may not be the dominant factor, but will have some significance. It will be a particularly important factor when all other evaluation criteria are relatively equal.
- D. Competence, including technical education and training of management team to assigned this engagement and availability of adequate personnel.
- E. The financial strength of the proposer's firm.
- F. The proposer's past record of professional accomplishments, including the number of projects of this nature completed satisfactorily. Please indicate the name of the institution, the year the contract was awarded and whether or not proposer is still with the organization.

The school district reserves the right to reject any and all proposals submitted. When the final selection is made, a professional services agreement acceptable to the attorney for the Board will be entered into with the successful Proposer. No debriefing or discussion will be held with unsuccessful Proposers. The information contained in this proposal is supplied as an aid to the Proposer in determining whether it will be able to supply the services that may be required by the District. Proposers responding to this Request For Proposals may be required to make a brief oral presentation to the selection committee where they shall have an opportunity to explain their written proposal. Any firm not present for the oral interview session, if held, will be automatically disqualified. The School Board will approve the final selection by acting upon the Superintendent's recommendation.

The selection committee will consist of the following members:

- School Board Member appointed by the Chair of the School Board
- Private industry executive appointed by the Superintendent who will serve as Chair of the Selection Committee.
- The Executive Assistant to the Superintendent, Strategic Initiatives.
- The Chief Financial Officer
- The Chief Personnel Officer
- Representative from the Office of Business Operations.
- Representative from the School Board Attorney's Office (non-voting).
- Representative, Division of Business Development and Assistance
- Representative from Procurement Management (non-voting).

If due to illness or other unforeseen circumstances, any member of the selection committee is unable to participate, the Superintendent of Schools shall appoint a replacement. If a replacement is needed, all efforts will be made to assure that ethnic and gender representation is maintained.

## **X. AFFIRMATIVE ACTION REQUIREMENT AND M/WBE PARTICIPATION**

### **A. Equal Employment Opportunity**

It is the policy of the School Board that no person will be denied access, employment training, or promotion on the basis of gender, race, color, religion, ethnic, or national origin, political beliefs, marital status, age, sexual orientation, social and family background, linguistic preference, or disability, and that merit principles will be followed.

Each Proposer is requested to indicate its equal employment policy and provide a detailed breakdown by ethnicity, gender, and occupational categories of its work force. (Attachment F)

**B. Minority/Woman Business Enterprise (M/WBE) Participation**

The School Board of Miami-Dade County, Florida, has an active Minority/Woman Business Program to affirmatively increase the level of Minority/Women Business Enterprise participation to the maximum percentage of total annual expenditures. In order to achieve its assistance levels, the Board provides the maximum opportunity for Minority/Woman Business Enterprise participation.

In keeping with this policy, each Proposer will be required to state its Minority/Woman Business Enterprise utilization. If a minority firm, which is Woman-owned and operated, or African-American owned and operated is utilized in conjunction with the scope of work, the Proposer is to indicate the scope of the minority firm's work, experience in this type of required service, and experience of staff who will participate.

All Minority/Woman firms must be certified by the Division of Business Development and Assistance prior to contract award. (Attachment G).

- B. A quarterly report documenting efforts undertaken by the Proposer to maintain the stipulated M/WBE participation will be required. The report shall include the names of firms, contact persons and expenditures paid to date. The report shall be submitted to the Director, Division of Business Development & Assistance, 1450 NE 2<sup>nd</sup> Avenue, Room 456, Miami, Florida 33132.

**XI. INDEMNIFICATION**

The successful Proposer shall agree to the following language:

The Proposer shall hold harmless, indemnify and defend the indemnities (As hereinafter defined) against any claim, action, loss, damage, injury, liability, but not by way of limitation, attorney's fees and court costs arising out of bodily injury to persons including death, or damage to tangible property arising out of or incidental to the performance of this Contract (including goods and services provided thereto) by or on behalf of the proposer, excluding only the sole negligence or culpability of the indemnitee. The following shall be deemed to be indemnities: The School Board of Miami-Dade County, Florida and its members, officers and employees.

**XII. INSURANCE REQUIREMENTS**

At the time an award is made, the successful Proposer shall be responsible for providing the School Board certificates of insurance which indicate that insurance coverage has been obtained which meets the requirements outlined below:

- A. Public Liability (Commercial General) insurance on a comprehensive basis in an amount not less than \$300,000 combined single limit per occurrence for bodily injury and property damage liability. The School Board of Miami-Dade County, Florida, its employees and agents must be listed as an additional named insured on the policy.

- B. Proof of Professional Liability (i.e. Medical Malpractice, etc.) insurance in the name of the Proposer, with limits of liability not less than \$1,000,000 per wrongful act. All certificates of insurance submitted must be issued by companies authorized to conduct business under the laws of the State of Florida, with an A.M. Best rating (most currently published), must be no less than a B+ as to management, and no less than Class V as to financial strength. Certificates shall indicate no modifications in insurance shall be made with thirty (30) days advanced written notice to the additional named insured or certificate holder.

### **XIII. IMPLEMENTATION SCHEDULE**

The planned schedule for implementation of proposals is as follows:

Procurement Contract Review Committee	April 17, 2003
Mailing and Advertising of RFP	April 23, 2003
Opening of Proposals	May 22, 2003
Evaluation Completed by Screening Committee	May 29, 2003
Oral Presentations (if required)	June 5-6, 2003
Recommendation to the School Board for Approval	June 18, 2003

### **XIV. ADDITIONAL INFORMATION**

Requests for additional information should be in writing and addressed to the following individual, no later than May 6, 2003:

Mr. Merrett R. Stierheim, Superintendent of Schools  
Miami-Dade County Public Schools  
1450 N.E. Second Avenue, Suite 912  
Miami, Florida 33132  
305-995-1430

Any additional information regarding proposal procedures may be obtained from:

Ms. Barbara D. Jones, Director  
Procurement Management  
Miami-Dade County Public Schools  
1450 N.E. Second Avenue, Suite 356  
Miami, Florida 33132  
305-995-2348

## 10

## Facilities Construction

*The Miami-Dade County Public School District manages an ambitious school construction program. By improving information management, creating a planning department and improving support for project management, the already sound performance of school construction activities will be enhanced.*

## Conclusion

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Since the beginning of the 1988 bond program, the Miami-Dade County Public School District has developed substantial internal capacity to manage school design and construction projects. In addition, the District has established high standards for educational specifications, kept their design criteria and master specifications up-to-date, established effective procedures for project management and has instituted checks and balances to protect the District from waste, fraud, or abuse. To its credit, the District has also exhibited a willingness to explore new and different approaches to project delivery. The project delivery approaches the District has explored range from a problematic experiment to assign a capital program manager responsibility for managing the entire bond program<sup>1</sup> (at the beginning of the 1988 bond program) to current efforts to hold contractors "at risk" for project overruns and to engage a single firm to both design and construct projects (i.e., "design build"). While not all of these project delivery approaches have been successful, the District should be commended both for experimenting with new and different approaches to managing construction projects and for discontinuing project management practices that have proven unsuccessful. The Facilities Planning and Construction Division has also established a constructive working relationship with the Board of Education. Division staff keep Board members informed about construction progress and help to support their construction related decision-making.

There are six major elements to a well-managed capital program: good information systems; comprehensive planning; a clear decision-making process that involves the public; expert project management; stable and sufficient funding; and regular monitoring and oversight. The Miami-Dade County Public Schools has many of these elements in place. Where they do not, for example in the area of long range District-wide planning and information management, they are aware of their shortcomings and are working to eliminate them.

The size of the workforce dedicated to the management, operation and oversight of the capital program has grown steadily since the start of the 1988 school construction program. There is a need to realign and train staff to support shortcomings in information management, District-wide planning and project management. There needs to be a phased in, planned reduction in the size of staff dedicated to the capital program and some reorganization of the management of the capital program to increase the effectiveness and efficiency of capital planning, project management, and quality control. In addition, the District needs to implement some year round multi-track schooling and double sessions so it can reduce the intensive overcrowding in classrooms.

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<sup>1</sup> This experiment was unsuccessful primarily because of a complete lack of control on the program manager and an undeveloped capacity, particularly on the part of small, local minority contractors—architects, engineers and buildings— to handle the level of work suddenly available. .

***Exhibit 10-1***

**The District Has Had a Number of Notable Accomplishments in Facilities Construction in the Last Five Years**

- Designed and built 57 new facilities and 104 major additions (and in so doing added 41,642 new student stations and 5.4 million square feet of permanent building space).
- Received \$39.5 million in federal Qualified Zone Academy Bonds (QZAB) monies for facility improvements and professional development.
- Purchased 64 new sites for schools.
- Reformed policies and procedures for land acquisition such that the Land Acquisition and Facilities Oversight Board recommended to the legislature that they certify that the District has implemented nearly every change recommended in last year's state review of its land-buying procedures.
- Expanded construction management capabilities by introducing construction management at risk and design build to the repertoire of construction management approaches used by the District.
- Improved electric service in schools so that more than 10,000 computers could be added to more than 2,000 classrooms and, in so doing, facilitated efforts to integrate instruction with technology.

Source: Miami-Dade County Public Schools, 1996-2001 Major Accomplishments, February 13, 2001; Miami Herald, January 16, 2002 Dade Schools Closer to Funds.

***Overview of Chapter Findings***

Berkshire Advisors reviewed the District's school construction program using the Best Financial Management Practices adopted by the Commissioner of Education and associated indicators. The consulting team employed several methodologies to develop chapter conclusions and action plans. For example, the consultants conducted on-site interviews with District level managers and reviewed information on staffing, Board policies, design standards, project management and procurement procedures, and capital program budget and funding guidelines. The consultants spoke with members of the Land Acquisition and Facilities Advisory Board that was created in 2001 with members appointed by the Governor and the Legislature. The consultants also analyzed electronic data from Florida Inventory of School Houses (FISH) supplied by the District. In addition, the consultants visited six recently completed school construction or renovation/addition projects to see the results of the capital planning and management processes. Moreover, four community forums were held at locations throughout the District where community members could "drop in" to provide input on the District. Likewise, an e-mail address and 800 number were established so District stakeholders could provide input to the study process. Follow up interviews were done with individuals who contacted the study team via email. A survey was also administered to a representative sample of employees from throughout the District. (Approximately 13,000 surveys were sent to employees, of which 3,919 were returned.) The consultants also interviewed and surveyed facility managers from other Florida School Districts to compare staffing levels in their school construction divisions with staffing levels in the Miami-Dade County Public Schools.

An overview of chapter findings is presented below.

**Facilities Assessment and Planning**

1. The community-based facilities planning committee mandated in School Board policy has been inactive. (Page 10-8)
2. No single entity is currently responsible for District wide capital planning. (Page 10-10)
3. The five-year work plan is aligned to a responsible budget plan, but there is no master plan that sets construction priorities consistent with the District's long-term needs. (Page 10-12)
4. Although the District considers enrollment and factors that affect enrollment in developing its five-year facilities work plan, current needs are so compelling that they dominate the planning process. (Page 10-16)

5. While the five-year work plan focuses on critical needs, efforts to improve the planning process (and to track capital budget expenditures more effectively) are frustrated by the lack of needed information systems. (Page 10-17)
6. The District's need for additional space to meet its educational mission is compelling; yet it does not consider a broad range of approaches to meet those needs. (Page 10-19)
7. The District has not established a systematic process for setting work plan priorities. (Page 10-20)
8. The District complies with all state reporting requirements and with the current Laws of Florida. (Page 10-21)
9. The District is prepared to comply with new Florida Building Code when it comes into effect. (Page 10-22)
10. Information on the construction program and the five-year facilities work plan is not readily available to the public. (Page 10-22)

### **Educationally Appropriate Facility Design Standards**

11. Prototypical Educational Specifications are aligned with educational needs. (Page 10-23)
12. Educational specifications for new construction, remodeling, and renovations include a description of activity areas. (Page 10-25)
13. Design follows District specifications, but in some cases these specifications may not reflect a practical assessment of how facilities will actually be used. (Page 10-26)
14. While safety features are incorporated into design documents, greater attention needs to be devoted to ensuring that the safety features and equipment reflected in these designs are actually in place and operational in schools. (Page 10-29)

### **Timely and Economical Site Selection**

15. The site selection process has slowed down school construction and contributed to overcrowding and loss of confidence in the District, but the District has developed new policies and procedures for site selection and acquisition. (Page 10-31)
16. The School Board considers the most economical and practical locations for future schools. (10-32)

### **Construction Cost Controls**

17. The District has established and implemented accountability mechanisms, however, they have not prevented high staffing levels and do not always translate into better construction. (Page 10-32)
18. The District has incorporated cost saving measures in its design criteria and master specifications. (Page 10-35)
19. The District minimizes construction costs through the use of prototype school designs and frugal construction practices. (Page 10-37)
20. The District employs effective practices in securing appropriate professional services to assist in facility planning, design, and construction. (Page 10-37)
21. Funds collected for school projects are raised appropriately. (Page 10-39)

### **Construction Projects on Time and Within Budget**

22. District planning provides realistic time frames for implementation that are coordinated with the opening of schools. (Page 10-40)
23. For each project or group of projects, the architect and District facilities planner develop a conceptual site plan and building specifications. (Page 10-41)
24. The District follows generally accepted and legal contracting practices to control costs. (Page 10-42)
25. The District has assigned one person with the authority and responsibility to keep facilities construction projects within budget and on schedule. (Page 10-44)
26. Changes to facilities plans after final working drawings are completed are minimized in an effort to control project costs. (Page 10-45)

## *Facilities Construction*

27. District architects recommend payments for construction projects based on the percentage of work completed and a percentage of the contract is withheld pending completion of the project. (Page 10-47)
28. The District requires the appropriate inspection of all school construction projects. (Page 10-48)

## **Evaluation of New Construction and Training for New Users**

29. The extent to which the District conducts a comprehensive orientation to new facilities prior to their use is inconsistent. (Page 10-48)
30. A formal post occupancy review process has not been designed to provide feedback on projects under review. (Page 10-49)
31. No reliable feedback loop on post occupancy evaluations has been established. (Page 10-50)
32. The District collects but does not analyze or forward maintenance cost data to staff responsible for developing facility plans and standards. (Page 10-50)

## ***Fiscal Impact of Recommendations***

The fiscal impact of the recommendations in this report will result from 1) identifying new revenue for school construction—by leasing schools during non-school hours and revising procedures for enrollment projects of the state; 2) reducing the cost of capital management by downsizing central office staff and increasing information management technologies; 3) reducing the special design and construction requirements and amenities in secondary schools to reduce cost; and 4) increasing the utilization of existing schools through double sessions and year round schools to reduce over-crowding and demand for new construction.

The total potential impact of these recommendations is large. However, the total value of the savings is urgently needed for new construction and renovations beyond what can be alleviated with alternative scheduling.

Ultimately, implementation of the recommendations in this report should help the District increase the confidence of the public in its effectiveness and efficiency, clarify the urgency for a new building initiative, and provide the District with a strategic educational facilities master plan to set the goals, objectives and budget for this undertaking.

### ***Exhibit 10-2***

## **Facility Construction Action Plan Recommendations That Have Fiscal Impacts**

Recommendation	Fiscal Impact
<ul style="list-style-type: none"><li>Action Plan 10-7: Improve information management.</li></ul>	<ul style="list-style-type: none"><li>Requires an initial investment of \$1.5 million but should enable the District to reduce staffing over time.</li></ul>
<ul style="list-style-type: none"><li>Action Plan 10-17: Review the organization and staffing of capital program.</li></ul>	<ul style="list-style-type: none"><li>Based on an estimated 20% staff reduction phased in over three years with average salary and benefits of \$50,000 and a \$100,000 study to review the capital program organizational structure, the District will save \$7.8 million.</li></ul>
<ul style="list-style-type: none"><li>Action Plan 10-18: Develop asset management function in Government Affairs and Land Use Policy and Acquisition unit.</li></ul>	<ul style="list-style-type: none"><li>Can generate \$3 million by phasing in leasing and use policies; will change if District increases double sessions and initiates year-round schooling.</li></ul>

## Background

The background information on facilities construction activities in the Miami-Dade County Public Schools presented in this section is divided into four subsections. The first subsection presents general information on the scope of the District's facilities construction activities. The second subsection presents the mission and goals of Facilities Planning and Construction (the unit responsible for coordinating facility construction activities for the District). The third subsection provides an overview of how Facilities Planning and Construction is organized and the final subsection presents information on how the unit is staffed.

### Scope of Operations

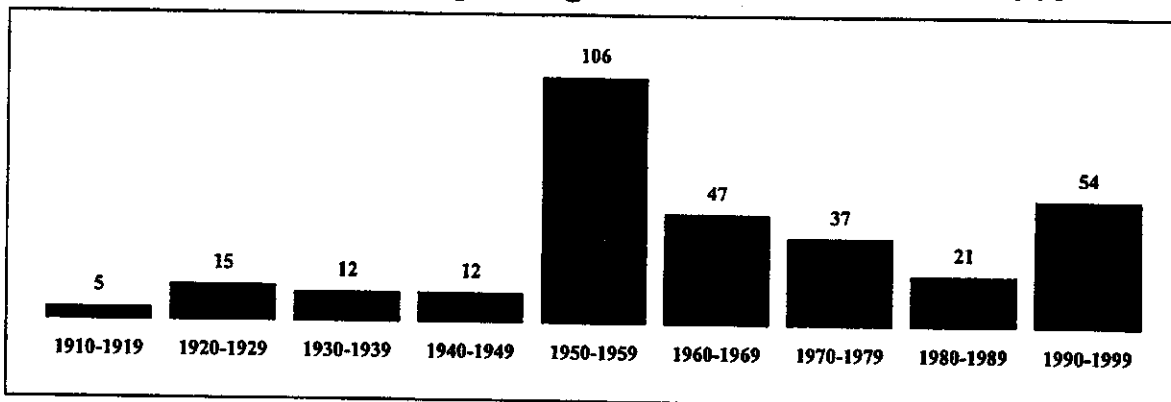
The Miami-Dade County Public Schools is the fourth largest school system in the nation. Only New York City, Los Angeles, and Chicago have more students and more buildings than MDCPS.

There are 309 elementary, middle, senior high, and combined schools in the District. These schools encompass 32.4 million square feet of covered space. In addition there are nearly 100 other specialized facilities for adults, adjudicated youth, and administration. The school facilities are located on approximately 4,074 acres of land.<sup>2</sup>

The average age of the operating school buildings is 36 years. The oldest school was built in 1911 and new schools were added to the inventory at an average rate of about 7 schools per year between 1994 and 1998.

#### Exhibit 10-3

### Over Half of the Currently Operating Schools Were Built Before 1970



Source: Electronic file from Director of Facilities and Inventory M-DCPS.

M-DCPS facilities are overcrowded. They average only 92 square feet per student and range from a low of 43 actual square feet per student (Leisure City and Palm Springs elementary schools) to a high of nearly 200 square feet per student (Moton and Olinda elementary schools). By comparison, the Duval County Public Schools average 124 square feet per student and the Hillsborough County Public Schools average 122 square feet per student.

<sup>2</sup> Florida Department of Education Office of Educational Facilities, School Land Inventory in Agency/Facility/Parcel Sequence. May 25, 2001.

## *Facilities Construction*

### **Mission and Goals**

To meet the demands of an increasing student population, an aging building inventory, and demands from the educational program for technology, smaller class size, special subjects and appropriate teaching and learning environments for Exceptional Student Education students, MDCPS has undertaken an aggressive school construction program. The overall mission of this Capital Improvement Construction Programs is:

*To develop and implement innovative and financially sound design, construction and maintenance solutions in order to create and maintain the best educational facilities possible for the students of Miami-Dade County Public Schools.*<sup>3</sup>

Facilities Planning and Construction is the unit that is charged with overseeing and managing the Capital Improvement Construction Program. This unit, which is responsible for site acquisition, planning, design, new construction and major building improvements, has four goals that guide its approach to the design and construction of facilities:

- Timeliness
- Cost-effectiveness
- Safety
- Quality.

### **Organization**

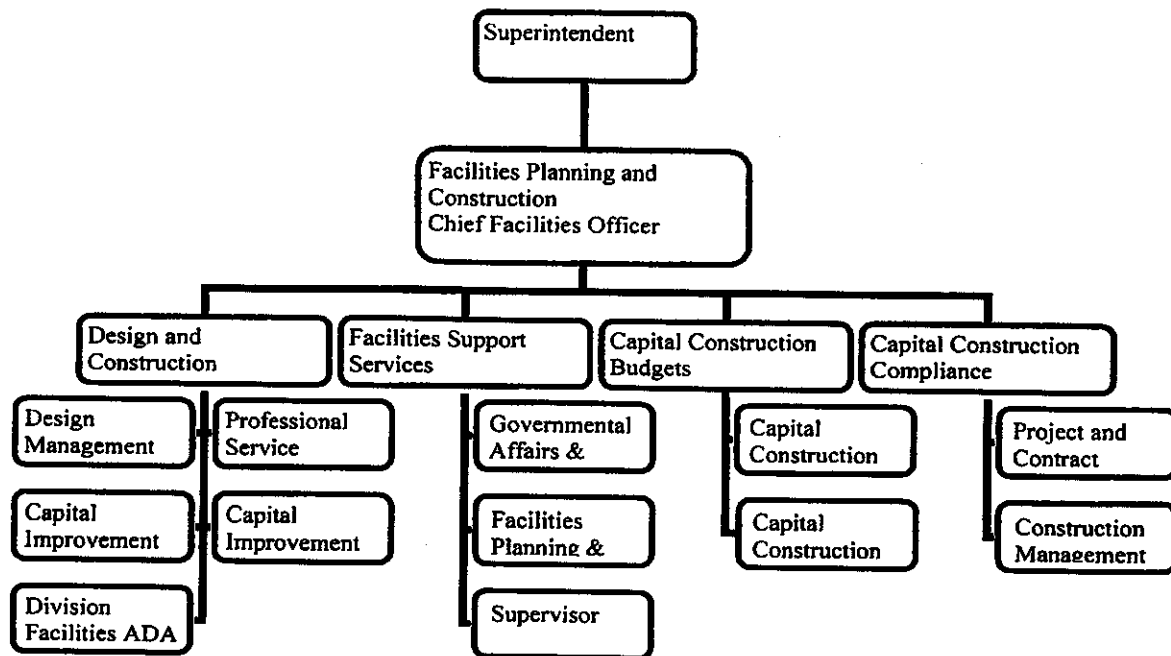
The management of facilities construction is centralized, even though much of the management of school operations is done through the 6 regions. As Exhibit 10-4 shows, the Chief Facilities Officer, who oversees Facilities Planning and Construction, has four units directly reporting to her – Design and Construction, Facilities Support Services, Capital Construction Budgets, and Capital Construction Compliance. The Design and Construction unit, which is led by an Assistant Chief, is responsible for the selection and negotiation of professional services contracts, plan reviews, facility design and quality control and for the management of all construction projects. Facilities Support Services, which is also overseen by an Assistant Chief, is responsible for government affairs and land use and acquisition, and site-specific facilities planning and design and construction standards. The Capital Construction Budgets unit is responsible for identifying the funding for all capital construction projects in the 5-Year Capital Improvements Plan and tracking construction expenditures through to closeout. An Executive Director leads this unit. The Capital Construction Compliance unit, which is led by an Administrative Director, oversees offsite utilities planning and development, supports and maintains information systems and database programs for school facilities, manages and operates procurement functions, and provides legal support on contracts, litigation, and claims support.

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<sup>3</sup> M-DCPS Facility Planning, Design & Construction Procedures Manual; Final Draft November 7, 2000.

**Exhibit 10-4**

**Facilities Planning and Construction Is Organized Into Four Key Units**



Source: Miami-Dade County Public Schools.

The District has acknowledged some inefficiencies and missing elements in their organizational structure. Modifications to the organization are being explored.

**Staffing**

To manage the site acquisition, planning, design and construction, of school facilities, Miami-Dade County Public Schools maintains considerable in house capabilities. As Exhibit 10-5 shows, there are approximately 265 employees working to manage the capital budget and to oversee capital projects to improve existing facilities or construct new facilities. As a result of a hiring freeze, an estimated 10% of these positions are not filled. In addition, some positions are not directly related to construction management and could be reclassified to other departments.

**Exhibit 10-5**

**265 Employees Work To Manage The Capital Budget And To Oversee Capital Projects**

Position	Positions
Capital Construction Compliance	11
Capital Improvement Projects	86
Facilities Support Services	7

## *Facilities Construction*

Function Code	Positions
Construction Support Services	16
Plan Review	6
A/E Selection Negotiations & Design Management	8
Project and Contract Management	37
Job Order Contracts	11
Facilities Planning and Construction	3
Facilities Planning and Standards	17
Government Affairs and Land Use	16
Facilities ADA Compliance	2
Facilities Design and Quality Control	45
<b>Total</b>	<b>265</b>

Source: Personnel report for function code 7400 and program code 9900's, 8/18/01.

## *Facilities Planning and Assessment*

- 1 The community-based facilities planning committee mandated in School Board policy has been inactive.**

### **The District's Capital Improvement Committee is not only inactive but also lacks adequate citizen involvement**

Although School Board policy requires a broad based planning committee consisting of both in-house and outside members, the District currently uses only in-house facilities personnel for capital planning. The District's Board policy specifies a Capital Improvement Committee that includes citizens and other stakeholders. This committee meets most of the expectations of the best practices. However, the committee met in 1997 and then again in July 12, 2001 and, as of early November 2001, had not met again.<sup>4</sup> Moreover, it should be noted that even if the Capital Improvement Committee was active its community representation is limited to a representative of the Family and Community Involvement Advisory Committee and a representative of the Executive Board of Dade County Council PTA/PTSA.

### **Public participation is critical to sustaining public support for a capital program**

Engaging the participation of a broad cross-section of the public is essential to obtaining and sustaining taxpayer support for school construction programs. Ensuring the public is aware of and actively involved in school construction programs increases the likelihood that efforts to pass subsequent bond issues will be successful. If the public is not actively involved in the construction program, they are unlikely support increased taxes, even if the District has the capacity to assume more debt. In addition to building support for future bond issues, the participation of the business community and individuals with experience from the private sector in the construction

<sup>4</sup> The School Site Selection Committee is responsible for advising the Superintendent and the School Board on site selection, from both a District and a site-specific perspective.

program can help bring to the table new ideas for alternative ways to address facility issues. Although appointed by the Governor and Legislature, the Land Acquisition and Facilities Advisory Board is one mechanism to help the District receive stakeholder advice.

If given information in a straightforward, clear format citizens can help monitor public decision-making and spending and can facilitate the dissemination of information to a wider public. Furthermore, because in some cases they can speak more frankly than department representatives (who may be inhibited for fear of losing their job) citizens are in an excellent position to bring information on public perceptions and concerns to a sometimes isolated School Board and administration. Citizens can also bring information to decision makers on unique situations in communities that do not show up in Florida Inventory of School Houses (FISH) reports or plant surveys. Likewise, they can help administrators understand the values, priorities and concerns of the public.

## Recommendations

- *We recommend that the School Board activate its School Site Planning and Construction Committee assign it appropriate responsibilities, and staff it appropriately.*
- *We recommend that the School Site Planning and Construction Committee be asked to work with the administration to review and make recommendations on its most effective and appropriate role*

Action Plan 10-1 provides the steps needed to implement these recommendations.

### Action Plan 10-1

Proposed School Site Planning and Construction Committee	
Strategy	The District should activate the new School Site Planning and Construction Committee facility planning committee, assign it appropriate responsibilities and staff it appropriately.
Action Needed	<p>Step 1: Convene School Site Planning and Construction Committee and ask committee members to reformulate the proposed new School Board Rule (October 10, 2001) to reflect the best use for its input and oversight.</p> <p>Step 2: Take revised section on the external educational facilities committee to School Board for approval.</p> <p>Step 3: Based on the recommended scope of the Committee's work, assign sufficient resources to staff the Committee.</p> <p>Step 4: Maintain a regular meeting schedule with timely notice, well-formulated agendas, minutes and specific topics for public input.</p>
Who is Responsible	Chief Facilities Officer
Time Frame	June 2002
Fiscal Impact	None

Source: Berkshire Advisors, Inc.

## **2 No single entity is currently responsible for District wide capital planning.**

### **Although Board rules specify the establishment of a number of construction committees no single committee is currently responsible for District wide capital planning**

The Construction Related School Board Rules, dated 05/04/01, require the establishment of three construction related committees (a Capital Improvement Committee, a Building Committee and a Technical Review Committee) and one School Site Selection Committee. None of the committees is responsible for District wide capital planning. As noted in Section 1, the Capital Improvement Committee (which potentially might be responsible for capital planning) is largely inactive. The other committees are all part of the in-house approval process for design (in the case of the Building Committee), construction and budget (for the Technical Review Committee) and site selection (for the Site Selection Committee). It should be noted that while the Building Committee is involved with planning issues, these planning issues relate primarily to the planning and design for individual projects. For example, the Building Committee (whose members change depending upon the project being planned and designed) is an active participant in the decision to approve new school design. Committee members review and approve concept, schematics, design development documents, and construction documents. They do not address issues relating to District wide planning, however.

### **The current approach to designing new facilities has a number of shortcomings**

In interviews, significant dissatisfaction with the current approach to designing new facilities was voiced. Many interviewees view the process as being both lengthy and inefficient. In addition, the current process is particularly ill suited to the design build project management approach the District is using with increasing frequency. When a design build project management approach is used, design decisions must be made early in the design process because construction may begin on site related work early and design changes may not just affect what is on paper, but may cause construction change orders to be required. However, school staff and representatives of the education unit are not currently involved until late in the design process—at design development, for example. When requests for design changes are made at this stage in the process, a costly redesign must be performed that could have been avoided had school and District level education staff participated in the process from the beginning.

### **The new planning policy that has been adopted by School Board places too much responsibility for overall planning on a volunteer committee**

The school District is aware of these problems with District-wide capital planning and proposed a new Educational Facilities Planning, Site Selection and Construction planning policy to the Board of Education on October 10, 2001 to address these shortcomings. Incorporated in this policy is the recommendation that an external committee of volunteers be established and charged with:

- Providing input, priorities and monitoring for the 5-Year Work Plan
- Providing input and monitoring for the educational plant survey
- Providing input, monitoring and making recommendations on the capital budget
- Providing input, monitoring and making recommendations on site planning, selection, acquisition and alternatives
- Reviewing and transmitting reports to the Board of Education, including providing supporting documentation for Board of Education review and final action

- Reviewing status reports on site selection and acquisition on a quarterly basis
- Evaluating site acquisition activities, facility planning and construction programs and providing the Board of Education with an annual report on them that includes recommendations for improvement
- Reviewing and making recommendations on the award or rejection of construction bids that exceed project budget by 5% or more and by at least \$250,000
- Providing other advice and input as may become necessary.

The proposed policy recommends that this new committee, which would serve in an advisory capacity and report directly to the School Board, be composed of parents, business community representatives, construction and real estate professionals and other community stakeholders. The District Director of Governmental Affairs and Land Use Policy and Acquisition, and the Director of Site Acquisition and Leasing would staff the committee. The School Board Attorney would provide legal support.

While establishing the proposed committee would ensure that capital planning is coordinated by a single entity, establishing a volunteer committee with such broad responsibilities is not practical. As currently envisioned there is not appropriate alignment among the duties of the committee (as described in the proposed new Board rule), the staff that would support this work, the frequency of committee meetings (once a month), and the type of committee members. In short, the responsibilities of this committee appear to be too extensive for a volunteer citizen's committee that meets but once a month. The scope of work described in the proposed Board rule would better be assigned to a planning office within Facilities Planning and Construction that could be supported by a volunteer citizen's committee.

## Recommendations

- *We recommend that the District create a planning office that aligns site, boundary, and capital planning functions and ensures that decision-making about facilities is consistent with educational operations.*

Action Plan 10-2 provides the steps needed to implement this recommendation.

### Action Plan 10-2

Create a planning office that aligns site, boundary, and capital planning functions and ensures that decision-making about facilities is consistent with educational operations.	
Strategy	Create a planning office that aligns site, boundary, and capital planning functions and ensures that decision-making about facilities is consistent with educational operations.
Action Needed	<p>Step 1: Create a planning department that reports to the Chief Facilities Officer for Planning and Construction.</p> <p>Step 2: On an interim basis establish the planning department in the Government Affairs and Land Use Policy and Acquisition Office.</p> <p>Step 3: Prepare description of planning functions.</p> <p>Step 4: Develop job descriptions and job qualifications for planning office staff and determine appropriate pay grades for these staff.</p> <p>Step 5: Post the new positions and encourage existing staff with capital facilities, maintenance, and education experience to apply.</p> <p>Step 6: Interview applicants.</p> <p>Step 7: Identify personnel to be assigned to the planning department.</p> <p>Step 8: Establish a four to six month training program for newly reassigned planning staff.</p>

## Facilities Construction

Who is Responsible	Chief Facilities Officer and Director of Government Affairs
Time Frame	September 2002
Fiscal Impact	Can be implemented using existing resources.

Source: Berkshire Advisors, Inc.

### 3 The five-year work plan is aligned to a responsible budget plan, but there is no master plan that sets construction priorities consistent with the District's long-term needs.

#### Coherent, comprehensive facilities planning saves time and money

Coherent, comprehensive facilities planning is critical because it saves time and money and also because it makes a more equitable allocation of scarce resources possible. Without strong District-wide planning capabilities that involve the community in a transparent planning process, perceptions of favoritism, influence, and the "squeaky wheel getting the grease" are all but unavoidable. In addition, costs increase when insufficient attention is focused on planning. One recent example typifies how ineffective planning can lead to increased costs. Only five years ago an addition was made to Key Biscayne Elementary School. Before the addition was complete, a determination was made to turn the elementary school into a K-8 school. However, because the addition had been designed for an elementary school it did not include the special spaces and amenities required for middle schools. Consequently, soon after the initial project was completed, it was determined that a middle school addition was warranted.<sup>5</sup> With more effective planning, the District could have avoided the added cost of restaging construction, administering two design contracts and two construction contracts and conducting inspections for two projects.

#### In many respects District planning and capital budgeting processes are sound

**Facilities planning.** The District has a well-defined process for facilities planning. As documented in the District's Planning, Design and Construction Procedures Manual the planning process *The Planning process starts with the Board adopted 5-Year Capital Outlay Plan. Projects are generated on an as needed basis.*

*There are three types of planning processes that occur in this stage. The long range planning or Five-Year Work Plan and Budget Process; the advance planning or project specific activities leading to the creation of the scope definition program book; and the physical planning or building and other design components location within the school site.*

**Capital budgeting.** The District's approach to developing capital budgets for its five-year work plan is sound. Estimators work to establish construction cost estimates that will not exceed or underestimate actual bids. These cost estimates include all costs associated with a project including site acquisition, site improvements, furniture and equipment, specialty consultants, and design. In addition, a small contingency allowance is built into the budget to allow for unanticipated costs. While estimated project costs are reasonable, they also reflect a frugal per student station cost.

Capital budgets are also carefully monitored. To this end, the Office of Capital Construction Budgets works with Capital Budget Planning Office to ensure that capital expenditures do not exceed budgeted amounts. When projects are closed out and funds are still available from the closed out project, these funds can be re-programmed to cover costs for projects that may have exceeded their estimated cost and contingency.

<sup>5</sup> This addition was approved and construction will begin the summer of 2002.

In addition, to evaluating the capital budget for individual projects, the District also estimates the cumulative financial impact of current and proposed five-year facilities work plan.

**Despite the many strengths and positive features associated with District planning activities, these efforts are essentially reactive in large part because the District has not established a long-range educational facilities master planning process**

The District has done a good job of organizing to execute projects and prepare the five-year work plan. However, the District lacks a framework to help it prioritize projects and to ensure that the projects that are executed are the most critically needed projects. In addition, at present the District has no way to address long range District-wide planning issues associated with overcrowding and an aging infrastructure. Likewise, links between education needs and facility needs are not articulated and site selection alternatives are not systematically explored. In short, existing facilities planning is primarily reactive and responds to crisis conditions.

Many of these problems stem from the fact that the District has not established a long-range educational facilities master plan. Such a plan describes the educational mission, goals and initiatives, population projections, the community values, aspirations and requirements for school facilities, and then identifies what is required for the school facilities to meet support the programs and population, in terms of space and funding. Such a plan would provide a framework and context for making mid and short term planning decisions that reflect the District's long-term priorities and that are consistent with the District's long-term needs.

**Five-year work plan does not provide for small school construction**

Although there is considerable research indicating that, all else being equal, students have higher rates of graduation, attendance and achieve higher standards in small schools, and the State of Florida has a new law mandating construction of small schools, Miami-Dade County Public Schools do not construct small schools because of the intense overcrowding of the District's schools. The State permits Districts to create schools within schools designs, but in practice, even these require more space, and in such an intensely crowded District this is difficult to find.

## Recommendations

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- *We recommend that the School Board require a long-range educational facilities master plan that is developed with broad community input and that it is updated on a regular basis.*

Action Plan 10-3 provides the steps needed to implement this recommendation.

**Action Plan 10-3**

Long-range educational facilities master planning	
Strategy	Develop a long-range educational plan with broad community input and update it on a regular basis.
Action Needed	<p>Step 1: Assign the responsibility for a public engagement initiative to the head of the recommended planning department.</p> <p>Step 2: Pass a School Board resolution in support of a long-range master planning process engaging the broad public—parents, teachers, school based support staff, community members and the business community.</p> <p>Step 3: Establish a Master Planning Task Force.</p>

## Facilities Construction

Step 4:	Develop a plan framework and schedule for providing information to the public and getting feedback from the public about facility issues, community priorities and values, the educational program and community needs.
Step 5:	Use the Task Force to synthesize the values, concerns and priorities of the community into a long-range plan.
Step 6:	Hold public hearings in each region to receive feedback on a draft long-range educational facilities master plan.
Step 7:	Revise plan based on hearings.
Step 8:	Approve long-range educational facilities master plan.
Who Is Responsible	Chief Facilities Officer, Planning and Construction
Time Frame	May 2003
Fiscal Impact	This can be implemented with existing resources.

Source: Berkshire Advisors, Inc.

- *We recommend that the District explore small site acquisition for construction of small schools and offer design competition for prototype small schools.*

Action Plan 10-4 provides the steps needed to implement this recommendation.

### Action Plan 10-4

Strategy	Determine the potential for relieving overcrowding and the estimated cost per student station through building small schools on small sites.
Action Needed	<p>Step 1: Ask land review task force to prepare cost benefit analysis on the real estate and construction side of buying smaller pieces of land and building small schools.</p> <p>Step 2: Create an education committee to work with the Facilities Planning and Standards unit to develop the educational specifications for a prototype small school from each level.</p> <p>Step 3: Integrate educational specifications and findings and real estate and construction specifications and findings into a report with recommendations to the Superintendent.</p> <p>Step 4: Make a recommendation to school board on potential for construction and utilization of small schools.</p> <p>Step 5: If small schools on small sites appear to hold potential for improving education and reducing overcrowding, organize a design competition for prototype small schools—including adaptive reuse for small schools.</p>
Who Is Responsible	Chief Facilities Officer, Planning and Construction
Time Frame	April 2002-Sept 2003
Fiscal Impact	The analysis could be done with existing staff and pro bono services of task force members. The design competition should be able to be financed with corporate or foundation support.

- *We recommend that the Board of Education establish a school construction and modernization task force to develop proposals for financing the implementation of the long-range facilities master plan.*

Action Plan 10-5 provides the steps needed to implement this recommendation.

**Action Plan 10-5**

<b>Strategy</b>		Establish a school construction and modernization task force to develop financing proposals for implementation of long-range educational facilities master plan.
<b>Action Needed</b>		<p>Step 1: Announce the creation of a construction financing task force.</p> <p>Step 2: Appoint a small, but recognizably influential group of business leaders to serve on the financing task force after soliciting advice from County leaders, business leaders and Board of Education members.</p> <p>Step 3: Charge the task force with finding ways to fund the implementation of the long-range master plan.</p> <p>Step 4: Use the task force to develop recommendations for the superintendent.</p> <p>Step 5: Publicize task force recommendations.</p> <p>Step 6: Hold public hearings on financing recommendations.</p> <p>Step 7: Submit recommendations to the Board of Education for review and action.</p>
<b>Who Is Responsible</b>		Superintendent
<b>Time Frame</b>		June 2003; Task force is put in place near the end of master planning process.
<b>Fiscal Impact</b>		No fiscal impact.

Source: Berkshire Advisors, Inc.

- *We recommend that the Board of Education create a broad based standing committee to develop capital budget priorities based on the recommendations in the master plan and to advise the District on site selection.*

Action Plan 10-6 provides the steps needed to implement this recommendation.

**Action Plan 10-6**

<b>Strategy</b>		Create a public committee to provide input on setting priorities for the capital plan and advising the District on site selection.
<b>Action Needed</b>		<p>Step 1: Revise the responsibilities of the proposed standing committee to reflect a more realistic and manageable role.</p> <p>Step 2: Establish a public school site planning and construction committee to focus attention on these important responsibilities.</p> <p>Step 3: Appoint members representing parents, business community, construction and real estate professionals (without conflict of interests) and other community stakeholders. (These appointments should be made by the School Board.)</p> <p>Step 4: Charge committee with reviewing the recommended planning department's five-year Work Plan recommendations to ensure their consistency with the long-range master plan.</p> <p>Step 5: Hold public hearings on capital project priorities and proposed site purchases.</p>
<b>Who Is Responsible</b>		Chief Facilities Officer of Planning and Construction
<b>Time Frame</b>		Establish in time to advise school District on long-range master planning.
<b>Fiscal Impact</b>		No fiscal impact.

Source: Berkshire Advisors, Inc.,

## **4 Although the District considers enrollment and factors that affect enrollment in developing its five-year facilities work plan, current needs are so compelling that they dominate the planning process.**

### **Although the District does not develop its own enrollment projection, it does consider enrollment and factors that affect enrollment in developing its five-year facilities work plan**

The Miami-Dade County Public Schools Office of Evaluation and Research contracts with the Research Division of the Metro-Dade County Planning Department to provide the enrollment projections it uses to support the development of its five-year facilities work plan.<sup>6</sup> Using the County Planning Department for enrollment projections is wise because doing so gives the school District a complete picture of factors likely to impact student enrollment. The County has access to migration flows, birth and death rates by geographical locations, and census tract data that would not be as easily available to the District if it were to develop its own enrollment projections.

### **Current needs, rather than future enrollment, tend to dominate the District's facility planning efforts**

While it would be ideal for the District to use enrollment projections to drive its facility planning efforts, the Miami-Dade County Public Schools does not have this luxury. Current needs are so compelling that they tend to dominate planning efforts. The District uses FISH reports to identify schools with the highest level of utilization.<sup>7</sup> Given the demand for school space created by this overcrowding, District planning is more aligned with addressing needs where crowding and population growth is already the highest rather than focusing on future needs. Enrollment projections are used to identify areas where enrollment may be falling, however, to ensure that problems relating to overcrowding are not addressed in areas where overcrowding will be alleviated in the near future by demographic changes.

### **The District is concerned with the enrollment projection methodology the State uses to establish student funding allocations**

A major concern for the District is that there appears to be an undercount of students by the University of Florida's Population Program, Bureau of Economic and Business Research that provides enrollment projections to the Florida Department of Education. The potential existence of an undercount is extremely important to the District because the University of Florida's projections provide the basis for the District's reimbursement for capital expenditures by the State.

The primary difference in the District's enrollment projections (provided by Metro Dade County) and the State's stems from how they treat 1990 census data. Both the District and the State start with the 1990 Census as a base. The State takes this baseline data and makes a downward adjustment to reflect a reduction in District population after Hurricane Andrew. The District, on the other hand, contends that the 1990 Census started with a 7% undercount (and therefore makes an adjustment to reflect this fact) and uses a different methodology from the State for making adjustments for Hurricane Andrew and other factors.

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<sup>6</sup> The District currently lacks the data, software and expertise needed to adequately analyze County growth patterns.

<sup>7</sup> 99 schools were operating in 2000-2001 at over 125 % of FISH capacity.

Differences between the District's enrollment projections and the State's are not inconsequential. The Metro-Dade planning department estimated the potential differences in enrollment projections from 2000 through 2015. As Exhibit 10-6 shows, the estimated difference between the University of Florida's MEDIUM level total population estimates and the District's total population estimates range from 57,702 persons in 2000 to 175,161 persons in 2015. Estimating the state's share of capital funding at \$280 per student. This could amounts to a loss of state funding of \$2.58 million in 2000 and up to \$7.84 million in 2015.

#### **Exhibit 10-6**

#### **State And District Enrollment Projections Are Significantly Different**

<b>SOURCE: 10-10-00 Enrollment Projections</b>	<b>2000</b>	<b>2005</b>	<b>2010</b>	<b>2015</b>
Metro-Dade County Planning Department	2,209,402	2,361,995	2,517,256	2,677,561
Bureau of Economic and Business Research LOW	2,088,100	2,074,800	2,044,400	2,000,600
Bureau of Economic and Business Research MEDIUM	2,151,700	2,270,800	2,384,800	2,502,400
Bureau of Economic and Business Research HIGH	2,217,200	2,485,200	2,765,900	3,064,300
Difference between Metro-Dade Planning Department and MEDIUM level projections	-57,702	-91,195	-132,456	-175,161
Potential MDCPS students unfunded by FDOE <sup>1</sup>	9,232	14,591	21,192	28,026
Estimate of FDOE under funding capital @\$280 per student	\$2,584,960	\$4,085,480	\$5,933,760	\$7,847,200

<sup>1</sup> Assumes 16% of total population is enrolled in M-DCPS.

Source: Miami-Dade County Public Schools, Report Summary on Student Enrollment Projections by the Metro-Dade Planning Department, Office of Evaluation and Research.

An external interview with demographers who have successfully projected student population growth for the New York City Public Schools over the last ten years, and who are currently reviewing enrollment projections for another Florida County, revealed that they also were concerned with the State's current methodology. They also noted, however, that in the past they had no such reason for concern.

**5** While the five-year work plan focuses on critical needs, efforts to improve the planning process (and to track capital budget expenditures more effectively) are frustrated by the lack of needed information systems.

#### **The development of the five-year work plan suffers from the lack of ready access to a relational database that includes the needed information**

The District's Technical Review Committee is an in-house committee that is composed of the Deputy Superintendent for Management and Accountability, Chief Financial Officer, Deputy Superintendent for Education, Deputy Superintendent for School Operations, Chief Facilities Officer, Assistant Superintendent for Facilities Operations and two staff members appointed by the Superintendent as voting members. It is currently responsible for the selection of projects incorporated into the five-year work plan, establishing the priority for these projects, and for integrating standards and scope for capital improvements and new schools with the District's educational needs.

At present, data and information on facilities inventory, building condition, student enrollments, capital projects, capital budgets and capital expenditures are not integrated or readily accessible in a relational database to members

## Facilities Construction

of the Technical Review Committee, or to other decision-makers. This limits their ability to align capital planning decisions with greatest need, rather than with most demanding regional superintendent or community members.

At present, there is no efficient way to track project expenditures against the approved budget. The amounts approved for each project are maintained in an excel spreadsheet in the Office of Capital Construction Budgets while checks for approved contractor requisitions are written in the Office of Accounting Controller. Payments made to contractors, consultants and suppliers, are not posted against the approved budgeted amount. Members of the Land Acquisition and Facilities Advisory Board have recommended that the District implement a job cost accounting process (see also Chapter 9, section 1). This would allow the District to allocate overhead to each job and to link capital project accounting, project budgets, and expenditures. In addition, the reporting and monitoring capabilities of facility managers over the capital budget would be strengthened so that decision-makers would have a current and easily accessible window into the financial status of capital projects.

Another example of the need for comprehensive relational database for school facilities is the plant survey required by the State. The survey, as it currently stands, will be done using a paper format. Consequently, the updated data on the condition of existing facilities that will result from the survey will be difficult to analyze and evaluate (unless a tremendous amount of hand data entry is done to tabulate the results).

It should be noted that the District is aware of these information system needs and the Chief of Facilities, Planning and Construction requested that the Office of Information Technology review the existing Project Management Information Systems (PMIS). A consultant indicated that PMIS could become a viable application, but that a significant commitment of resources would be needed to undertake a formal design process, document the application, and implement the programming changes. Additionally training for users and resources for entering and updating information on the system would be required.

## Recommendations

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- *We recommend that District conduct an internal information management needs assessment and use the results of this assessment to develop an integrated facilities information system in the new planning department.*<sup>8</sup>

Action Plan 10-7 provides the steps needed to implement these recommendations.

### Action Plan 10-7

Improve Information Management	
Strategy	Conduct an information management needs assessment and based on this develop an integrated facilities information system in the new planning department.

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<sup>8</sup> In implementing this recommendation the District should take care to avoid systems that are unnecessarily complex and that do not build on the "organic" system for managing information and data that has evolved in the District over time.

Action Needed	Step 1:	Evaluate information, reporting, access and security needs of Capital Budget Planning, Chief Facilities Officer, Facilities Planning and Construction and Assistant Chief of Design and Construction, Office of Capital Construction Budgets, Capital Construction Compliance, and Facilities Support Services.
	Step 2:	Create a template for who needs what information and who generates it.
	Step 3:	Issue an RFP for help in either modifying current accounting, PMIS systems or other software in use to meet information management needs or issue an RFP for developing a new system.
	Step 4:	Select vendor or consultant.
Who is Responsible	Office of Information Technology and Chief Facilities Officer	
Time Frame	September 2003	
Fiscal Impact	Initial investment of funds \$1.5 million, with ongoing costs a function of the particular information technology solution.	

Source: Berkshire Advisors, Inc.

- *We recommend that the District obtain a project cost accounting system that is integrated into the District's general ledger to ensure that all construction project cost are properly accounted for.*

Action Plan 9-4 provides the steps needed to implement this recommendation.

## 6 The District's need for additional space to meet its educational mission is compelling; yet it does not consider a broad range of approaches to meet those needs.

### The District faces a significant need for additional space

Findings that suggest the District needs significant additional space are compelling. Indeed, the survey of the District employees who use existing facilities indicates significant dissatisfaction. More than three out of six survey respondents (60.4%) "disagree" or "strongly disagree" with the statement, "Existing facilities adequately meet the District's educational needs." Moreover, only 6.5% of the survey respondents "strongly agree" with this statement.

Part of the reason dissatisfaction is so high is that District schools are intensely overcrowded. Data from a 2000-2001 FISH report indicates that few District schools offer students and teachers the learning or teaching environments reflected in the District's prototypical educational specifications. Current District standards for prototypical elementary, middle and secondary schools require 100 square feet per student, 110 square feet per student, and 113 square feet per student. As Exhibit 10-7 shows, however, the region with the most average square feet per school per student (Region 5) falls short of an average square feet per school per student of 100 square feet. In addition, as Exhibit 10-7 shows, the percentage of students currently housed in relocatables – which ranges from 9% of students in Region 4 to 15% of students in Regions 1 and 2 – is high.

Exhibit 10-7

**District Schools Are Severely Overcrowded And 9-15% Of Students Are Housed In Relocatables**

	Average Gross Square Feet/Student	Total Square Feet In Relocatables	Percentage of Students In Relocatables	Range of Gross Square Feet Per Student
Region 1	84	293,435	15%	43-126
Region 2	80	230,196	15%	50-158
Region 3	96	233,337	12%	50-197
Region 4	89	165,634	9%	50-188
Region 5	97	212,337	10%	59-195
Region 6	90	261,507	12%	43-143
District	89.5	396,446	12%	43-197

Source: FISH report.

If the District were to meet the standards it has adopted, it would need approximately 32,000 new student stations just to meet today's enrollment. Using an average of \$15,000 per student station, the District would need \$480 million just to provide these stations. If relocatables were to be eliminated another 37,000 students would need to be housed in permanent space at an estimated cost of \$555 million.

**The District does not systematically consider alternatives to new construction in developing strategies for meeting these significant facility needs**

Dissatisfaction with existing facilities, the serious level of overcrowding that currently exists, and continued population growth for the foreseeable future that will put continued pressure on facility needs demand that the District develop real proposals beyond new construction to address the substandard teaching and learning conditions in intensely overcrowded schools. To date, however, there does not seem to have been an organized effort to explore alternatives to new construction. To its credit, the District has made some tentative steps to consider alternatives. For example, an overcrowding task force has been established.<sup>9</sup> Likewise, the Office of Government Affairs and Land Policy, under its new director is beginning to investigate possibilities for adaptive reuse of buildings and shared use. These efforts, while laudable, by no means represent the collective concerted focus on minimizing the need for new construction that is required given the District's imposing facility needs.

## Recommendations

- *We recommend that the newly formulated Office of Planning undertake a comprehensive assessment of the pros and cons of alternatives to new construction and develop a plan to implement recommendations*

Action Plan 9-2 provides the steps needed to implement this recommendation.

<sup>9</sup> This task force had met two to three times as of early November 2001.

## **7 The District has not established a systematic process for setting work-plan priorities.**

### **The current approach to setting priorities tends to be reactive**

It is unclear what criteria the District currently uses to set priority needs. While regions provide input for development of the five-year work plan, and the results of the 1998 plant survey are used to establish the condition of facilities, how this information is used to set priorities is not well defined. Moreover, as noted previously, the Capital Improvement Committee (CIC), which could serve as a vehicle for receiving citizen input into the priority setting process, has not been functioning. The only factors that clearly set priorities are emergency items that the District is forced to address. For example, fire and life safety is a prominent part of work plan because of a grand jury finding that there were excessive fire code violations in the schools.

In addition, there is at least a perception that political influences play an undue role in setting facility priorities. While political factors should be considered when making capital construction decisions, the influence of politics on the decision making process should be limited by good data and information so that politics does not trump intense need. It should be noted that many respondents to the employee survey express strong reservations about the equity of the priority setting process. Slightly less than half of the survey respondents (46.9%) "disagree" or "strongly disagree" that "there is equitable treatment in setting construction and renovation priorities within the District." Moreover, only slightly more than one out of twenty survey respondents (6.7%) "strongly agree" with this statement.

## **Recommendations**

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- *We recommend that the School Board create a broad based standing committee to develop capital budget priorities based on the recommendations in the master plan and to advise the District on site selection.*

Action Plan 10-6 provides the steps needed to implement this recommendation.

## **8 The District complies with all state reporting requirements and with the current Laws of Florida.**

### **The District complies with all relevant laws of the State of Florida**

The District is compliant with state reporting requirements. Required forms and documents that are prepared by the District include:

- Survey for Validation (s. 235.15, F.S.) [by Dept. of Document Control, Bureau of Facilities Planning and Construction]
- 1998 Educational Plant Surveys

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- Project implementation Information for projects over \$200,000 (SREF 4.1 (97))[by Department of Document Control, Bureau of Facilities Planning and Construction]<sup>10</sup>
- Certificate of Occupancy (s. 235.26(c), F.S.) [by Dept. of Document Control, Bureau of Facilities Planning and Construction]<sup>11</sup>
- Certificate of Final Inspection for projects over \$200,000 (s. 235.26(c), F.S.) [by Dept. of Document Control, Bureau of Facilities Planning and Construction]<sup>12</sup>
- Project Priority List for use of CO&DS bond funds (section 9(d), Article XII, state constitution) [by Dept. of Document Control, Bureau of Facilities Planning and Construction]<sup>13</sup>
- Twelve-month PECO Capital Outlay Projection and Request for Project Encumbrance Authorization (s. 235.14, F.S.) [by Dept. of Capital Budget Planning, Bureau of Financial Affairs]<sup>14</sup>
- Report of Cost of Construction (s. 235.435(6)(d), F.S.) [by Dept. of Capital Construction Budgets, Bureau of Facilities Planning and Construction]<sup>15</sup>
- Florida Inventory of School Houses Update (s. 235.014, F.S.) [by Dept. of Document Control, Bureau of Facilities Planning and Construction]<sup>16</sup>

In addition, the District adheres to the cost per student station on all projects commissioned after July 1, 1997. For projects completed before that date, a waiver was requested and granted. The District also has established a series of checks and balances to ensure that architects adhere to Florida Building Code requirements relating to identifying instructional areas or teaching stations (and the number of students assigned to each teaching station).

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<sup>10</sup> Pursuant to Section 4.4(1)(f) SREF 94, MDCPS Document Control as agent of the State obtains and maintains these forms on file for all projects over \$200,000.

<sup>11</sup> Pursuant to Section 4.4(1)(f) SREF 94, MDCPS Document Control, as an agent of the State, obtains and maintains these forms on files for all projects over \$200,000.

<sup>12</sup> Pursuant to Section 4.4(1)(f) SREF 94, MDCPS Document Control, as an agent of the State, obtains and maintains these forms on file for all projects over \$200,000.

<sup>13</sup> These forms are prepared and submitted to the State every 5 years.

<sup>14</sup> These forms are prepared and submitted to the State annually.

<sup>15</sup> These forms are submitted annually to the State.

<sup>16</sup> These forms are updated regularly by live date entry into the OEFIS system.

## 9 The District is prepared to comply with new Florida Building Code when it comes into effect.

The District has taken a number of steps to ensure compliance with the new Florida Building Code when it comes into effect on July 1, 2002. In particular, new contracts for building code inspections have been established which include requirements to review structures using the new building code. District staff have also attended various conferences and seminars to ensure they are knowledgeable about the building code and its implications. Additional training is scheduled. Furthermore, a state code officer has been designated who will be responsible for ensuring compliance with the new building code. Finally, with some minor exceptions, any project funded after January 1, 2002, will be designed and constructed to reflect the new building code requirements.

## 10 Information on the construction program and the five-year facilities work plan is not readily available to the public.

A well-managed capital improvement program requires stable and sufficient funding. This is particularly true in an expanding system. Keeping the public informed about the needs and progress of the capital construction division can help build confidence and support for funding public school construction. However, the District does not provide the public with easy access to information regarding its facilities and construction program.

## Recommendations

- We recommend that the District put more information about school facilities and the construction program on the Miami-Dade County Public Schools website.

Action Plan 10-9 provides the steps needed to implement this recommendation.

### Action Plan 10-9

How to make the information available to the public	
Strategy	Put information about the capital program on the MDCPS web site in a clear format that can easily be understood by lay persons.
Action Needed	<p>Step 1: Ask newly formed capital planning standing committee (see action plan 10-6) to identify information that a parent, community member, concerned businessperson would want about the MDCPS capital program.</p> <p>Step 2: Provide this information to the M-DCPS Office of Communications.</p> <p>Step 3: Work with the Office of Communications to enhance web information on capital program.</p> <p>Step 4: Assign a staff person in the new Office of Facilities Planning to review and provide information for website on a weekly basis; this information should include: board actions, budget proposals, news about new schools, notices of committee meetings open to the public, and basic inventory information.</p>
Who is Responsible	Office of Facilities Planning with Office of Communications and the Office of Information Technology
Time Frame	September 2002
Fiscal Impact	No fiscal impact

## ***Educationally Appropriate Facility Design Standards***

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### **11** Prototypical Educational Specifications are aligned with educational needs.

#### **The Prototypical Educational Specifications developed by the District are of high quality and are aligned to best educational practice**

MDCPS has developed Prototypical Educational Specifications for elementary, middle and senior high schools. The quality of these specifications is high. They are kept up to date and align with best educational practice. To ensure they continue to reflect educational needs, each year MDCPS Curriculum Specialists review the Prototypical Educational Specifications and Furniture Fixtures and Equipment (FF&E) Master Lists. Changes are made to the Prototypical Educational Specifications and FF&E Master Lists to reflect the latest mutually agreed program goals, objectives, and instructional strategies. In addition, to ensure the specifications keep pace with technological change, MDCPS Instructional Technology staff and the Office of Information Technology (OIT), review the MDCPS Prototypical Educational Specifications, Design Criteria, and Master Specifications on a regular basis and make adjustments to reflect the latest technological trends.

Flexibility in the classroom has been built in to the prototypical educational specifications through requirements for regular-shaped classes, multipurpose FF&E, minimizing the use of built-in furniture where possible, and by standardizing class sizes (net square footage) throughout the facility.

#### **An effective process has been established to ensure that site-specific education specifications meet the anticipated needs of each school**

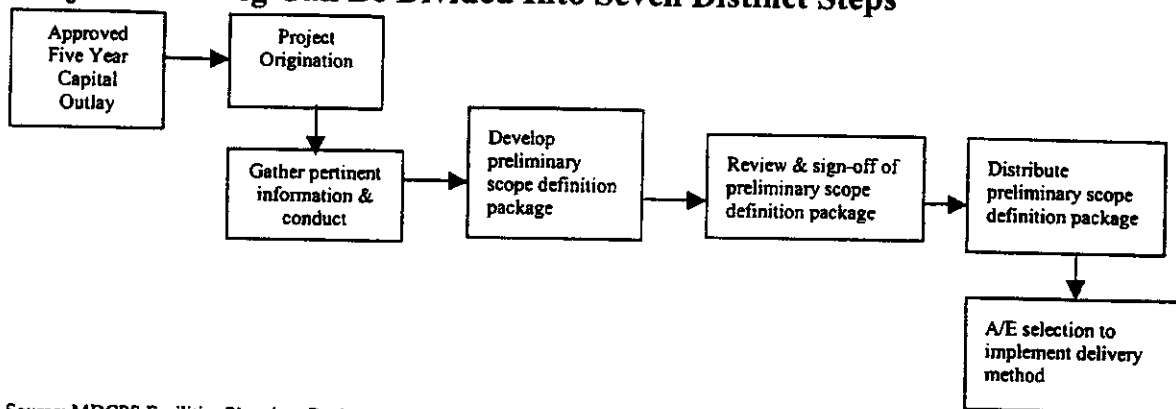
MDCPS site-specific educational specifications are generated on a project basis. The Prototypical Educational Specifications, which provide a starting point for the development of these specifications, provide descriptions for proposed spaces while leaving ample flexibility for creativity and options in design by the architects. In each school's specific educational specification, program goals, objectives and activities, teaching strategies, and instructional methods are identified to provide the project Architect/Engineers (A/E) with a description of the school's needs and expectations for how the space will function. The District does an excellent job of including a range of staff in this process. Indeed, slightly more than one-third of all certified staff responding to the survey (34.1%) "agree" or "strongly agree" with the statement, "I have been involved in establishing program goals, objectives and instructional strategies for new construction projects." The site-specific educational specifications also include program philosophy and goals prepared in conjunction with MDCPS curriculum staff. The specifications include program-specific sections relating to the curriculum, instructional methods, staffing requirements, teacher/student ratios, and support services requirements.

## Development of educational specifications should be assigned to the recommended planning department

The Department of Capital Construction Budgets is currently charged with responsibility for planning and developing project scope definition packages. Using Prototypical Education Specifications a preliminary scope definition is developed for sign-off by the Deputy of School Operations, Region Superintendent, School Principal, Region Executive Director, Director of Document Control, Director of A/E Selection, Negotiations, Educational Specifications and FF&E, and Executive Director for Planning and Construction Budgets. Once the program has been approved by each of these individuals, a delivery method is identified and the selection of a consultant commences. At this point, the project manager takes leadership for the process. (A flow chart of this process is presented in Exhibit 10-8.)

**Exhibit 10-8**

### Project Planning Can Be Divided Into Seven Distinct Steps



Source: MDCPS Facilities Planning, Design and Construction Procedures Manual.

The Department of Capital Planning and Budgets used to be more involved in managing the development of site-specific educational specifications and the design process than it is at present. Currently, however, project managers are primarily involved and responsible for projects once the sign-off for preliminary scope is complete and the A/E selection is done. Essentially these project managers function as owner's representatives throughout the process of programming, design and construction. As a result, an organizational focus on the development of site-specific education specification is lacking. This issue can be addressed by assigning site-specific planning responsibilities to the recommended planning unit (discussed in Section 2).

## Recommendations

- *We recommend that a planning department manage site-specific programming.*

Action Plan 10-10 provides the steps needed to implement this recommendation.

### Action Plan 10-10

Plan 10-10: site-specific programming in the planning department	
Strategy	Have site-specific programming managed as part of the planning department.

## Facilities Construction

Action Needed	Step 1:	Once planning department is established (see Action Plan 10-6), reassign responsibility for programming for new schools to this unit.
	Step 2:	Once new school programming has been established as part of planning department and evaluated for efficacy, transfer project specific programming for renovations and additions.
	Step 3:	Revise Facilities Planning, Design and Construction Procedures guide to reflect development of planning department and transfer of management for site-specific programming.
Who is Responsible	Chief Facilities Officer	
Time Frame	Next round of new schools	
Fiscal Impact	No fiscal impact	

## 12 Educational specifications for new construction, remodeling, and renovations include a description of activity areas.

### There is appropriate detail of activity areas in educational specifications

The District has established an effective process for ensuring all needed activities that will take place in a new facility are reflected in the educational specifications for that facility. As part of this process MDCPS Regional staff, curriculum staff and MDCPS Facilities Planning and Standards staff meet to determine which vocational programs represent the desired educational and community needs. They also meet to decide what provision should be made for instructional support, pupil services programs and general support services requirements. In addition, during this planning phase, curriculum specialists and region staff determine if there will be exceptional student education space requirements for the facility. They also ensure that all spaces meet the legal requirements established by the State Requirements for Educational Facilities (SREF).

The educational specifications that are developed through these efforts thoughtfully address what types of spaces are needed in each project and how these spaces will be used. In particular, project specific educational specifications:

- Provide an overview of the number areas included in a project and their size
- Ensure curriculum programs are appropriately placed and that space within program areas is appropriately configured
- Ensure instructional support areas are grouped together in an appropriate manner
- Provide adequate storage spaces.

A discussion of each of these features of project specific educational specifications follows.

**Project overview.** Educational specifications for individual projects describe the number of areas to be constructed and their size in a section titled "Facilities List." This facilities list represents the project's scope of work in terms of remodeling and new construction. In each program-specific educational specification, there is also information on how many and what staff will use the space. In addition, there is a spatial relationship diagram with a legend for each program area.

**Placement of curriculum programs.** The educational specifications also describe the curriculum program in detail, along with staffing requirements/needs, and necessary support services. In addition to program-specific spatial relationship diagrams, which describe inter-program adjacencies and relationships, these diagrams also describe intra-program adjacencies (i.e., where program areas must be adjacent to one another). Together, these diagrams yield a facility design that ensures efficient student/staff/faculty circulation patterns.

**Placement of instructional support areas.** Instructional support areas are listed in the Board Approved Facilities Lists and have been approved by MDCPS Region and Curriculum staff. Educational specifications for individual projects describe how these instructional support areas should be grouped together to ensure an efficient and cost-effective use of space.

**Storage.** The educational specifications for each project also ensure that storage spaces are provided, when necessary, for specialized spaces and for the facility's general storage requirements. For instructional spaces, storage is generally provided by means of FF&E storage cabinet(s). These cabinets are more cost-effective and allow for more flexible use of space than "built in" storage areas.

## **13** Design follows District specifications, but in some cases these specifications may not reflect a practical assessment of how facilities will actually be used.

### **The District takes appropriate steps to ensure that architectural designs conform to educational specifications**

To ensure that architectural designs conform to educational specifications the architect for each project is provided with copies of the Design Criteria and Prototypical Educational Specifications. His or her work is subsequently reviewed at various design phases to ensure consistency with educational specifications. Further oversight includes:

- Copy of review from Department of Plan Reviews
- Reviews by the Uniform Building Code International (UBCI), EFCO & Trades Master's reviews
- Building Committee Review
- Post occupancy evaluation.

In addition, during Phase I, a committee of design construction, maintenance, and education/curriculum staff reviews each project to ensure compliance with District and state requirements.

Visits to six new schools (or existing schools with additions) suggest efforts to ensure that architectural designs conform to educational specifications have been successful. A review of these schools revealed that educational specifications appropriately described specialty instructional spaces and the amenities appropriate for these spaces and the actual design and construction of these facilities reflected that direction.

### **In some cases, the design of new facilities may not reflect a practical assessment of how facilities will actually be used**

The review of six projects suggests that the design of new facilities may not reflect a practical assessment of how the facilities will be used. In some cases, the educational specifications are practical, yet overcrowding prevents specialty classrooms and other spaces from being used as intended. Instead, the District is often forced to use its specialty classrooms for regular classroom space. For example, at one school a black box theatre classroom with projection booth, catwalk around the perimeter and theatre track lighting was being used as a traditional classroom, with students in rows of desks using textbooks. In other cases, the design did not reflect a practical understanding of how a space would be used. For example, in one school a dance studio was too highly outfitted. This dance studio was equipped with theatre track lighting that covered the ceiling yet it was unclear why track lighting was necessary, as the dance studio did not accommodate an audience. Likewise, middle school science rooms had special drains for toxic waste, fume hoods, a shower and an eyewash. However, it was not clear that in classrooms of 30 or more young adolescent students that toxic chemicals necessitating these amenities would ever be used.

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When rooms are equipped with features that are either not needed or are not likely to be used, costs increase. At least with regard to middle schools, this appears to be what has happened in the Miami-Dade County Public Schools. A review of middle school additions from 1999 to the present reveals that the District spent anywhere from \$19 a gross square foot to \$37 a square foot for Furniture Fixtures and Equipment (FF&E). (See Exhibit 10-9.) This was nearly twice the FF&E expenditures in middle school additions in other Florida school Districts.

While the existence of specialty space for secondary students is optimal, with such extensive and intense overcrowding and insufficient funds for basic classroom space, the District should reevaluate the need and rational for building and equipping specialty spaces.

### Exhibit 10-9

#### FF&E Expenditures For Middle Schools Ranged From \$19 to \$37 Per Gross Square Foot

Additions 1999-2000	Gross SF	Total Cost	Percentage to FF&E/Gross	FF&E/Gross
Allapattah MS	31,479	\$ 5,397,283	11%	\$ 19.07
Hammocks MS	35,664	\$ 5,792,430	14%	\$ 22.88
Shenandoah MS	40,124	\$ 7,354,591	13%	\$ 24.11
Campbell Drive MS	33,192	\$ 6,938,220	12%	\$ 24.58
Horace Mann MS	37,510	\$ 6,097,460	15%	\$ 24.94
Ponce De Leon MS	38,158	\$ 6,582,276	15%	\$ 25.35
Richmond Hts MS	37,810	\$ 6,943,277	14%	\$ 25.45
Kinloch Park MS	34,332	\$ 6,082,518	16%	\$ 28.18
Carver MS	25,017	\$ 5,952,725	16%	\$ 37.39

Source: FISH, verified by MDCPS Budget Office.

## Recommendations

- We recommend a review of the utilization of spaces that have been designed for specialized purposes (e.g., weight rooms, dance studios, vocational areas, science labs, black box theatres, and TV studios) to determine whether the instructional program is utilizing the specialized equipment and design provided.

Action Plan 10-11 provides the steps needed to implement this recommendation.

### Action Plan 10-11

#### Strategy

Review the utilization of specialized spaces and equipment to determine whether the instruction program is utilizing them.

Action Needed	Step 1:	Review design and construction costs to identify the specialized areas that require the greatest expenditure for design, furniture and equipment in high schools, middle schools and specialty or magnet schools.
	Step 2:	Based on findings, prioritize what types of spaces to audit for utilization.
	Step 3:	Using FISH, identify the specialty spaces in schools to be audited.
	Step 4:	Identify a small sample of schools to review in order to make a preliminary evaluation of utilization and determine if a more complete investigation is warranted.
	Step 5:	Create a data collection template identifying the information that should be collected on the utilization of each space.
	Step 6:	Create criteria for rating utilization and for defining whether a space is "fully utilized," "partially utilized" or "not utilized" that reflects the anticipated specialized uses of a space.
	Step 7:	Send personnel to selected schools to use these criteria in determining how a particular space is utilized.
	Step 8:	Compile data from audit into template.
	Step 9:	Prepare preliminary report for design standards committee.
Who Is Responsible	Planning Department	
Time Frame	October 2002	
Fiscal Impact	Can be completed using existing resources.	

- *We recommend a review of middle school prototypical educational specifications by educational specialists to determine whether it is a better practice to build more space for basic classrooms or to build facilities with more high school-like technology, science and vocational readiness spaces that reflect an increase in the specialization of middle school instruction.*

Action Plan 10-12 provides the steps needed to implement this recommendation.

### Action Plan 10-12

Review middle school prototypical educational specifications		
Strategy	Review middle school prototypical educational specification to determine whether it is more important to build basic classroom space or specialized classrooms.	
Action Needed	Step 1:	Compare results of investigation of specialized spaces and actual utilization of special features, furniture and fixtures (undertaken as part of Action Plan 10-11) with middle school prototypical educational specifications.
	Step 2:	Review literature on middle school curriculum and state curriculum standards.
	Step 3:	Develop recommendations for modification to middle school prototypical educational specifications, as appropriate.
Who is Responsible	Deputy Superintendent for Operations	
Time Frame	March 2003	
Fiscal Impact	Review can be done with existing resources. Depending on findings, potential savings on FF&E and on some base construction.	

Source: Berkshire Advisors, Inc.

# **14** While safety features are incorporated into design documents, greater attention needs to be devoted to ensuring that the safety features and equipment reflected in these designs are actually in place and operational in schools.

## **Safety features are incorporated in design documents**

The District ensures that appropriate safety features are incorporated into the design of all new construction by including in the New Construction Agreement for Professional Services that the design incorporate and meet all safety codes including State Requirements for Educational Facilities (SREF), State and local building codes, NAPA 101, and other appropriate codes. The design is then reviewed by Educational Facilities Compliance Office (EFCO) to confirm code compliance.

The District also ensures that when facilities are renovated, safety needs are assessed and safety designs are reviewed or added to the facility by requiring, in the Renovation Agreement for Professional Services, that the design professionals address such safety needs and issues and comply with all applicable local, state and federal codes. The design is then reviewed by EFCO to confirm code compliance.

## **Safety and code features reflected in the design are not consistently implemented on all new projects**

While safety and code features are consistently reflected in project design, cases were brought to the attention of the consultants where the safety and code features called for in the design were not actually implemented. At one middle school, for example, even after all inspection sign-offs had been completed, the fire sprinkler system was inoperative and the Siamese fire connection that the fire department needs to pressurize the sprinkler system was missing. Other similar cases were also cited, suggesting that better oversight of the consultant UBCI code inspectors is warranted.<sup>17</sup>

## **Schools conduct annual review of equipment needs and conditions at school yet repairs and replacement of equipment are not consistently completed when needed**

The results of the employee survey indicate that schools generally do a good job of reviewing equipment needs and conditions each year. Over 71% of the survey respondents "agree" or "strongly agree" with the statement, "My school conducts an annual review of equipment needs and conditions" and only 5.6% of the survey respondents "strongly disagree" with this statement. With regard to whether equipment is repaired and replaced when needed, however, the results are more mixed. More than two in five survey respondents (43.0%) "agree" or "strongly agree" with the statement, "The District repairs or replaces equipment as needed at my school." However, only a slightly smaller percentage of survey respondents (38.5%) "disagree" or "strongly disagree" with this statement.

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<sup>17</sup> The school District is currently spending \$95 million to eliminate fire code violations in its schools. New schools, however, should not be among the schools with fire safety problems.

## Recommendations

- We recommend that the District do an analysis of how many fire life safety violations exist in schools less than 5 years old and examine whether there is any contractor or code inspector liability.

Action Plan 10-13 provides the steps needed to implement this recommendation.

### Action Plan 10-13

Analyze fire life safety violations by schools less than five years old	
Strategy	Determine whether or not there is any contractor or code inspector liability for fire code violations in new schools, with the idea of trying to recover cost of remediation.
Action Needed	<p>Step 1: Review lists of fire code violations in schools 5 years old or less.</p> <p>Step 2: Provide names of schools with code violations that are a result of building design or construction, rather than use to the Capital Construction Compliance unit.</p> <p>Step 3: Send engineer from Quality Assurance to determine whether code violation is actually a result of design or construction flaw.</p> <p>Step 4: If yes, Capital Construction Compliance unit will prepare documentation for securing remediation from architect or construction firms responsible for the error or omission.</p>
Who Is Responsible	Office of Capital Construction Compliance
Time Frame	September 2002
Fiscal Impact	This recommendation can be completed with existing resources.

- We recommend develop procedures to improve accountability for code inspectors.

Action Plan 10-14 provides the steps needed to implement this recommendation.

### Action Plan 10-14

Develop procedures to improve accountability	
Strategy	Make sure contractors who inspect for adherence to building code and fire code are rigorous in their inspections and reliable with their reporting of problems.
Action Needed	<p>Step 1: Review criteria for qualifying as a code inspection firm.</p> <p>Step 2: Request feedback from school District architects, engineers and trade masters on quality of inspections from private code inspection firms, and on suggested criteria for selection as a code inspection firm.</p> <p>Step 3: Use revised criteria and feedback from Quality Control to re-evaluate code inspection firms.</p> <p>Step 4: Release firms that do not meet revised criteria.</p>
Who Is Responsible	Executive Director of Facilities ADA and Design and Quality Control
Time Frame	November 2002
Fiscal Impact	This recommendation can be completed with existing resources.

## ***Timely and Economical Site Selection***

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### **15** **The site selection process has slowed down school construction and contributed to overcrowding and loss of confidence in the District, but the District has developed new policies and procedures for site selection and acquisition.**

A major deciding factor determining which sites were purchased was the availability of land, rather than where the greatest overcrowding was. OPPAGA issued its report on the MDCPS land acquisition practices in May 2001 and criticized the District's land acquisition policy and procedures. As a result, new site selection rules were promulgated on October 10, 2001 and submitted to the School Board for consideration on the 24<sup>th</sup>. Subsequently, the School Board has adopted a new Board Rule with a more formal and detailed process for acquiring property. Included in this Board Rule is a requirement that a citizens' committee be developed to provide public input into the site selection process, in depth criteria for evaluating and selecting sites, procedures for selecting a site, guidelines for the due diligence on the purchase itself, including criteria for reasonableness of costs; an appraisal and review process; comparative analysis of site acquisition and site improvement costs; and guidelines on use of eminent domain as authorized by Section 235.05, F.S. of Florida State Code.

After the May 2001 OPPAGA review, a Land Acquisition and Facilities Oversight Board composed of private-sector developers appointed by state leaders was established. In January 2002, it voted unanimously to advise the Legislature that the District had implemented nearly all changes recommended in the May 2001 report. However, as of yet, the Site Selection Committee that is just being constituted by the Superintendent and School Board has yet to meet. In addition, the Land Acquisition and Facilities Oversight Board continues to meet and is likely to make further suggestions for improving the District's land acquisition process.

Since the May 2001 report, no land purchases have been made. However due diligence on a number of sites was undertaken, so that once constraints were lifted, purchases would be ready to move forward quickly.

Unfortunately, the District can come up with a plethora of procedures and committees and still not solve its problems. Consequently, in addition to establishing improved procedures the District must determine the features of land acquisition practices that are of greatest importance. Among the range of issues that might be considered are the following:

- High cost of land
- Speed with which the District is able to make a deal
- Increasing scarcity of sites of sufficient size to meet site requirements
- Public attitudes about competence or honesty in land acquisition
- Attitudes of state officials about competency or honesty in land acquisition
- Need for better information on possible sites to purchase
- Need for better relations with the public to position the District to exercise right of eminent domain
- Need for increased access to private sector expertise to help identify alternatives to traditional school site development approaches
- Potential for small schools on small sites.

## Recommendations

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- *We recommend that the District continue to define what types of input it needs from the public input relating to site identification and acquisition and that it expedite the development of the Site Selection Committee as outlined in the new school policy.*

Action Plan 10-6 provides the steps needed to implement this recommendation.

- *We recommend that Government Affairs and Land Office, as part of a new master planning task force, participate in the long range master planning and develop a long term land purchase and use plan to support the facility requirements of the District.*

Action Plan 10-3 provides the steps needed to implement this recommendation.

## 16 The School Board considers the most economical and practical locations for future schools.

Although the District has not acquired new school sites since May 2001, the Board's policies emphasize the need to consider the most economical and practical locations for future schools. The Board's rules provide the recently created School Site Planning Committee with the responsibility to make recommendations regarding site selections. In addition, the Board's site selection rules also provide criteria designed to determine the most economical and practical site. See Section 15 above for additional details and recommendations regarding site acquisition.

## Construction Cost Controls

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## 17 The District has established and implemented accountability mechanisms, however, they have not prevented high staffing levels and do not always translate into better construction.

### The District has controls in place to ensure the performance, efficiency, and effectiveness of the construction program

The District has taken a number of effective steps to ensure its construction program is implemented efficiently and effectively, including the following:

- Cost saving measures are incorporated into design criteria and master specifications
- Cost estimates from estimating consultants are used to validate project consultant estimates
- Response to Requests For Proposals (RFPs), Requests for Quotes (RFQs), and Construction Bids are closely monitored
- Firms responsible for plan review and inspections are also monitored

## *Facilities Construction*

- District construction and management costs are compared with similar costs in other Districts
- Staffing levels of Miami-Dade County Public Schools compared to Duval and Hillsborough Counties

A discussion of each of these effective practices follows.

**Incorporating cost saving measures into design criteria.** The District has incorporated Smart School Clearinghouse cost saving suggestions into its Design Criteria and Master Specifications. An example of a cost saving measure that is currently incorporated into design guidelines is the requirement that all new schools be designed to accommodate the potential future use of portable classrooms. All new schools are required to install connections to all systems that will be needed to connect portables to the facility—sanitary, domestic water, electrical, fire alarm, security, and energy management. At a minimum a new elementary school must have eight portable sites designated, a middle school 18, and a high school 30. The school District has also asked its design criteria consultants to begin a review of the master specification to find ways to improve the specification so the materials and techniques are high quality, but also economical. In addition, the District closely monitors the design process to ensure budgets established to achieve SIT eligibility are met.

**Validating project cost estimates.** The District obtains independent cost estimates from estimating consultants to validate project consultant estimates. In addition, the District will soon be undertaking an evaluation of the estimates provided by the independent estimators and the actual bids and costs of school improvements. This activity has the potential to be extremely worthwhile. For one project where an independent evaluation of actual bid has already been completed (a review of the estimate provided by Construction Estimating Services, Inc. of the Phillis Wheatley Elementary School) for an addition and renovation that totaled \$4,255,954, only \$2,302 was allocated for furnishings. For a project of this size, assuming furnishings will amount to only five hundredths of one% is clearly unrealistic. This is likely the result of the District lacking a job cost accounting process and should be addressed through action plan 9-4.

**Monitoring responses to RFPs, RFQs and construction bids.** The District closely monitors responses to RFPs, RFQs and Construction Bids to assess program effectiveness. As part of this monitoring effort, the District is currently evaluating its selection procedures for competitive design and construction firms with the goal of initiating contracts with more experienced design/build firms.

**Monitoring firms engaged in plan review and inspections.** The District also monitors the five firms engaged in plan review and inspections and is currently evaluating the benefits of adding fire code plan review and inspections to their contracts. Doing so may be prudent since fire code plan review will be required when the new State Building Code goes into effect.

**Comparing construction and management costs with similar Districts.** The District recently undertook an ambitious research project to compare the cost of construction and the management structures of capital improvement programs in fifteen major school Districts. The April 26, 2001 revised draft report did an excellent job of outlining the issues and information that are required for a complete comparison and analysis of school construction cost and capital program management. However just as with the comparisons in Exhibit 10-9, care should be taken with peer district comparisons of costs, as well as staffing. For example, the Chicago Public School construction program makes bulk purchases of steel and of mechanical and kitchen equipment. The report does not indicate whether or not they do the accounting to allocate this expenditure into their cost per square foot.

## **The accountability and control systems have not prevented high staffing levels in the capital division and do not always translate into better construction**

The District currently assigns 265 persons and positions to the capital improvement program, paid from the capital budget. At the same time, the District uses a stable of consultants for plan review, design review services and inspections. In a comparison of Duval and Hillsborough County School Districts, and other large counties, although Miami-Dade is much larger, it carries a disproportionately higher level of capital staffing.

## Exhibit 10-9

## Miami-Dade Has Disproportionately High Levels of Capital Staffing

	Total System Capital Expenditures	District Capital Expenditures	Program Management	District Management	Construction Delivery
Miami-Dade	\$1,100,000,000 <sup>1</sup>	265	In-house	District Project Managers	Design/bid/build; Design/build; CM
Duval	\$434,301,846	29	In-house	District Project Managers	Design/bid/build; Design/build; CM at risk; fast track
Hillsborough	\$735,663,417	23.6	In-house	District Project Managers/ Private Construction managers, at risk	Design/CM at risk
Montgomery County, Maryland <sup>18</sup>	\$575,000,000 <sup>19</sup>	29	In-house	District Project Managers/ private construction managers	Design/bid/build; Construction management firm currently manages 50% of projects and 80% of construction dollars. Students use swing space during construction.
Fairfax County, Virginia	\$650,000,000	54.5	In-house	In-house Project Managers	Only traditional design/bid/build Renovation is undertaken in occupied schools, which requires more intensive local school inspection. (15 inspectors).
Fulton County, Georgia	\$475,000,000	23	In-house	Construction management "at risk" and in-house project managers to keep skills for oversight in District	68% of construction budget is for new construction. Construction management firm provides staff support. CM-at-risk is used.

<sup>1</sup> Estimate; excludes maintenance transfers.

Source: Berkshire Advisors, Inc.

<sup>18</sup> Data for Montgomery, Fairfax and Fulton County is taken from "Public School Capital Improvement Programs. Basic Elements and Best Practices: Guidance for the District of Columbia." Prepared for the World Bank Group, October 15, 1999 by 21<sup>st</sup> Century School Fund and the Scientex Corporation.

<sup>19</sup> Estimates are based on 1999 annual capital budget.

## Facilities Construction

The concern with peer district comparisons that are not the result of an in depth audit in each District is that these comparisons can be misleading. In this case, the peer district facility directors may not have reported all of the positions dedicated to management, operation and oversight of the capital program. By contrast, the District's construction program includes such staff in its calculations. However, just the Construction Division at 86 persons, Job Order Contracts with 11 persons, and Project and Contract Management with 37, adds up to 134 persons directly involved in construction and its procurement. This is considerably higher than any peer district, even after considering the differences in the size of the construction budgets. This relatively high level of staffing is also a concern for some members of the Land Acquisition and Facilities Oversight Board.

## Recommendations

- *We recommend a systematic review of the cost and organization of the capital program management with the objective of reducing staffing of the capital management, operations and oversight by 20-35% within 3 years.*

Action Plan 10-17 provides the steps needed to implement this recommendation.

### Action Plan 10-17

RECOMMENDATION 10-17: REVIEW OF CAPITAL PROGRAM MANAGEMENT	
Strategy	Review the cost and organization of the capital program management with the objective of reducing staffing of the capital management, operations and oversight by 20-35% within 3 years.
Action Needed	Step 1: Conduct desk audits, including clerical support positions. Step 2: Examine approval procedures for design and construction related decisions. Step 3: Examine approval procedures for budget related decisions. Step 4: Assess impact of personnel policy toward capital employees—work related travel, the union's role, training, compensation, and seniority. Step 5: Examine school board influence on hiring. Step 6: Plan and initiate phased in staff reorganization and reduction.
Who Is Responsible	Chief Facilities Officer
Time Frame	July 2004
Fiscal Impact	Cost for evaluation may be \$100,000; gross savings with 20% staff reduction, phased in over three years, could be \$7.8 million over a five year period.

## 18 The District has incorporated cost saving measures in its design criteria and master specifications.

### District incorporates cost saving measures in its design criteria and master specifications

The MDCPS Design Criteria, Master Specifications, and Educational Specifications have incorporated within their standards the SMART Schools Frugal Construction Standards, that incorporate design to keep per student station costs low. MDCPS Design Standards are also reviewed annually for practicality, functionality, and cost effectiveness and architects and engineers are encouraged to implement these standards whenever possible.

## The District's approach to project management is effective

The District's approach to project management is sound. Each project has a team, comprised of the Project Manager, an Educational Specification Coordinator, an FF&E Coordinator, an Advance Planner, a Project Architect, a Builder, and other key staff from various departments. This "Project Team" remains intact for the life of the project and is involved at the various stages of approval for a project. They attend Team Matrix meetings, Building Committee Meetings, and working meetings as necessary. Each team member's input is considered equally important.

## To reduce facility expenditures, the District secures the use of municipally owned public recreational facilities for District needs

The District has over 100 agreements with Miami-Dade County and local jurisdictions for the shared and joint use of open and recreational space and facilities. The District and these jurisdictions sometimes share the initial construction costs, along with operation and maintenance costs, which reduces both construction cost and the costs of facility operations to the District. In addition to being cost-effective, these agreements have also established strong ties between the District and the local residential communities and have been extremely effective in helping to optimize the use of available land for student stations. An example of these shared and joint use facilities are the three large multi-sports stadiums that are located in strategic areas of the county.

## District does not have a program for generating revenue from use agreements for local schools

Although there the District has over 32 million square feet of school space, there does not appear to be a plan or office that is responsible for trying to generate revenue from school buildings after hours or on weekends. In school Districts half the size of MDCPS annual revenue of \$1 million is not uncommon.

- *We recommend that M-DCPS develop a facilities use agreement and leasing program that enables the public access to unused facilities for a fee.*

Action Plan 10-18 provides the steps needed to implement this recommendation.

### Action Plan 10-18

Develop facilities use agreement and leasing program to enable public access to unused facilities for a fee.	
Strategy	Develop facilities use agreement and leasing program to enable public access to unused facilities for a fee.
Action Needed	<p>Step 1: Evaluate the potential for generating lease revenue from non-school use of schools, parking lots, air rights, playing fields, and other real property assets.</p> <p>Step 2: Draft a policy to guide who will benefit from non-school use leasing of public school property—local schools, central administration, or a combination.</p> <p>Step 3: Bring proposed policy to School Board for solicitation of public comment.</p> <p>Step 4: Make revisions to policy based on input.</p> <p>Step 5: Adopt real property asset management policy.</p> <p>Step 6: Implement administrative function to maximize the revenues allowable under new policy.</p>
Who Is Responsible	Chief Facilities Officer
Time Frame	April 2003
Fiscal Impact	Create real estate advisor task force to advise the District at no cost. Potential impact is variable, depending up policy and whether school District begins to use double sessions and year round schools. Potentially \$3 million over a 5-year period.

## **19 The District minimizes construction costs through the use of prototype school designs and frugal construction practices.**

One way the District controls construction costs is by making appropriate use of SMART Schools Clearinghouse Frugal Construction Standards when designing and building school facilities.<sup>20</sup> Notably, the District has submitted six schools to the SMART School Clearinghouse for School Infrastructure Thrift (SIT) awards. These were approved and the District received \$11,789,438. Approximately 10 more applications are in the process of being completed for submission.

The District also controls design and construction costs by reusing several prototypical educational specifications. In particular, it has reused the High School, Middle School, Early Childhood, and Middle School Learning Center educational specifications. When considering whether it will be possible to reuse an existing design, the District generally looks at several factors including: the design/build process, school size, programmatic requirements, and site size. Due primarily to geographic considerations, however, it is not generally beneficial the to use facility design prototypes developed by the Florida Department of Education.

## **20 The District employs effective practices in securing appropriate professional services to assist in facility planning, design, and construction.**

### **The District has developed generally effective approaches to managing and selecting architects and engineers**

While some opportunities for improvement have been identified, the District's overall approach to managing and selecting architects and engineers is sound. Most notably, the District has developed a process for selecting architects and engineers that is both thorough and consistent with Florida Statutes. A selection committee comprised of ethnically diverse in-house architects, engineers and others experienced with construction conducts an initial review of the qualifications of architects, engineers, design criteria professionals, construction managers and design-builders using an evaluation form that scores the applicants according to the following Board approved criteria: experience, adequacy and availability of technical personnel, proximity of the candidate's office to the District and financial responsibility of the firm. Later, the MDCPS A/E selection committee evaluates finalists based on interviews. As part of this process the A/E Selection Office staff conduct telephone interviews of previous clients. In addition, previous MDCPS experience with change orders and project delays are considered as part of the

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<sup>20</sup> As previously discussed, the SMART Schools Clearinghouse Frugal Construction Standards are § 235.217, *Florida Statutes*, the Clearinghouse shall:

- develop, and continuously update, design and performance standards for functional and frugal school buildings that are space efficient and technology rich;
- certify school designs for inclusion in the SMART Schools Design Directory;
- recommend standards and policies relating, to design and construction of educational facilities, including construction standards for frugality, to the Governor, the Legislature, and the State Board of Education (SBE);
- prioritize school District' School Infrastructure Thrift (SIT) awards and Effort Index Grants (EIG)

selection process as are formal evaluations of contractor performance.<sup>21</sup> In addition, the District has established effective practices for contracting with and managing professional contractors. In particular, the contract forms that are currently used are both comprehensive and consist with state law. Moreover, the District strives to enter into contracts with professionals early enough in the planning process that they can help define project goals and help develop facilities lists and educational specifications. The District also evaluates consultants on a regular basis and maintains a database of evaluation results. Each quarter, staff from the District's Architect and Engineer Selection Office evaluates the professional services consultants under contract with the District. These evaluations are prepared by project managers, shared with the consultant and tabulated for future use. As noted, the results of these evaluations are reviewed whenever a new professional services selection process is underway.

The evaluation process is not popular with the project managers since giving a poor evaluation can have an adverse impact on the day-to-day interaction between the project manager and the consultant. Consequently, some project managers have been slow in turning in evaluation forms. The Assistant Chief Facilities Officer has effectively managed this issue, however, by assigning an individual responsibility for following up on the collection of these forms and providing the project managers with technical assistance to help them improve the usefulness of the evaluation process.

### **The District does not currently perform site visits or review examples of other projects as part of the selection process for architects and engineers**

Visiting the offices of prospective consultants and review examples of other work can be a very important part of the selection process for architects and engineers. Visiting the office of a prospective consultant can help determine accuracy of information provided on the size of the firm being evaluated. Likewise, visiting a recent project can help an experienced architect discern whether economical building practices are used. Nonetheless, the District does not currently require site visits and the review of prior work as part of the selection process. While District staff indicate that the extensive number of A/E selections precludes making visits to finalists offices or reviewing examples of their other projects a review of the A/E Selection office's Commissioning List disclosed that only 17 firms were commissioned during the first six months of 2001 and at least four of these firms had been previously commissioned thereby obviating the need for an on site visit. Making thirteen site visits and reviewing the work of thirteen firms over a six month period appears to be a workload that could be accomplished with existing staff. However, a more time efficient solution would be to mandate that each candidate include color photographs of a representative sample of recently completed projects.

## **Recommendation**

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- *We recommend that the District require design candidates to provide color photographs of a representative sample of recent projects before entering into contracts with professionals who have no previous experience working with the Miami-Dade County Public Schools.*

Action Plan 10-19 provides the steps needed to implement this recommendation.

### **Action Plan 10-19**

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<sup>21</sup> The A/E Selection Office provides the A/E Selection Committee with a report of A/E evaluations that is updated quarterly.

Recommending that Design Candidates Include Color Photographs of a Representative Sample of Recently Completed Projects	
Strategy	Modify contractor selection process to include a requirement that design proposers include color photographs of a representative sample of recently completed projects.
Action Needed	<p>Step 1: Step 1: Modify procedures for the selection of professional service contractors to include visits to offices and sample projects</p> <p>Step 2: Step 2: Obtain Board approval of this change in the selection process. Step 3: begin requiring submittal of color photographs and incorporate results on rating sheets.</p>
Who is Responsible	Director of Professional Service Contracts
Time Frame	June 2002
Fiscal Impact	This recommendation can be implemented at no cost to the District.

Source: Berkshire Advisors, Inc.

## 21 Funds collected for school projects are raised appropriately.

### The District has made limited use of voter approved funds in recent years

The District has not gone to the voters for construction funding that requires voter approval since 1988. At that time, the 1988 General Obligation Bond resolution described the scope of each project to be funded as required by law. Other approaches to raising construction funds that would require voter approval – for example, a sales tax authorization – have not been presented to the voters because, reportedly, the previous Superintendent did not believe that the voters of Miami-Dade County would pass a sales tax referendum any time in the near future.

### The District considers funding and financing alternatives, but not in a public and systematic way

The annual Executive Budget Summary is the public's primary source of information about the various funding sources available for capital construction. This document describes the funding options the District uses – in the past the District has used revenue anticipation notes, certificates of participation, Qualified Zone Academy Bonds and Impact Fees – but not how these funding alternatives were selected and evaluated. Nor is a presentation of how the District's Budget Office and the Facilities Construction Budget Office determined the appropriate funding source to use for each project and an evaluation the advantages and disadvantages of various funding alternatives presented in the five-year capital plan.

Describing the advantages and disadvantages of each capital construction funding alternative in a public document would help to ensure that funds are expended appropriately and would also ensure that the Board, District staff and the taxpayers are fully informed of how District funds are used.

## Recommendation

- *We recommend that the District include a written description of the advantages and disadvantages of each available funding source for capital construction in the annual Executive Budget Summary and on its World Wide Web page.*

Action Plan 10-20 provides the steps needed to implement this recommendation.

**Action Plan 10-20**

<b>Publication of Advantages and Disadvantages of Available Capital Funding Sources</b>	
<b>Strategy</b>	Inclusion of descriptive information in the annual Executive Budget Summary will provide the Board, the public and staff with a clearer understanding of the benefits and restrictions associated with various capital construction funding sources.
<b>Action Needed</b>	<p>Step 1: Identify all available capital construction funding sources regardless of whether or not MDCPS is currently using them.</p> <p>Step 2: Develop a table delineating the various capital construction funding sources with a brief description of the advantages and disadvantages associated with each.</p> <p>Step 3: Include this table in the annual Executive Budget Summary.</p> <p>Step 4: Update the table as new funding sources are approved by the State and as changes are made to existing funding sources.</p> <p>Place this table on District web page to further facilitate the public's access to this data.</p>
<b>Who is Responsible</b>	Executive Director of Capital Budget Planning
<b>Time Frame</b>	June 2002
<b>Fiscal Impact</b>	This recommendation can be implemented with existing resources.

Source: Berkshire Advisors, Inc.

## ***Construction Projects on Time and Within Budget***

**22** District planning provides realistic time frames for implementation that are coordinated with the opening of schools.

### **The District effectively monitors project time lines**

The District carefully monitors projects to ensure project timelines are adhered to. Most notably, project managers prepare monthly reports that include the project schedule, budget and status (percentage of completion) of each phase of a construction project. These reports are provided to all stakeholders and are discussed at monthly meetings in the six region offices that provide direct supervision to school principals within specified geographical areas. Staff also ensures that the Board is adequately informed about the status of projects by providing to the Board, via its Building Committee. A review of the Building Committee minutes for four meetings disclosed a discussion of budget issues and reports of actual budget data were appended to the minutes for three of the meetings.

### **The District routinely considers alternative delivery methods**

Although MDCPS staff routinely considers various delivery methods for construction projects, District staff has indicated a preference for design build<sup>22</sup> for new construction and have recently begun using Construction Manager at Risk<sup>23</sup> more and more for renovation projects. The preference for design build is directly related to two issues: the speed at which the project can get completed and the avoidance of delays and litigation that can result from disputes between architects and construction companies. Likewise, the District's increased use of Construction Managers at risk allows the District to better control the costs of renovations due to the construction manager's guaranteed maximum price commitment to the District.

## **23 For each project or group of projects, the architect and District facilities planner develop a conceptual site plan and building specifications.**

### **The District's architects routinely prepare conceptual plans and building specifications for new construction projects**

The District's architects routinely prepare conceptual site plans, based on projected enrollment, as part of the Design Criteria phase of the construction planning process. These site plans include playfield areas, parking, roads and future additions. A review of 20 projects revealed that these plans and drawings were prepared for all new construction.

### **The Facilities Planning and Standards Office coordinates the development of and modifications to District educational specifications and design criteria. In addition, MDCPS architectural contracts require the preparation of building specifications. Some design and specification cost comparisons are prepared but more are needed**

The District does a generally good job of ensuring that ongoing maintenance and energy costs are considered when designing new construction projects. To this end, the Facilities Construction Department receives maintenance and energy cost recommendations from the Maintenance Department as part of its annual update of design criteria and educational specifications. In addition, Maintenance Department staff provides ongoing advice to the Facilities Planning and Standards Office as issues arise that may have an impact on the cost efficiency of building components. In addition, the Energy Office provides data on the energy efficiency of various building components to the Facilities Planning and Standards Office.

The Facilities Planning and Standards Office also prepares or commissions the preparation of engineering studies of various designs. These studies have proved useful in making comparisons among different types of physical education shelters, food service shelters and trash compactors. In addition, the results of these analyses have been used to achieve significant savings in construction costs and in on going maintenance life cycle cost savings.

It should be stressed, however, that the number of such studies currently being performed is limited. At present, only two professionals in the Facilities Planning and Standards Office are responsible for preparing these studies.

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<sup>22</sup> As previously discussed, design build is a project management technique by which a single firm is engaged to both design and build a project.

<sup>23</sup> Construction Manager at Risk is a project management technique in which the construction manager agrees to a guaranteed maximum price and then assumes all of the risk for cost overruns.

Between April 2000 and December 2001 only four of these studies were conducted. The number of studies performed is, therefore, limited by the ability of these staff to conduct and/or oversee them. In addition, the benefits of these studies may not be being fully realized because no one is currently responsible for following up with contractors to determine if specification changes are in fact being implemented.

## Recommendations

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- *We recommend that the District devote more resources to analyzing the cost savings that can be achieved by using different designs and educational specifications.*

Action Plan 9-2 in chapter 9 (Use of State and District Construction Funds) provides the steps needed to implement this recommendation.

## 24 The District follows generally accepted and legal contracting practices to control costs.

### The District makes appropriate use of contractors in all phases of its construction program

The Facilities Construction Department supplements its staff with contractors in almost every phase of its operations – from plan review and cost estimating to building code inspections. The District has not, however, prepared a formal written evaluation of the potential costs and benefits that would result from privatizing the entire construction program. District staff do not believe that such an analysis is necessary because, in their view, the District is better served with in-house project managers who are more cost conscious than contract project managers. While in-house staff may in general be cost conscious, contracted project managers can be held more accountable for project costs through specifications in their contracts. For instance contracts can be structured so that project management fees decrease as overall project costs increase. Advantages of contracting out for project management include use of the contractor's data management system for improved project status reporting and the relative ease of adjusting staffing levels based on availability of funding.

### The District's ability to continue to use some innovative construction delivery methods may be limited by the pool of available qualified contractors

The Facilities Construction Department uses a variety of project delivery methods including design-build, construction manager at risk and job order contracting<sup>24</sup>. The decision on which method to use in a given instance involves a number of factors including the estimated cost and the anticipated speed of completion.

The Facilities Construction Department has almost uniformly stated its preference for design-build for new schools and for both design-build and Construction Manager at risk for renovations. As discussed previously, the benefits of design build are the speed at which the project can get completed and the avoidance of delays and litigation that can result from disputes between architects and construction companies. Likewise, Construction Manager At Risk tends to be an especially effective project delivery technique for renovation projects as it allows better cost control due to the construction manager's guaranteed maximum price commitment to the District. One challenge facing the

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<sup>24</sup> Job order contracting is a project management technique through which small capital improvements project contractor services are procured.

## Facilities Construction

District in continuing to use these project management strategies is that the pool of design-build construction firms willing to propose on District projects is relatively small. The District must identify opportunities for expanding the pool of design-build firms if it hopes to continue using this construction delivery method. During the 2001 calendar year an average of five design-build firms submitted proposals on each of six different requests for qualifications. Failure to expand the pool will undoubtedly result in increased construction costs because competition among firms will be limited.

### The District uses generally accepted bidding procedures

The District has established effective processes and procedures for managing the bidding process for construction projects. The Contract Management Department begins this process by advertising bids in accordance with Board Rules. All bid responses are time stamped and placed in a lock box and not opened until the advertised time and place-in public. After bids are reviewed to ensure that they adequately reflect District needs and requirements, a Board Agenda item is prepared by the Executive Director in consultation with the Board attorney for the low bidder (the agenda item is also reviewed by various committees prior to being voted on by the Board). After Board approval, the Contract Management Department issues a Notice Of Award. The contractor then is required to submit a range of information and documentation. In particular, the Facilities Construction's review checklist form and written procedures require an executed contract, evidence of workers compensation insurance and performance bonds before work on a project can begin.<sup>25</sup> Once all required submittals have been received and approved by the District's Risk Manager, the Contract Management Department issues the Notice of Commencement to the contractor.

A similar process is used for handling negotiated contracts. This process complies with the Consultants Competitive Negotiation Act (Florida Statutes Section 287.055(5)a).

## Recommendation

- *We recommend that the District use agency construction managers to supplement its project management staff.*

Action Plan 10-21 provides the steps needed to implement this recommendation.

### Action Plan 10-21

ACTION PLAN 10-21: Use agency construction managers to supplement project management staff	
Strategy	Use agency construction managers to supplement project management staff.
Action Needed	Step 5: Develop RFP for agency construction management services that includes incentive for cost control activities.
	Step 6: Issue RFP for agency construction management services.
	Step 7: Award contract for agency construction management services.
	Step 8: Develop methodology for assigning agency construction managers to projects e.g., remodeling projects only; CM at risk projects only; or teaming them with staff project managers, etc.
	Step 9: Begin assigning agency project managers to projects.

<sup>25</sup> A review of ten recent contracts files reveals that these requirements are adhered to and that evidence of workers compensation insurance, performance bonds, payment bonds, and properly executed contracts are included in the contract file.

Who Is Responsible	Assistant Chief Facilities Officer-Construction
Time Frame	September, 2002
Fiscal Impact	This recommendation can be completed with existing resources. Existing and new project budgets can be modified to fund these CM services.

- *We recommend that the District develop a plan to expand the pool of construction companies and architects with educational facilities experience.*

Action Plan 10-22 provides the steps needed to implement this recommendation.

### **Action Plan 10-22**

<b>Expand the pool of construction companies and architects with educational facilities experience</b>	
Strategy	Develop and implement strategies to encourage additional construction and design firms to compete for M-DCPS contracts.
Action Needed	<p>Step 1: Meet with various local industry trade groups such as American Institute of Architects, Associated General Contractors, etc., to determine reasons for low participation in M-DCPS bids and proposals.</p> <p>Step 2: Develop plan for initiating changes in District contracting processes that will encourage more participation without sacrificing critical internal controls.</p> <p>Step 3: Obtain necessary Board approvals.</p> <p>Step 4: Institute appropriate procedural changes and/or changes in standard contracts.</p> <p>Step 5: Publicize changes with all local and state-wide trade and professional associations.</p> <p>Step 6: Analyze changes in numbers of bidders and candidates.</p>
Who Is Responsible	Chief Facilities Officer-Construction
Time Frame	June 2002
Fiscal Impact	This recommendation can be completed with existing resources.

**25** The District has assigned one person with the authority and responsibility to keep facilities construction projects within budget and on schedule.

### **Project managers play a central role in keeping facilities construction projects on schedule and within budget and provide input into the preparation of the District's Five Year Facilities Work Plan**

Project managers are currently vested with both the authority and the responsibility for keeping construction projects on schedule and within budget. A project manager is assigned to each construction project and is responsible for monitoring the progress of the project, reviewing project expenditures, and working with the project's architect to approve or reject change order requests. In addition, each project manager prepares a monthly report on the status of each of his or her projects. These reports provide a focal point for monthly discussions with Region staff about the status of projects. These monthly meetings also provide an excellent opportunity for project managers to obtain feedback and input from Region staff. Project managers also work closely with the Executive Director of Capital Construction Budgets – the District's "point" person for monitoring the cost of construction. That the District has been able to stay within the statewide average cost per student station demonstrates the success of project managers in controlling construction project costs.

## *Facilities Construction*

Project managers are also involved in the preparation of the District's five-year facilities work plan. Their input is coordinated by the North and South Area Executive Directors for Capital Improvement Projects to whom they report. These Executive Directors work closely with the Executive Director for Capital Construction Budgets, the Executive Director of Capital Budget Planning, Chief Facilities Officer and the Assistant Chief in developing the Five Year Facilities Work Plan.

The District has taken appropriate steps to ensure that staff who fill these key positions are appropriately qualified. Job descriptions have been established for the project manager position and the District only assigns persons to projects who meet the requirements of the job description. In addition, District managers estimate that 80% of all District project managers have Uniform Building Code Inspection certification as architects or contractors.

### **Construction Project Managers Have Excessive Project Caseloads**

High attrition among project managers coupled with a long-standing hiring freeze has resulted in a situation where project caseloads are quite high. In some instances project managers are responsible for up to 15 projects at various stages of completion. The Assistant Chief Facilities Officer and the North and South area Executive Directors believe that an average of four new construction projects and four additions or remodeling projects should be the maximum number of project any project manager should be assigned at any one time. A review of project manager caseloads for other school Districts suggests a caseload of four new construction projects and four remodeling projects is more reasonable.

Given the crucial role project managers play in monitoring projects, controlling costs, and providing input into the five year work plan, it is important that they have sufficient time to fulfill their important responsibilities. It is worth noting that the Facilities Department's standard is to schedule project completion five months prior to the start of the school year. This standard is currently difficult to achieve because large project manager caseloads prevent project managers from focusing adequate attention on ensuring project timelines are adhered to.

## ***Recommendations***

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- *We recommend supplementing project managers with private sector project management services.*

Action Plan 10-21 provides the steps needed to implement this recommendation.

## **26** **Changes to facilities plans after final working drawings are initiated are minimized in an effort to control project costs.**

### **The District has well articulated procedures for managing change orders**

The Facilities Department's Design and Construction Manual describes the change order process both in writing and graphically. The type, cause and originator of each change order is recorded on the change order form and entered into the project management computer system. If the change order exceeds a certain threshold or will require extending the date for completion the Technical Review Committee reviews the change order. Following this review, Board approval of the change order must be obtained.

## The District has successfully implemented contracting methods that minimize change orders

The District's use of design-build as its preferred construction delivery method and its reuse of design prototypes are effective practices that have resulted in excellent cost controls. By its very nature design-build minimizes disputes that can lead to change orders because a single entity is responsible for both designing and building a facility. Where these activities are assigned to separate contractors disputes among the parties responsible for designing the facility and those responsible for building it are almost inevitable. Additionally, by reusing design prototypes the District and its contractors gain experience in using the design, which, in turn, reduces the need for change orders.

The effectiveness of these practices is reflected in the significant reduction in both the number and the dollar value of change orders that the District has achieved in recent years. As Exhibit 10-10 shows, the number of change orders for all construction projects declined by more than 51.4% between fiscal year 1999-00 and fiscal year 2000-01. During this same period MDCPS's annual capital construction expenditures increased from \$174.1 million to \$253.2 million. In other words, 5% of the capital construction expenditures was spent on change orders in 1998-99 versus 1.7% in 2000-01. Moreover, as Exhibit 10-10 also shows, there has been a 51% reduction in change orders resulting from architect/engineer omissions alone during this period. This number may better reflect the reduction of change orders that may be attributed to the District's efforts to improve change order management as the total number includes change orders initiated by the District.

### Exhibit 10-10

## The Number Of Change Orders Due To Architect/Engineer Omissions Has Been Reduced By 51.0% In The Past Three Years

Number of Change Orders			
Type	1998-99	1999-00	2000-01
Architect/Engineer error	183	38	77
Hurricane Andrew	1	3	3
Architect/Engineer Omission	611	264	229
Other	234	91	129
Owner Request	142	64	44
Scope Change	325	324	283
Unforeseen	<u>437</u>	<u>220</u>	<u>174</u>
Totals	1933	1004	939

Source: Miami-Dade County Public Schools.

The total value of change orders has also been cut by almost one half over the past three years. As Exhibit 10-11 shows, the total value of change orders declined by 49.5% during this period. The decline in the total value of change orders related to architect/engineer omissions has been even more dramatic. Over the past three years, the value of such change orders has declined by 57.2%.

**Exhibit 10-11**

**The Dollar Value Of Change Orders Due To Architect/Engineer Omission Has Declined By 57.2% Over The Past Three Years**

Dollar Value of Change Orders			
Type	1998-99	1999-00	2000-01
Architect/Engineer error	\$558,982	\$237,810	\$384,544
Hurricane Andrew	\$2,774	\$550	\$0
Architect/Engineer Omission	\$2,201,562	\$1,036,341	\$942,988
Other	\$925,652	\$421,875	\$44,480
Owner Request	(\$2,220,046)	(\$3,814,610)	\$72,381
Scope Change	\$4,953,122	\$1,830,937	\$1,881,102
Unforeseen	<u>\$2,400,435</u>	<u>\$399,888</u>	<u>\$1,134,123</u>
Total	<b>\$8,822,481</b>	<b>\$112,791</b>	<b>\$4,459,618</b>

Source: M-DCPS.

**27** District architects recommend payment for construction projects based on the percentage of work completed and a percentage of the contract is withheld pending completion of the project.

**Payments to Contractors Are Appropriate**

The District's approach to paying for construction projects is well articulated and appropriately protects the District's interests. The Facilities Planning, Design and Construction Manual, the Contractors Requisition for Partial Payment and the standard construction contract form each mandate the use of percentage of completion method for paying construction contractors (i.e., the contractor is paid on the basis of work in place at the time the requisition is submitted). In addition, the District withholds 10% until the project is completed. The Facilities Planning, Design and Construction Manual and the Contractors Requisition for Partial Payment also mandate that payment may not be made without the architects review and signature. Indeed, the Contract Management Office will not process payments to contractors without the signatures of both the architect and the project manager. Payments are usually made within ten days after Contract Management receives all properly executed documents.

Not only have appropriate payment procedures been established but these procedures are consistently implemented. A review of ten different construction payment files disclosed that all payments were approved by both the architect and the District project manager, all payments were based on percentage of project completion and a portion of each payment was withheld (retainage) pending the completion of work that must be corrected prior to occupancy.

## **28** The District requires the appropriate inspection of all school construction projects.

### **The process for building code construction inspection is adequate**

The Pre-Qualifications and Educational Facilities Compliance Office oversees all building code inspections. This department engages, on average, four engineers to conduct Uniform Building Code inspections during construction and at the completion of all construction projects (including both new building construction and renovations). These engineers, who maintain \$1.0 million of liability insurance, use their professional licenses to certify that the buildings meet Florida code. In addition, these engineers approve occupancy after a final inspection has been performed and all deficiencies have been cleared.<sup>26</sup> The inspector certifies on the inspection report that occupancy is approved and the date of the approval is recorded in the OEFTRACK database maintained by the Educational Facilities Compliance office.

A review of a sample of construction projects revealed that building code inspections were made and corrective actions were identified and listed in the file. Certificates of occupancy for these projects were not authorized until all corrective actions were made to the satisfaction of the inspector. In addition, a review of these construction files indicated that all required documentation was filed with the state as new schools and additions were completed.

## ***Evaluation of New Construction and Training for New Users***

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## **29** The extent to which the District conducts a comprehensive orientation to new facilities prior to their use is inconsistent.

The construction contractors are required to train District and school personnel in the proper operation of equipment and to orient them to new facilities. Interviews conducted with school staff during site visits suggest that orientations are performed at some schools but not at others. These findings are supported by the results of the employee survey. Slightly more than one-fourth of the survey respondents (27.9%) "agree" or "strongly agree" with the statement, "The District provides a customized orientation for school staff in newly constructed schools" while slightly less than one-third of the survey respondents (31.1%) "disagree" or "strongly disagree" with this statement. These findings suggest that orientations are performed at some new facilities but not in others.

- *We recommend that the district provide comprehensive orientations to the users of all new facilities.*

Action Plan 10-23 provides the steps needed to implement this recommendation.

---

<sup>26</sup> The Educational Facilities Compliance Office maintains files of any "punch list" items that may have caused a site to fail inspection.

**Action Plan 10-23**

Provide orientations to all new facilities	
Strategy	Ensure that an orientation is provided for each new facility.
Action Needed	Step 1: Each year, identify all new facilities to be brought on-line.
	Step 2: Develop an orientation for the users of each new facility.
	Step 3: Provide orientations as facilities are brought on-line.
Who Is Responsible	Chief Facilities Officer
Time Frame	July 2002
Fiscal Impact	This recommendation can be completed with existing resources.

# **30** A formal post occupancy review process has not been designed to provide feedback on projects under review.

A post occupancy evaluation is currently carried out for some new facilities at the end of the first year of occupancy as part of warranty procedures. A contractor's responsibility for year one related construction items is not closed out until there is satisfactory operation and performance. However, the District selects only a sampling of projects for post occupancy evaluation. For the most part these are prototype projects that the District expects to do again.

Interestingly, post occupancy evaluations are not currently thought of as a tool to solve problems in the school that is the subject of the evaluation, rather the results of these evaluations are used to modify design standards or master specifications. In a site visit to one school, the kiln had been fired up only once or twice, but had not heated up sufficiently to fire the pots. The art teacher was told that the problem was due to faulty wiring and closed off the kiln room, storing materials in front of the door. Had a post occupancy evaluation been performed at this school, the defect would have been identified and the problem fixed. Instead, the children served by the school are unable to use the kiln room that has been provided for them.

- *We recommend that post occupancy evaluations be done at every school to provide utilization and operations feedback on the quality of work performed.*

Action Plan 10-24 provides the steps needed to implement this recommendation.

**Action Plan 10-24**

Link post occupancy reviews with planning and design for major construction projects	
Strategy	Place the responsibility for post occupancy evaluations with the planning department and require reviews for all major construction projects.
Action Needed	Step 1: Review "Post Construction" procedures in Section 8 of the MDCPS Facilities, Planning, Design and Construction Manual.
	Step 2: Develop a simplified post occupancy review process that focuses on building performance from the point of view of school-based staff, students and community and school based engineers and custodians.
	Step 3: Modify guideline to make simplified post-occupancy reviews mandatory for all major construction projects.
	Step 4: Establish criteria for in-depth post occupancy evaluations—for example, when determining whether or not to re-use design, to evaluate contractor performance, or to fully understand issues of cost.
	Step 5: Undertake a limited number of in-depth post-occupancy evaluations.

Step 6: Bring results of post occupancy evaluations back to the Technical Review Committee on a regular basis and to the citizen's School Site Planning and Construction Committee.	
Who Is Responsible	Chief Facilities Officer
Time Frame	June 2003
Fiscal Impact	This recommendation can be completed with existing resources.

Source: Berkshire Advisors Inc.

## 31 No reliable feedback loop on post occupancy evaluations has been established.

### Building evaluations for new construction and major building improvements are not currently performed in a systematic way

Building evaluations are not currently performed in a systematic way. Instead, information on the usability of design and the quality of construction may be passed to project managers through informal contacts between the principals and project managers. Only the egregious problems, which need to be addressed through litigation, are addressed in a systematic way. As of August 2001 Miami-Dade County Public Schools was party to 17 lawsuits over construction or design. In addition there were another 80 to 90 projects perceived to be "in trouble" but for which litigation has not yet been initiated. In one recently completed school that was visited, it was found that the kiln did not work. The art teacher had noticed this immediately after school opening. However, a number of years later it still didn't work. This would have easily been identified if 1) there had been a post occupancy evaluation and 2) the information collected at the post occupancy evaluation had been provided to District persons responsible for construction and equipment warranties.

- *We recommend that the results of post occupancy evaluations be given to the Technical Review Committee, the citizen's Site Selection and Construction Committee, the local school, and to the appropriate project management or maintenance staff, if remediation is required.*

Action Plan 10-24 provides the steps needed to implement this recommendation.

## 32 The District collects but does not analyze or forward maintenance cost data to staff responsible for developing facility plans and standards.

### Systems have not been established to facilitate the flow of information on facilities maintenance to the staff responsible for developing construction standards

The District's Maintenance Department and the Facilities Planning and Standards Department (the unit responsible for maintaining and updating the District's design standards and educational specifications) meet frequently and appear to cooperate effectively. However, the formal systems needed to ensure the effective flow of information between these two organizational entities are not in place. For example, the District currently collects information on energy and maintenance costs by site but does not routinely pass this data to the Facilities Construction Department. Likewise, the Maintenance Department's COMPASS system does not interface with the Construction Department's PMIS system. In addition, the Maintenance Department is no longer represented on the Technical Review Committee (TRC) charged with reviewing all requests for construction change orders.

## *Facilities Construction*

### **Additional improvements in the design process and in the development of educational specifications should be pursued**

The Facilities Planning and Standards Office has implemented some design and specification changes as a result of feedback from the Maintenance Department and the Quality Assurance inspection staff. Facilities Planning and Standards staff have also initiated studies of certain school design issues that have resulted in the identification of less expensive construction methods. Overall, these efforts have achieved significant success. Recent studies have identified construction cost savings of more than \$4 million over the next five years.

Additional efforts to analyze and develop improvements in the design process and in the development of educational specifications have been stymied by a lack of staff. At present, there are only two staff members who perform these analyses and both of these staff also share responsibility for coordinating post occupancy review. With additional resources it seems likely that additional opportunities to reduce construction costs can be identified.

## **Recommendations**

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- *We recommend that the District begin regularly forwarding maintenance cost data to the Facilities Planning and Standards office and that the two departments should jointly design useful reports that can be used to identify opportunities to reduce long term operating costs.*

Action Plan 9-7 of Chapter 9 (Use of State and District Construction Funds) provides the steps needed to implement this recommendation.

- *We recommend that the District add an additional professional staff member to the Facilities Planning and Standards office to conduct additional life cycle cost studies.*

Action Plan 9-8 of Chapter 9 (Use of State and District Construction Funds) provides the steps needed to implement this recommendation.

# The 2002 Sterling Navigator Feedback Report Miami-Dade County Public Schools Construction



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# 1 Introduction

This feedback report is a summary of the findings from the Sterling Navigator self-assessment survey. This information provides a baseline measurement against the Sterling Criteria for Organizational Performance Excellence based on the responses of the survey participants.

The feedback report includes a description of the strengths within the organization and the areas most needing improvement. Each section includes an introduction page describing the data included and how it should be used. The report includes data tables, Pareto charts, bar graphs, and summarized comments and suggestions from survey participants.

The next steps are to determine the priorities for your organization and define action steps to help you on your journey to organizational performance excellence.

## 2 Demographics

The Demographic Section is designed to provide the organization with a description of the type and number of people who received and completed the assessment.

This information is useful to help understand and reach conclusions about the data that are reported. In addition, by understanding the composition and characteristics of the respondents, you can better analyze the meaning of the results. For example, let's assume that 200 surveys were distributed and 100 were completed. Of those completed, 95 came from managers and 5 came from individual contributors (employees). Knowing the demographics helps us understand the limits that we can place on interpreting the data. It also leads us to question why, in this hypothetical case, the vast majority of employees did not respond.

2.1 Organization Demographics

SURVEYS DISTRIBUTED	60
SURVEYS RETURNED	60
PERCENT RETURNED	100%

## 2.2 Survey Demographics – Position

Attribute/Value	Number Responded	Response as % of Total
Position		
General Labor	5	8%
Managerial	28	47%
Miscellaneous	9	15%
Secretarial/Clerical	18	30%
<b>Total</b>	<b>60</b>	<b>100%</b>

## 2.3 Survey Demographics – Job Function

Attribute/Value	Number Responded	Response as % of Total
<b>Job Function</b>		
Capital Construction Compliance	11	18%
Design & Construction	22	37%
Facilities Support Service	27	45%
<b>Total</b>	60	100%

## 2.4 Survey Demographic – Location

Attribute/Value	Number Responded	Response as % of Total
Location		
Miami-Dade County Public Schools	60	100%
<b>Total</b>	<b>60</b>	<b>100%</b>

### 3 Scoring System

This section contains the scoring system and values used to determine your score. This scoring system allocates 1000 weighted points based on the organization's management system and related performance results. This section explains the distribution of weighted points available for each item of the Sterling Criteria that defines the system of organizational performance excellence. The point values reflect the relative degree of importance or emphasis placed on each of the items.

Points are determined by multiplying the allocated points for each item by the percentage, on a 0 to 100 percent scale, that reflects the degree of development in the organization's approach/deployment or in the strength of business results. For your convenience, the scoring guidelines for approach, deployment, and results are provided.

More detailed information on scoring the categories and items can be found in the **2002 Sterling Criteria for Organizational Performance Excellence** available from the Florida Sterling Council.

### 3.1 2002 Categories and Point Values

#### Categories/Items Point Values

##### 1.0 Leadership 150

##### 1.1 Organizational Leadership ..... 120

- 1A Organizational Values and Performance Expectations
- 1B Leadership Commitment to Creating and Balancing Value for Customers
- 1C Establishing and Reinforcing Empowerment, Innovation and Learning
- 1D Reviewing Organizational Performance and Capabilities: Assessing Progress Relative to Goals

##### 1.2 Public Responsibility and Citizenship ..... 30

- 1E Regulatory, Legal, and Ethical Compliance
- 1F Community Support

##### 2.0 Strategic Planning 100

##### 2.1 Strategy Development ..... 40

- 2A Strategic Planning Process
- 2B Planning Based on Customer and Other Data

##### 2.2 Strategy Deployment ..... 60

- 2C Clear Strategic Goals, Timetables, and Action Plans (Including Human Resources)
- 2D Key Measures/Indicators for Tracking Action Plan Progress
- 2E Communication and Deployment of Strategic Goals, Action Plans, and Measures

### 3.0 Customer and Market Focus 100

#### 3.1 Customer and Market Knowledge.....50

- 3A Grouping Customers and Markets and Gathering Information On Customer Requirements
- 3B Determining Requirements for Key Product and Service Features Important to Customers

#### 3.2 Customer Relationships and Satisfaction .....50

- 3C Establishing and Maintaining Customer Relationships
- 3D Determining and Deploying Customer Contact Requirements
- 3E Making It Easy for Customers to Seek Assistance, Get Information, and Complain
- 3F Resolving Customer Complaints Effectively and Using Them to Improve
- 3G Determining Customer Satisfaction and Dissatisfaction

### 4.0 Information and Analysis 100

#### 4.1 Measurement and Analysis of Organizational Performance.....60

- 4A Selecting the Right Product and Service Process Measures
- 4B Selection and Use of Comparative Data and Information
- 4C Data Analysis to Assess Performance and Set Priorities

#### 4.2 Information Management.....40

- 4D Ensuring Reliable, Accurate, Accessible, and Timely Data
- 4E Ensuring Reliability and User-Friendliness of hardware and Software

## 5.0 Human Resource Focus 100

5.1 Work Systems .....	40
5A Optimizing Employee Participation and Effectiveness	
5B Performance Management, Compensation, and Recognition to Support Organizational Goals	
5C Recruiting, Hiring, and Retaining Employees	
5.2 Employee Education, Training, and Development.....	30
5D Providing Training to Support Organization Needs and Action Plans	
5E Designing and Delivering Training for Maximum Effectiveness	
5.3 Employee Well-Being and Satisfaction.....	30
5F Providing a Safe and Healthful Work Environment	
5G Meeting the Needs of a Diverse Work Force	
5H Assessing and Improving Employee Satisfaction and Well-Being	

## 6.0 Process Management 120

6.1 Product and Service Processes .....	60
6A Key Product, Service, Business, and Support Processes	
6B Designing and Delivering Products and Services	
6.2 Business Processes.....	40
6C Determining Business and Support Process Requirements	
6D Measuring, Managing, and Improving Key Processes	
6.3 Support Processes .....	20
6E Minimizing Errors, Defects, and Rework	

<b>7.0 Business Results</b>	<b>330</b>
7.1 Customer-Focused Results .....	100
7A Customer Satisfaction/Dissatisfaction Results	
7B Product and Service Performance Results	
7.2 Financial and Market Results .....	80
7C Financial Results	
7D Market Results	
7.3 Human Resource Results .....	50
7E Human Resource Results	
7.4 Organizational Effectiveness Results .....	100
7G Organizational Effectiveness Results	
<b>TOTAL POINTS</b>	<b>1000</b>

### 3.2 Scoring Guidelines for Categories 1-6: Approach/Deployment

Score	Approach	Deployment
0%	Anecdotal, no systematic approach evident.	Anecdotal, undocumented.
10%	Beginning of a systematic approach is somewhat evident. Mostly reactive approach to problems.	Isolated units are using improvement practices, most are not (many key requirements of the item not addressed or not practiced by most components).
20%	A partially systematic approach is evident to a limited extent. Generally reactive to problems. In early transition from being reactive to a general improvement orientation.	Some major gaps in deployment exist. A few units are using improvement practices, but many are not (some key requirements of the item not addressed or not practiced by many components).
30%	A systematic approach is somewhat evident and still evolving. Transitioning from reactive to proactive problem solving (prevention). Random improvements may have been made.	Some major gaps in deployment exist (A few key requirements of the item not addressed or not practiced by components). Most work units in the early stages of development.
40%	An effective systematic approach is clearly in place. Some emphasis on prevention. The beginning of systematic evaluation and improvement system is evident. Random improvements may have been made.	A few major gaps in deployment exist (some minor requirements of the item not addressed or not practiced by components). Many work units in the early stages of development.
50%	An effective systematic approach is fully developed. Prevention and fact-based improvement system includes process evaluation (but no systematic refinements are in place). Random improvements may have been made.	No major gaps in deployment exist (a few minor requirements of the item not addressed or not practiced by some components). Some work units in the early stages of development.
60%	Systematic approach is fully developed and clearly in place. Prevention and fact-based improvement system includes at least one evaluation and improvement cycle completed, including some systematic refinement.	No major gaps in deployment exist (a few minor requirements of the item not addressed or not practiced by a few components). A few work units may still be in the early stages of development.
70%	An effective, fact-based, integrated improvement system is fully developed and clearly in place. Some systematic evaluation and improvement cycles are in place and refinements are evident.	No major gaps in deployment with some work units in the middle to advanced stages of development (overall requirements of the item are addressed and practiced by all components).
80%	An effective and preventative, fact-based, integrated improvement system is fully developed and clearly responsive to current and changing business needs. Several systematic evaluation and improvement cycles are evident. A few innovative refinements are evident.	No major gaps in deployment with many work units in the advanced stages of development (overall requirements of the item are addressed and practiced by all components).
90%	A preventative, fact-based, integrated quality system is fully developed and systematically refined through several evaluation and improvement cycles to meet all current and changing business needs. Some innovative processes are evident with many refinements.	Approach is fully deployed to most work units in the advanced stages of development (overall requirements of the item are addressed and practiced by all components).
100%	A preventative, fact-based, integrated quality system is fully developed and systematically refined through several evaluation and improvement cycles to meet all current and changing business needs. Many innovative processes are evident with many refinements.	Approach is fully deployed with most to all work units in the advanced stages of development (all requirements of the item are addressed and practiced by all components).

### 3.3 Scoring Guidelines for Category 7 – Business Results

SCORE SCORING RESULTS	
0%	No results or poor results in areas reported
10%	Results not reported for most areas of importance to the organization's key requirements. Limited positive results and/or limited good performance in areas of importance to the organization's key requirements.
20%	Results not reported for many to most areas of importance to the organization's key requirements. Some positive results and/or early to early good performance in areas of importance to the organization's key requirements.
30%	Results are reported for many areas of importance to the organization's key requirements. Improvements and/or good performance levels are reported in many of those areas. Early stages of developing trends, but there is little or no comparative information.
40%	Results are reported for most key areas of importance to the organization's key requirements. Improvements and/or good performance levels are reported in many of those areas. Early stages of developing trends and obtaining comparative information.
50%	Results are reported for most areas of importance to the organization's key requirements. Positive trends and/or good performance levels are reported in areas of strength relative to comparisons or benchmarks. There is no pattern of adverse trends and no poor performance in areas important to the key requirements.
60%	Results are reported for most areas of importance to the organization's key requirements. Positive trends and/or good performance levels are reported in areas of strength relative to comparisons or benchmarks. There is no pattern of adverse trends and/or poor performance in areas important to the key requirements.
70%	Results are reported for most areas of importance to the organization's key requirements. Positive trends and/or good performance levels are reported in many of those areas relative to comparisons or benchmarks. A few areas of leadership are demonstrated.
80%	Results are reported for most areas of importance to the organization's key requirements. Positive trends and/or excellent performance are reported in many of those areas relative to comparisons or benchmarks. Some areas of leadership are demonstrated.
90%	Results fully address all areas of importance to the organization's key requirements. Positive trends and/or excellent performance are reported in most areas relative to comparisons or benchmarks. Many areas demonstrate leadership.
100%	Results fully address all areas of importance to the organization's key requirements. Excellent trends and/or excellent performance are reported in all areas of importance to the organization's key requirements. Many areas demonstrate leadership.

## 4 Survey Results

This section contains the percentage of points your organization earned by category. For Categories 1 through 6, the percent (%) of total points refers to the scoring guidelines for approach and deployment. For Category 7, the percent (%) of total points refers to the scoring guidelines for results, all of which are listed in Section 3.

Please keep in mind the maximum score your organization can possibly achieve on the Sterling Navigator is 467 points. This can be broken out as 50% of the 670 total points available in Categories 1 – 6, and 40% of the 330 total points available in Category 7.

Your organization scored 248.12 points out of a possible 467 points.

Your organization was awarded 53.13% of the possible points available.

## 4.1 Totals by Category

2002 Sterling Criteria		Total Points	% of Total Points	Points Scored
1. Leadership	150	28.49%	42.73	
2. Strategic Planning	100	25.83%	25.83	
3. Customer & Market Focus	100	30.19%	30.19	
4. Information & Analysis	100	29.15%	29.15	
5. Human Resource Focus	100	24.61%	24.61	
6. Process Management	120	29.71%	35.65	
7. Business Results	330	18.17%	59.95	
Totals		1000	24.81%	248.12

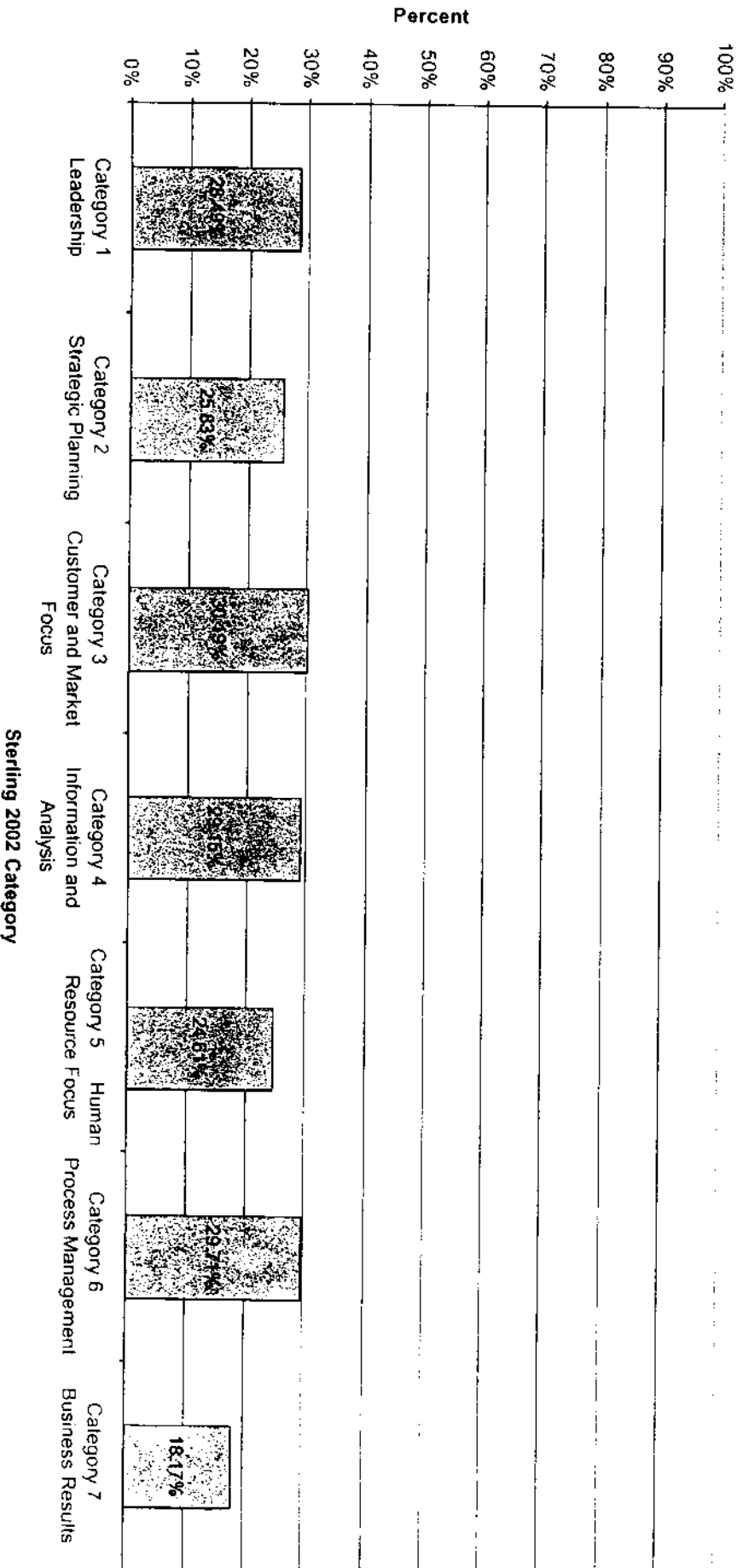
## 5 Organization Score

The bar chart found in Section 5.1 provides a graphic depiction of the percent score by category. These scores reflect the aggregate level of development based on all of the items within each category. These are raw percent scores that have not been multiplied by the weighted points allocated for each item.

The bar chart found in Section 5.2 provides a graphic depiction of the percent score by item. These scores reflect the level of development of each of the items individually. These are raw percent scores that have not been multiplied by the weighted points allocated for each item to produce a final point score.

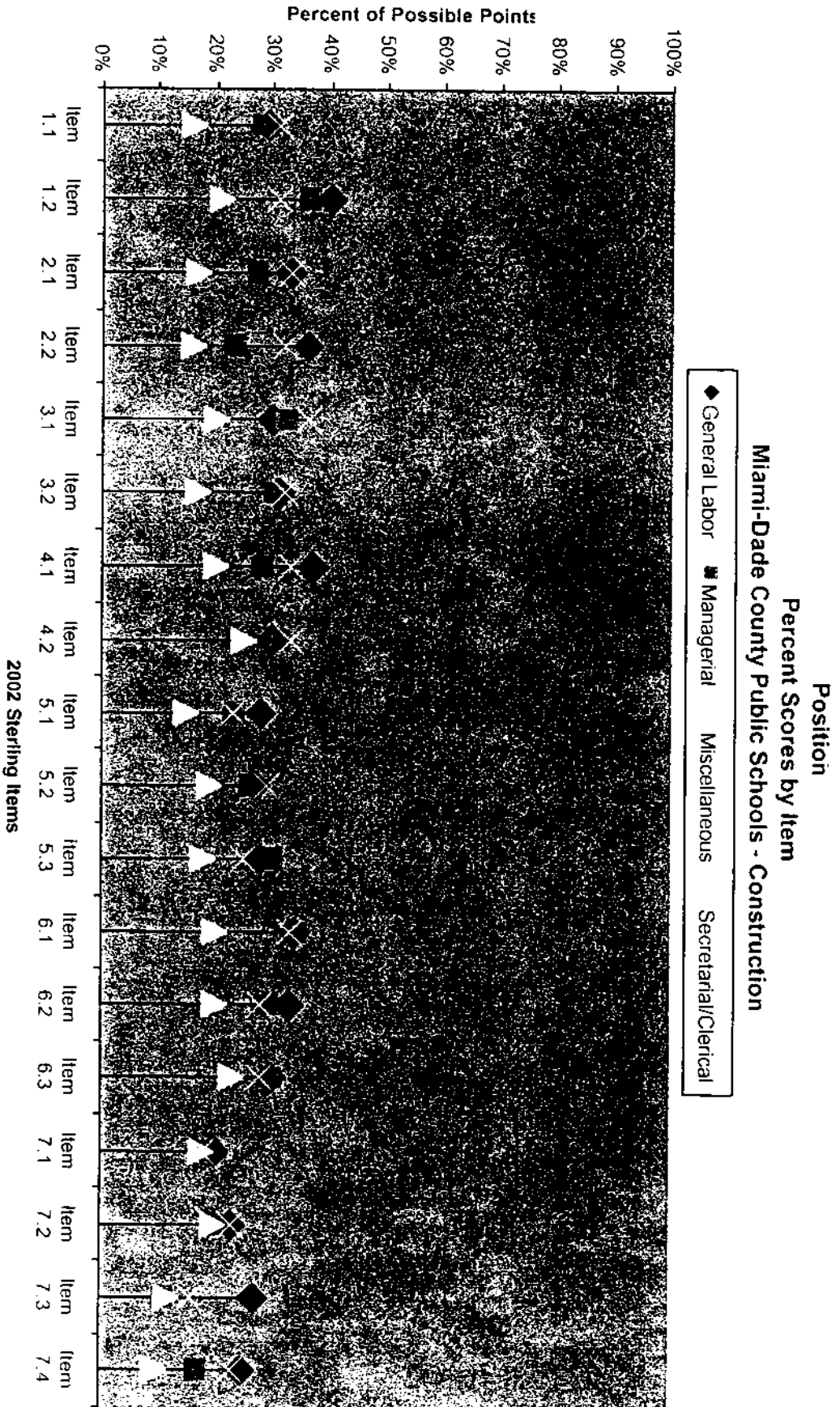
## 5.1 Overall Percent Score by Category

Miami-Dade County Public Schools - Construction  
Overall Percent Scores by Category

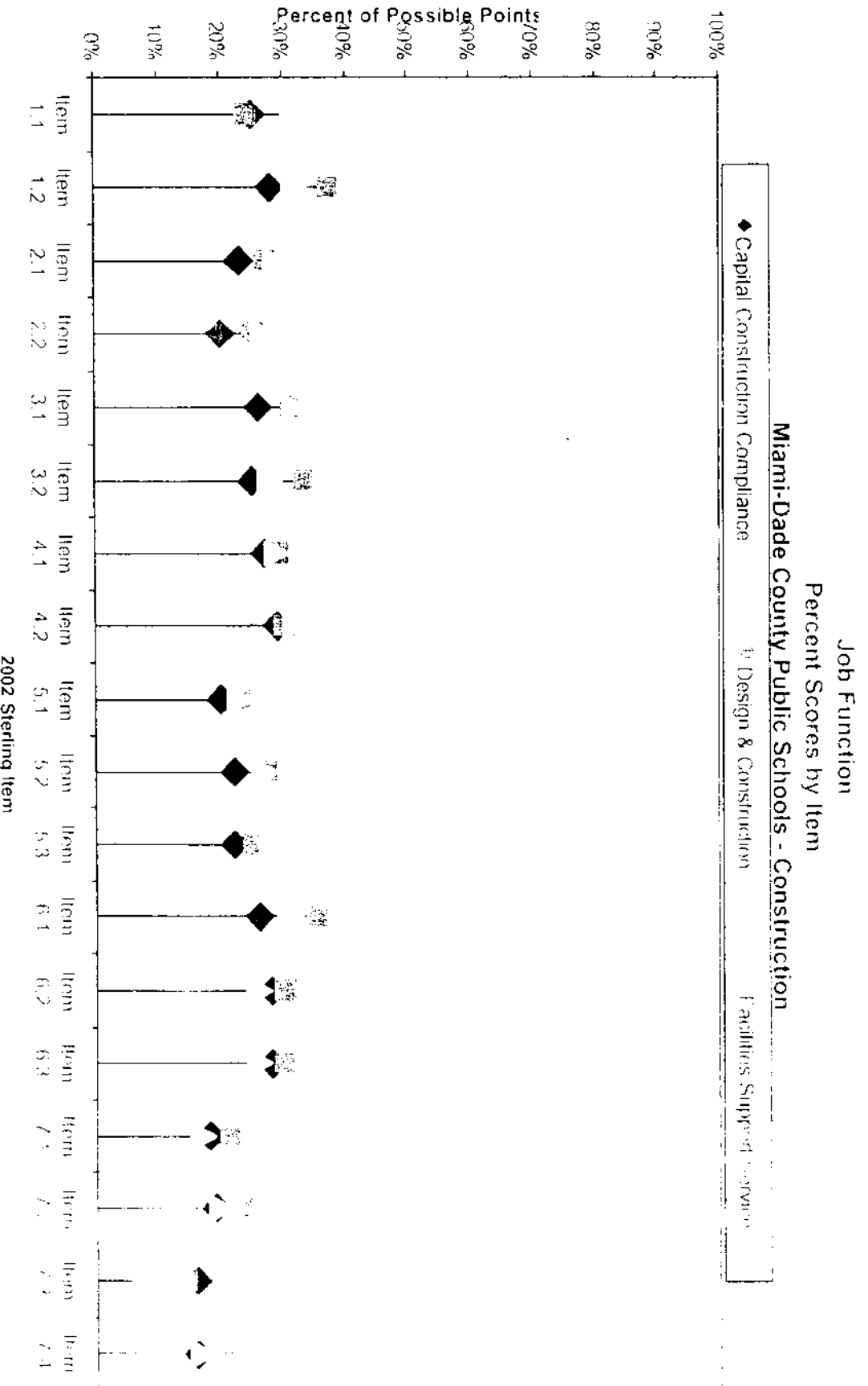




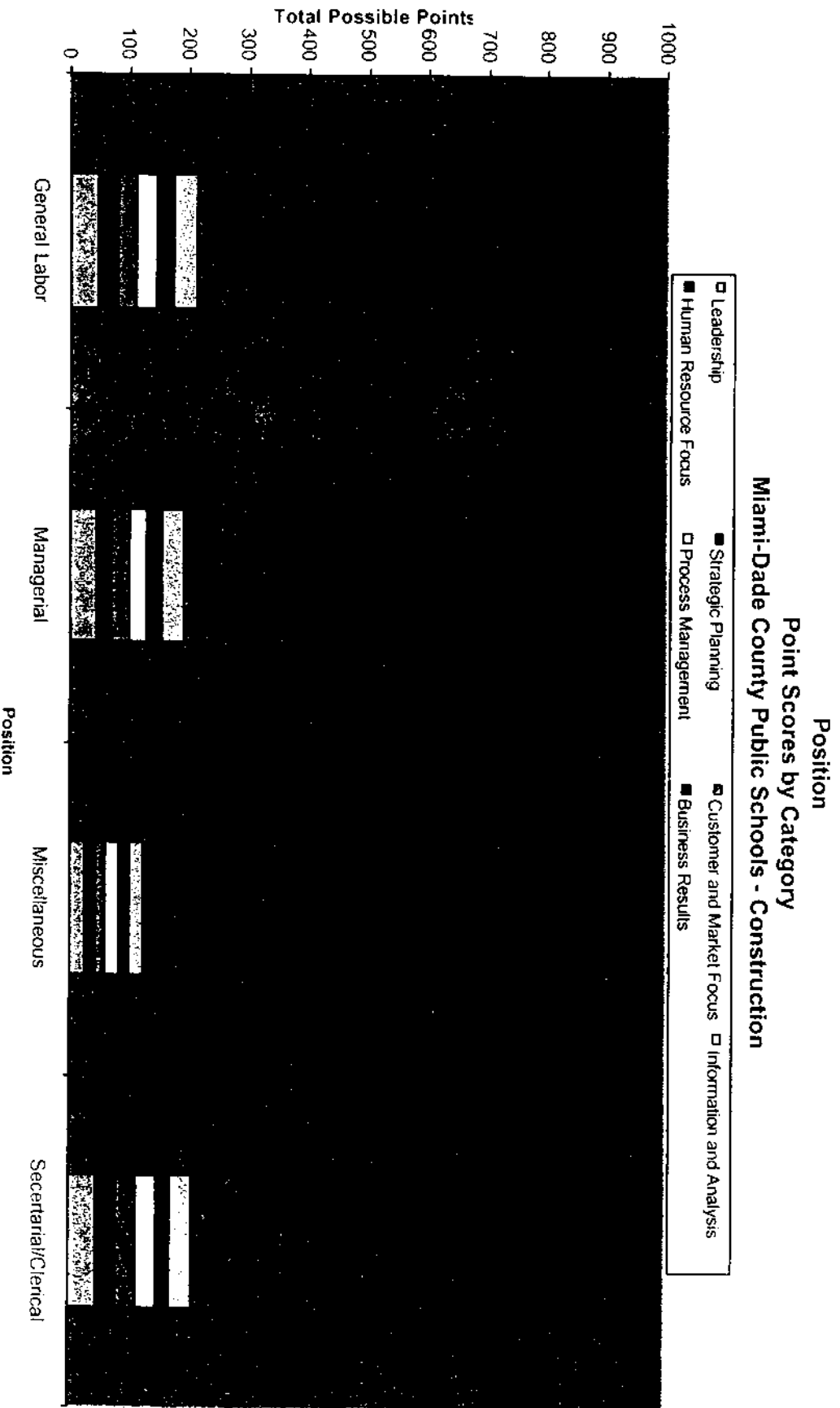
## 5.3 Item Percent Score - Position



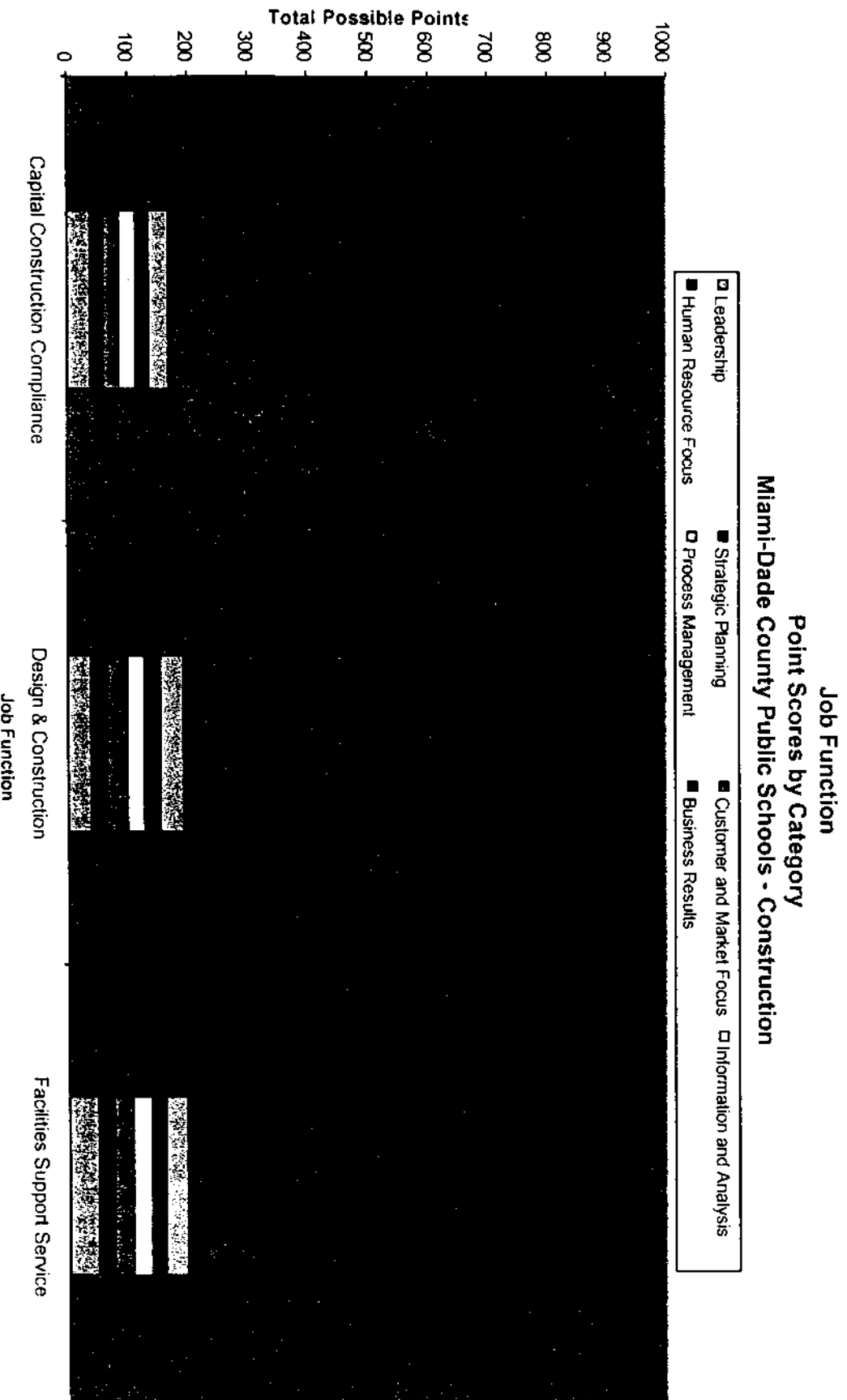
## 5.4 Item Percent Scores -- Job Function



### 5.5 Point Scores – Position



## 5.6 Point Scores – Job Function



## 6 Overall Row Scores

The overall row score average and the percentage relate directly to the scoring guidelines found in Section 3.

The description of the organization's "current" state is taken directly from the narrative in the Sterling Navigator that reflects the mean score of all respondents. The "desired" state is taken directly from the narrative at the highest narrative level in the same row.

The number in the far left column represents the overall mean of the ratings on a scale of 1 to 5. If, for example, the number 2.5 appeared, the accompanying "current" narrative would be drawn from the column 3 descriptor for that item. The "desired" narrative would be drawn from the column 5 descriptor for that item.

The percent number, immediately to the right, indicates the percent score on a scale of 0 to 100 percent that would be earned based on the scoring guidelines of the Sterling Criteria.

The rest of the information on that line indicates the survey reference and title of the theme, for example, (1B Leadership Commitment to Creating and Balancing Value for Customers).

**1.0 Leadership**

Avg.	%	Row	Description
#	%	1A	<b>Organizational Values and Performance Expectations</b>
2.9	29	<b>Current</b>	<b>Some senior leaders and managers set, communicate, and use organizational values and performance expectations to manage some parts of the organization.</b>
		<b>Desired</b>	Most senior leaders and managers set, communicate, and use organizational values and performance expectations to provide direction for employees to help achieve performance goals. This process is routinely evaluated and some improvement has resulted.
#	%	1B	<b>Leadership Commitment to Creating and Balancing Value for Customers</b>
2.9	29	<b>Current</b>	<b>Some senior leaders and managers focus on creating a focus on creating maximum value for customers and stakeholders, but the process is generally informal and not fully implemented.</b>
		<b>Desired</b>	Many senior leaders and managers routinely focus on creating maximum value for customers and stakeholders. The formal processes are reviewed for effectiveness on a routine basis and some improvements have been made.
#	%	1C	<b>Establishing and Reinforcing Empowerment, Innovation, and Learning</b>
2.7	27	<b>Current</b>	<b>Some senior leaders and managers promote employee learning, innovation, and growth in some parts of the organization. Some employees are empowered to make decisions about work issues.</b>
		<b>Desired</b>	Most senior leaders and managers create and support the environment for employee learning and innovation. Employees are empowered to make decisions, and processes are in place to gather feedback from employees and are used to improve the work environment.
#	%	1D	<b>Reviewing Organizational Performance and Capabilities: Assessing Progress Relative to Goals</b>
2.5	25	<b>Current</b>	<b>Some senior leaders and managers review performance and assess progress against goals. They use some of these measures: financials, customer satisfaction, employee satisfaction, supplier performance, and internal operating performance, such as rework, defects, and cycle time.</b>
		<b>Desired</b>	Most senior leaders and managers review organizational performance and assess progress against short-term and long-term goals by using comparison data. Most of the following measures are reviewed: financials, customer satisfaction/dissatisfaction, employee satisfaction and motivation, supplier performance, and internal operating performance, such as rework, defects, and cycle time. Review findings are translated into action plans for improvement.

Miami-Dade County Public Schools - Construction

Avg.	%	Row	Description
#	%	1E	Regulatory, Legal, and Ethical Compliance
3.5	35	Current	Many parts of the organization have formal systems in place to ensure compliance with regulatory, legal, and ethical requirements. These systems have been reviewed for effectiveness.
		Desired	Most parts of the organization have formal systems in place to ensure the organization is in compliance with, or exceed regulatory, legal, and ethical business practices. These systems are reviewed periodically and refinements have been made.
#	%	1F	Community Support
3.2	32	Current	Some senior leaders, managers, and employees work to support and strengthen its key community.
		Desired	Most senior leaders and managers actively support community groups, and processes are in place to encourage employee involvement in activities and programs that support and strengthen the community. These processes are evaluated for improvement.

## 2.0 Strategic Planning

Avg.	%	Row	Description
#	%	2A	Strategic Planning Process
2.8	28	Current	A consistent process is in place to develop strategic plans and some employees are involved in the process.
		Desired	A formal, consistent process is used throughout most of the organization to develop strategic plans. The strategic planning process is reviewed and evaluated, and some improvements have been made.
#	%	2B	Planning Based on Customer and other Data
2.6	26	Current	A consistent process is in place to develop strategic plans that address some of these key factors: customer and market needs; competitive environment; technology; organizational strengths and weaknesses, including human resources; supplier capabilities, financial, societal, and other potential risks.
		Desired	A formal, consistent process is used to develop strategic plans that address most of the key factors. Improvements in the process for using data and information for strategic planning and setting performance goals, expectations, and priorities have been made.
#	%	2C	Clear Strategic Goals, Timetables, and Action Plans (Including Human Resources)
2.5	25	Current	The organization has clear strategic objectives, some action plans that include allocation of human and other resources, and some timelines for implementation. Some key employees know about and understand the objectives and plans.
		Desired	Most organizational decisions regarding resources are driven by the strategic objectives. Most employees follow timelines for implementation and check effectiveness of action plans in meeting organizational targets.
#	%	2D	Key Measures/Indicators for Tracking Action Plan Progress
2.7	27	Current	Some key measures and indicators are defined and tracked for strategic goals. Some measures have been defined and tracked for action plans.
		Desired	Most key measures/indicators for goals and action plans are defined, aligned, and tracked. The organization uses the measures to check effectiveness of action plans in meeting goals, and some improvements have been made.

Avg.	%	Row	Description
#	%	2E	Communication and Deployment of Strategic Goals, Action Plans, and Measures
2.4	24	Current	The organization communicates strategies and key measures for tracking progress. A few employee groups align their work.
		Desired	Strategic objectives and action plans drive the daily work of most employees at all levels of the organization. Leaders check the level of understanding and use the information to track alignment and performance at all levels of the organization.

### 3.0 Customer and Market Focus

Avg.	%	Row	Description
#	%	3A	Grouping Customers and Markets and Gathering Information on Customer Requirements
2.9	29	Current	A process is in place to gather information on preferences and key requirements of some customer groups.
		Desired	A process is in place to gather information on preferences and key requirements of most customer groups, including lost customers and customers of competitors. The process is also evaluated for its effectiveness.
#	%	3B	Determining Requirements for Key Product and Service Features Important to Customers
3.3	33	Current	A process is used in some areas of the organization to gather information from customers on product and service features they value most.
		Desired	A process is used in most areas of the organization to gather information from former, current, and potential customers to determine current product and service features they value most. The information is used to improve products and services, and to understand emerging requirements.
#	%	3C	Establishing and Maintaining Customer Relationships
3.1	31	Current	The organization has developed a plan to collect information from their former, current, and potential customers to determine some key factors that might lead to positive referrals.
		Desired	A process is in place to continually assess the relationships we build with most customers so that we maintain and improve these customer relationships.
#	%	3D	Determining and Deploying Customer Contact Requirements
3.5	35	Current	The organization has established a clearly defined set of customer contact standards for all contact groups that are understood and used by many areas of the organization.
		Desired	The organization has established a clearly defined set of customer contact standards for all contact groups that are understood and used by most areas of the organization. In most areas of the organization, measures are in place to track effectiveness and increase repeat business.

Avg.	%	Row	Description
#	%	3E	<b>Making It Easy for Customers to Seek Assistance, Get Information, and Complain</b>
3.0	30	<b>Current</b>	<b>A process is in place to make it easy for some key customers to seek assistance and complain.</b>
		<b>Desired</b>	A process is in place to make it easy for most key customers to seek assistance and complain. Measures are in place to monitor the effectiveness of the process and random improvements have been made.
#	%	3F	<b>Resolving Customer Complaints Effectively and Using Them to Improve</b>
2.7	27	<b>Current</b>	<b>The organization has a process in place for timely resolution of customer complaints. Some employees who receive complaints are trained and have the authority to resolve them. Complaint data are used in some parts of the organization to prevent problems from happening again.</b>
		<b>Desired</b>	The organization has a process in place for timely resolution of customer complaints. Most employees who receive complaints are trained and have the authority to resolve them. Complaint data are used in most parts of the organization to prevent problems from happening again. Most areas of the organization share complaint data with key suppliers and partners.
#	%	3G	<b>Determining Customer Satisfaction and Dissatisfaction</b>
2.4	24	<b>Current</b>	<b>The organization has a few measures of customer satisfaction and dissatisfaction. There is no formal process to gather this information.</b>
		<b>Desired</b>	The process for gathering customer satisfaction and dissatisfaction data is used in most parts of the organization, and the information is used to make improvements in daily work.

#### 4.0 Information and Analysis

Avg.	%	Row	Description
#	%	4A	Selecting the Right Product and Service Process Measures
3.2	32	Current	The organization gathers information and data, and has identified performance measures in some areas to support daily operations and decision-making.
		Desired	The organization consistently and reliably gathers information and data, and identifies measures to support daily operations and decision-making in most parts of the organization. The process for selecting and collecting data is reviewed and improvements have been made.
#	%	4B	Selecting and Use of Comparative Data and Information
2.7	27	Current	Information from competitors or similar organizations is collected for some key products, and processes. This information is used for organizational decisions.
		Desired	Information from competitors or similar organizations is collected for most key products, processes, action plans, and improvement areas. These data are used in most areas to drive performance improvement. The process for effective selection and use of comparative and competitive information is evaluated for improvement.
#	%	4C	Data Analysis to Assess Performance and Set Priorities
2.6	26	Current	Some financial and market, operational, and customer data are analyzed using some accepted techniques (e.g., trend analysis). Senior leaders and managers in some areas use the analyses to assess overall performance and set priorities.
		Desired	Financial and market, operational, customer, and human resource data are analyzed using a wide variety of accepted techniques (e.g., trend analyses, correlations, Pareto analyses, regression, and more sophisticated statistical analyses as appropriate. Senior leaders, managers, and employees in most areas and at most levels use the analyses to assess overall performance and set priorities.
#	%	4D	Ensuring Reliable, Accurate, Accessible, and Timely Data
3.0	30	Current	Some parts of the organization regularly check data to ensure accuracy and reliability.
		Desired	Most parts of the organization routinely check data to make sure that data collected, reported, and used for decision-making are complete, reliable, timely, and accurate. Data are accessible to most employees who need the information.

*Miami-Dade County Public Schools - Construction*

Avg. #	%	Row	Description
3.1	31	4E	Ensuring Reliability and User-Friendliness of Hardware and Software
		Current	Some employees have immediate access to hardware and software. The organization has a plan to update hardware with compatible systems. Some software has been chosen to manipulate data needed to monitor progress toward strategic goals and accomplishment of action plans, and to interact with customers.
		Desired	Also, the organization collects input on most indicators of quality, reliability, accessibility, and user-friendliness of hardware and software. Improvements have been made.

**5.0 Human Resource Focus**

Avg.	%	Row	Description
#	%	5A	Optimizing Employee Participation and Effectiveness
2.7	27	Current	Very little of the organization's work is directed by leaders who "micro-manage." Employees in some parts of the organization participate on teams and provide input on work improvement. Individual initiative, innovation, and flexibility are sometimes encouraged.
		Desired	Employees in most parts of the organization participate on teams and provide input on work improvement. Effective cooperation, communication, and knowledge/skill sharing take place across most work units.
#	%	5B	Performance Management, Compensation, and Recognition to Support Organizational Goals
1.9	19	Current	The organization provides feedback to a few employees about performance (e.g., annual performance appraisal), but the process does not tie pay or rewards to performance excellence.
		Desired	The organization provides honest and fair feedback to most employees about performance (e.g., annual performance appraisal with frequent updates). The process usually supports its performance goals. Pay and rewards are usually tied to performance excellence.
#	%	5C	Recruiting, Hiring, and Retaining Employees
2.2	22	Current	The organization has started to focus on defining a few profiles of new employees that will complement existing employees and fill gaps in personnel needed to drive the accomplishment of goals.
		Desired	Leaders ask for input from most new and experienced employees to improve its processes for recruiting, hiring, and retaining employees. This feedback is sometimes used for improvements.
#	%	5D	Providing Training to Support Organization Needs and Action Plans
2.8	28	Current	Some parts of the organization the education and training to short- and long-term business plans and employee needs. Some key areas of knowledge and skills receive on-the-job reinforcements from managers.
		Desired	Most parts of the organization the education and training to short- and longer-term business plans and employee needs. The education and training are often proactive to provide for future needs of the organization. Most key areas of knowledge and skills receive on-the-job reinforcement from managers. Leaders regularly ask for feedback on training.

Avg.	%	Row	Description
#	%	5E	Designing and Delivering Training for Maximum Effectiveness
2.4	24	Current	When education and training or employee orientation is being planned, a few employees and managers provide input. Delivery options are very limited.
		Desired	When education and training or employee orientation is being planned, most employees and their managers regularly provide input. Several different techniques are used to deliver education and training and employee orientation. A process is regularly used to evaluate the design, delivery, and impact of most training and education as they relate to improved job performance.
#	%	5F	Providing a Safe and Healthful Work Environment
3.0	30	Current	Some parts of the organization have formal processes to ensure a safe and healthful work environment. It focuses on some issues of top concern to employees, and focuses on improving many of these areas.
		Desired	Most parts of the organization have formal processes to ensure a safe and healthful work environment. At most locations it focuses on most issues of top concern to employees and usually exceeds many mandated requirements. The organization uses information to anticipate and prevent most health and safety problems in the workplace.
#	%	5G	Meeting the Needs of a Diverse Work Force
2.6	26	Current	The organization provides a menu of benefits, and employees have some choices to meet their diverse needs.
		Desired	The organization provides flexible services and benefits based on diverse employee needs. (Some examples could include job shares, job rotation, special leaves, flexible work hours, etc.). Feedback from employees is used to improve benefits and services.
#	%	5H	Assessing and Enhancing Employee Satisfaction and Well-Being
2.3	23	Current	A few measures of employee satisfaction and well-being are assessed by a few parts of the organization.
		Desired	Employee satisfaction and well-being are an organizational priority in most parts of the organization, and most improvements have been based on employee feedback. Data indicate that improved employee satisfaction supports better organizational results.

**6.0 Process Management**

Avg.	%	Row	Description
#	%	6A	Key Product, Service, Business, and Support Process
3.1	31	Current	Some key product and service processes, as well as business and support processes are identified as they relate to organizational goals.
		Desired	Most key product, service, business, and support processes are managed based on customer requirements that are established during the strategic planning process and these processes are aligned across most business units.
#	%	6B	Designing and Delivering Products and Services
3.1	31	Current	A process to design/deliver products and services to meet customer requirements is in place in some parts of the organization. Some parts of the organization actively use customer input to modify product and service designs.
		Desired	A process to design/deliver products and services to meet customer requirements is in place in most parts of the organization. Most parts of the organization actively use customer input to modify product and service designs early in the process. The effectiveness of the process is checked and improvements have been made.
#	%	6C	Determining Business and Support Process Requirements
2.8	28	Current	Leaders align some business and support processes to the organizational strategic plan and ask for input from some stakeholders to determine requirements.
		Desired	Most business and support processes are clearly defined and aligned to help drive organizational goals and meet or exceed customer requirements. Improvements have been made.
#	%	6D	Measuring, Managing, and Improving Key Processes
2.7	27	Current	A process is in place to define some key in-process measures and to use real-time feedback to determine how well key processes meet day-to-day operational and customer requirements and to manage them. Performance requirements are sometimes communicated to partners and suppliers. Some improvements have been made.
		Desired	In-process measures and feedback are used consistently to manage and improve most key processes. Most suppliers and partners check to see how well they are meeting requirements. Assistance is given to help them improve.

Avg.	%	Row	Description
#	%	6E	Minimizing Errors, Defects, and Rework
2.9	29	Current	The organization has defined a system to minimize errors, defects and rework within organizational processes. This system has been implemented for some key processes and internal processes and has begun to produce results.
		Desired	The organization has defined a system to minimize errors, defects and rework within organizational processes. This system has been implemented for most key processes and internal processes and to producing significant results throughout the organization.

**7.0 Business Results**

Avg.	%	Row	Description
#	%	7A	Customer Satisfaction/Dissatisfaction Results
2.7	27	Current	The satisfaction/dissatisfaction results are reported for some areas of organizational performance. Good performance levels are shown for some areas. The organization is beginning to segment some results, by customer groups and market, develop trends and get comparison data.
		Desired	Key results are reported for most areas of customer satisfaction. There are no adverse trends or poor performance. Positive trends are reported for comparison to similar organizations and benchmarks.
#	%	7B	Product and Service Performance Results
3.0	30	Current	Some key results are reported and address some areas of important product and service performance. A few results show good performance.
		Desired	Most key product and service results are reported by customer or market segment and address most areas important to the organization. There are no adverse trends or poor performance in key areas. Results show good to very good performance levels, positive trends, or improvement in most areas when compared to similar organizations or benchmarks.
#	%	7C	Financial Results
3.2	32	Current	Some key financial results are reported. Good performance levels or improvements are reported for some areas. The organization is beginning to develop trends and get comparison data.
		Desired	Most key financial results are reported and address most areas important to the organization. There are no adverse trends or poor performance in key areas. Results show good to very good performance levels, positive trends, or improvement in most areas when compared to similar organizations or benchmarks.
#	%	7D	Market Results
3.0	30	Current	Some key results are reported and address some areas of market performance. There are good performance levels or improvement in some areas. The organization is beginning to develop trends and get comparison data.
		Desired	Most key results are reported and address most measures of market performance. No adverse trends or poor performance in key areas. There are good to very good performance levels or improvement in most areas when compared to similar organizations or benchmarks.

Avg.	%	Row	Description
#	%	7E	Human Resource Results
2.4	24	Current	A few key results are reported. Good performance levels and improvement in a few areas important to employee satisfaction/dissatisfaction and well-being are reported.
		Desired	Most key results are reported by different types and categories of employees, and address most measures of importance to employee satisfaction, well-being, and work system performance. No adverse trends or poor performance in key areas. There are good to very good performance levels or improvement in most areas when compared to similar organizations or benchmarks.
#	%	7F	Organizational Effectiveness Results
2.8	28	Current	Some key operational results are reported and address some areas of organizational effectiveness and efficiency. There are good performance levels or improvement in some areas. The organization is beginning to develop trends and get comparison data.
		Desired	Most key operational results are reported and address most areas of organizational effectiveness and efficiency. No adverse trends or poor performance in key areas. There are good to very good performance levels or improvement in most areas when compared to similar organizations and benchmarks.

## 7 Pareto Charts

At the end of each category in the survey, respondents were asked to identify two areas most in need of improvement. Many times, respondents will select an area needing improvement that also scores low in the assessment. Other times, respondents may select a high scoring theme that, while relatively strong, still needs urgent improvement. This information is designed to help prioritize areas where improvements should be made. The data in this section have been captured graphically to help determine the areas most in need of improvement.

The data on the following Pareto charts are grouped from most frequently chosen response to least frequently chosen response. The scale on the left side indicates the number of times the theme was selected and the numbers on the right side indicate the percentage. The line sloping upward in the middle indicates the cumulative percent.

## 7.1 How to Interpret Pareto Charts

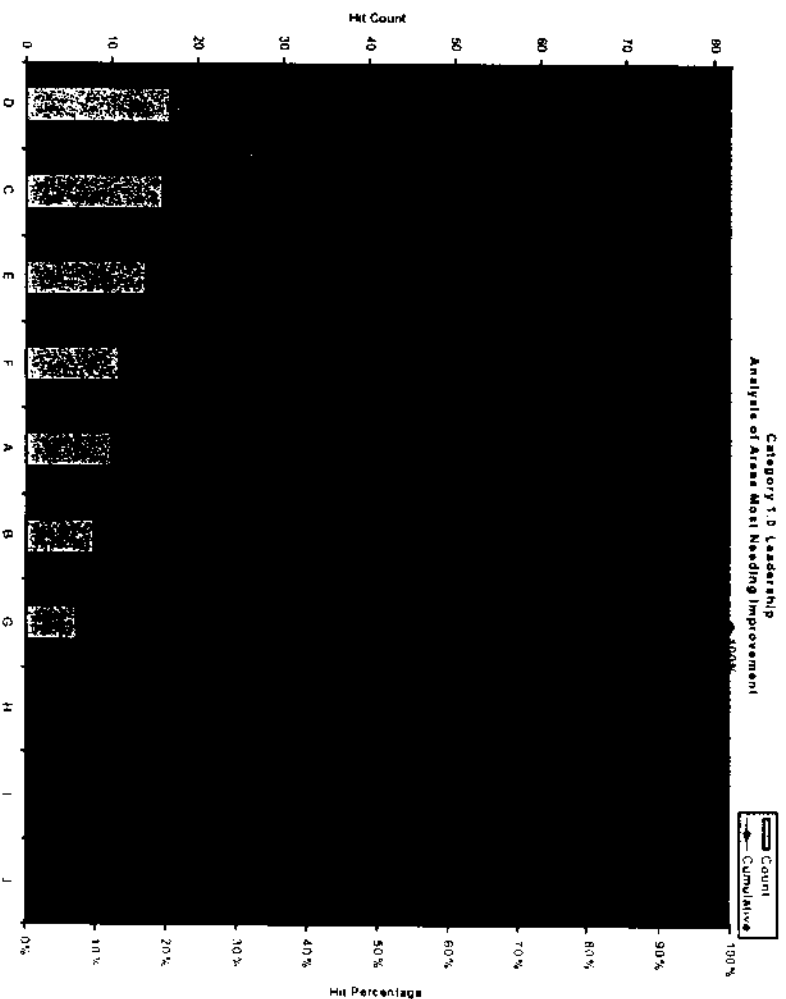
Employees in your organization have been asked to select two areas in each of the seven categories for performance excellence which they feel is in most need of improvement. The concept of a Pareto chart is to show that the areas in need of improvement are usually a vital few, allowing leaders to concentrate their focus on specific improvement efforts.

We have supplied you with a Pareto chart for each of the seven categories of the Florida Sterling Criteria for Organizational Performance Excellence.

Each chart will display the letters that correspond to the question rows for each of the seven categories along the x-axis. Along the y-axis both Count and Percentages are charted. The count of employee votes (Hits) for each area are represented as bars on the graph. The chart is arranged with the largest hit count on the left of the graph, indicating the area selected by employees which they overall feel is most in need of improvement. The line charted above the bars represents the cumulative percentages of each bar, from left to right.

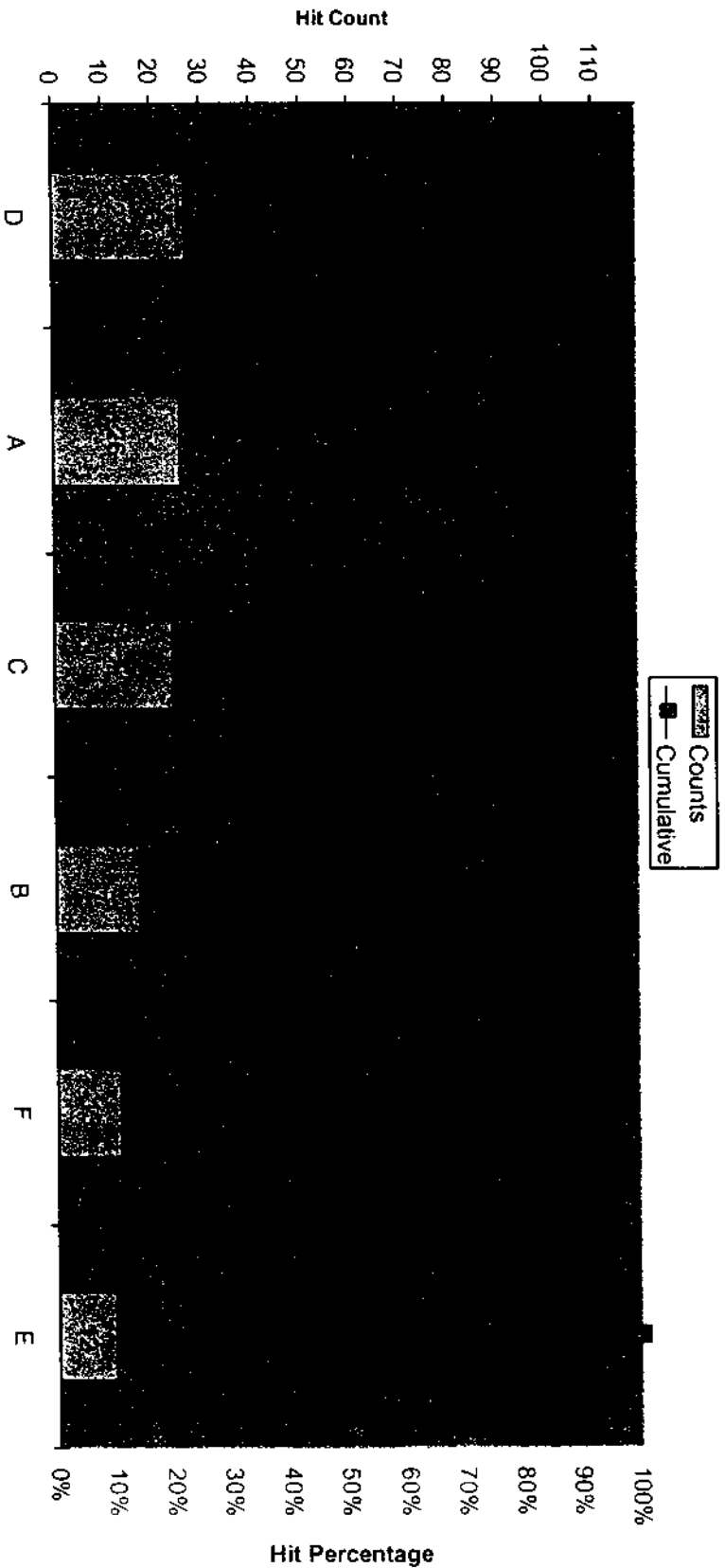
For example, in Figure 1, the letters D, C, E and F represent an opportunity to solve 71% of key issues in 40% of the areas (4 of 10) for the identified category (Leadership). In this example, the letters H, I and J did not receive any votes; these areas were not identified by employees as areas in need of improvement.

Figure 1



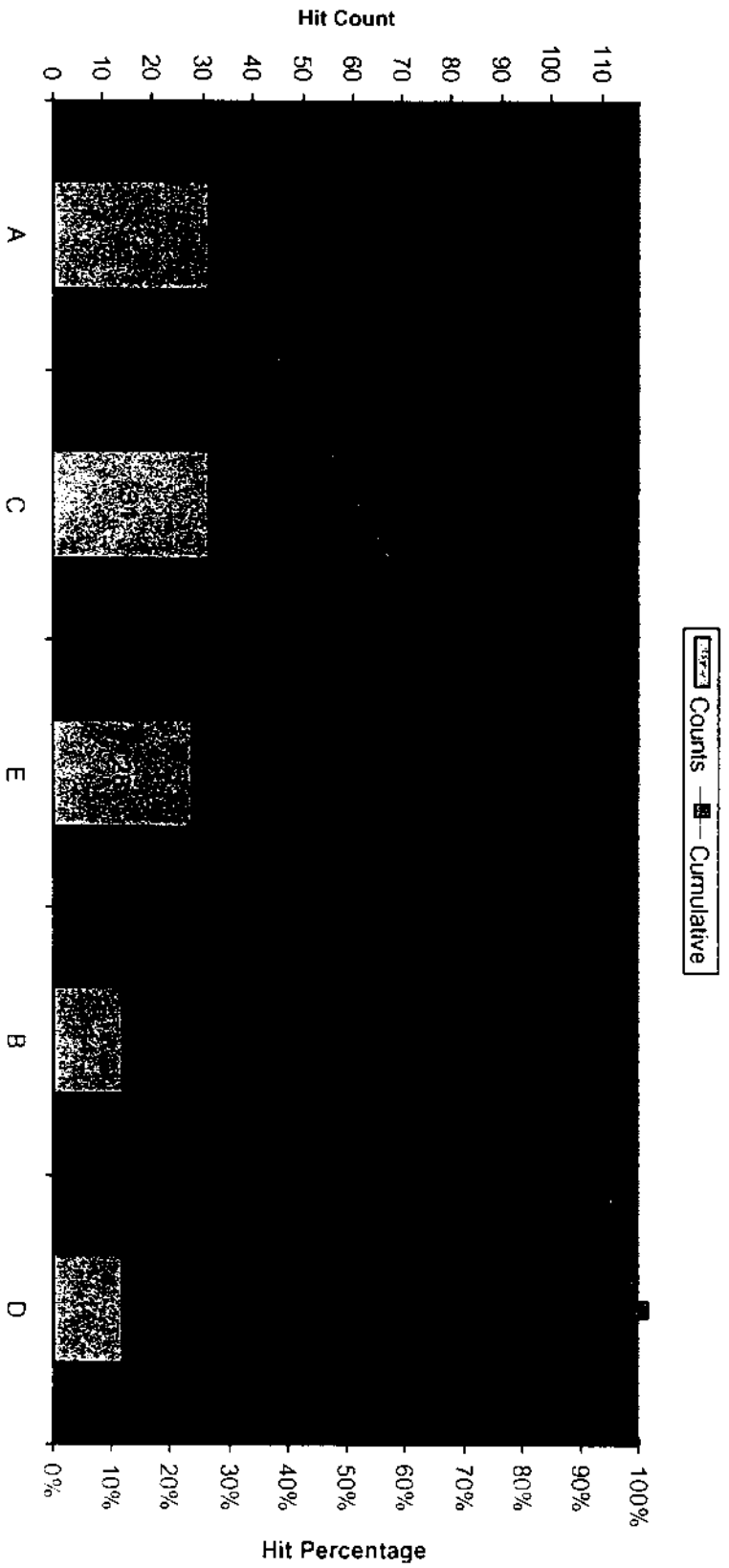
## 7.2 Pareto Charts by Category

### Miami-Dade County Public Schools - Construction Category 1.0 Leadership Analysis of Areas Most Needing Improvement



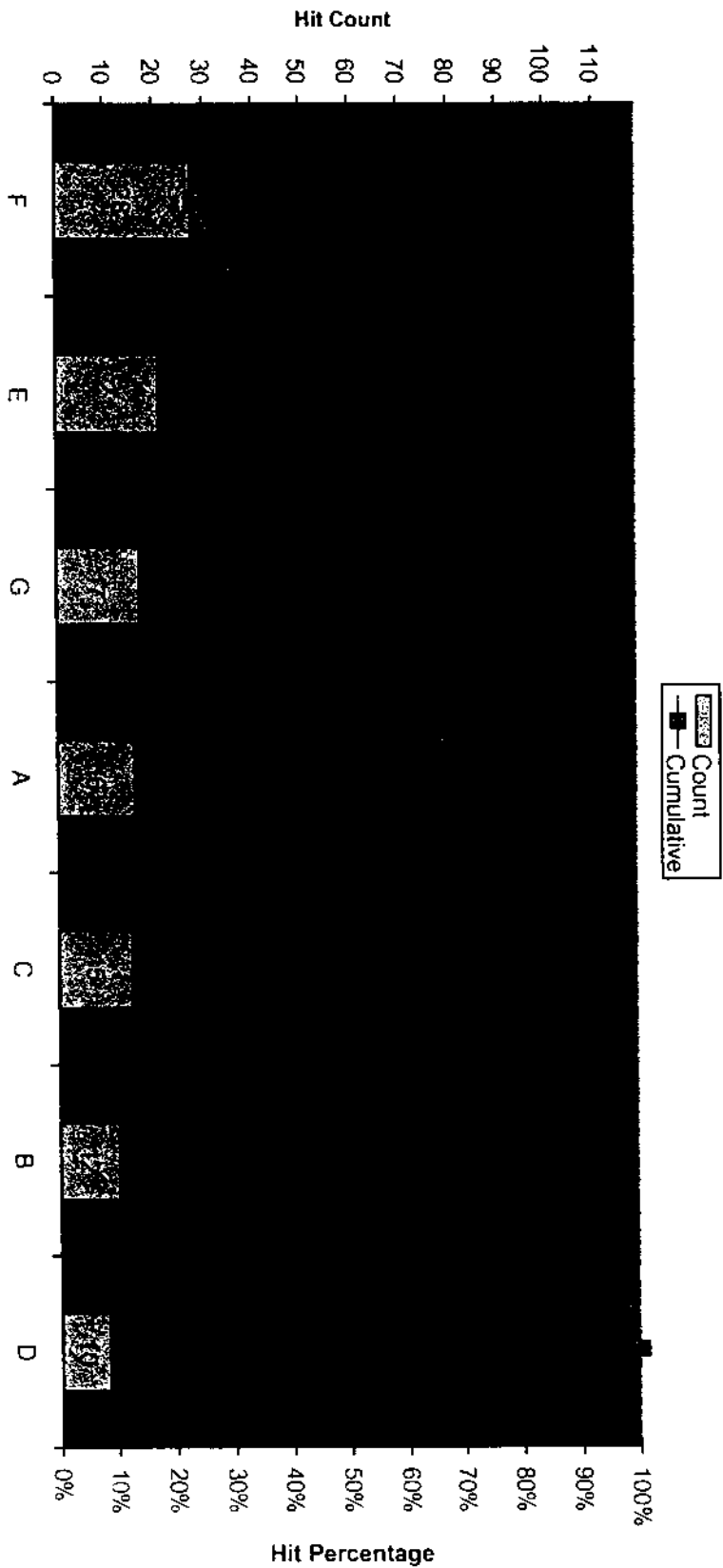
Letter Key for Category 1—Leadership			
<b>A</b>	Organizational Values and Performance Expectations	<b>D</b>	Reviewing Organizational Performance and Capabilities: Assessing Progress Relative to Goals
<b>B</b>	Leadership Commitment to Creating and Balancing Value for Customers	<b>E</b>	Regulatory, Legal, and Ethical Compliance
<b>C</b>	Establishing and Reinforcing Empowerment, Innovation, and Learning	<b>F</b>	Community Support

**Miami-Dade County Public Schools - Construction**  
**Category 2.0 Strategic Planning**  
**Analysis of Areas Most Needing Improvement**



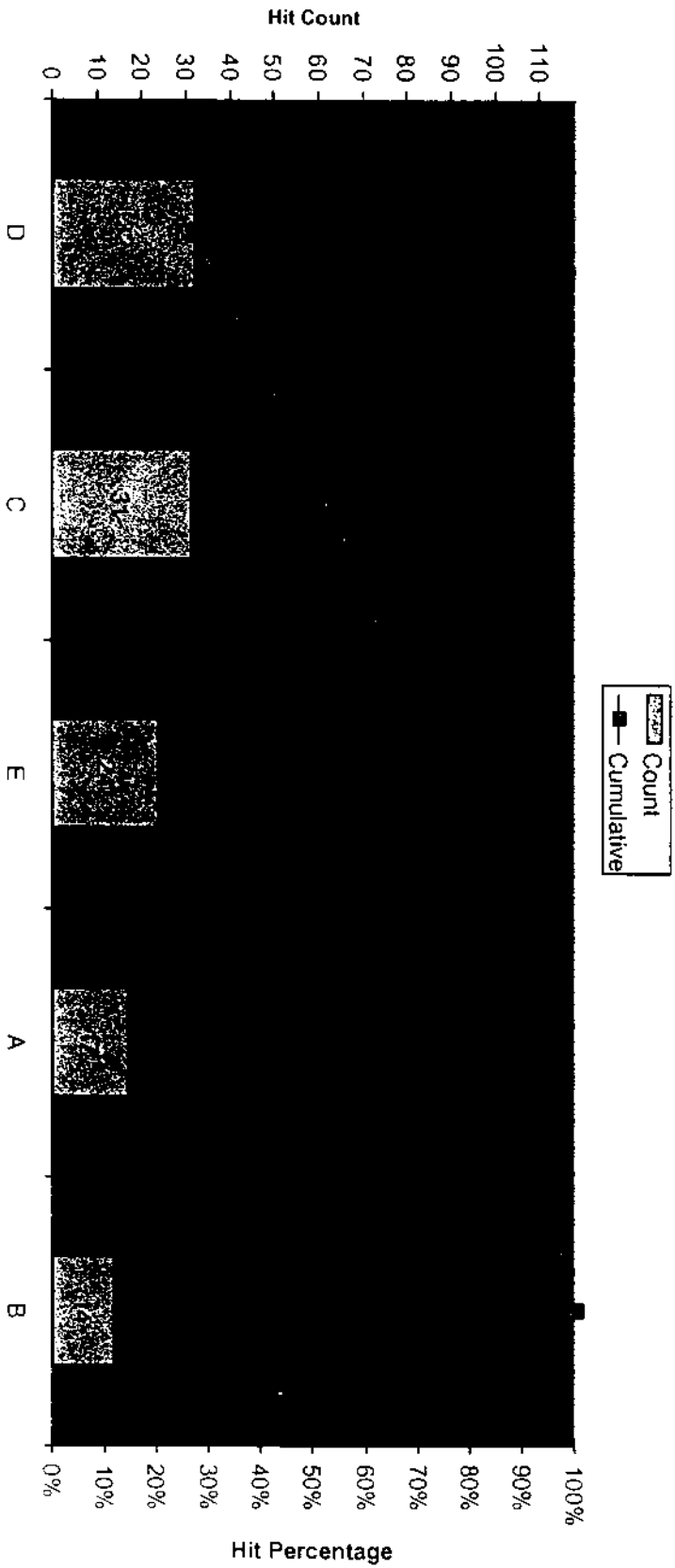
Letter Key for Category 2—Strategic Planning			
A	Strategic Planning Process	D	Key Measures/Indicators for Tracking Action Plan Progress
B	Planning Based on Customer and Other Data	E	Communication and Deployment of Strategic Goals, Action Plans, and Measures
C	Clear Strategic Goals, Timetables, and Action Plans (Including Human Resources)		

# Miami-Dade County Public Schools - Construction Category 3.0 Customer & Market Focus Analysis of Areas Most Needing Improvement



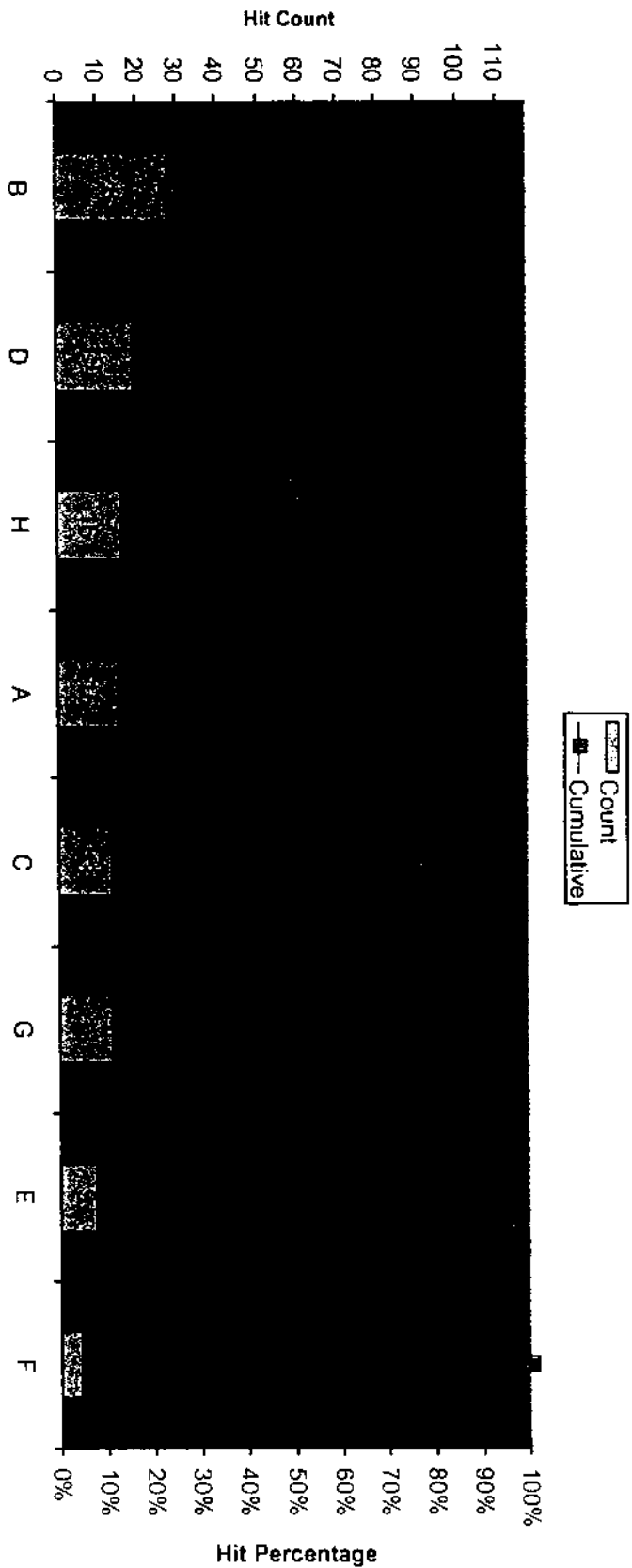
Letter Key for Category 3—Customer and Market Focus			
A	Grouping Customers and Markets and Gathering Information on Customer Requirements	E	Making It Easy for Customers to Seek Assistance, Get Information, and Complain
B	Determining Requirements for Key Product and Service Features Important to Customers	F	Resolving Customer Complaints Effectively and Using Them to Improve
C	Establishing and Maintaining Customer Relationships	G	Determining Customer Satisfaction and Dissatisfaction
D	Determining and Deploying Customer Contact Requirements		

# Miami-Dade County Public Schools - Construction Category 4.0 Information & Analysis Analysis of Areas Most Needing Improvement



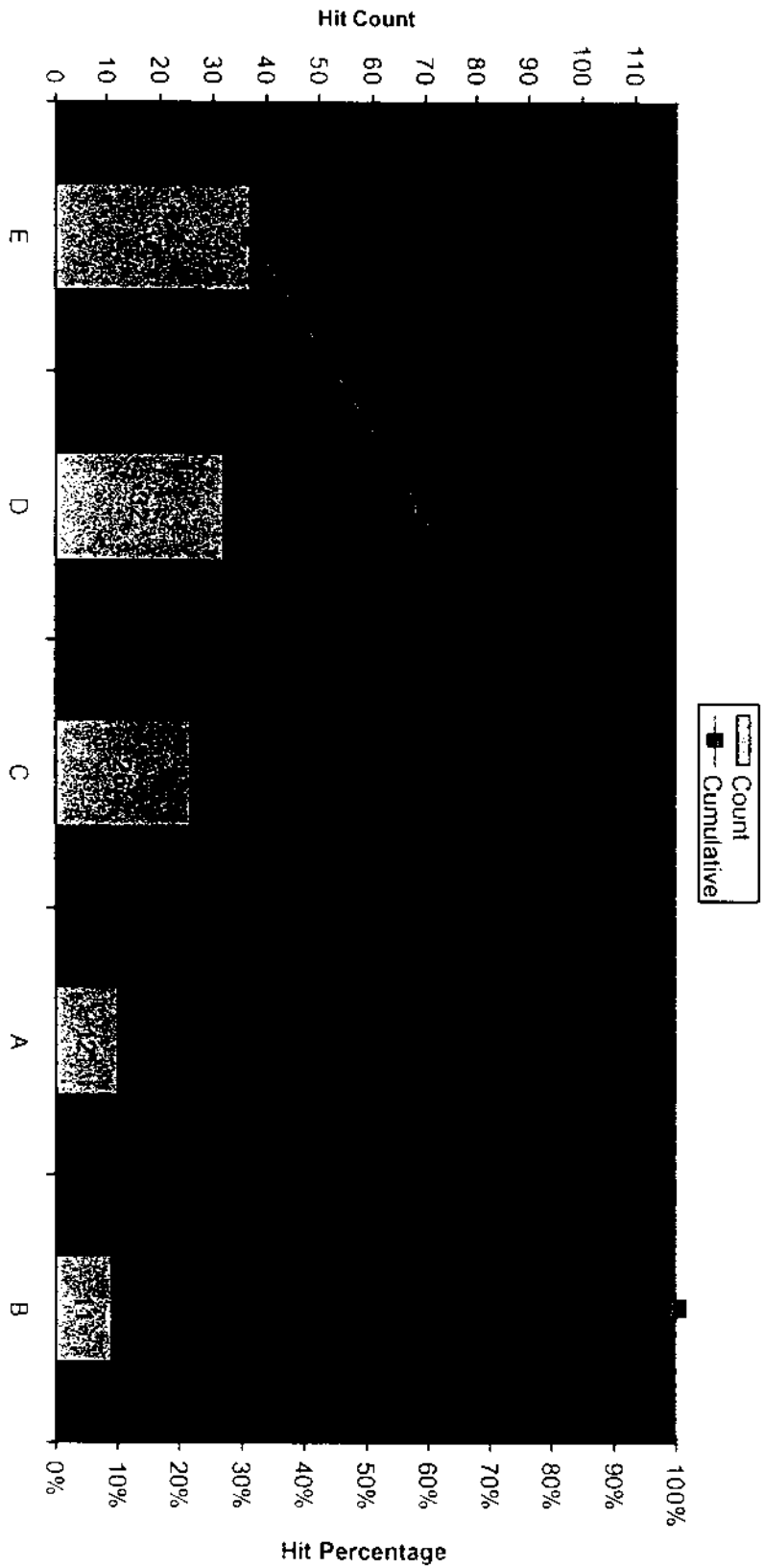
Letter Key for Category 4—Information and Analysis			
A	Selecting the Right Product and Service Process	D	Ensuring Reliable, Accurate, Accessible, and Timely Data
B	Selection and Use of Comparative Data and Information	E	Ensuring Reliability and User-Friendliness of Hardware and Software
C	Data Analysis to Assess Performance and Set Priorities		

# Miami-Dade County Public Schools - Construction Category 5.0 Human Resource Focus Analysis of Areas Most Needing Improvement



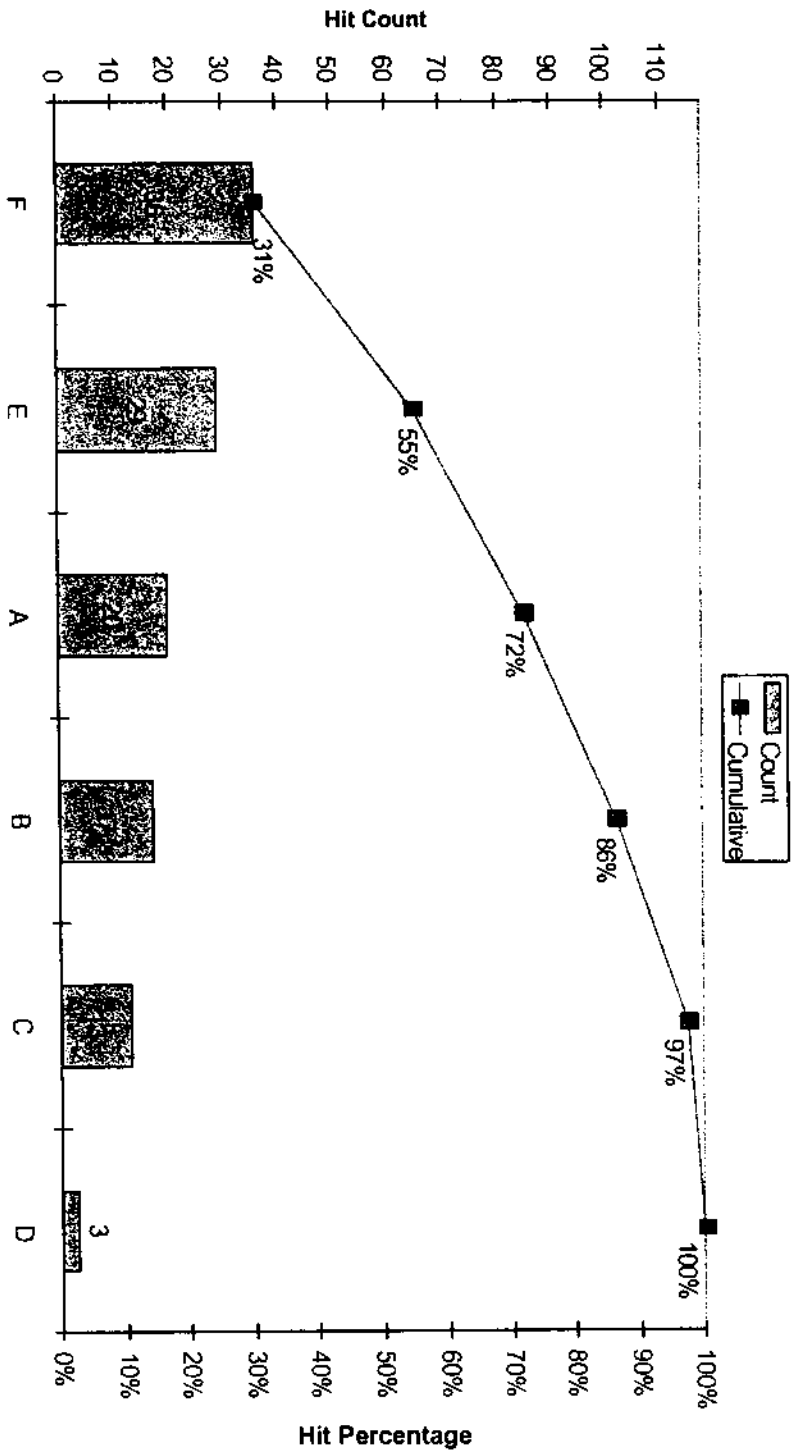
Letter Key for Category 5—Human Resource Focus			
A	Optimizing Employee Participation and Effectiveness	E	Designing and Delivering Training for Maximum Effectiveness
B	Performance Management, Compensation, and Recognition to Support Organizational Goals	F	Providing a Safe and Healthful Work Environment
C	Recruiting, Hiring, and Retaining Employees	G	Meeting the Needs of a Diverse Work Force
D	Providing Training to Support Organization Needs and Action Plans	H	Assessing and Improving Employee Satisfaction and Well-Being

# Miami-Dade County Public Schools - Construction Category 6.0 Process Management Analysis of Areas Most Needing Improvement



Letter Key for Category 6--Process Management			
<b>A</b>	Key Product, Service, Business, and Support Processes	<b>D</b>	Measuring, Managing, and Improving Key Processes
<b>B</b>	Designing and Delivering Products and Services	<b>E</b>	Minimizing Errors, Defects, and Rework
<b>C</b>	Determining Business and Support Process Requirements		

# Miami-Dade County Public Schools - Construction Category 7.0 Business Results Analysis of Areas Most Needing Improvement



Letter Key for Category 7 — Business Results

A	Customer Satisfaction/Dissatisfaction Results	D	Market Results
B	Product and Service Performance Results	E	Human Resource Results
C	Financial Results	F	Organizational Effectiveness Results

## 8 Priority Improvement Count and Percentages

The following tables are a demographic breakdown of the numeric data represented in the Pareto Charts found in Section 7. The table on the left shows the number of times (hits) each theme was identified as most in need of improvement. The table on the right shows the same information in percentage form.

## 8.1 Priority Improvement Counts and Percentages – Position

## PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

## POSITION

## 1.0 Leadership

	Count						Total	Percentage					
	A	B	C	D	E	F		A	B	C	D	E	F
General Labor	1	2	4	1	1	1	10	10	20	40	10	10	10
Managerial	15	7	9	15	4	6	56	27	13	16	27	7	11
Miscellaneous	2	4	4	3	4	1	18	11	22	22	17	22	6
Secretarial/Clerical	8	4	7	8	3	5	35	23	11	20	23	9	14
All	26	17	24	27	12	13	119	22	14	20	23	10	11

Letter Key for Category 1—Leadership			
<b>A</b>	Organizational Values and Performance Expectations	<b>D</b>	Reviewing Organizational Performance and Capabilities: Assessing Progress Relative to Goals
<b>B</b>	Leadership Commitment to Creating and Balancing Value for Customers	<b>E</b>	Regulatory, Legal, and Ethical Compliance
<b>C</b>	Establishing and Reinforcing Empowerment, Innovation, and Learning	<b>F</b>	Community Support

# PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

## POSITION

### 2.0 Strategic Planning

	Count					Total	Percentage				
	A	B	C	D	E		A	B	C	D	E
General Labor	2	2	2	2	2	10	20	20	20	20	20
Managerial	16	5	14	10	11	56	29	9	25	18	20
Miscellaneous	6	5	2	2	3	18	33	28	11	11	17
Secretarial/Clerical	7	2	13	0	12	34	21	6	38	0	35
All	31	14	31	14	28	118	26	12	26	12	24

Letter Key for Category 2—Strategic Planning			
A	Strategic Planning Process	D	Key Measures/Indicators for Tracking Action Plan Progress
B	Planning Based on Customer and Other Data	E	Communication and Deployment of Strategic Goals, Action Plans, and Measures
C	Clear Strategic Goals, Timetables, and Action Plans (Including Human Resources)		

## PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

## POSITION

## 3.0 Customer and Market Focus

	Count							Total	Percentage						
	A	B	C	D	E	F	G		A	B	C	D	E	F	G
General Labor	0	1	3	0	3	1	2	10	0%	10%	30%	0%	30%	10%	20%
Managerial	9	7	5	3	7	14	11	56	16%	11%	9%	5%	13%	25%	20%
Miscellaneous	3	2	0	1	4	6	2	18	17%	11%	0%	6%	22%	33%	11%
Secretarial/Clerical	4	2	7	6	7	7	2	35	14%	6%	19%	17%	19%	19%	6%
All	16	12	15	10	21	28	17	119	13%	10%	13%	8%	18%	24%	14%

Letter Key for Category 3—Customer and Market Focus			
A	Grouping Customers and Markets and Gathering Information on Customer Requirements	E	Making It Easy for Customers to Seek Assistance, Get Information, and Complain
B	Determining Requirements for Key Product and Service Features Important to Customers	F	Resolving Customer Complaints Effectively and Using Them to Improve
C	Establishing and Maintaining Customer Relationships	G	Designing Customer Feedback and Disatisfaction
D	Determining and Deploying Customer Contact Requirements		

**PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES****POSITION****4.0 Information and Analysis**

	Count					Total	Percentage				
	A	B	C	D	E		A	B	C	D	E
General Labor	0	1	2	2	4	9	0	11	22	22	44
Managerial	9	6	19	15	7	56	16	11	34	27	13
Miscellaneous	3	2	3	5	5	18	17	11	17	28	28
Secretarial/Clerical	5	5	7	10	8	35	14	14	20	29	23
All	17	14	31	32	24	118	14	12	26	27	20

Letter Key for Category 4—Information and Analysis			
<b>A</b>	Selecting the Right Product and Service Process Measures	<b>D</b>	Ensuring Reliable, Accurate, Accessible, and Timely Data
<b>B</b>	Selection and Use of Comparative Data and Information	<b>E</b>	Ensuring Reliability and User-Friendliness of Hardware and Software
<b>C</b>	Data Analysis to Assess Performance and Set Priorities		

## PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

## POSITION

## 5.0 Human Resource Focus

	Count								Total	Percentage							
	A	B	C	D	E	F	G	H		A	B	C	D	E	F	G	H
General Labor	0	2	0	4	2	1	0	1	10	0	20	0	40	20	10	0	10
Managerial	7	17	5	8	3	2	6	8	56	13	30	9	14	5	4	11	14
Miscellaneous	2	4	4	4	2	1	1	0	18	11	22	22	22	11	6	6	0
Secretarial/Clerical	6	5	4	3	2	1	6	7	34	18	15	12	9	6	3	18	21
All	15	28	13	19	9	5	13	16	118	13	24	11	16	8	4	11	14

Letter Key for Category 5—Human Resource Focus							
A	Optimizing Employee Participation and Effectiveness				E	Designing and Delivering Training for Maximum Effectiveness	
B	Performance Management, Compensation, and Recognition to Support Organizational Goals				F	Providing a Safe and Healthful Work Environment	
C	Recruiting, Hiring, and Retaining Employees				G	Meeting the Needs of a Diverse Work Force	
D	Providing Training to Support Organization Needs and Action Plans				H	Assessing and Improving Employee Satisfaction and Well-Being	

## PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

## POSITION

## 6.0 Process Management

	Count					Total	Percentage				
	A	B	C	D	E		A	B	C	D	E
General Labor	0	1	3	2	4	10	0	10	30	20	40
Managerial	8	4	13	15	16	56	14	7	23	27	29
Miscellaneous	1	2	5	5	5	18	6	11	28	28	28
Secretarial/Clerical	3	4	5	10	12	34	9	12	15	29	35
All	12	11	26	32	37	118	10	9	22	27	31

## Letter Key for Category 6—Process Management

<b>A</b>	Key Product, Service, Business, and Support Processes	<b>D</b>	Measuring, Managing, and Improving Key Processes
<b>B</b>	Designing and Delivering Products and Services	<b>E</b>	Minimizing Errors, Defects, and Rework
<b>C</b>	Determining Business and Support Process Requirements		

## PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

### POSITION

#### 7.0 Business Results

	Count						Total	Percentage					
	A	B	C	D	E	F		A	B	C	D	E	F
General Labor	1	3	1	1	1	2	9	11	33	11	11	11	22
Managerial	10	8	4	2	15	17	56	18	14	7	4	27	30
Miscellaneous	4	2	2	0	4	6	18	22	11	11	0	22	33
Secretarial/Clerical	5	4	6	0	9	11	35	14	11	17	0	26	31
All	20	17	13	3	29	36	118	17	14	11	3	25	31

Letter Key for Category 7— Business Results			
A	Customer Satisfaction/Dissatisfaction Results	D	Market Results
B	Product and Service Performance Results	E	Human Resource Results
C	Financial Results	F	Organizational Effectiveness Results

8.2 Priority Improvement Counts and Percentages – Job Function

PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

JOB FUNCTION

1.0 Leadership

	Count						Total	Percentage					
	A	B	C	D	E	F		A	B	C	D	E	F
Capital Construction Compliance	2	5	4	4	4	3	22	9	23	18	18	18	14
Design & Construction	14	5	6	10	4	4	43	33	12	14	23	9	9
Facilities Support Service	10	7	14	13	4	6	54	19	13	26	24	7	11
All	26	17	24	27	12	13	119	22	14	20	23	10	11

Letter Key for Category 1—Leadership			
A	Organizational Values and Performance Expectations	D	Reviewing Organizational Performance and Capabilities; Assessing Progress Relative to Goals
B	Leadership Commitment to Creating and Balancing Value for Customers	E	Regulatory, Legal, and Ethical Compliance
C	Establishing and Reinforcing Empowerment, Innovation, and Learning	F	Community Support

**PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES****JOB FUNCTION****2.0 Strategic Planning**

	Count					Total	Percentage				
	A	B	C	D	E		A	B	C	D	E
Capital Construction Compliance	7	4	4	2	5	22	32	18	18	9	23
Design & Construction	10	7	9	6	11	43	23	16	21	14	26
Facilities Support Service	14	3	18	6	12	53	26	6	34	11	23
All	31	14	31	14	28	118	26	12	26	12	24

Letter Key for Category 2—Strategic Planning				
<b>A</b>	Strategic Planning Process	<b>D</b>	Key Measures/Indicators for Tracking Action Plan Progress	
<b>B</b>	Planning Based on Customer and Other Data	<b>E</b>	Communication and Deployment of Strategic Goals, Action Plans, and Measures	
<b>C</b>	Clear Strategic Goals, Timetables, and Action Plans (including Human Resources)			

## PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

## JOB FUNCTION

## 3.0 Customer and Market Focus

	Count							Total	Percentage						
	A	B	C	D	E	F	G		A	B	C	D	E	F	G
Capital Construction Compliance	4	1	0	3	3	7	4	22	18	5	0	14	14	32	18
Design & Construction	6	6	6	3	4	11	7	43	14	14	14	7	9	26	16
Facilities Support Service	6	5	9	4	14	10	6	54	11	9	17	7	26	19	11
All	16	12	15	10	21	28	17	119	13	10	13	8	18	24	14

## Letter Key for Category 3—Customer and Market Focus

A	Grouping Customers and Markets and Gathering Information on Customer Requirements	E	Making It Easy for Customers to Seek Assistance, Get Information, and Complain
B	Determining Requirements for Key Product and Service Features Important to Customers	F	Resolving Customer Complaints Effectively and Using Them to Improve
C	Establishing and Maintaining Customer Relationships	G	Determining Customer Satisfaction and Dissatisfaction
D	Determining and Deploying Customer Contact Requirements		

**PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES****JOB FUNCTION****4.0 Information and Analysis**

	Count					Total	Percentage				
	A	B	C	D	E		A	B	C	D	E
Capital Construction Compliance	5	1	5	7	4	22 <sup>4</sup>	23	5	23	32	18
Design & Construction	6	5	11	11	10	43	14	12	26	26	23
Facilities Support Service	6	8	15	14	10	53	11	15	28	26	19
All	17	14	31	32	24	118	14	12	26	27	20

Letter Key for Category 4—Information and Analysis			
<b>A</b>	Selecting the Right Product and Service Process	<b>D</b>	Ensuring Reliable, Accurate, Accessible, and Timely Data
<b>B</b>	Selection and Use of Comparative Data and Information	<b>E</b>	Ensuring Reliability and User-Friendliness of Hardware and Software
<b>C</b>	Data Analysis to Assess Performance and Set Priorities		

## PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

## JOB FUNCTION

## 5.0 Human Resource Focus

	Count								Percentage								
	A	B	C	D	E	F	G	H	Total	A	B	C	D	E	F	G	H
Capital Construction Compliance	3	4	4	5	4	0	1	1	22	14	18	18	23	18	0	5	5
Design & Construction	2	14	3	5	1	2	5	10	42	5	33	7	12	2	5	12	24
Facilities Support Service	10	10	6	9	4	3	7	5	54	19	19	11	17	7	6	13	9
All	15	28	13	19	9	5	13	16	118	13	24	11	16	8	4	11	14

Letter Key for Category 5—Human Resource Focus

A	Optimizing Employee Participation and Effectiveness	E	Designing and Delivering Training for Maximum Effectiveness
B	Performance Management, Compensation, and Recognition to Support Organizational Goals	F	Providing a Safe and Healthful Work Environment
C	Recruiting, Hiring, and Retaining Employees	G	Meeting the Needs of a Diverse Work Force
D	Providing Training to Support Organization Needs and Action Plans	H	Assessing and Improving Employee Satisfaction and Well-Being

# PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

## JOB FUNCTION

### 6.0 Process Management

	Count					Total	Percentage				
	A	B	C	D	E		A	B	C	D	E
Capital Construction Compliance	1	1	7	5	7	21	5	5	33	24	33
Design & Construction	6	2	8	12	15	43	14	5	19	28	35
Facilities Support Service	5	8	11	15	15	54	9	15	20	28	28
All	12	11	26	32	37	118	10	9	22	27	31

Letter Key for Category 6--Process Management			
A	Key Product, Service, Business, and Support Processes	D	Measuring, Managing, and Improving Key Processes
B	Designing and Delivering Products and Services	E	Minimizing Errors, Defects, and Rework
C	Determining Business and Support Process Requirements		

PRIORITY IMPROVEMENT COUNTS AND PERCENTAGES

JOB FUNCTION

7.0 Business Results

	Count						Total	Percentage					
	A	B	C	D	E	F		A	B	C	D	E	F
Capital Construction Compliance	4	4	3	0	6	5	22	18	18	14	0	27	23
Design & Construction	7	7	2	2	13	12	43	16	16	5	5	30	28
Facilities Support Service	9	6	8	1	10	19	53	17	11	15	2	19	36
All	20	17	13	3	29	36	118	17	14	11	3	25	31

Letter Key for Category 7 — Business Results			
A	Customer Satisfaction/Dissatisfaction Results	D	Market Results
B	Product and Service Performance Results	E	Human Resource Results
C	Financial Results	F	Organizational Effectiveness Results

**March, 2002**



**2002**

# **Navigator Site Visit**

## **Feedback Report**

**Miami-Dade County Public Schools  
Facilities Planning and Construction**

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## INTRODUCTION

**T**he goal of each of the Sterling assessment processes is to improve efficiency and productivity throughout the State of Florida by promoting world-class standards for organizational performance excellence in all public and private business sectors of the State. These processes are designed to help an organization lay the foundation for future success. They provide comprehensive self-assessment opportunities that can help organizations optimize their operations and results.

Miami-Dade County Public Schools Facilities Planning and Construction Department has completed the Navigator Organizational Performance Survey, and a team from the Florida Sterling Council Board of Examiners has been on site to verify and clarify organization management practices related to the results of the survey. This Feedback Report is the culmination of the Examiners' site visit findings.

Leading your organization to achieve higher levels of performance excellence does not end with receiving this report or even receiving an award, but compels an organization to maintain and continuously improve upon its position of excellence. Consistent with this philosophy, the following report is intended to identify the vital few areas of strength and opportunities for improvement on which an applicant organization may wish to take action. The Feedback Report provides an **Executive Summary** of the observations of the Examiners regarding the organization's key strengths and opportunities for improvement, and general recommendations designed to assist the organization in its effort to reach the next level on its continuous improvement journey.

The Report does not prescribe specific programs or techniques with which to improve. The intent is to reflect the views of Sterling Examiners *relative to the requirements of the Sterling Criteria for Organizational Performance Excellence*. These comments are intended to provide insight and to help your organization identify key opportunities that, if acted upon, may assist your organization to achieve consistently higher levels of performance excellence.

## EXECUTIVE SUMMARY

Miami-Dade County Public Schools Facilities Planning and Construction Department is in the very early stages of building a fact-based performance improvement system and has made considerable progress in the area of Process Management. Some of the most important strengths include:

Senior leaders and the department are customer focused and have developed a number of systematic approaches to ensure customer requirements are included in the design and construction of facilities projects. These approaches include regular attendance at a number of county and regional committee meetings (Facilities Planning Construction Committee, School Overcrowding Task Force, Technical Review Committee, monthly Region Meetings etc). This results in the creation and building of a Five Year Work Plan (updated annually) that is designed to meet specific customer requirements.

The department uses many systematic methods to ensure regulatory, legal and ethical compliance. These methods include many audits, training on building codes and on the Americans with Disabilities Act, financial disclosure policies, and various policies and procedures to ensure that the bid process is open and above board. As a result, the department indicates that there haven't been significant violations found over the past five years.

Many sound systematic approaches are in place to ensure good management of the department's core and support business processes. These include the development of design standards, school design processes and regular design review meetings. Contract management methods include pre-qualification of architects and the rigorous selection and management of building contractors. Project managers are in place to oversee the entire design and construction process to ensure "on time, on budget" performance. In addition Post Occupancy Evaluations are conducted to assess and improve the design and construction processes.

There are also opportunities for improvements that if not addressed may present Miami-Dade County Public Schools Facilities Planning and Construction Department with significant concerns or vulnerabilities. These include:

The department has not formally developed and communicated values or specific performance expectations. For example, employees have not been given specific measurable goals for improvement. In addition, regular organizational communications channels and idea sharing do not exist between leaders and staff (at both the district and department level), and between the various areas and regions. This makes it difficult for leaders to ensure a consistency of purpose throughout the department.

The department has not developed and does not use regular performance measurement systems and indicators to review overall departmental performance, to help with the identification of plans and priorities, to manage process performance, to

monitor issues affecting customer satisfaction, and to evaluate employee morale and safety. Without the creation and regular review of a department "report card" it may be difficult to determine if plans and goals are accomplished and whether improvement activities are effective.

Although the department develops a regular Five Year Work Plan, there is no defined department strategic planning process, and there is limited communication or alignment to the district strategic plan. There is little planning or consideration of staff training, development or morale. In addition, information systems are not available and are not integrated in order to support a fact-based strategic planning effort. This may make it difficult to plan for the continued success of the department.

The business results category assesses Miami-Dade County Public Schools Facilities Planning and Construction Department's trended and comparative performance in those areas of importance to the organization's key business factors. Some of the strengths and opportunities for improvement in the organization's results include:

The department has shown improvement over the past three years in the on-time completion of major construction projects. This result has improved from 50% on-time in 1999 to 60% in 2001. Also, zero percent of new school projects that were completed during the 1999-2001 timeframe cost more than the budgeted amount.

Most key indicators of overall department performance are not tracked or trended. These indicators might include customer satisfaction, customer dissatisfaction, measures of budget performance, and business process performance measures such as quality, efficiency and timeliness. In addition, the department has no results reflecting the effectiveness of human resource systems such as employee satisfaction, work system effectiveness, training, or employee health and safety.

In order to help Miami-Dade County Public Schools Facilities Planning and Construction Department move to the next level in its journey for performance excellence, the Sterling Examination team recommends the following:

- Develop statements of mission, vision, and values that are consistent with those of the district. Communicate these to all staff in a way that each staff member can relate personal performance to these concepts. Communicate specific and measurable department and unit performance expectations that can be used to drive the organization toward fulfillment of its vision. Review measures regularly.
- Develop and implement a systematic strategic planning process aligned with the district strategies and the department's vision. Consider the needs of customers, limitations of budgets and resources, capabilities of contractors, technological changes and challenges, the developmental needs of staff and competitive and comparative performance of similar organizations in the planning process.

- Develop a set of comprehensive departmental measures and performance indicators (a "report card") in order to better identify improvement opportunities and to drive continuous improvement toward the achievement of the department vision.
- Develop and implement a comprehensive human resource plan aligned with the department strategic plan and department work plans. Include specific actions, timelines, and measures to address key areas such as employee training, development, recognition and satisfaction.

## 1.0 Leadership

The Leadership Category examines how the organization's senior leaders address values, directions, and performance expectations, as well as a focus on customers and other stakeholders, empowerment, innovation, and learning. Also examined is how the organization addresses its responsibilities to the public and supports its key communities.

### Category 1 - Leadership

This category summary addresses the organization's **Organizational Leadership and Public Responsibility and Citizenship**.

### Strengths

Senior leaders are creating a client-focused organization by actively participating in many regular forums with various clients. These include the Facilities Planning Construction Committee, the School Overcrowding Task Force, the Technical Review Committee, and monthly Region Meetings. This provides the department with a regular dialog to understand client concerns and needs.

The department uses many systematic methods to ensure regulatory, legal and ethical compliance. These methods include many audits, training on building codes and on the Americans with Disabilities Act, financial disclosure policies, and various policies and procedures to ensure that the bid process is open and above board. As a result, the department indicates that there haven't been significant violations found over the past five years.

### Opportunities for Improvement

Although "on-time, on-budget" has been loosely defined as a mission, the department has not formally communicated values or specific performance expectations. For example, employees have not been given specific measurable goals for improvement. As a result, employee actions may not be fully aligned with the department's direction.

Although some employee training takes place, the senior leaders do not have systematic approaches to create an environment that encourages learning, innovation and employee empowerment. For example, there are not regular channels to recognize employees for good performance, or to provide them with opportunities to make improvements (such as problem solving teams). This could negatively impact morale and increase employee turnover.

Senior leaders do not have a standard method to review departmental performance. For example, there is no regularly produced "report card" of departmental measures and indicators that can be reviewed to assess progress toward the achievement of department goals. Without these measures to drive performance, the department may miss opportunities to evaluate current approaches or design new strategies.

## 2.0 Strategic Planning

The **Strategic Planning** Category examines how the organization develops strategic objectives and action plans. Also examined are how the chosen strategic objectives and action plans are deployed and how progress is measured.

### Category 2 – Strategic Planning

This category summary addresses the organization's **Strategy Development** and **Strategy Deployment**.

### Strengths

The department uses a systematic approach to work plan development that begins with a Five Year Physical Plant Survey. The survey is one of several contributors to a Five Year Work Plan drafted by the School Oversight Committee that prioritizes projects against set criteria. Upon approval of the Five Year Work Plan by the School Board, each area within the department prepares an action plan designed to meet approved projects in the Five Year Work Plan.

Requirements of most key stakeholders are incorporated into the Five Year Work Plan process. Input from some key stakeholders is gathered through the Five Year Physical Plant Survey. The School Citizens Oversight Committee comprised of members external to the department validates this information and the Five Year Work Plan is prioritized and submitted for School Board approval.

### Opportunities for Improvement

Although the department uses a Five Year Work Plan, it does not utilize a systematic strategy development process that includes all customer and market requirements, financial and societal risks, strengths and weaknesses of contractors, technology, and human resources as inputs. Planning that is conducted does not use these information inputs. Without a strategic planning process, the department may not anticipate future

customer expectations, new business and partnering opportunities, evolving regulatory requirements, and changing community expectations.

There are no human resource plans to help ensure that staff have the capabilities to carry out the activities in the Five Year Work Plan. Absence of assigned human resource plans may inhibit the department from achieving its goals.

The Physical Plant Survey provides old and possibly out of date data. Currently, the Five Year Work Plan is based on a four year old survey. Also, although the current process provides the capability to update the Physical Plant Survey, this is only done upon receipt of new information from school personnel. This may result in a Five Year Work Plan that does not address all current needs.

The Five Year Work Plan has not been fully communicated to all employees in the Bureau. Many employees are not aware of the Five Year Work Plan and how they personally contribute to that plan. Employees below the senior management level do not play a significant role in developing and deploying action plans. This may result in employee actions that are not fully aligned with departmental plans.

### 3.0 Customer and Market Focus

The **Customer and Market Focus** Category examines how the organization determines requirements, expectations, and preferences of customers and markets. Also examined is how the organization builds relationships with customers and determines the key factors that lead to customer acquisition, satisfaction and retention, and to business expansion.

#### **Category 3 – Customer Market and Focus**

This category addresses the organization's **Customer and Market Knowledge and Customer Relationships and Satisfaction**.

#### **Strengths**

The department has systematic processes to determine what the customer requires, expects, and prefers. These processes include the Warranty Administration process, Post Occupancy Evaluations, the Five Year Physical Plant Survey, and the development of design criteria packages. In addition, staff members participate and facilitate customer-focused committees such as the Overcrowding Task Force, the School Planning Committee and the Change Review Committee.

A formal district complaint process is in place to handle customer complaints received at the Superintendent's office. Complaints received by the Superintendent are forwarded to the department where they are resolved and a response returned to the district.

The department gathers feedback from customers using the Post Occupancy Evaluation process. These evaluations are performed one to two years after a selected new school is occupied. Information from each evaluation is compiled and a report is generated. This information is used in evaluating and improving design criteria for new construction projects.

#### **Opportunities for Improvement**

The department has not identified its key customer groups. Many staff identify "the

kids” as their key customers, while school and region administrators are the customers who typically establish the requirements for each project. As a result, the department may not be focused on the most important requirements.

While a formal process is in place for complaints received by the District Superintendent, the department does not have a similar process for complaints received internally. Additionally, data from complaints are not analyzed, tracked, or trended to identify preventable causes. As a result, customer relationships could be negatively impacted and critical information that can be used for evaluation purposes is lost.

Customer feedback is obtained through various methods, including the Warranty Administration process and the Post Occupancy Evaluations. However, overall customer satisfaction is not systematically measured. For example, the Post Occupancy Evaluation results are not aggregated or trended over time and only reflect a small sample of the projects completed. Therefore, information that could be used for improving work processes or for business planning is limited.

## 4.0 Information and Analysis

The **Information and Analysis** Category examines the organization's information management and performance measurement systems and how the organization analyzes performance data and information.

### Category 4 – Information and Analysis

This category addresses the organization's **Measurement and Analysis of Organizational Performance, and Information Management**.

### Strengths

The department's Chief Facilities Officer has communicated a priority of "on-time, on-budget", which could be used as the basis for selecting measurements. Some measures exist relating to these priorities such as cost per student station and cost per square foot.

The department is piloting the e-Builder integrated computer system used to track projects by all participants in the process. Although this project is still in the pilot phase and must be fully evaluated before full implementation, it represents the department's attempt to align all project components into a comprehensive system to manage projects and analyze performance.

### Opportunities for Improvement

The department does not have a systematic approach to select, analyze, and use departmental measures. For example, the department has not developed a high level "report card" of measures or indicators that reflect key issues such as "on-time, on budget" or the quality and satisfaction level of completed projects. As a result, the department may not determine whether changes made have led to desired improvements.

The department does not have a systematic approach in place to coordinate its information systems. For example, the department uses many isolated database

systems that are not integrated. These databases are not capable of sharing data in a way meets the department's needs. As a result, users spend time and effort to manually manipulate reports across functions, which may lead to delays, errors and rework.

The department does not have a systematic approach to gather and use comparative data in making key business decisions. Although there is some activity within areas of the department to review comparative data against charter and private schools, this limited information is not used to improve performance. This may result in the department missing opportunities to share best practices and at the same time improve performance with minimal effort.

## 5.0 Human Resource Focus

The **Human Resource Focus** Category examines how the organization motivates and enables employees to develop and utilize their full potential, in alignment with the organization's overall objectives and action plans. Also examined are the organization's efforts to build and maintain a work environment and an employee support climate conducive to performance excellence and to personal and organizational growth.

### Category 5 – Human Resource Development and Management

This category addresses the organization's **Work Systems, Employee Education, Training, and Development, and Employee Well-Being and Satisfaction.**

### Strengths

The department uses the District's cyclical employee evaluation process. The process includes standardized forms, competencies and structured timeframes. Each evaluating manager is required to conduct this process annually, and employees in the department receive feedback on their performance.

The department uses the district's systematic hiring process for its managerial and professional, non-instructional, technical and clerical level positions. The Bureau of Personnel Management and Services screens applicants, and applicants for clerical positions complete basic skills tests. Positions are filled through a competitive process with a cross-functional, diverse hiring committee at the department or the district level. Non-selected applicants also have an opportunity to obtain specific information relating to their interview process and learn ways to improve themselves for the future.

### Opportunities for Improvement

While there are some examples of communication and idea sharing with Project Managers between regions, there is not a structured method to promote cooperation, communication and skill sharing across region, area, or department lines. For example, common project-

related problems and solutions are randomly discussed, but this information is not captured, consolidated or analyzed by any one area. Therefore, problems that could be avoided may be repeated unnecessarily. Additionally, employees, such as project managers, who operate in isolation, may miss the opportunity to learn from others' experiences.

The department does not have a structured, systematic approach to employee recognition. Informal "at-a-boys" may be given at area staff meetings and some commendation letters are written; however, there are no tools, methods or resources available for reinforcing high performance. Beneficial tools and resources might include things such as bonuses, promotions, and monetary and non-monetary recognition. As a result of not having these systems in place, employees may feel under appreciated and not valued, and therefore the department may see declining employee morale. This may also lead to increased turnover rates.

The department does not have a process for succession planning. For example, in some areas, there is only one employee in the department who completely understands his or her overall process and how that fits into the project management processes. Establishing cross training programs, knowledge sharing avenues, and formal training programs would assist the organization in developing current staff for future responsibilities. Institutional knowledge is limited to a small group, and once those employees leave the organization, it will be difficult for the organization to continue functioning at its current level.

Although the department has started addressing specific training needs by

implementing courses for the building code and Americans with Disabilities Act (ADA) accessibility changes, there is not a comprehensive training program to meet the needs of the department and its employees. For example, there is no leadership development program, standard safety training, or consistent training offered for new employees regarding departmental culture and responsibilities. As a result, employees may not be receiving the education needed for optimal performance, and the overall performance of the department might not be able to advance to its desired level.

With the exception of periodic fire drills and occasional employee wellness programs, there are no systematic approaches for ensuring that the employees have a safe and healthy work environment. Safety programs such as driver's safety and workplace safety are not consistently provided and are more reactive than proactive. While key employees who visit construction sites are required to adhere to some safety requirements, such as hard hats, a department-wide safety process may be beneficial. Without an effective safety program, the department may see an increase in Workers' Compensation claims, an increase in the use of sick days and an overall decrease in employee morale.

The department does not have a systematic method to determine employee satisfaction. While many areas indicate the use of an open-door policy to promote two-way communication, the department does not have a structured process to assess the overall climate. It is difficult to manage and improve business processes without fact based data and information related to employee satisfaction levels. For

example, the department does not obtain feedback from employees on issues such as communication, training and career opportunities, benefits and pay packages, work environment, management practices, or safety. As a result, the department may see an increase in employee turnover and overall decrease in organizational performance.

## 6.0 Process Management

The **Process Management** Category examines the key aspects of the organization's process management, including customer-focused design, product and service delivery, key business, and support processes. This Category encompasses all key processes and all work units.

### Category 6 – Process Management

This category addresses the organization's **Product and Service Processes, Business Processes, and Support Processes.**

### Strengths

The department uses comprehensive design processes to develop plans for projects. The process involves department staff and selected architects or engineers. Many other groups participate in the process at key points, including staff from other departments, end users or their representatives, and auditors or inspectors representing a variety of stakeholders. Critical points in the process are clearly identified, and reviews, audits, or inspections are used at these points to reduce potential for errors and rework.

The department develops design standards that form the foundation of the design process. These standards are developed by synthesizing design criteria, master specifications, educational specifications, and furniture, fixtures, and equipment specifications. Representatives of customers and stakeholders have input into the establishment of the criteria. Prototype standards are modified to meet the specific requirements of each individual project, and are communicated to the suppliers of the design during the selection process. Standards include requirements to meet technology needs today, and contain features designed to accommodate possible future changes.

The department uses a systematic selection process for design architects and engineers that includes evaluation of the quality of past and ongoing work as part of the basis for future selection. This

approach minimizes waste and rework that could result from selection of lesser-skilled architects and engineers if the selection decision were based solely on low bid criteria.

The department uses a systematic pre-qualification system that is managed independently by another department to identify contractors who meet specific qualifications. The process establishes dollar limits for individual projects and dollar limits for total business the contractor may be awarded. Annually, the pre-qualification status must be renewed. The department provides evaluative feedback into the renewal process based on quality of past performance, and as a result, a contractor's dollar limits or status could be adjusted. In extreme cases, the department has a process for declaring contractors "non-responsible," meaning they are no longer eligible for awards. This system helps the department award contracts appropriately based on quality and capacity of suppliers, even while low-bid criteria are used.

The department manages construction processes through the use of project managers. Project managers are accountable for projects from conception through design and production, and continue their involvement through a one-year warranty period following completion of the project. Project managers use forms and a resource manual, along with their own knowledge and expertise. Project managers ensure requirements are met, testing is completed, and stakeholder needs are addressed.

The department uses an evaluation and improvement process called the Post Occupancy Evaluation to evaluate all aspects of selected new school projects.

The reviews are conducted after at least one year of occupancy. The process includes a comprehensive user survey, providing both satisfaction rating data and verbal comment data. This survey may be completed by users including students, faculty, administrators, and other staff. The process also includes an on-site meeting of key individuals involved in the various phases of the project, such as the project manager, the architect, and the contractor, who review the history of the project and then conduct a walk-through to review the building in use. The results of the evaluation provide input into the development of design standards, as well as evaluating the effectiveness of the design and the build phases of the project.

### **Opportunities for Improvement**

Process measurements are not used to control, manage, or improve process performance. The emphasis of the department's leadership is delivering buildings "on-time, on-budget". While data may be collected and stored, it is not used on a day-to-day basis by staff carrying out work to ensure requirements are met. For example, data reflecting design process cycle time is captured but not analyzed or used. As a result, staff may not be able to predict and prevent problems in their daily work.

While some process evaluations are conducted, there are processes that are not evaluated in a systematic manner. The Post Occupancy Evaluation process is used to evaluate and improve selected projects; but it is not applied to all types of projects. Data from these evaluations are not aggregated to provide an overall view of performance. The warranty process is used at the conclusion of projects, but data resulting from the process are not aggregated. The data collected are limited

to identification of errors or breakdowns. Support processes within the department do not use data for evaluation, and instead rely on complaints or problems to arise to identify areas for improvement. As a result, the department does not have data for in-process or proactive decision-making.

Changes that have been made to processes are not based on systematic data analysis and the results of these changes are not regularly quantified or analyzed to determine their impact. For example, while the department has recently completed a comparison analysis of delivery methods, these types of comparisons are generally not made. Consequently, the department may make changes without knowing whether the changes have caused improved results.

## 7.0 Business Results

The **Business Results** Category examines the organization's performance and improvement in key business areas – customer satisfaction, product and service performance, financial and marketplace performance, human resource results, and operational performance. Also examined are performance levels relative to those of competitors.

### Category 7 – Business Results

This category addresses the organization's **Customer-Focused Results, Financial and Market Results, Human Resource Results, and Organizational Effectiveness Results.**

### Strengths

The department has shown improvement over the past three years in the on-time completion of major construction projects. In calendar year 1999, 50% of projects over \$500,000 that were "substantially completed" were completed on or before the original due date. That number increased to 54% in 2000 and 60% in 2001.

The percent of new school projects that were completed with expenditures greater than budget improved from 27.7% during the 1997-99 timeframe to 0% during the 1999-2001 timeframe. For remodeled schools during the same time frame, there was an improvement from 41.7% to 0%.

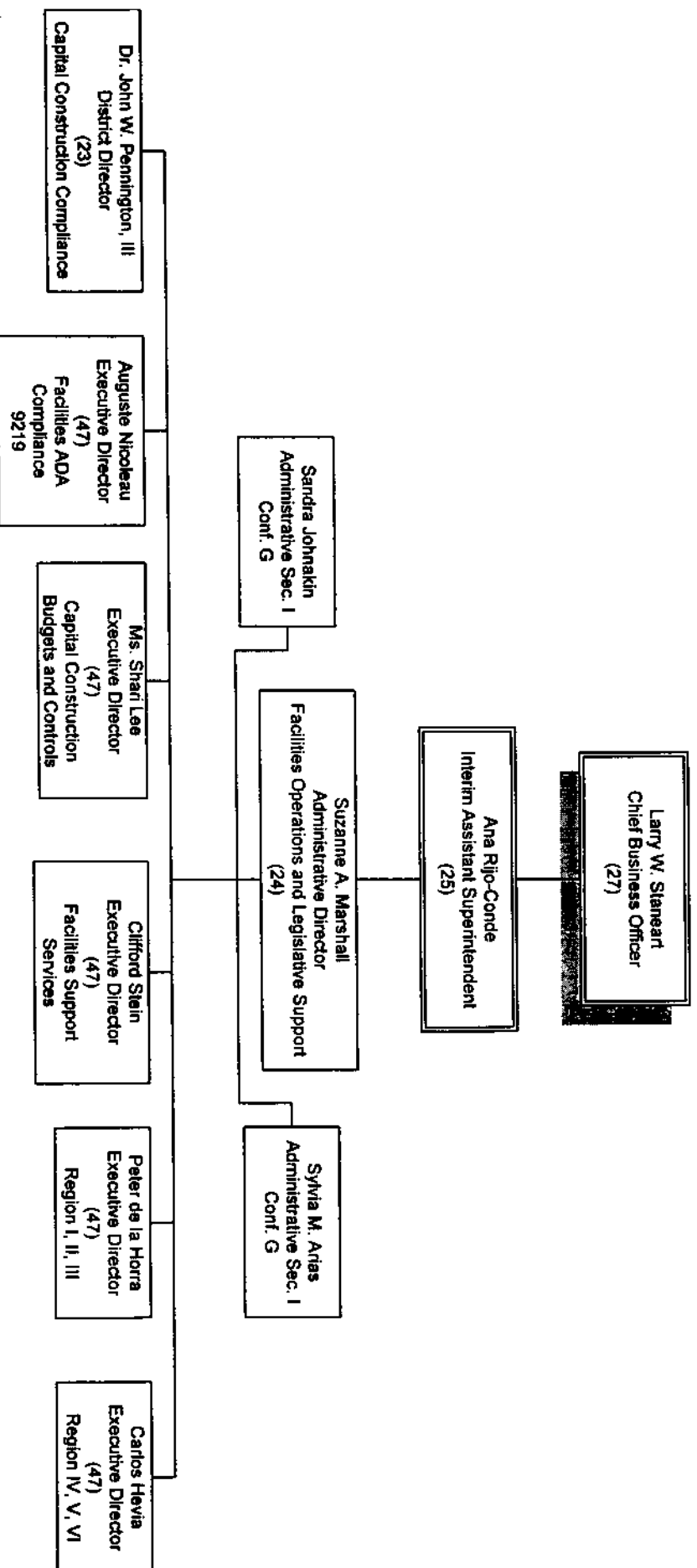
From June 1998 to December 2001, only 6% of projects that were "substantially completed" had more than the budgeted allowance (usually 1.5%) for architects' errors and omissions.

### Opportunities for Improvement

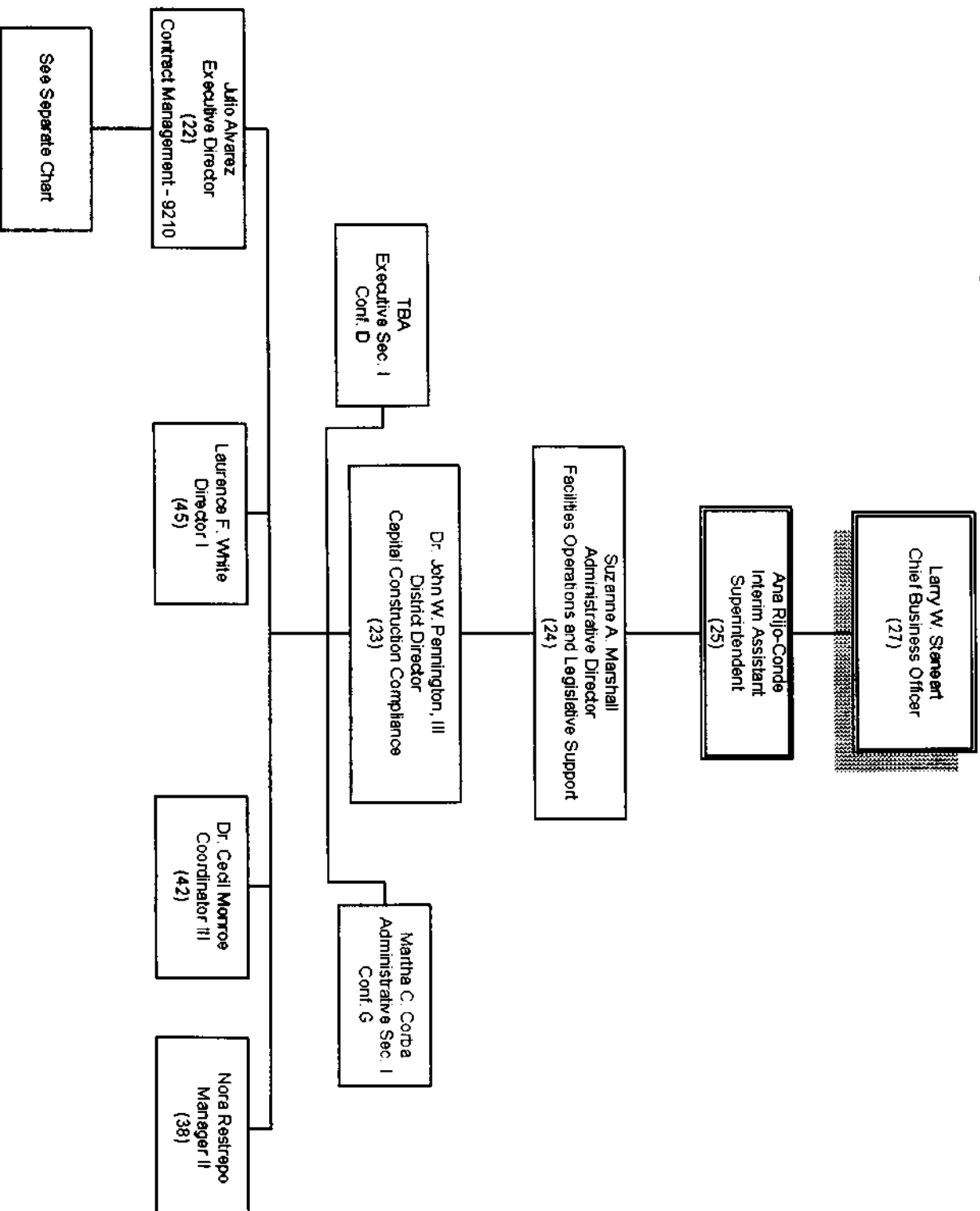
Most key indicators of overall department performance are not tracked or trended. These indicators might include customer satisfaction, customer dissatisfaction, measures of budget performance, and business process performance measures reflecting requirements such as quality, efficiency and timeliness. In addition, the department has no results reflecting the effectiveness of human resource systems

such as employee satisfaction, work system effectiveness, training, or employee health and safety.

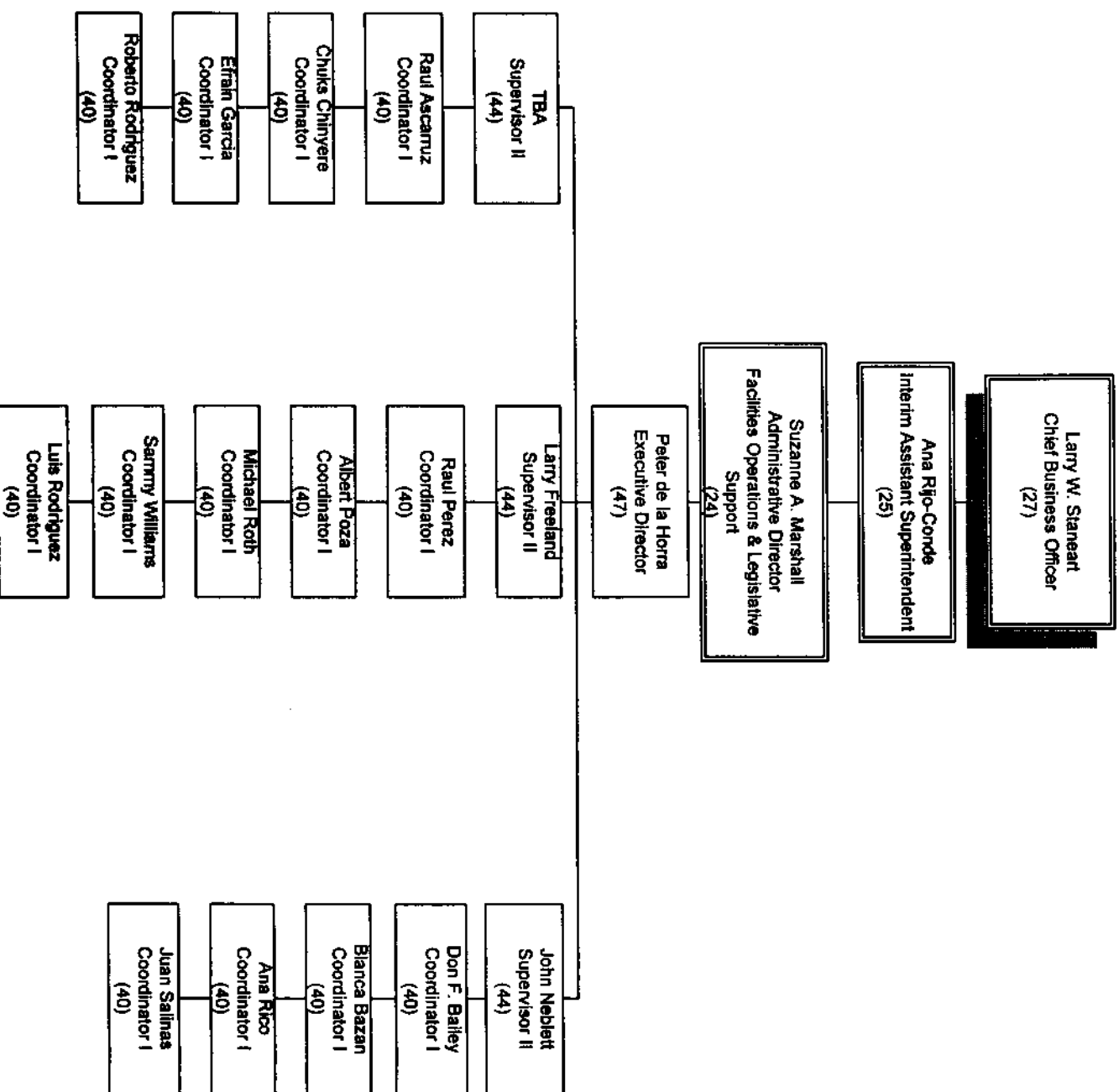
# Facilities Operations and Legislative Support - 9212



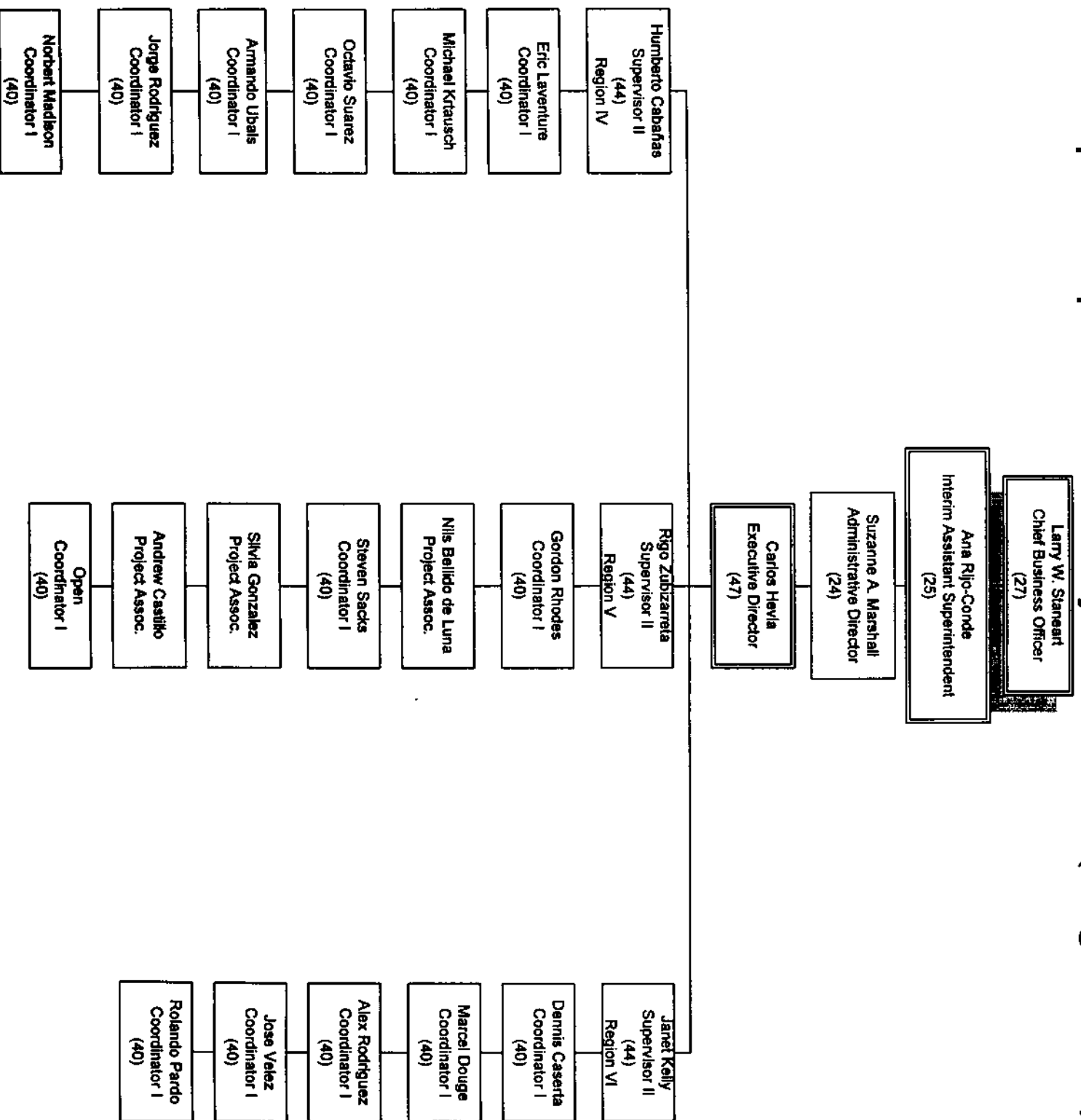
# Capital Construction Compliance - 9108



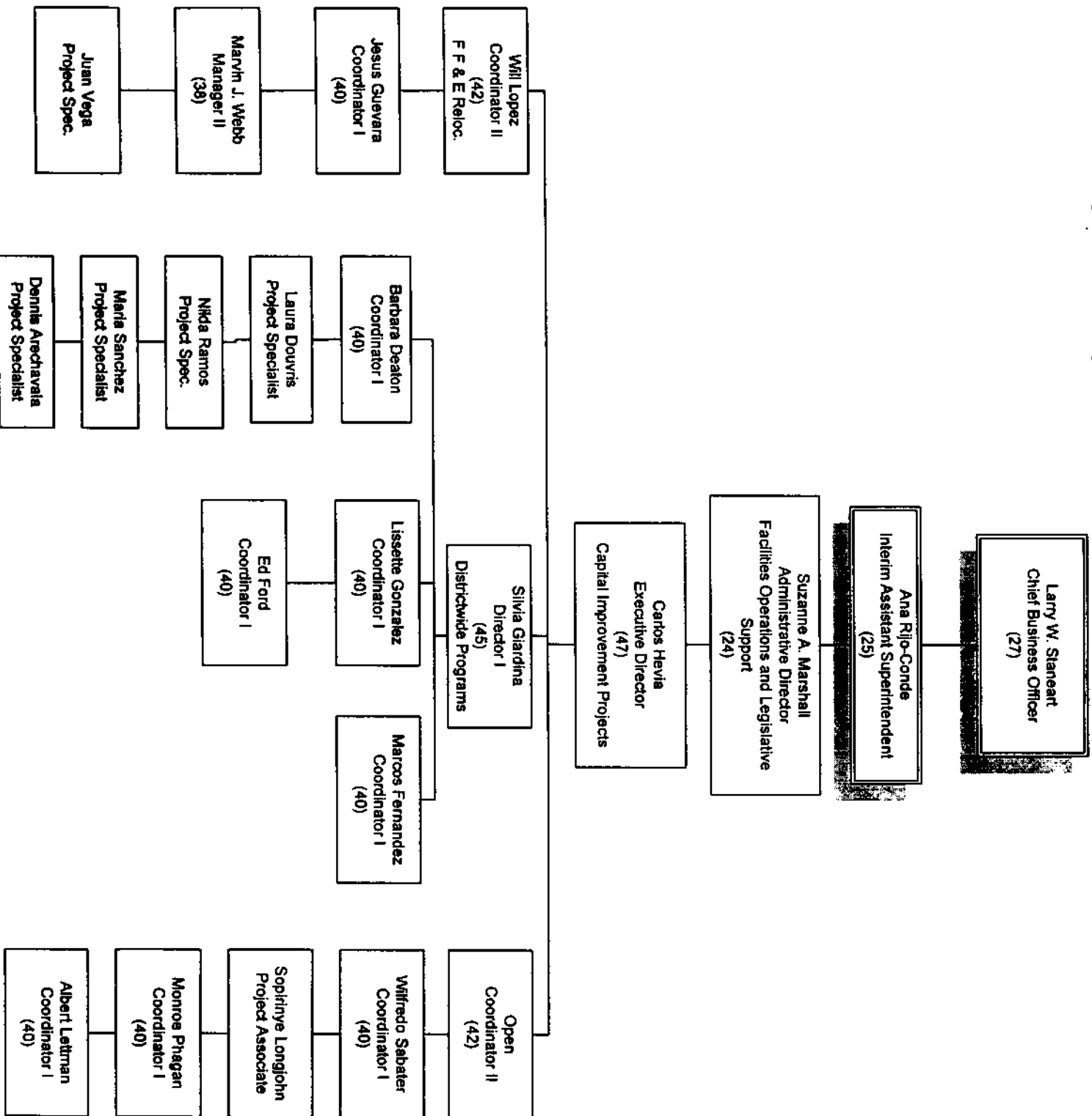
# Capital Improvement Projects - 9109 (Page 1 of 3)



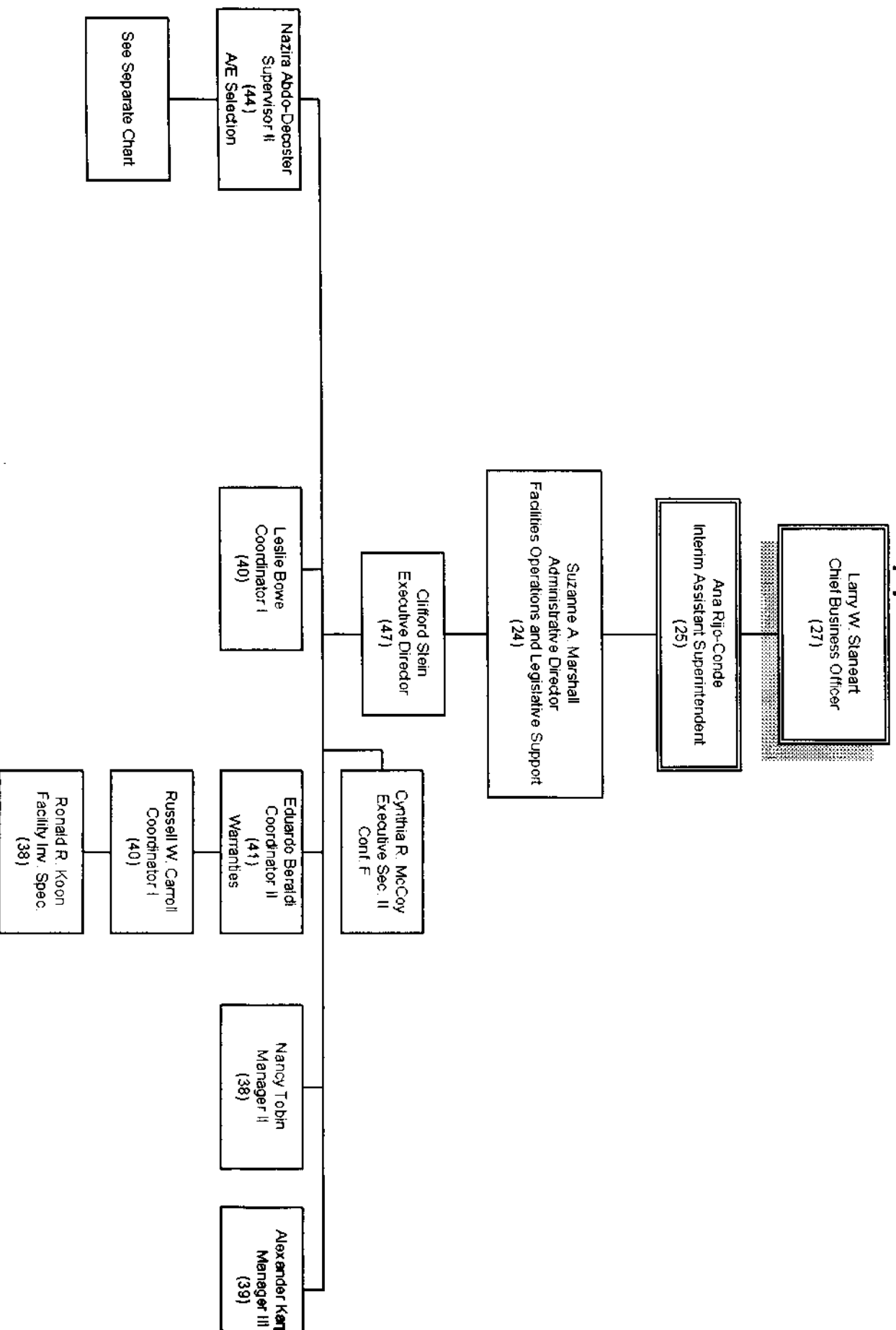
# Capital Improvement Projects - 9109 (Page 2 of 3)



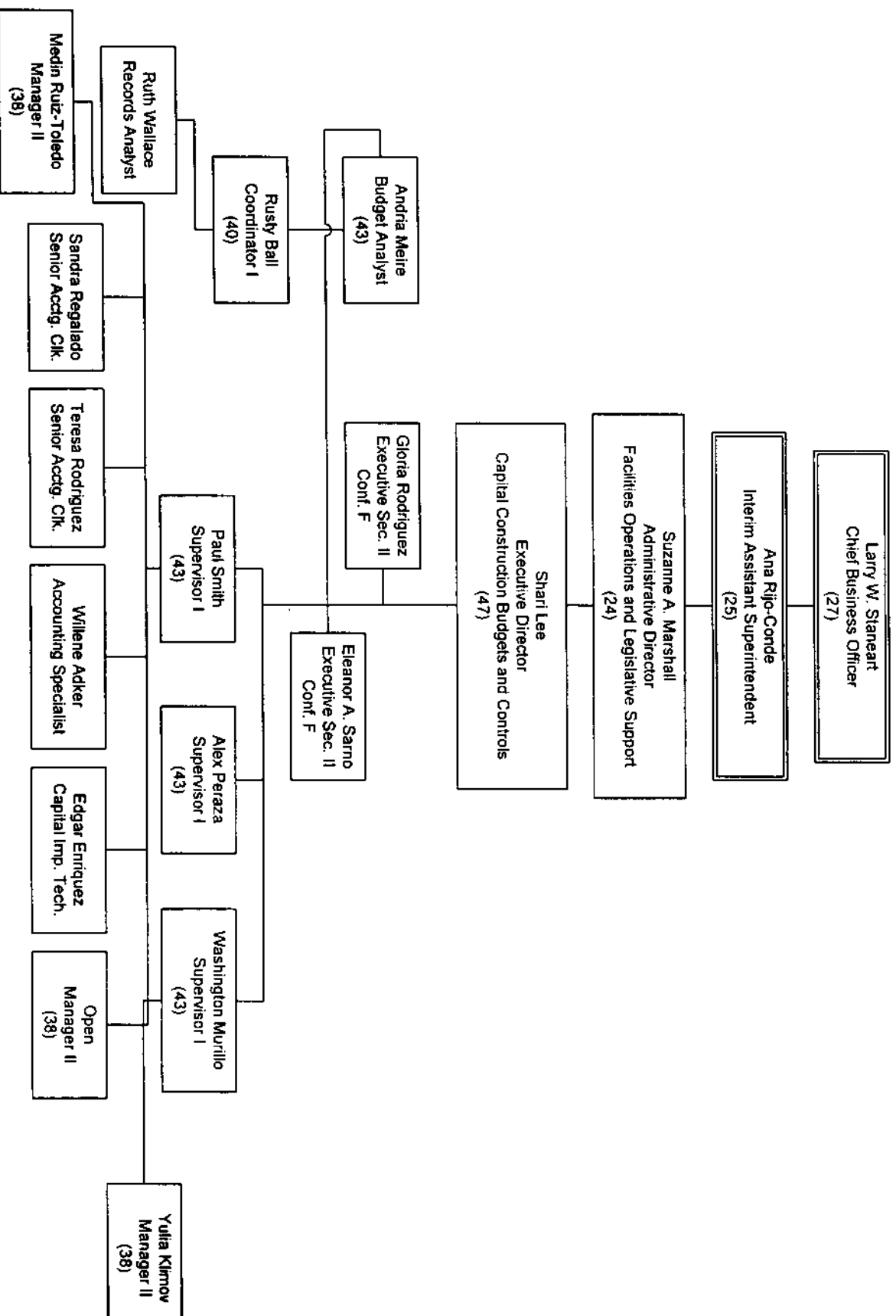
# Capital Improvement Projects - 9109 (Page 3 of 3)



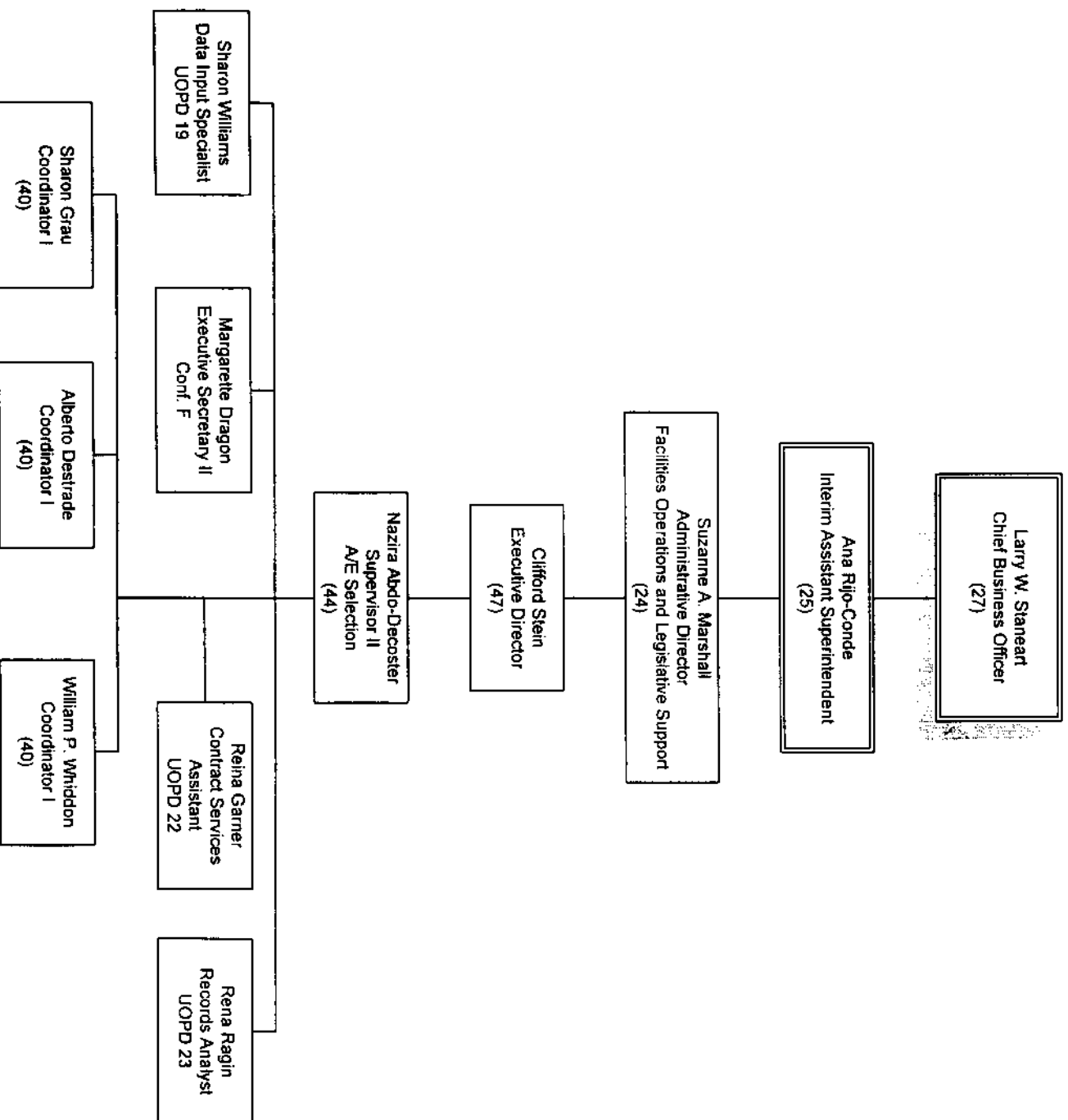
# Facilities Support Services - 9111



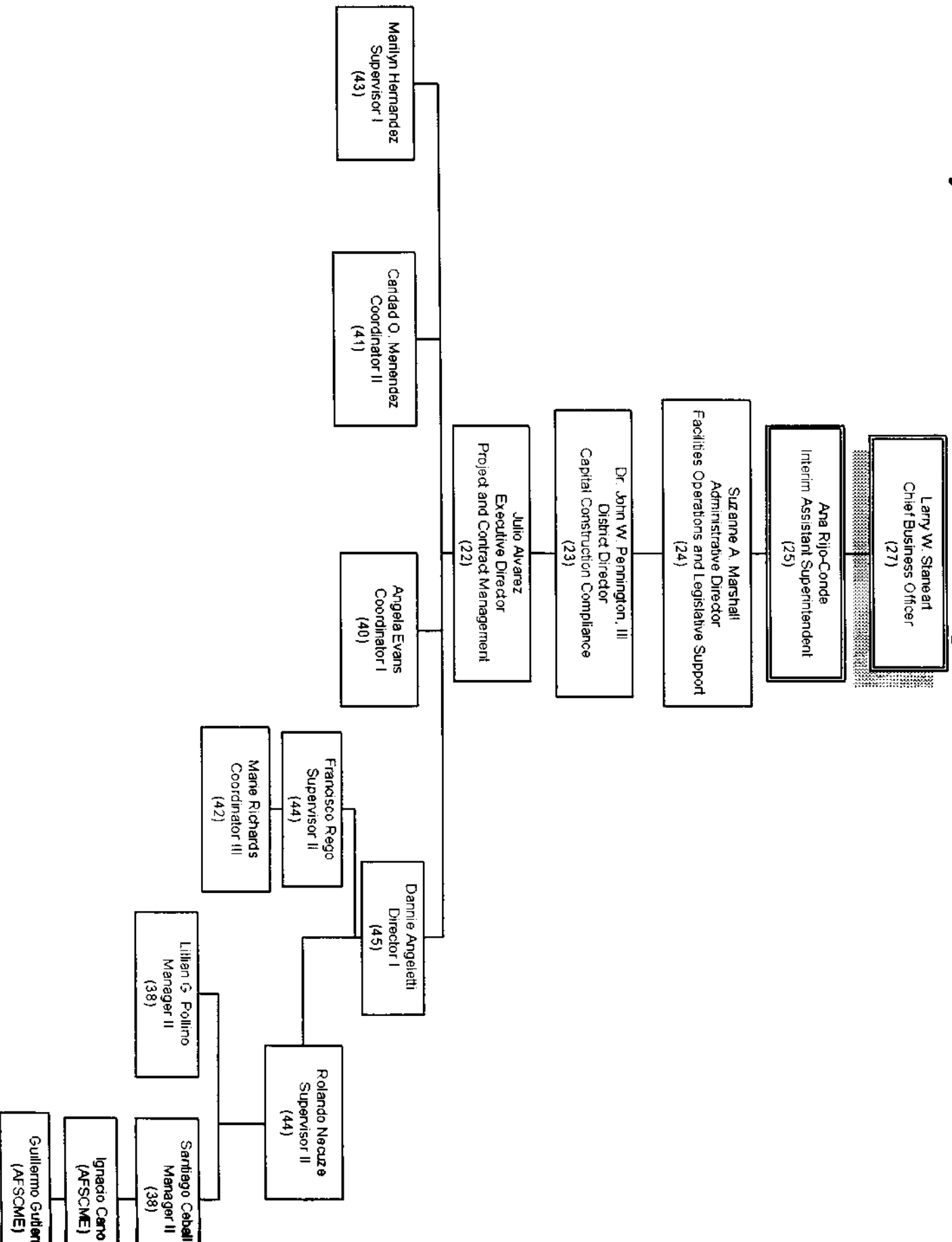
# Capital Construction Budgets and Controls - 9205



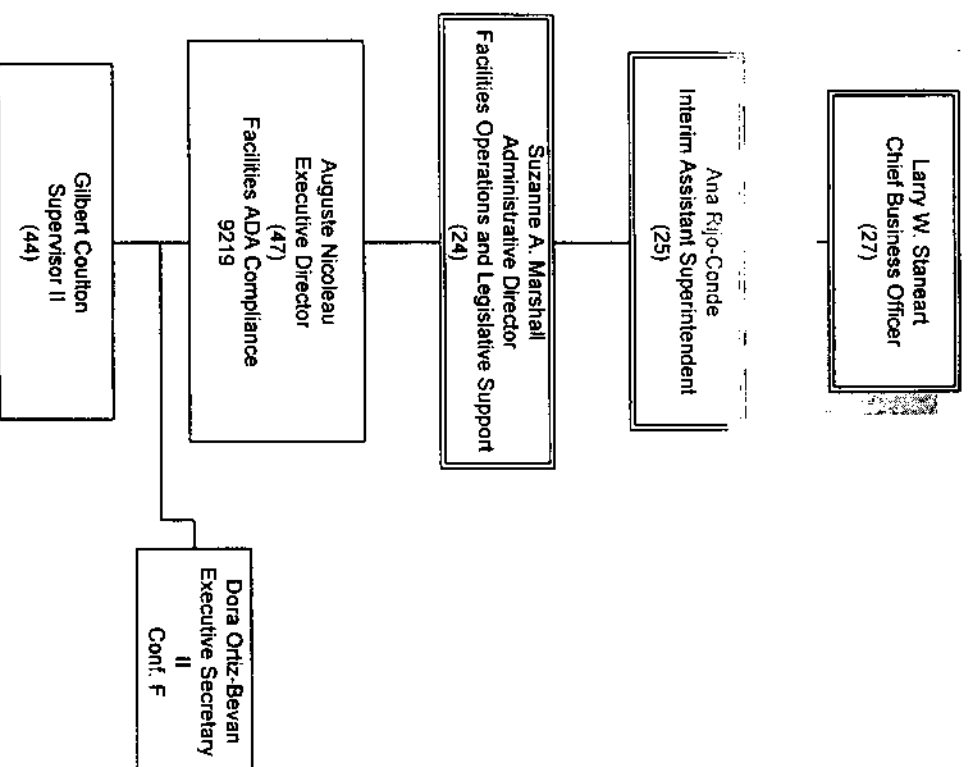
# A/E Selection - 9207



# Project and Contract Management - 9210



# Facilities ADA Compliance - 9219





# AUDITOR GENERAL

William O. Monroe, CPA



## OPERATIONAL AUDIT OF CAPITAL CONSTRUCTION ACTIVITIES FOR MIAMI-DADE DISTRICT SCHOOL BOARD JULY 1, 2000 THROUGH APRIL 30, 2002

### SUMMARY

This audit report is the fourth in a series of reports issued on audits conducted pursuant to Chapter 2001-253, Laws of Florida, Specific Appropriation 118, and Section 11.45, Florida Statutes. Additional reports will be issued as audit fieldwork is completed in areas selected by the Auditor General for audit.

This operational audit focused on the Miami-Dade County District School Board's administration of the capital construction program and a review of employee job qualifications for the Department of Facilities Planning and Construction and selected employees in the Department of Maintenance Operations. The District's Department of Facilities Planning and Construction is charged with overseeing and managing the District's capital construction program. During the period of July 1, 2000, through April 30, 2002, the District awarded 325 new construction, renovation, and remodeling projects valued at \$227,343,961. Our audit disclosed the following:

**Finding No. 1: Review of Qualifications of Personnel Engaged in Capital Construction and Maintenance Activities**

We noted five instances in which employees did not meet the minimum qualification requirements for their respective positions in the Departments of Facilities Planning and Construction and Maintenance Operations. In another instance, after being promoted to the position, an employee failed to maintain the required certifications that were part of the minimum requirements for the position.

**Finding No. 2: Verification of Work Experience**

We noted five instances in which the District did not document its verification of work experience, although it was the determining factor that qualified the employees

for positions at the Departments of Facilities Planning and Construction and Maintenance Operations.

**Finding No. 3: Review of Licensure and Continuing Training for Construction and Maintenance Staff**

The District did not require active architecture or engineer licensure or other specified continuing training for particular positions of responsibility in the facility construction and maintenance areas. Requiring that employees having architecture or engineering degrees hold active licenses, or that employees in particular positions of responsibility receive specified continuing training, would provide additional assurance that these employees remain current with technical and professional standards.

**Finding No. 4: Review of Employee Job Duties**

Improvements could be made in maintaining job descriptions that correspond to tasks and duties assigned. We noted that 29 of the 34 employees included in our audit tests in the Departments of Facilities Planning and Construction and Maintenance Operations were performing tasks that were not consistent with the job descriptions for their positions.

**Finding No. 5: Direct Purchases of Construction Materials**

We noted that the District's procedures did not provide for the direct purchase of construction materials on major construction projects. Our review of several major construction projects disclosed that the District could have realized significant sales tax savings had the District directly purchased construction materials.

**Finding No. 6: Architect Errors and Omissions**  
The District's architect/engineer (A/E) contracts contained a provision that the District would not claim or recover additional construction costs or damages for architectural or engineering errors and omissions, when the costs of such errors and omissions totaled less than a specified allowance (1 or 1.5 percent of total project construction costs). The Board should consider revising future A/E contracts to eliminate allowances for errors and omissions.

**Finding No. 7: Project Closeout**  
The District incurred significant costs to closeout construction projects after contractors and architect/engineers had, in some instances, been paid in full for work not completed.

**Finding No. 8: Warranty Processes**  
Improvements were needed in warranty administration procedures to ensure that all construction and renovation project malfunctions and deficiencies identified within warranty periods are corrected at no cost to the District. We noted two addition and renovation projects where the District was not tracking the warranties of the completed projects.

**Finding No. 9: Contractor Prequalifications**  
Procedures should be improved to ensure that only properly qualified building contractors are prequalified to bid for the District's new construction contracts. Our audit tests disclosed that contractors who failed to finish previous projects were currently approved as prequalified bidders for new construction contracts.

To promote accountability in government and improvement in government operations, the Auditor General makes operational audits of selected programs, activities, and functions of district school boards. This operational audit was made in accordance with applicable CPA. Please address inquiries regarding this report to David W. Martin, CPA, Audit Manager, via e-mail at [davidmartin@aud.state.fl.us](mailto:davidmartin@aud.state.fl.us) or by telephone at (850) 487-9039.

This audit report, as well as other reports prepared by the Auditor General, can be obtained on our Web site at (<http://www.state.fl.us/audgen>); by telephone at (850) 487-9024; or by mail at G74 Claude Pepper Building, 111 West Madison Street, Tallahassee, Florida 32399-1450.



**AUDITOR GENERAL**  
William O. Monroe, CPA



**OPERATIONAL AUDIT OF CAPITAL CONSTRUCTION ACTIVITIES  
FOR MIAMI-DADE COUNTY DISTRICT SCHOOL BOARD  
JULY 1, 2000, THROUGH APRIL 30, 2002**

**SUMMARY**

This audit report is the fourth in a series of reports issued on audits conducted pursuant to Chapter 2001-253, Laws of Florida, Specific Appropriation 118, and Section 11.45, Florida Statutes. Additional reports will be issued as audit fieldwork is completed in areas selected by the Auditor General for audit.

This operational audit focused on the Miami-Dade County District School Board's administration of the capital construction program and a review of employee job qualifications for the Department of Facilities Planning and Construction and selected employees in the Department of Maintenance Operations. The District's Department of Facilities Planning and Construction is charged with overseeing and managing the District's capital construction program. During the period of July 1, 2000, through April 30, 2002, the District awarded 325 new construction, renovation, and remodeling projects valued at \$227,343,961. Our audit disclosed the following:

**Finding No. 1: Review of Qualifications of Personnel Engaged in Capital Construction and Maintenance Activities**

We noted five instances in which employees did not meet the minimum qualification requirements for their respective positions in the Departments of Facilities Planning and Construction and Maintenance Operations. In another instance, after being promoted to the position, an employee failed to maintain the required certifications that were part of the minimum requirements for the position.

**Finding No. 2: Verification of Work Experience**

We noted five instances in which the District did not document its verification of work experience, although it was the determining factor that qualified the employees

for positions at the Departments of Facilities Planning and Construction and Maintenance Operations.

**Finding No. 3: Review of Licensure and Continuing Training for Construction and Maintenance Staff**

The District did not require active architecture or engineer licensure or other specified continuing training for particular positions of responsibility in the facility construction and maintenance areas. Requiring that employees having architecture or engineering degrees hold active licenses, or that employees in particular positions of responsibility receive specified continuing training, would provide additional assurance that these employees remain current with technical and professional standards.

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Improvements could be made in maintaining job descriptions that correspond to tasks and duties assigned. We noted that 29 of the 34 employees included in our audit tests in the Departments of Facilities Planning and Construction and Maintenance Operations were performing tasks that were not consistent with the job descriptions for their positions.

**Finding No. 5: Direct Purchases of Construction Materials**

We noted that the District's procedures did not provide for the direct purchase of construction materials on major construction projects. Our review of several major construction projects disclosed that the District could have realized significant sales tax savings had the District directly purchased construction materials.

**Finding No. 6: Architect Errors and Omissions**

The District's architect/engineer (A/E) contracts contained a provision that the District would not claim or recover additional construction costs or damages for architectural or engineering errors and omissions, when the costs of such errors and omissions totaled less than a

- To determine that personnel in the District's Departments of Facilities Planning and Construction and Maintenance Operations met the minimum job qualifications. Also, to determine if the job duties performed by Department of Facilities Planning and Construction personnel generally agreed with duties noted in the employees' job description.
- To determine whether the District utilized cost efficient methods for purchasing construction materials for major construction projects.
- To determine whether the District's professional service agreements for architectural and engineering

The scope of this audit included a review of the Miami-Dade County District School Board's administration of the capital construction program and a review of employee job qualifications for the Department of Facilities Planning and Construction and selected employees in the Department of Maintenance Operations. Our review did not include an assessment of the reasonableness of the number of employees in these departments. This assessment was performed in connection with the Best Financial Management Practices Review (Report No. 02-25A) conducted by the Legislative Office of Program Policy Analysis and Government Accountability (OPPAGA). Our objectives were as follows:

### AUDIT SCOPE, OBJECTIVES, AND METHODOLOGY

CONSTRUCTION CONTRACTS AWARDED BY CONTRACT TYPE				
Contract Type	No. of Contracts	Amount	No. of Contracts	Amount
7/1/00-6/30/01	7/1/01-4/30/02			
Conventional Bid	37	\$ 28,034,999	21	\$ 35,012,767
Design - Build	9	47,323,007	2	20,308,500
CM @ Risk GMP	7	6,687,212	9	62,524,593
CM @ Risk Misc	92	18,983,956	52	5,351,769
JOC	61	1,894,011	35	1,143,147
TOTAL	206	\$ 102,923,185	119	\$ 124,420,776

CM = Construction Manager  
GMP = Guaranteed Maximum Price  
JOC = Job Order Contracts

The Miami-Dade County District School Board's Department of Facilities Planning and Construction is charged with overseeing and managing the District's capital construction program. The Department's responsibilities include site acquisition, planning, design, new construction and major building improvements. The Department is staffed with approximately 265 employees who manage the capital budget and oversee capital projects.

The District's capital construction program utilizes various construction delivery methods to build, renovate, and remodel schools and other facilities including conventional bid, design-build, construction manager, and job order contracts. As shown in the following tabulation, during the period of July 1, 2000, through April 30, 2002, the District awarded 325 new construction, renovation, and remodeling projects valued at \$227,343,961:

### INTRODUCTION

Procedures should be improved to ensure that only properly qualified building contractors are prequalified to bid for the District's new construction contracts. Our audit tests disclosed that contractors who failed to finish previous projects were currently approved as prequalified bidders for new construction contracts.

#### Finding No. 9: Contractor Prequalifications

Improvements were needed in warranty administration procedures to ensure that all construction and renovation project malfunctions and deficiencies identified within warranty periods are corrected at no cost to the District. We noted two addition and renovation projects where the District was not tracking the warranties of the completed projects.

#### Finding No. 8: Warranty Process

The District incurred significant costs to closeout construction projects after contractors and architects/engineers had, in some instances, been paid in full for work not completed.

#### Finding No. 7: Project Closeout

specified allowance (1 or 1.5 percent of total project construction costs). The Board should consider revising future A/E contracts to eliminate allowances for errors and omissions.

services were written to provide the maximum benefit to the District.

- To determine the effectiveness of the District's procedures for closeout of construction projects.
- To determine the effectiveness of the District's procedures for monitoring warranties on new construction projects.
- To determine the effectiveness of the District's prequalification procedures for contractors.

## FINDINGS AND RECOMMENDATIONS

### Finding No. 1 - Review of Qualifications of Personnel Engaged in Capital Construction and Maintenance Activities

We reviewed the job descriptions and related minimum qualification requirements for 267 professional and technical staff of the Departments of Facilities Planning and Construction and Maintenance Operations. Our review included all professional and technical staff of these departments, except for those working in the Office of Governmental Affairs and Land Use Policy and Acquisitions whose qualifications had been previously reviewed and were the subject of our audit report No. 02-124. We reviewed the qualifications of 148 employees from the Department of Facilities Planning and Construction and 119 employees from the Department of Maintenance Operations. A summary of the positions reviewed and actual salary ranges for the fiscal year ended June 30, 2001, is shown below:

Audit tests disclosed that employees generally met the written qualifications for their respective positions. However, we noted five instances in which employees did not meet the minimum qualification requirements for their respective positions at the time of appointment. These employees were appointed to the positions by the Board upon the recommendation of the Superintendent (direct appointments). In another instance, an employee failed to maintain the minimum requirements for the position after being promoted to the position. The specific instances are described below:

• An employee was directly appointed effective July 1996 to an executive director position in the Department of Maintenance Operations. The minimum requirements for the position included 15 years of architectural, engineering or construction management experience. Personnel records disclosed that the employee was approximately ten years short of the required experience at the time of appointment. We were informed by District management that the employee was awarded the position at a time when the department needed restructuring. District management stated that the employee, "...was in the right place at the right time, and his knowledge of the roofing department made him the best candidate to take over the position." The experience requirements were waived due to the employee's experience and workload production in other construction-related positions at the District.

Position Description (1)	No. of Positions (2)	Actual Salary Range
Assistant Chief and Chief Facility Officers	3	\$120,411 - \$143,019
Administrative and Executive Directors	13	\$65,972 - \$113,563
Directors	20	\$61,352 - \$104,691
Project Manager and Managers	18	\$42,838 - \$85,890
Supervisors	21	\$54,872 - \$86,653
Architects	3	\$52,722 - \$62,706
Engineers	6	\$52,336 - \$64,826
Coordinators	123	\$40,472 - \$82,447
Trades Masters	8	\$56,637 - \$65,559
Project Inspectors	18	\$46,724 - \$76,673
Safety Inspectors	7	\$40,009 - \$51,364
Program Inspectors	5	\$31,926 - \$55,872
Other	8	\$39,174 - \$62,205
	253	

Notes: (1) As a result of reorganization and restructuring of offices within the school district, several employees are currently in other positions.  
(2) Does not include 14 positions in which the employees did not work the complete fiscal year.

- An employee was directly appointed effective August 1998 to a supervisor II position in the Department of Facilities Planning and Construction. The minimum requirements for the position included a bachelor's degree in school administration, business management, construction management, or public administration, or a minimum of ten years administrative experience in plan reviews, facilities planning, business management, and/or contract administration. Personnel records disclosed that the employee holds a degree in secondary education. Based on District records, the employee did not have the required experience in the areas of plan reviews, facilities planning, or business management. According to District management, after the employee was appointed to the position in August 1998, the employee gained applicable work experience through on-the-job training.
- An employee was directly appointed effective April 1998 to a supervisor II position in the Department of Facilities Planning and Construction. The minimum requirements for the position included a bachelor's degree in construction management or related field and at least five years experience in planning, design, or construction management or ten years professional experience, including five years of managerial experience in construction management of commercial/institutional buildings. Personnel records indicated that the employee holds a bachelor of science degree in architecture. Although requested, a copy of the degree was not provided for audit. Our review disclosed that most of the work experience (eight years) cited by the employee was obtained while working as a consultant for a company for which the employee was the president, i.e., self-employed. We recognize that the employee could have qualified for the position based on this experience. However, given the District's failure to document the verification of work experience, as discussed in Finding No. 2, and the inability of the employee to provide us with evidence of the required degree, District records did not evidence the employee's qualification for the position at the time of appointment.
- An employee was directly appointed effective July 1999 to a coordinator I position in the Department of

- Facilities Planning and Construction. The minimum requirements for the position included a bachelor's degree in business administration, computer science, or engineering; a minimum of two years supervisory experience in document preparation and data gathering; and documented completion of college level training in at least two programming languages including "C", COBOL, basic or equivalent. Personnel records disclosed that the employee did not hold the required bachelor's degree. Also, District records did not evidence that the employee had completed the required college level programming training.
- An employee was directly appointed effective January 1996 to a coordinator III position in the Department of Maintenance Operations. The minimum requirements for the position included a bachelor's degree in business management, business administration or related field. Personnel records disclosed that the employee did not hold the required bachelor's degree. District management indicated that the employee qualified for the position based on experience. However, the qualification requirements for the position did not provide for work experience as an alternative to the education requirement.
- An employee was promoted effective July 1990 to a safety manager III position in the Department of Maintenance Operations. The position required the employee to be certified as an asbestos inspector. Also, the employee was required to be an asbestos abatement instructor within six months from appointment. Although the employee held the required certifications at the time of promotion, upon audit inquiry, the employee indicated that the required asbestos inspector and instructor certifications had expired on June 2001 and December 1995, respectively.
- In response to a similar finding in our audit report No. 02-124, concerning direct appointments, District procedures were revised to require that individuals recommended for direct appointments provide the appropriate documentation to demonstrate that they meet the specific qualifications and background applicable to the position as indicated on the job description. We recommend that Personnel Management and Services staff review the personnel records of the

above employees and obtain documentation necessary to ensure that the employees are qualified for their current positions including any required certifications. Furthermore, the District should continue its efforts to ensure that the revised procedures for direct appointments are properly implemented.

#### ***District Response***

Personnel Management and Services staff is reviewing job qualifications applicable to various positions and the personal qualifications of the incumbents in conjunction with construction administration. Where a discrepancy is identified, action will be taken to resolve the disparity through employee and/or job description adjustment. The District will be reorganizing the construction function, and this issue will be addressed fully prior to December 2002.

#### ***Finding No. 2 - Verification of Work Experience***

Improvements were needed in procedures for documenting the verification of work experience of employees hired, promoted, or directly appointed to positions at the Departments of Facilities Planning and Construction and Maintenance Operations. We noted five instances in which the District did not document the verification of work experience, although it was the determining factor that qualified the employees for the positions. These five instances included a project associate, a project specialist, and a construction coordinator in the Department of Facilities Planning and Construction, and two construction coordinators in the Department of Maintenance Operations.

In one instance, the work experience cited by the employee to qualify for the position of project associate was obtained while working for a family-owned company for which the employee was a director. In another instance, personnel records disclosed that from 1990 through 1999, prior to the current position of construction coordinator, the employee worked for the Miami-Dade Community College in the area of student services (i.e., non-construction). The experience cited by the employee to qualify for the position at the District was obtained from 1980 through 1990 while working for a family-owned company as a project coordinator for the experience working as a project coordinator for the family-owned company with responsibilities such as managing all contracts with sub-contractors, approving

#### ***District Response***

We recommend that the District enhance its hiring procedures to adequately document the verification of the work experience reported by job applicants. The District should take additional steps to verify the appropriateness of an applicant's qualifications if the work experience reported by job applicants was obtained through self-employment or by working for a company that is otherwise related to the applicant.

Staff from the Office of Administrative & Professional and Technical Staffing will pursue an aggressive course of the verification procedure through the collection of appropriate documentation and work experience credentials. In terms of self-employed applicants, affidavits from the applicant's business contacts will be required to verify experience and time frame.

#### ***Finding No. 3 - Review of Licensure and Continuing Training for Construction and Maintenance Staff***

As discussed in Finding 1, certain positions within the Departments of Facilities Planning and Construction and Maintenance Operations, such as construction coordinators, require a bachelor's degree in a construction-related field and a specified level of work experience or, in the absence of a bachelor's degree, additional work experience may be substituted. Our review disclosed that the staff of the Departments of Facilities Planning and Construction and Maintenance Operations included 69 employees with degrees in architecture or engineering. Upon our request, 27 of these 69 employees provided us with documentation evidencing their certification as a registered architect or engineer in the State of Florida. Of the remaining 42 employees that did not provide us with certification documentation, 30 were employed in the Department of Facilities Planning and Construction, and 12 were employed in the Department of Maintenance Operations. Many of these 42 employees held highly responsible

positions within these departments including directors, managers, supervisors, and coordinators; however, the District's written qualifications for these positions did not require the employees to hold applicable State of Florida licenses. We noted that although some employees maintained licenses at their own discretion, the status of their licenses, i.e., active, inactive, or suspended, was not monitored by the District. While those employees maintaining active licenses would receive continuing training in order to keep their licenses current, other employees in highly responsible positions that are not maintaining an active license are not required to receive specified continuing training.

Given the significant size of the District's capital construction program, it is in the best interest of the District and its stakeholders to maintain a highly qualified staff. Requiring that employees having architecture or engineering degrees hold active licenses, or that employees in particular positions of responsibility receive specified continuing training, would provide additional assurance that these employees remain current with technical and professional standards. We recommend that the District's procedures be revised to require either active architecture or engineer licensure or other specified continuing training for particular positions of responsibility in the facility construction and maintenance areas. These revised procedures should provide for the monitoring of the licensure status or continuing training of these employees.

#### ***District Response***

As indicated in the finding, the District's written job description for many of these positions do not require many of these employees to hold applicable State of Florida licenses. It is recognized, however, that having the technical staff appropriately licensed is in the best interest of the school system; therefore, in cooperation with Construction and Maintenance personnel, the Personnel Management and Services staff will develop procedures to monitor and evaluate licensure requirements. Enhanced training for select positions as identified will also be provided.

#### ***Finding No. 4 - Review of Employee Job Duties***

We tested 34 employees working in the Departments of Facilities Planning and Construction and Maintenance Operations to determine whether they were performing

job duties consistent with the duties outlined in the job descriptions for their positions. We noted that 29 of the 34 employees tested were performing tasks that were not consistent with the job descriptions for their positions. The following are examples:

- An employee was directly appointed to a construction coordinator position in the Department of Maintenance Operations. Based on the job title, job description, and related qualifications, the employee should be performing construction-related duties. However, personnel records showed that the employee's education and experience were in the area of agriculture/grounds. District management indicated that the employee's job description was consolidated pursuant to a consultant's recommendation made in September 1997, and that the employee's actual responsibilities include supervision of agriculture, grounds, and playground equipment, which is a function of Maintenance Operations.

- An employee was promoted to a position of design and construction coordinator I in the Department of Facilities Planning and Construction. Based on the job title, job description, and related qualifications for the above position, the employee should be working in the construction area. However, personnel records showed that the employee's education, experience, and actual job duties were primarily in the areas of local area network and technical support. District management indicated that the employee's job description was never changed to match the duties to which he has been assigned since 1998.

- An employee was directly appointed to a construction coordinator position in the Department of Maintenance Operations. Based on the job title, job description, and related qualifications for the above position, the employee should be performing construction-related duties. However, personnel records showed that the employee's education and experience were in the area of safety inspections and training. District management indicated that the employee's job description was consolidated pursuant to a consultant's recommendation made in September 1997, and that the employee's primary responsibilities include reviewing contracted services for elevator safety inspections.

- An employee was directly appointed to a position of construction coordinator in the Department of Maintenance Operations. Based on the job title, job description, and related qualifications for the above position, the employee should be working in the construction area. However, personnel records showed that the employee's education and experience were in the area of electronics technology. District management indicated that the employee's job description was consolidated pursuant to a consultant's recommendation made in September 1997. According to District management, the employee's responsibilities include supervision of fire alarms, extinguishers, and automatic fire suppression systems.
- An employee appointed as a project manager (a construction-related position) in the Department of Facilities Planning and Construction is responsible for managing and coordinating furniture, fixtures, and equipment projects. Upon audit inquiry, the employee provided us with a written description of the actual duties in the area of furniture, fixtures, and equipment. The primary duties performed by this employee did not appear consistent with the job description for the project manager position.

Requiring employees to perform tasks that are not consistent with the job duties outlined for their positions could have a negative effect on employee morale and related work efficiency. Accurate job descriptions, properly reflecting the required duties for a given position, are beneficial when hiring for open positions and are also needed by District management for evaluating employee performance. We recommend that the District revise position descriptions as necessary to ensure that employees perform tasks that are consistent with those required for the position.

### District Response

Existing Board Rule and the Miami-Dade County School Administrators' labor contract provide a 3-year review period for all job descriptions. Additionally, job description review procedures are in place prior to advertising a position. Supervisory staff will monitor and revise job descriptions as duties are modified to comply with the needs of the department.

Our review of several major construction projects disclosed that the District could have realized significant sales tax savings had the District directly purchased construction materials. Although it may not be feasible to directly purchase all construction materials, the District could directly purchase a large portion of the required construction materials and benefit from sales tax savings. Examples of projects and estimated cost savings that could have resulted from direct purchase of materials for construction projects are shown below:

and satisfy various conditions provided in the Rule. personal property prior to its incorporation into realty, hold title to, and assume the risk of loss of the tangible sales tax, the governmental entity must directly purchase. Basically, for there to be an exemption from payment of district school boards, must take for sales tax exemptions. in detail the steps the governmental entity, including several Technical Assistance Advisements that describe or purchase supplies and materials for use in public works. The Department of Revenue has also issued 12A-1.094, Florida Administrative Code, addresses the taxation of transactions in which contractors manufacture from the Florida sales tax to governmental entities when payments are made directly to the vendor by the governmental entity. Department of Revenue Rule 12A-1.094, Florida Administrative Code, addresses the Section 212.08(6), Florida Statutes, provides an exemption from the Florida sales tax to governmental entities when payments are made directly to the vendor by the governmental entity. Department of Revenue Rule 12A-1.094, Florida Administrative Code, addresses the several Technical Assistance Advisements that describe in detail the steps the governmental entity, including district school boards, must take for sales tax exemptions. Basically, for there to be an exemption from payment of sales tax, the governmental entity must directly purchase, hold title to, and assume the risk of loss of the tangible personal property prior to its incorporation into realty, and satisfy various conditions provided in the Rule.

The District's construction contracting procedures do not provide for the direct purchase of construction materials and, as a result, sales tax is included in the construction costs of facilities. Consequently, the District does not utilize the most cost efficient method for purchasing construction materials for major construction projects. Our inquiry of other governmental entities disclosed that the practice of direct purchases is being utilized by several large district school boards, community colleges, and universities within the State as a cost saving measure.

### Finding No. 5 - Direct Purchases of Construction Materials

Site and Type of Construction (1)	Total Contract	Gross Materials (2)	Estimated Potential Sales Tax Savings (3)
Henry Fier Middle School Additions/Renovations	\$ 2,735,640	\$ 687,819	\$ 36,933
Thomas Elementary School New Prototypical Elementary School	9,716,299	1,293,168	73,198
Ludlam Elementary School Additions/Remodel/Renovations	1,112,566	486,515	27,539
Haleah Senior SS GGG Replacement	18,235,083	7,698,096	435,741
Brownsville Middle School Remodel/Renovations	7,535,000	3,790,544	214,559
North Beach Elementary School Additions/Renovations	5,566,588	2,047,087	115,873
Campbell Middle School Learning Center Additions	4,685,000	2,017,950	114,224
Thena Crowder Elementary School Additions/Renovations	1,110,277	622,210	35,219
Phila Wheatley Elementary School Additions/Renovations	2,197,000	964,395	54,586
Doral Middle School New Prototypical Middle School	13,177,569	7,337,690	415,341
State School "C" New Elementary School	11,397,900	4,830,967	273,451
ADA Memo Ancillary Fac State School "B1"	3,507,795	489,708	26,587
<b>TOTAL ESTIMATED SALES TAX SAVINGS</b>			<b>\$ 1,825,253</b>

#### Notes:

(1) Does not include ongoing projects for two senior high schools, two new middle schools, a new technology center, and renovation projects amounting to \$107,802,062 for which a breakdown of materials and labor was not provided by the District.

(2) Gross Materials amounts were tabulated from each project's Schedule of Values and includes sales tax paid by contractor. Gross materials included items such as steel, doors, windows, seating, elevator, heating and air conditioning equipment, and food service equipment.

(3) Amount is computed at 6 percent of the Gross Materials amount after deducting the sales tax. This amount excludes the 0.5 percent sales tax levied by Miami-Dade County on the first \$5,000 of each purchase.

We recommend that the District evaluate the costs and benefits of implementing procedures to provide for the direct purchase of construction materials. Such procedures, if effectively implemented, could enable the District to realize significant cost savings in its capital construction program. In evaluating the costs and benefits of direct purchases of construction materials, the District should obtain information from other large school districts, or large community colleges or universities, which use the direct purchase method.

#### District Response

The District had unfavorable results with direct purchases of construction materials in the past at Miami Edison Middle School. However, the District will explore the methods used by other school districts. A cost benefit comparison will be made to determine if the estimated tax savings outweigh the estimated costs to implement the program via the most cost-effective model that can be identified.

In its previous efforts to take advantage of the tax saving opportunities offered, the District concluded that it did not save money and it did experience delays in the delivery of the construction project because of the added

layer of government processing to the otherwise efficient private sector work flow.

- There were staffing increases in purchasing, payments, and other personnel directly related to the process.
- There were additional insurance costs, claims that the contractor could have purchased the materials directly at industry discounts and accounting issues in determination of the "allowance" the contractor bids for materials.
- There were problems with deliveries, receipt of goods, demands for payment upon delivery, disputes over material defects, warranties, returns, warehousing and transportation arrangements, and overall delays in the opening of the school due to the delays in the arrival of materials.
- There were disputes with the bonding company over responsibility for job completion time and payments when the contractor underbid the job and the District had expended the contract balance on materials.

#### Finding No. 6 - Architect Errors and Omissions

The District contracts for architectural and engineering services for the development of project plans and specifications for its significant construction projects. Generally, contracts for architectural and engineering services provide for the architect/engineer (A/E) to be responsible for all costs of errors and any additional costs incurred as a result of omissions. Errors represent mistakes made by the A/E in the project drawings or specifications. Omissions are required facility/construction items which the A/E failed to include in the project drawings or specifications. A/E contracts entered into by the District include provisions which allow the District to recover, from the A/E and their liability insurance carriers, only a portion of the additional construction costs resulting from architectural or engineering errors and omissions. Additional construction costs are only those costs of correction that are determined to be greater than if the error or omission had not been made by the A/E. The District's A/E contracts contained a provision that the District would not claim or recover additional construction costs or damages for architectural or engineering errors and omissions when the costs of such errors and omissions

totalled from less than 1 to 1.5 percent of the total project construction costs.

In response to our inquiry, the District's Director of Professional Services Contracts indicated that A/E contracts contained the 1 percent allowance for architectural or engineering errors and omissions until sometime in the early 1990's. At that time, the Superintendent appointed a private attorney, who specialized in construction, to review all of the District's front-end construction documents and contracts. After meetings with the A/E community, the attorney recommended to the Superintendent that A/E contracts reflect certain changes, which included the revision of the errors and omissions allowance to 1.5 percent of total project construction costs. The Director did not recall whether the specific increase in the allowance was presented to the Board for their consideration.

The District's Facilities Management Tracking System provides for the tracking and accumulation of construction contract change orders, including change orders for construction costs associated with the correction of architectural or engineering errors and omissions. The following tabulation was prepared from information contained in the Facilities Management Tracking System to show examples of the construction costs incurred by the District as a result of architectural or engineering errors and omissions on several large projects:

Project Location	Project Number	Total Cost of Construction	Completion Date	Total Cost to Correct	
				Errors	Omissions
Miami Northwestern Sr High	A0354A	\$ 57,460,207	09/30/96	\$ 240,746	\$ 620,546
Barbara Coleman Sr High	A0002	35,901,123	01/06/96	159,681	224,250
Dr. Michael M. Knapp Sr High	A0507	35,817,240	10/13/98	49,640	
Nauticus Middle	A0345	18,228,292	04/23/97	92,917	542,969
Ernest R. Graham Elem	A0454	17,245,660	05/01/96	66,633	265,444
Howard A. Doolin Middle	A0506	16,376,433	08/27/97	87,411	397,761
Doral Middle	A0602	13,177,698	04/08/99	129,135	8,546
Paul W. Bell Middle	A0013	12,678,767	03/31/97	196,897	490,947
Brigid Bay Harbor Elem	A0558	10,911,173	12/15/96	152,696	490,183
Evelyn M. Hartner Elem	A0437	10,769,368	06/06/97	134,191	256,828
Santa Clara Elem	A0431	10,662,944	08/12/97	167,921	308,165
R.R. Moton Elem	A0554	10,339,761	08/15/97	47,723	108,957
Laura C. Saunders Elem	A0545	10,337,543	03/20/97	74,517	74,103
Redland Elem	A0553	10,047,774	08/27/96	109,637	309,204
Charles D. Wyche, Jr. Elem	A0436	9,879,902	01/15/97	127,247	230,268
Ethel Koger Beckham Elem	A0288	9,746,502	09/30/96	179,140	295,888
Eugenia B. Thomas Elem	A0702	9,691,772	05/29/01	7,760	24,425
Wesley Matthews Elem	A0242	9,527,830	06/26/96	31,101	268,175
Linda Lemlin Elem	A0442	9,374,125	06/04/98	30,806	26,999
Zora Neale Hurston Elem	A0359	8,925,822	12/11/96	111,014	141,449
Christina M. Ewe Elem	A0573	8,283,394	01/12/00	529	22,508
500 Role Models Academy	A0547	4,814,271	01/12/99	51,166	143,077
Kay Baccarie Elem	A0566	4,503,230	07/10/98	39,626	229,141
Palm Springs Middle	A0512	2,914,098	09/04/99	29,094	96,253
Riviera Middle	A0430	2,800,236	03/23/01	21,191	14,992
Coral Terrace Elem	A0601	2,219,374	02/22/01	2,556	39,446
Hialeah Elem	A0534	1,967,826	12/24/99	146,227	305,202
Emerson Elem	A0655	1,686,427	11/17/00	5,057	18,749
Thomas Jefferson Elem	A0672	1,210,380	03/05/01	11,874	29,486
Ludlum Elem	A0521	1,189,027	12/13/01	30,044	74,052
<b>TOTAL</b>		<b>\$ 350,508,149</b>		<b>\$ 2,556,136</b>	<b>\$ 6,244,775</b>

As a result of errors made by the architects/engineers on the 30 projects listed above, the District incurred additional construction costs totaling \$2,556,136; however, only \$341,577 of this amount exceeds the errors and omissions allowances provided for by the A/E contracts. Approximately \$16,709 of the \$341,577 was withheld from the A/E payments for four of the above projects. The District could have looked to the architects/engineers and their liability insurance carriers for reimbursements of the remaining additional construction costs totaling \$2,214,559 if the A/E contracts had not provided for the 1 or 1.5 percent errors and omissions allowances.

Although construction costs relating to the correction of architectural or engineering omissions on the 30 projects listed above totaled \$6,244,775, the District did not of record determine the amount of additional construction costs beyond those which would have been incurred

without the omissions. Consequently, we were precluded from making any determination as to the amount of additional construction costs incurred by the District as a result of those architectural or engineering omissions. We did note that A/E contracts entered into since the beginning of the year 2000 contain a provision that 15 percent of the costs to correct omissions are considered an additional cost to be recovered from the A/E.

Architect/engineer contract provisions which preclude the District from recovering a portion of the additional construction costs resulting from architectural or engineering errors and omissions appears to benefit only the architects/engineers and their professional liability insurance carriers. It was not evident what public benefit was served by the errors and omission allowances provided for in the District's A/E contracts. Our review of selected A/E contracts entered into by four other Florida school boards and two Florida community colleges disclosed that those contracts contained no allowances for architectural or engineering errors and omissions.

Considering the amount of additional construction costs that the District could incur as a result of architectural and engineering errors or omissions (e. g., \$450,000 for a \$30,000,000 project with an errors and omissions allowance of 1.5 percent), the Board should consider revising future A/E contracts to eliminate these allowances. Furthermore, the Board should explain and document in its public records the benefits accruing to the District from the allowances when approving any new A/E contracts that provide for an architectural or engineering errors and omissions allowance.

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***District Response***

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The District will address the incorporation of the audit recommended change into the A/E contracts, and will begin to work with the local chapter of the American Institute of Architects before November 2002 to achieve the desired result.

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***Finding No. 7 - Project Closeout***

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Section 4.2(3) of the Florida Department of Education's publication, **STATE REQUIREMENTS FOR EDUCATIONAL FACILITIES**, requires the Board to establish policies and procedures for all construction contracts and for making payments to contractors. Such

policies and procedures should provide for final acceptance of the project, including the criteria and conditions for project completion, substantial completion, punch lists of items to be completed by the contractor, building code inspections, warranties, equipment manuals, as-built documents, occupancy, the value of incomplete items if the Board should accept the facility for occupancy prior to completion of the items, and other issues as appropriate. In addition, final payment shall not be made until an Occupancy Certificate has been issued, the project has been completed, and the Board has accepted the project.

The District's Facilities Planning, Design and Construction Procedures Manual, dated November 7, 2000, includes procedures for construction contracts, project closeout, project acceptance, and final payment. Construction projects are assigned a project manager who is the District's representative/designee responsible for the management and coordination of the project, including project closeout and final payment.

Our review of construction project closeout procedures and payments to architects/engineers and building contractors disclosed that the District had not timely and efficiently closed out construction projects. Architects/engineers and building contractors in some instances were paid in full, although work required by their contracts had not been completed. Subsequently, it was necessary to hire new architects/engineers, contractors, building code inspectors, and cost estimators at significant costs to the District to complete and close out those construction projects.

The District utilized its Department of Construction Management at Risk and its Department of Job Order Contracts to close out unfinished construction projects. Closeout work included the completion of building code deficiencies and other punch list items, additional building code inspections, the obtaining of warranties, equipment manuals, and as-built documents. District records indicate that between January 2000 and April 2002 the Department of Construction Management at Risk completed the closeout of 272 construction projects and were in the process of closing out 119 additional construction projects. The Department of Job Order Contracts had 44 active closeout projects during the same period. We noted that such projects had substantial completion dates between March 1991 and July 2000. The District's written procedures state that substantial

completion occurs when the A/E confirms that the project can be used by the Board for its intended purposes. Records provided by District personnel indicated that project closeout costs included costs resulting from architectural and engineering errors and omissions, contractor errors and default, and scope changes (i.e., State, City, and local requirements, owner's requests, and unforeseen conditions). District records show that as of April 2002, project closeout costs totaled approximately \$7.8 million as follows:

	Project Closeout Costs (1) January 2000 - April 2002
Department of Construction Management at Risk:	
Projects Closed Out	\$ 2,622,996
Work Orders Issued for the Closeouts in Progress (119 Projects)	3,374,198
Department of Job Order Contracts:	
Estimated Cost to Close Out 44 Projects	1,822,044
Total	<u>\$ 7,819,238</u>

Note: (1) Project closeout costs do not include salaries and benefits of District employees involved in the closeout process.

During our review of the above project closeouts, we noted that in some instances construction contract change orders were approved to adjust for the incomplete work. Consequently, those contractors were relieved of their contractual obligations for completing the work identified on the change orders. A listing of change order credits received from contractors for not completing punch list items on the above projects was requested from District personnel. A search of the Facilities Management Tracking System data base by District personnel identified change order credits totaling \$322,064 for not completing certain punch list items of those projects. Based on the records provided for our review, it was not practicable in the circumstances for us to determine the portion of the total reported project closeout costs (\$7.8 million) that related to architectural and engineering errors and omissions and contractor errors and default.

Our review of project closeouts also disclosed that many building code deficiencies reported at the time of substantial completion had been corrected before the District's Department of Construction Management at Risk started the project closeout process. In many instances, the substantial completion date was several years prior to the initiation of the project closeout process. District personnel indicated that some building

code deficiencies corrected prior to the closeout process may have been corrected by the District's Maintenance Operations Department after being observed and reported by school or site personnel subsequent to occupancy or reported on annual firesafety, casualty safety, and sanitation inspection reports. As shown below, many building code deficiencies reported at the time of substantial completion were corrected prior to the initial inspection by project closeout personnel:

School Name	Project Number	Building Code Deficiencies			Total Reported Closeout Costs
		Reported at Substantial Completion	Observed During Closeout Initial Inspection	Diff. (1)	
Southwest Miami HS	A0433	54	34	20	\$ 541,119
Kendal Lakes Elem	A0261	49	46	3	406,610
Ethel K. Beckham Elem	A0288/0251	162	81	81	266,780
Laura C. Saunders Elem	A0545/2941	144	39	105	250,077
Frank C. Martin Elem	A0334	33	19	14	181,180
Flamingo Elem	A0498	66	38	28	168,474
Miami Northwestern HS	A0354A	319	38	281	154,551
Wesley Matthews Elem	A0242	14	7	7	146,275
Miami Central HS	A0353	22	14	8	132,347
Carol City Middle	A02919A	15	2	13	105,661
West Homestead Elem	A0387	41	24	17	72,882
Total					<u>\$ 2,425,956</u>

Note: (1) Building code deficiencies corrected after substantial completion and prior to the closeout process.

District records indicated that, for these 11 projects, closeout costs incurred for contractor errors and default totaled approximately \$540,000 of the approximately \$2.4 million in total closeout costs incurred. District records indicated that the District received total change order credits from the contractors totaling approximately \$609,000 for these 11 projects. For these projects, the District provided an analysis which indicated that the total contract change order credits were comprised of approximately \$479,000 for scope changes, approximately \$109,000 for contractor errors and default, and approximately \$21,000 for architectural errors and omissions and other contractual adjustments. For these 11 projects, based on coding in records provided for our review, closeout costs for contractor errors and default exceeded change order credits by approximately \$431,000.

Retainage represents amounts withheld from contractor payments to help ensure that construction projects are properly completed. The District's procedures provide

that contractor retainage is partially or totally released upon the approval of the District's project manager and A/E of record. Our testing of project closeouts disclosed that, in some instances, retainage amounts had been totally released and the retainage amounts for some projects were significantly less than closeout costs incurred by the District.

Contracts between the District and its architects/engineers usually provide that five percent of the architects/engineers fees are for services provided subsequent to substantial completion. Such services include punch list completion, submittal of record drawings, shop drawings, Florida Inventory of School Houses (FISH) data and drawings, warranty and operations manuals, releases of lien, and project summary. In view of the additional costs incurred to complete unfinished projects, we recommend that the District review and enhance its procedures as necessary for the following:

- To provide for the timely closeout of construction projects after substantial completion has occurred.
- To ensure that contractor retainage is sufficient to cover project closeout costs, including the correction of any building code deficiencies and other punch list items, and ensure that such retainage is not released until all work has been completed.
- To ensure that the final five percent of A/E fees are not paid until all services to be provided for by that portion of the fees have been completed.

Additionally, we recommend that the Board consider recovering from the contractors or their sureties, and the architects/engineers, the closeout costs that were incurred as a result of architectural and engineering errors and omissions and contractor errors and default.

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#### **District Response**

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Documentation will support the District's response that it has made positive efforts to assure that the projects are completed within the dollars provided in the contracts, that it has covered the completion of the projects by others within original contract costs, and that the final payments are withheld until the projects are completed. It will agree that the data retrieval systems are cumbersome and difficult to manage. The OPPAGA Best Practices report and the Land Acquisition and Facilities Maintenance Operations Advisory Board both

recommend that major information systems be developed for the facilities construction processes. Our conclusions are based on the following:

**The District attempts to recover costs incurred to complete closeout of construction projects whenever these are legally recoverable.** The Department of Construction Management at Risk and Closeout was created and charged with centralizing the closeout effort in April 2000. This was done in order to provide for timely closeout of construction projects after substantial completion, to ensure retainage is sufficient to cover closeout and to notify contract management when projects have been successfully closed so that final payments to the A/E may be released. Our intent is always to withhold the retainage until there is full compliance by the A/E and the contractor with their contracts.

Project closeout costs are also caused by increases in project scope, such as additional requirements added by other government agencies or by the user. However, the credits identified as scope changes totaling \$479,000 in the sample of 11 projects cited represent, to some extent, credits that also relate to incomplete work. To the extent that the credits coded as scope changes also relate to incomplete work, the \$431,000 overage would be reduced.

**In most cases the District withholds from contractors sufficient retainage to cover costs due to the contractors deficiencies.** As has been shown above, costs to closeout construction projects include other costs not attributed solely to the contractor, such as A/E errors and additional requirements added by other government agencies or by the user. In fact, members of the industry have criticized the District for excessively withholding retainage for long periods of time.

There have been a few cases, however, where credits or retainage have been insufficient to cover the costs of correcting deficiencies that were the responsibility of the contractor. One of the reasons for this is work that was bid too low and/or the approved schedule of values was insufficient to cover the cost of the correction. This has been the subject of a finding by the internal auditors in the past. Many of these cases experience claims and various degrees of litigation as well. We have prevailed in some of these legal cases and received substantial reparations. For example, of cases in litigation, which are fully completed, the Board was sued for \$48,337,855 but

paid out only \$2,372,047, and recovered \$1,402,500 in suits against A/E firms.

**The District endeavors to improve performance in these areas through better planning and an improved information system.** The District also is standardizing the closeout process so that it begins immediately upon the project's substantial completion in order to assure that retainage is always sufficient to cover the costs of incomplete work. Better selection and prequalification procedures ensure that contractors who fail to complete work are not eligible for future work with the District. It should be noted that the original contracts for these 11 facilities were commissioned an average of 10 years ago, which was before the implementation of the contractor prequalification process. The District has achieved much better results in recent years.

It should be noted that from 1988 through April 30, 2002 the district constructed 95 new schools and 213 major additions, and renovations. During this period, payment procedures have been established that are consistently implemented. The District has controls in place to ensure the performance, efficiency, and effectiveness of the construction program and the District's approach to project management is effective.

Although in a program as large as has been undertaken there have been a few cases where the District has experienced greater costs to complete projects in the past than it has been able to recover from certain contractors and A/Es, in general, the District has operated responsibly in closing out construction projects.

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**Finding No. 8 - Warranty Process**

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The District requires that every construction or renovation project have a one-year warranty period, during which the contractor must rectify any malfunction or deficiency in the performance of a facility. In addition, manufacturers provide longer warranty periods for such items as roofing, paint, and mechanical equipment. According to the District's Facilities Planning, Design and Construction Procedures Manual, dated November 7, 2000, the warranty period essentially begins on the date of substantial completion as determined by the architect of record.

The District's Department of Facilities Design and Quality Control is responsible for the warranty process. The Department monitors warranty beginning and

ending dates, identifies warranty items, tracks warranty problems identified by school principals, zone mechanics, and others, and helps to facilitate the resolution of warranty problems. The District's Construction/Renovation Warranty Procedures Manual, dated October 1999, establishes the duties of the project managers, warranty administrators, contractors, and site administrators. Project managers are responsible for notifying warranty administrators of each project's warranty start date, coordinating the warranty start-up meeting with the warranty administrator and site administrator, ensuring that warranty documents are provided to the District warranty administrators, and providing the warranty administrator with the project punch list which identifies incomplete construction items the contractor must rectify. The warranty administrator is responsible for tracking and resolution of warranty related problems.

To determine if the District was properly tracking the warranties on completed construction and renovation projects, we tested projects with warranty beginning or ending dates that were within the period from January 1, 1999, to December 31, 2001. Our testing disclosed that the District was not tracking the warranties on two completed projects. A \$2.7 million addition and renovation project at Henry Filer Middle School, with a substantial completion date of August 15, 2001, and a \$3.6 million addition and renovation project at North Dade Middle School, with a substantial completion date of November 30, 2001, were not being tracked at the time of our inquiry in May 2002. The monitoring of warranties on completed construction and renovation projects helps to ensure that expenditures are not made for building and equipment repairs that may otherwise be covered by warranties.

The results of our review and testing of the District's administration of warranty procedures indicated that improvements were needed as shown below:

- The District started using a database in March 1999 to track warranty information for buildings and equipment. All input to the warranty tracking system is performed manually by District warranty personnel, including initial capture of projects to be tracked. Warranty personnel must rely on information obtained through attendance at monthly regional construction-in-progress meetings and information provided by project managers to

determine the beginning dates for project warranties. This procedure for identifying project warranty start-up dates does not ensure the timely capture of completed projects entering the one year warranty period. For example, in response to our inquiries concerning the project at Henry Filer Middle School, District personnel indicated that the project warranty was not being tracked due to oversight on the part of District warranty personnel. Also, the project manager was new and did not advise the warranty administrator that the project was in the warranty period.

- The warranty tracking database is not made available to District personnel outside of the warranty administration department. The project manager, school principal or other site administrator, head custodian, zone mechanic and maintenance department personnel should have access to the warranty information contained in the database to determine whether building and equipment repairs and deficiencies are covered by a warranty and help with the processing of warranty claims with contractors and manufacturers.
- The District's warranty procedures manual requires that the project manager ensure that all punch list items are identified to the participants involved in the warranty process so as to avoid confusion with warranty related items. District personnel advised us that punch lists were not always provided to the warranty administrators. A final punch list is necessary for the warranty administrator to determine whether a needed repair or deficiency is a warranty item or a pending punch list item.

To ensure that all construction and renovation project malfunctions and deficiencies identified within warranty periods are corrected at no cost to the District, we recommend that procedures be revised as necessary to provide warranty administrators with project completion information on a timely basis. The close and timely monitoring of warranties on completed construction and renovation projects helps to ensure that expenditures are not made for building and equipment repairs that may otherwise be covered by warranties. Additionally, we recommend that the District's warranty tracking database be made available to project managers, school principals and other site administrators, head custodians, zone mechanics and maintenance department personnel to

assist in the warranty process and resolution of warranty problems. We also recommend that final punch lists be provided to the warranty administrators for all completed projects, as required by the District's warranty procedures, since repairs and the correction of deficiencies included on punch lists are managed and supervised by project managers.

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#### ***District Response***

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The District will immediately begin to develop proposals to address the recommendations, and will complete the work by June 2003.

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#### ***Finding No. 9 - Contractor Prequalifications***

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Section 235.31, Florida Statutes, as amended by Laws of Florida 98-35, and Section 4.1, of the Florida Department of Education's publication, STATE REQUIREMENTS FOR EDUCATIONAL FACILITIES, require the Board to establish procedures and criteria for prequalifying bidders for construction contracts. In accordance with these requirements, the Board established policies and procedures for contractor prequalification and appointed a committee to review contractors' applications and recommend prequalification or denial to the Board. Prequalification certificates are issued for a period of 12 months and contractors must reapply every 12 months. Contractors must be prequalified prior to bidding on construction work.

Evaluation criteria for contractor prequalification includes proof of contractor's license, financial condition, experience, and evidence of satisfactory resolution of claims filed by or against the contractor asserted on projects of the same or similar size within the five years preceding submission of application. The Board's policy provides for the suspension and revocation of a contractor's prequalification for unsatisfactory performance on District construction projects.

Our audit tests of previous unfinished projects disclosed 10 contractors who were awarded the original contracts for 16 of the unfinished projects that were currently approved as prequalified bidders for new construction contracts. The costs incurred by the District to complete and closeout 15 of the 16 unfinished projects totaled approximately \$1 million. The 15 projects were completed by the District between October 2000 and November 2001. One project had not been completed as

of April 2002, and its accumulated project closeout costs to-date totaled approximately \$19,000.

The continued prequalification of building contractors that have failed to complete District construction projects in a satisfactory manner may result in those contractors being awarded construction contracts in the future. We recommend that the District enhance its contractor prequalification procedures to ensure that appropriate consideration is given to past performance of contractors.

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***District Response***

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Some contractors included in the audit sample may have had projects with substantial completion dates that fell outside of the 5-year review period for completed projects. SREF 4.1.8(a)(4) and SREF 4.1.8(c)(5) provide for a 5-year review of claims against the contractor, and a list of projects that were completed within the previous five years. Relative to the enhancement of the prequalification policy, the District is developing a recommendation for Board review that would incorporate the contractor debarment procedures currently in use by Miami-Dade County.

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***AUTHORITY***

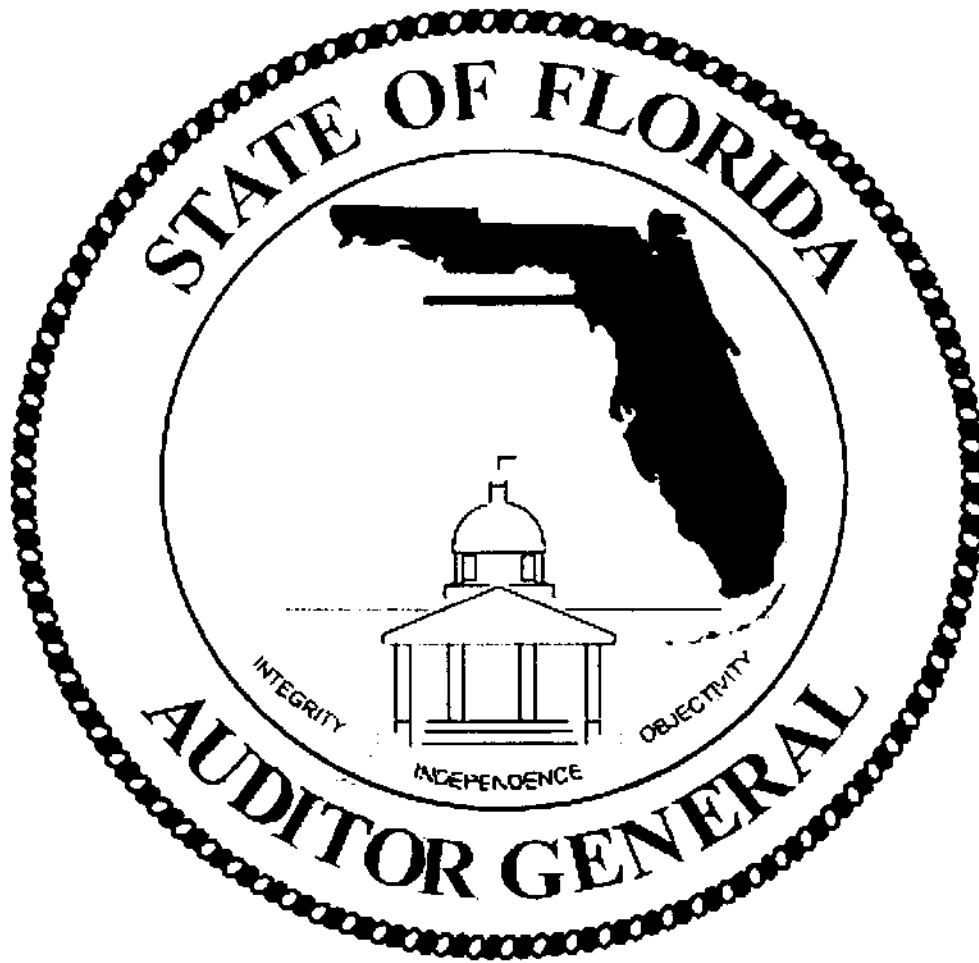
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Pursuant to the provisions of Section 11.45, Florida Statutes, I have directed that this report be prepared and submitted to the President of the Senate, the Speaker of the House, and the Legislative Auditing Committee.

*William O. Monroe*  
William O. Monroe, CPA  
Auditor General

***To promote accountability in government and improvement in government operations, the Auditor General makes operational audits of selected programs, activities, and functions of district school boards. This operational audit was made in accordance with applicable Governmental Auditing Standards issued by the Comptroller General of the United States. This audit was conducted by Ramon A. Gonzalez, CPA. Please address inquiries regarding this report to David W. Martin, CPA, Audit Manager, via e-mail at [davidmartin@aud.state.fl.us](mailto:davidmartin@aud.state.fl.us) or by telephone at (850) 487-9039.***

***This audit report, as well as other reports prepared by the Auditor General, can be obtained on our Web site at [www.state.fl.us/audgen](http://www.state.fl.us/audgen); by telephone at (850) 487-9024; or by mail at G74 Claude Pepper Building, 111 West Madison Street, Tallahassee, Florida 32399-1450.***



**REVISED****RECOMMENDATIONS MIAMI-DADE LAND ACQUISITION AND FACILITIES ADVISORY BOARD****Construction/Facilities**

1. Prototype Design for all schools
2. Creation of an information management system
3. Eliminate bureaucracy for the construction of schools
4. Enforce warranty clause with contractors
5. Enforce retainage clause with contractors
6. Rewrite contracts to allow the school district to collect more in liquidated damages from contractors
7. Control the amount and number of change orders on a project
8. Timeline and tracking of all projects
9. Accountability for all expenditures of the facilities program
10. Job cost accounting for each project
11. Selling of land/property the district can't use
12. Soft costs too high 20/27% vs. private sector at 7%
13. Streamline construction process from one year to purchase property to one year for design and two years for construction
14. Requested that staff create its own subcommittee to suggest costs saving measures
15. Construction management fees of 27% too high for in-house staff
16. Contractor debarment procedure
17. Modified construction inspection procedures
18. Have the maintenance department become part of the final punch list procedure
19. Establishing single source responsibility
20. Structure a bid document that eliminates or avoids future lawsuits
21. Total program management technique
22. All contracts over \$2 million or all new structures shall use the design build technique
23. Modules and facades to be developed and to be used wherever possible

**24. OPPAGA Recommendations**

OPPAGA made 25 recommendations for improvement in the capital area. At this time 32% of recommendations have been implemented. 1. Eight (8) have been fully implemented and 2. Seventeen (17) are in process. See attached Status Report as of November 2002

## **Maintenance**

- 25. Maintenance privatization pilot program for 9 to 27 schools
- 26. Private management of maintenance department
- 27. Lower maintenance costs of Miami Dade County from the current \$8.00 compared to Lee County the next closest estimated costs of \$5.29
- 28. Maintenance costs reduction with quarterly updates of \$37 million. Not including deferred maintenance and water intrusion
- 29. Address fire safety issues
- 30. Estimate costs of water intrusion
- 31. Address deferred maintenance issues and identifies a funding source

## **32. OPPAGA Recommendations**

OPPAGA made 23 recommendations for improvement in the maintenance capital area. At this time 52% or recommendations have been implemented. 1. Twelve (12) have been fully implemented and 2. Eleven (11) are in process. See attached Status Report as of November 2002.

## **Land Acquisition**

- 33. Change of land acquisition process
- 34. Board rule to change land acquisition process
- 35. Establish department of advance planning

## **Questions that still need to be answered**

- 36. What are the true costs to build a school?
- 37. What are the true costs to maintain a school?
- 38. What is the true timeline from concept to actually opening a school?

\*\*\* Some items have been implemented by board rule: #33, #34, #35, land acquisition and #26 private management of maintenance department.

#24, #32 OPPAGA recommendations, #16 debarment procedure, #17 code vs. quality, #10 job cost accounting, #29 fire safety issues and #30 water intrusion are in process.



## ATTACHMENT F

MIAMI-DADE COUNTY PUBLIC SCHOOLS  
AFFIRMATIVE ACTION  
EMPLOYMENT BREAKDOWN

[illegible]



3. **CERTIFICATIONS:** Indicate if this business shares common officers, owners, directors or management personnel with another business that has received, been denied, or had its certification revoked as an MBE/DBE/WBE or SBA 8(a) Certified Contractor. Indicate the name of the certifying authority, as well as the date and type of determination (certification/denial/revocation).

<u>Agency Name</u>	<u>Determination</u>	<u>Date</u>

4. **OWNERSHIP:**

- a. Identify the proprietor, each partner, or stockholder by name, as well as his/her citizenship (c) or (r) residency status, gender, ethnic group, and percentage of ownership.

<u>Name</u>	<u>Owner/ shareholder</u>	<u>Resident or *U.S. Citizen</u>	<u>Gender</u>	<u>Ethnicity</u>	<u>% Owned</u>	<u>Years Owned</u>

- b. If the business is a corporation, please indicate the following:

1. The number of shares authorized: \_\_\_\_\_
2. The number shares issued: \_\_\_\_\_
3. Are there any stock option agreements? Yes \_\_\_\_\_ No \_\_\_\_\_  
If yes, please provide a copy of each agreement.

5. **OPERATIONAL CONTROL:** Provide the name, title, race/ethnicity, and gender of each individual (including owners and non-owners) with the primary responsibility for the following:

	<u>Name and title</u>	<u>Race/ethnicity/ gender</u>
a. Check signing	_____	_____
	_____	_____

	<u>Name and title</u>	<u>Race/ethnicity/ gender</u>
b. Payroll signing	_____	_____
	_____	_____
c. Signing, or guaranteeing loans	_____	_____
	_____	_____
d. Acquiring lines of credit	_____	_____
	_____	_____
e. Acquiring surety bonding and insurance	_____	_____
	_____	_____
f. Purchasing major equipment/services	_____	_____
	_____	_____
g. Signing contracts/change orders/payment requisitions	_____	_____
	_____	_____
h. Estimating	_____	_____
	_____	_____
i. Qualifying the company for professional/trade license(s)	_____	_____
	_____	_____
j. Marketing/sales	_____	_____
	_____	_____
k. Hiring and firing managerial employees	_____	_____
	_____	_____
l. Hiring and firing non-management employees	_____	_____
	_____	_____
m. Supervising field/ operations	_____	_____
	_____	_____
n. Supervising office personnel	_____	_____
	_____	_____

6. **PERSONNEL:** Identify the number of individuals, including owners, that are currently employed by the business in the following areas:

Please use the following to classify women/minority persons: AM-African American male, AF-African American female, HM-Hispanic male, HF-Hispanic female, WM-Non Hispanic White male, WF-Non Hispanic White female.

	Total Number of Employees	AM	AF	HM	HF	WM	WF
a. Management	_____						
b. Administrative/clerical	_____						
c. Professional/technical	_____						
d. Craftsperson/laborers	_____						

e. Provide a copy of the business affirmative action statement, if one is available.

7. **BUSINESS RELATIONSHIPS:** Provide the requested information for each of the following:

a. Bonding Company: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Agent name: \_\_\_\_\_ Phone number: \_\_\_\_\_  
 Single Contract Limit: \_\_\_\_\_ Aggregate Limit: \_\_\_\_\_

b. Bank(s) Name(s): \_\_\_\_\_  
 Branch: \_\_\_\_\_  
 Contact person: \_\_\_\_\_ Phone number: \_\_\_\_\_  
 Credit limit: \_\_\_\_\_

c. Identify the company's/creditors including banks and the amount of money owed to:

<u>Creditor</u>	<u>Loan Guarantor(s)</u>	<u>Address &amp; telephone</u>	<u>Loan Amount</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

d. Insurance company: \_\_\_\_\_  
 Type of insurance: \_\_\_\_\_ Insurance limits: \_\_\_\_\_

e. List the business' three largest contracts or jobs.

<u>Contract/job type</u>	<u>Contact person</u>	<u>Telephone number</u>	<u>Contract amount</u>	<u>Bonded (Yes/No)</u>

8. EQUIPMENT: List the type and value of major equipment that is owned (O) or leased (L) by the business.

<u>Equipment</u>	<u>O/L</u>	<u>Value (\$ amount)</u>

9. M/WBE JOINT VENTURE - Joint ventures must provide a copy of the joint venture agreement.

# M/WBE CERTIFICATION APPLICATION

## AFFIDAVIT

STATE OF \_\_\_\_\_:

COUNTY OF \_\_\_\_\_: SS

I hereby declare and affirm that I am the \_\_\_\_\_ (Title)

of: \_\_\_\_\_ (Firm)

That I am duly authorized to execute the foregoing M/WBE Certification Application, and that the contents of said documents are complete, true and correct to the best of my knowledge and belief. I hereby certify that the documents include all material information necessary to identify the true and lawful owners of the subject business enterprise. Further, the undersigned is notified of their responsibility to submit an updated Minority/Woman Business Enterprise Certification Application whenever a change occurs in ownership, management or control of the company. Any M/WBE applicant, certified M/WBE principal(s) and all related parties, who misrepresents the status of any concern as an M/WBE, or is a party to such misrepresentation to obtain business or contracts with the School Board under the Business Development and Assistance Program, will be suspended from doing business with the School Board for fourteen (14) months.

(Corporate Seal), if appropriate

\_\_\_\_\_  
Minority/Woman Owner's Signature

On this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_, personally appeared before me, the undersigned officer authorized to administer oaths: \_\_\_\_\_ known to be the person described in the foregoing affidavit, who acknowledged that he/she executed the same in the capacity stated and for the purposes therein contained.

IN WITNESS WHEREOF, I have hereunto set my hand and official seal.

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_  
SEAL

**M/WBE  
Certification Check List**

Please attach copies, not originals, of all applicable items. Incomplete applications cannot be processed, and failure to submit the documents will delay or result in termination of the application process.

Please check if documents are attached:

1. ☐ M/WBE certifications from other public agencies.
2. ☐ M/WBE Certification Application Affidavit (Page 6 of Application).
3. ☐ Miami-Dade County Public Schools Vendor Application.
4. ☐ Lease/purchase agreement for the business' facilities.
5. ☐ Current professional/business license(s).
6. ☐ Proof of citizenship or permanent resident status.
7. ☐ Resumes for owners and key personnel.
8. ☐ Lease/purchase agreements for major business equipment.
9. ☐ Most current application for bonding, if applicable.
10. ☐ Management agreement(s).
11. ☐ Loan agreement(s) or promissory note(s).
12. ☐ Birth certificate, drivers license, passport or any other document which substantiates the ethnicity/race/gender of owners, officers and directors.

**\*If any of the aforementioned documents are not available, please provide a written notarized statement that information is not available.**

13. Sole Proprietor - Submit all of the above items, as applicable and the following:
  - ☐ U.S. IRS 1040-C Schedule.
  - ☐ Fictitious name affidavit, if applicable.

14. Partnerships - Submit all of the above items, and the following:

- ☐ Partnership agreement(s).
- ☐ U.S. IRS 1065, with schedules.
- ☐ Profit sharing agreements.

15. Corporations - Submit all of the above items, and the following:

- ☐ Articles of Incorporation, with amendments.
- ☐ By-Laws, with amendments.
- ☐ The most current U.S. IRS Corporate Tax Return 1120 or 1120s, with all schedules.
- ☐ All issued and cancelled stock certificates (front & back).
- ☐ Minutes of the first shareholders' meeting.
- ☐ Minutes of the first board of directors' meeting.
- ☐ Minutes of meetings at which the current board of directors and officers were elected or appointed.
- ☐ Stock transfer ledger.
- ☐ Most current annual report filed with the Secretary of State.
- ☐ Profit sharing agreement(s).
- ☐ Agreements affecting management, control or rights of any stockholder(s).

16. ☐ Joint venture agreement(s).

17. ☐ Certificate(s) of insurance.

18. ☐ Sub-contractual agreement(s).

NOTE: If after filing this application, there is any significant change in the information submitted herein, you must inform the Division of Business Development and Assistance of the change, or the company may be denied certification.

Certified companies must inform the Division of Business Development and Assistance of any changes in the information contained herein, which formed the basis of certification. Failure to do so may result in denial, revocation or suspension of certification.

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**COMPLETE APPLICATION, INCLUDING VENDOR APPLICATION AND CATEGORY OF GOODS AND SERVICES LIST, SHOULD BE RETURNED TO:**

**MIAMI-DADE COUNTY PUBLIC SCHOOLS  
DIVISION OF BUSINESS DEVELOPMENT AND ASSISTANCE  
1450 N.E. 2ND AVENUE, ROOM 456  
MIAMI, FL 33132**

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## DEFINITION OF MINORITY/WOMEN BUSINESS ENTERPRISES

- (1) "Minority/Women Business Enterprises" means any legal entity, which is organized to engage in commercial transactions and which is at least fifty-one (51) percent owned and controlled by a minority person or persons.
- (2) "Minority person" means a person who is a citizen or lawful permanent resident of the United States, and who is:
  - (a) An African American, a person having origins in any of the Black racial groups of Africa;
  - (b) An Hispanic, a person of Spanish or Portuguese culture including, but not limited to, persons with origins in Mexico, South America, Central America, or the Caribbean Islands, regardless of race, or
  - (c) A Woman

### WARNING

- (3) IT IS UNLAWFUL FOR ANY INDIVIDUAL TO FALSELY REPRESENT ANY ENTITY, AS A MINORITY/WOMEN BUSINESS ENTERPRISE, FOR THE PURPOSES OF QUALIFYING FOR CERTIFICATION UNDER A PROGRAM WHICH, IN COMPLIANCE WITH FEDERAL LAW, IS DESIGNED TO ASSIST MINORITY/WOMEN BUSINESS ENTERPRISES IN THE RECEIPT OF CONTRACTS FOR THE PROVISION OF GOODS OR SERVICES. ANY PERSON WHO VIOLATES THIS SECTION IS GUILTY OF A FELONY OF THE SECOND DEGREE, PUNISHABLE AS PROVIDED IN S. 775.082 OR S. 775.084.

(102891)