



PROJECT NO.: CN140300

OPEN DATE: May 29, 2014

AND TIME: 2:30 P.M.

LOCATION: Lee County Procurement Mgmt.  
1825 Hendry Street, 3<sup>rd</sup> FL  
Fort Myers, FL 33901

# NOTICE OF COMPETITIVE NEGOTIATION

**TITLE:  
FINANCIAL AUDITOR**

**Advertised Date: May 9, 2014**

REQUESTER: LEE COUNTY BOARD OF COUNTY COMMISSIONERS  
DIVISION OF PROCUREMENT MANAGEMENT

**ADDRESS**

1825 Hendry St 3<sup>rd</sup> Floor  
FORT MYERS, FL 33901

**PROCUREMENT CONTACT:**

Robert D. Franceschini  
Procurement Director  
PHONE NO.: (239) 533-5450  
EMAIL: rfranceschini@leegov.com

## **GENERAL CONDITIONS**

Sealed Responses will be received by the DIVISION OF PROCUREMENT MANAGEMENT, until the time and date specified on the cover sheet of this "Notice of Competitive Negotiation".

Any question regarding this solicitation should be directed to the Procurement Division Contact listed on the cover page of this solicitation, or by calling the Division of Procurement Management at (239) 533-5450.

### **1. SUBMISSION OF LETTERS OF INTEREST:**

- a. All Letters of Interest must be submitted in compliance with the Response Procedure set forth below via email:

1. Letters of Interest must be submitted either by hand delivery to the Procurement Management Office or as a single email attachment (in unzipped Adobe PDF format) sent to [ContractsInBox@leegov.com](mailto:ContractsInBox@leegov.com)

2. Submission Format:

- a. Anti Collusion Statement (1 Page)
- b. Affidavit Certification Immigration Laws (1 Page)
- c. Response to Criteria (Not to exceed 10 pages)

NOTE: Resumes requested are ancillary to the 10 page limit.

NOTE: The page to indicate the intention of your response is ancillary to the 10 page limit.

3. Should not contain links to other Web pages

- b. Letters of Interest must, at a minimum include the following information:

1. Project CN number and Name
2. Consultant's name and address
3. Proposed responsible office for consultant
4. Contact person, phone and fax number and Email Address
5. Statement regarding qualifications of consultant and/or proposed sub-consultants for the advertised work
6. Proposed key personnel and their proposed roles
7. Sub-consultant(s) that may be used for the project
8. Indication as to whether the prime firm and/or sub-consultants are A Disadvantaged Business Enterprise (DBE)
9. The Project Team's approach to the project.

- c. **RESPONSES RECEIVED LATE:** The delivery of Letter of Interest to Lee County Procurement Management prior to or on the time and date as stated is solely and strictly the responsibility of the Consultant. Lee County Procurement Management shall not be responsible for delays caused by the E-mail System(s), United States Postal Service, Overnight Express Mail Services, or for delays caused by any other occurrence. The County expressly reserves the sole and exclusive right to accept or reject a late Letter of Interest when the lateness is due to matters beyond the control of any third party delivery service. Late Letters of Interest may be returned to the Consultant with the notation: "This Letter of Interest was received after the specified deadline time".

- d. **COUNTY RESERVES THE RIGHT:** The County reserves the right to exercise its discretion, to waive minor informalities in any response; to reject any or all responses with or without cause; and/or to accept the response that in its judgment will be in the best interest of the County of Lee.
- e. **EXECUTION OF SOLICITATION:** All responses shall contain the signature of an authorized representative of the vendor in the space provided on the anti-collusion page. All responses shall be typed or printed in ink. The bidder may not use erasable ink. All corrections made to the response shall be initialed.
- f. **ADDITIONS/REVISIONS/DELETIONS:** Additions, revisions or deletions to the general conditions, specifications that change the intent of the solicitation will cause the solicitation to be non-responsive and the response will not be considered. The Procurement Director shall be the sole judge as to whether or not any addition, revision, or deletion changes the intent of the solicitation.

## 2. **ACCEPTANCE**

The materials and/or services delivered under the solicitation **shall** remain the property of the seller until a physical inspection and actual usage of these materials and/or services is accepted by the County and is deemed to be in compliance with the terms herein, fully in accord with the specifications and of the highest quality. In the event the materials and/or services supplied to the County are found to be defective or do not conform to specifications, the County reserves the right to cancel the order upon written notice to the seller and return such product to the seller at the seller's expense.

## 3. **RULES, REGULATIONS, LAWS, ORDINANCES & LICENSES**

The awarded vendor shall observe and obey all laws, ordinances, rules, and regulations, of the federal, state, and local government, which may be applicable to the supply of this product or service. The awarded vendor has attested to compliance with the applicable immigration laws of the United States in the attached affidavit. Violations of the immigration laws of the United States shall be grounds for unilateral termination of the awarded agreement.

- a. Local Business Tax – Vendor shall submit within 10 calendar days after request.
- b. Specialty License(s) – Vendor shall possess at the time of the opening of the quote all necessary permits and/or licenses required for the sale of this product and/or service and upon the request of the County will provide copies of licenses and/or permits within 10 calendar days after request.
- c. The geographic preference established in the Local Vendor Preference ordinance is applicable to all Lee County procurement activities unless otherwise specifically noted in the solicitation package. Provided, however, the Local Vendor Preference ordinance is not applicable to procurement activity or solicitations involving Federal Transit Administration grant funds.
- d. Florida Statutes Section 607.1501 (1) states: A foreign corporation may not transact business in this state until it obtains a certificate of authority from the Department of State.

4. **LEE COUNTY PAYMENT PROCEDURES**

All vendors are requested to mail an original invoice to:

Lee County Finance Department  
Post Office Box 2238  
Fort Myers, FL 33902-2238

All invoices will be paid as directed by the Lee County payment procedure unless otherwise differently stated in the detailed specification portion of this project.

Lee County will not be liable for requests for payment deriving from aid, assistance, or help by any individual, vendor, quoter, or bidder for the preparation of these specifications.

Lee County is generally a tax-exempt entity subject to the provisions of the 1987 legislation regarding sales tax on services. Lee County will pay those taxes for which it is obligated, or it will provide a Certificate of Exemption furnished by the Department of Revenue. All contractors or quoters should include in their quote all sales or use taxes, which they will pay when making purchases of material or subcontractor's services.

5. **PUBLIC ENTITY CRIME**

Any person or affiliate as defined by statute who has been placed on the convicted vendor list following a conviction for a public entity crime may not submit a bid or a contract to provide any goods or services to the County; may not submit a bid on a contract with the County for the construction or repair of a public building or a public work; may not submit bids or leases of real property to the County; may not be awarded or perform works as a contractor, supplier, subcontractor, or consultant under a contract with the County, and may not transact business with the County in excess of \$25,000.00 for a period of 36 months from the date of being placed on the convicted vendor list.

6. **MISCELLANEOUS**

If a conflict exists between the General Conditions and the detailed specifications, then the detailed specifications shall prevail.

7. **WAIVER OF CLAIMS**

Once this contract expires, or final payment has been requested and made, the awarded contractor shall have no more than 30 days to present or file any claims against the County concerning this contract. After that period, the County will consider the Contractor to have waived any right to claims against the County concerning this agreement.

8. **AUTHORITY TO PIGGYBACK**

It is hereby made a precondition of any proposal and a part of these specifications that the submission of any proposal in response to this request constitutes a proposal made under the same conditions, for the same price; and for the same effective period as this proposal, to any other governmental entity.

9. **COOPERATIVE PURCHASING**

The Lee County Board of County Commissioners participates in cooperative purchasing agreements; it is hereby made a part of this proposal that the submission of any proposal in response to this request constitutes a proposal made under the same conditions, for the same contract price, to the other governmental entities.

10. **COUNTY RESERVES THE RIGHT**

a) **Any Single Large Project**

The County, in its sole discretion, reserves the right to separately quote any project that is outside the scope of this solicitation, whether through size, complexity, or dollar value.

b) **Disadvantaged Business Enterprises (DBE's)**

The County, in its sole discretion, reserves the right to purchase any of the items in this solicitation from a Disadvantaged Business Enterprise vendor if the prices are determined to be in the best interest of the County, to assist the County in the fulfillment of any of the County's grant commitments to federal or state agencies.

The County further reserves the right to purchase any of the items in this solicitation from DBE's to fulfill the County's stated policy toward DBE's.

c) **Anti-Discrimination**

The vendor for itself, its successors in interest, and assignees, as part of the consideration there of covenant and agree that:

In the furnishing of services to the County hereunder, no person on the grounds of race, religion, color, age, sex, national origin, handicap or marital status shall be excluded from participation in, denied the benefits of, or otherwise be subjected to discrimination.

The vendor will not discriminate against any employee or applicant for employment because of race, religion, color, age, sex, national origin, handicap or marital status. The vendor will make affirmative efforts to ensure that applicants are employed and that employees are treated during employment without regard to their race, religion, color, age, sex, national origin, handicap or marital status. Such action shall include, but not be limited to, acts of employment, upgrading, demotion or transfer; recruitment advertising; layoff or termination, rates of pay or other forms of compensation and selection for training, including apprenticeship.

Vendor agrees to post in a conspicuous place, available to employees and applicants for employment, notices setting forth the provisions of this anti-discrimination clause.

Vendor will provide all information and reports required by relevant regulations and/or applicable directives. In addition, the vendor shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the County to be pertinent to ascertain compliance. The vendor shall maintain and make available relevant data showing the extent to which members of minority groups are beneficiaries under these contracts.

Where any information required of the vendor is in the exclusive possession of another who fails or refuses to furnish this information, the vendor shall so certify to the County its effort made toward obtaining said information. The vendor shall remain obligated under this paragraph until the expiration of three (3) years after the termination of this contract.

In the event of breach of any of the above anti-discrimination covenants, the County shall have the right to impose sanctions as it may determine to be appropriate, including withholding payment to the vendor or canceling, terminating, or suspending this contract, in whole or in part.

Additionally, the vendor may be declared ineligible for further County contracts by rule, regulation or order of the Board of County Commissioners of Lee County, or as otherwise provided by law.

The vendor will send to each union, or representative of workers with which the vendor has a collective bargaining agreement or other contract of understanding, a notice informing the labor union of worker's representative of the vendor's commitments under this assurance, and shall post copies of the notice in conspicuous places available to the employees and the applicants for employment.

The vendor will include the provisions of this section in every subcontract under this contract to ensure its provisions will be binding upon each subcontractor. The vendor will take such actions with respect to any subcontractor, as the contracting agency may direct, as a means of enforcing such provisions, including sanctions for non-compliance.

11. **DRUG FREE WORKPLACE**

Whenever two or more proposals, which are equal with respect to price, quality and service, are received for the procurement of commodities or contractual services, a proposal received from a business that certifies that it has implemented a drug-free workplace program shall be given preference in the award process. In order to have a drug-free workplace program, a business shall comply with the requirements of Florida Statutes 287.087.

12. **AUDITABLE RECORDS**

The awarded vendor shall maintain auditable records concerning the procurement adequate to account for all receipts and expenditures, and to document compliance with the specifications. These records shall be kept in accordance with generally accepted accounting methods, and Lee County reserves the right to determine the record-keeping method required in the event of non-conformity. These records shall be maintained for two years after completion of the project and shall be readily available to County personnel with reasonable notice, and to other persons in accordance with the Florida Public Disclosure Statutes.

14. **REQUIRED SUBMITTALS**

Any submittals requested should be returned with the solicitation response. This information may be accepted after opening, but no later than 10 calendar days after request.

15. **TERMINATION**

Any agreement as a result of this solicitation may be terminated by either party giving thirty (30) calendar days advance written notice. The County reserves the right to accept or not accept a termination notice submitted by the vendor, and no such termination notice submitted by the vendor shall become effective unless and until the vendor is notified in writing by the County of its acceptance.

The Procurement Management Director may immediately terminate any agreement as a result of this solicitation for emergency purposes, as defined by the Lee County Purchasing and Payment Procedure Manual.

Any vendor who has voluntarily withdrawn from a solicitation without the County's mutual consent during the contract period shall be barred from further County procurement for a period of 180 days. The vendor may apply to the Board of Lee County Commissioners for waiver of this debarment. Such application for waiver of debarment must be coordinated with and processed by Procurement Management.

16. **CONFIDENTIALITY**

Vendors should be aware that all submittals (including financial statements) provided with a solicitation are subject to public disclosure and will **not** be afforded confidentiality.

17. **ANTI-LOBBYING CLAUSE**

All firms are hereby placed on formal notice that neither the County Commissioners nor candidates for County Commission, nor any employees from the Lee County Government, Lee County staff members, nor any members of the Qualification/Evaluation Review Committee are to be lobbied, either individually or collectively, concerning this project. Firms and their agents who intend to submit qualifications, or have submitted qualifications, for this project are hereby placed on *formal notice* that they are ***not*** to contact County personnel for such purposes as holding meetings of introduction, meals, or meetings relating to the selection process outside of those specifically scheduled by the County for negotiations. Any such lobbying activities may cause immediate disqualification for this project.

18. **INSURANCE (AS APPLICABLE)**

Insurance shall be provided, per the attached insurance guide. Upon request, an insurance certificate complying with the attached guide may be required prior to award.

19. **CONFLICT OF INTEREST**

All firms are hereby placed on formal notice that per Section 3 of Lee County Ordinance No. 92-22:

The County is prohibited from soliciting a professional services firm to perform project design and/or construction services if the firm has or had been retained to perform the project feasibility or study analysis.

And:

A professional services firm who has performed or participated in the project feasibility planning, study analysis, development of a program for future implementation or drafting of solicitation documents directly related to this County project, as the primary contractor/consultant or a prominent member of the team, cannot be selected or retained, as the primary contractor/consultant or a named member of the contracting/consulting team, to perform project design, engineering, or construction services for subsequent phases or scopes of work for this project. Pursuant to FS. S. 287.057(17) the firm will be deemed to have a prohibited conflict of interest that creates an unfair competitive advantage.

Should your response be found in violation of the above stated provisions; the County will consider this previous involvement in the project to be a conflict of interest, which will be cause for immediate disqualification of the submittal from consideration for this project.



**NOTE REQUIREMENT: IT IS THE SOLE RESPONSIBILITY OF THE VENDOR TO CHECK LEE COUNTY PROCUREMENT MANAGEMENT WEB SITE FOR ANY PROJECT ADDENDA ISSUED FOR THIS PROJECT. THE COUNTY WILL POST ADDENDA TO THIS WEB PAGE, BUT WILL NOT NOTIFY.**

The undersigned acknowledges  
receipt of Addenda numbers: \_\_\_\_\_

ANTI-COLLUSION STATEMENT

**THE BELOW SIGNED VENDOR HAS NOT DIVULGED TO, DISCUSSED OR COMPARED HIS RESPONSE WITH OTHER VENDORS AND HAS NOT COLLUDED WITH ANY OTHER VENDOR OR PARTIES TO A RESPONSE WHATSOEVER. NOTE: NO PREMIUMS, REBATES OR GRATUITIES TO ANY EMPLOYEE OR AGENT ARE PERMITTED EITHER WITH, PRIOR TO, OR AFTER ANY DELIVERY OF MATERIALS.**

FIRM NAME \_\_\_\_\_

BY (Printed): \_\_\_\_\_

BY (Signature): \_\_\_\_\_

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

FEDERAL ID # OR S.S.# \_\_\_\_\_

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

\_\_\_\_\_

PHONE NO.: \_\_\_\_\_

FAX NO.: \_\_\_\_\_

CELLULAR PHONE/PAGER NO.: \_\_\_\_\_

DUNS #: \_\_\_\_\_

LEE COUNTY LOCAL BUSINESS TAX ACCOUNT NUMBER: \_\_\_\_\_

E-MAIL ADDRESS: \_\_\_\_\_

DISADVANTAGED BUSINESS ENTERPRISE (DBE): \_\_\_\_\_ Yes \_\_\_\_\_ No

THIS LETTER OF INTEREST IS BEING SUBMITTED IN  
RESPONSE TO:  
(CHECK ALL THAT APPLY)

LEE COUNTY BOARD OF COUNTY COMMISSIONERS  
& CLERK OF COURTS:\_\_\_\_\_

CONSTITUTIONAL OFFICERS:\_\_\_\_\_

NOTE THE FOLLOWING:

\*FIRMS EITHER INDIVIDUALLY OR WITH SUB-CONTRACTORS CAN APPLY FOR EITHER THE BOARD/CLERK AUDIT, OR THE CONSTITUTIONAL OFFICERS, OR BOTH, BUT EACH WILL BE SELECTED SEPARATELY BY A SEPARATE SELECTION COMMITTEE.

\*THE COUNTY RESERVES THE RIGHT TO AWARD CONTRACTS TO A SINGLE VENDOR FOR ALL ENTITIES OR TWO SEPARATE VENDORS – ONE FOR BOARD & CLERK AND ONE FOR CONSTITUTIONAL OFFICERS.

\*LETTERS OF INTEREST RECEIVED WILL BE REVIEWED BY TWO SEPARATE EVALUATION COMMITTEES – ONE FOR THE BOARD & CLERK AND ONE FOR THE CONSTITUTIONAL OFFICERS.

\*SHOULD A RESPONSE COME FROM A “TEAM” OF VENDORS (ONE FOR BOARD AND ONE FOR CONSTITUTIONALS) THE SUBMITTALS WILL BE VIEWED/REVIEWED SEPARATELY.

\*SHOULD A MULTIPLE AWARD BE MADE, A CONDITION OF AWARD WILL BE THAT THE AWARDED FIRMS WILL ACCEPT THE WORK OF EACH OTHER OR MENTION IN THE AUDIT OPINION THAT THE SPECIFIC REPORTS WERE PREPARED BY ANOTHER AUDIT FIRM.

**LEE COUNTY, FLORIDA  
DETAILED SPECIFICATIONS  
FOR  
FINANCIAL AUDITOR**

**SCOPE**

Lee County Board of County Commissioners invites Letters of Interest from Consultants to provide professional financial auditing services for the Lee County Board of County Commissioners and the Constitutional Officers (Sheriff, Tax Collector, Supervisor of Elections and Property Appraiser). The Lee County Commissioners' audit will include a separate audit for the Clerk of Courts.

Consideration will be given to only those firms that are qualified pursuant to law.

Proposer is required to indicate whether the Firm and/or any proposed sub-consultants are Disadvantaged Business Enterprises (DBE). Lee County encourages the utilization and participation of DBEs in procurements, and evaluation proceedings will be conducted within the established guidelines regarding equal employment opportunity and nondiscriminatory action based upon the grounds of race, color, sex or national origin. Interested certified Disadvantaged Business Enterprise (DBE) firms as well as other minority-owned and women-owned firms are encouraged to respond.

**SELECTION PROCEDURE:**

**NOTE: FIRMS EITHER INDIVIDUALLY OR WITH SUB-CONTRACTORS CAN APPLY FOR EITHER THE BOARD/CLERK AUDIT, OR THE CONSTITUTIONAL OFFICERS, OR BOTH, BUT EACH WILL BE SELECTED SEPARATELY BY A SEPARATE SELECTION COMMITTEE.**

The selection of the Consultant will be made in accordance with Lee County Procurement Policy and Chapter 287.055 Florida Statutes. Some or all of the responding firms may be requested to provide telephone interviews or written or oral technical proposals (or both), for the ranking process. After ranking of the consultants by the Board of County Commissioners, the contract fee will be negotiated in accordance with Section 287.055, Florida Statutes.

**NOTE:** Proposed short-list and final selection meeting dates are posted on the Procurement Management web page at [www.lee-county.com/procurementmanagment](http://www.lee-county.com/procurementmanagment) .

**TERM OF AWARD**

If awarded, the terms of this solicitation shall be in effect for three years. The County reserves the right to renew this quote (or any portion thereof) and to negotiate lower pricing as a condition for each renewal, for up to two additional one-year periods, upon mutual agreement of both parties and, except as to lower pricing, under the same terms and conditions.

**DESIGNATED CONTACT**

The awarded vendor shall appoint a person or persons to act as a primary contact for all County departments. This person or back-up shall be readily available during normal work hours by phone or in person, and shall be knowledgeable of the terms and procedures involved.

### AFFIDAVIT CERTIFICATION IMMIGRATION LAWS

The attached document, Affidavit Certification Immigration Laws, is required and should be submitted with your solicitation package. It must be signed and notarized. Failure to include this affidavit with your response will delay the consideration and review of your submission; and could result in your response being disqualified.

### AGREEMENTS/CONTRACTS

The awarded vendor will be required to execute an Agreement/Contract as a condition of award. A sample of this document may be viewed on-line at <http://www.lee-county.com/gov/dept/ProcurementManagement/contracts/Pages/Forms.aspx>.

### PROJECT GUIDELINES AND CRITERIA

The County has established the following Guidelines, Criteria, Goals, Objectives, Constraints, Schedule, Budget and/or Requirements which shall serve as a guide to the CONSULTANT in performing the professional services and work to be provided pursuant to this Agreement:

This is a "Master" contract, which is not for any specific project. Work will be negotiated, authorized, scheduled, funded, and accounted for by the issuance of Supplemental Task Authorizations, by the requesting department, division or other governmental entity.

Any governmental entity may utilize the provisions of this contract for their specific needs.

No amount of work is guaranteed upon the execution of a Professional Services Agreement.

Hourly rates and all other negotiated expenses will remain in effect throughout the duration of the contract period, including the renewal.

This contract does not entitle any firm to exclusive rights to County contracts. The County reserves the right to perform any and all available required work in-house or by any other means it so desires.

In reference to Exhibit B of the Professional Service Agreement, vehicle travel mileage is considered incidental to the work and not an extra expense. Also, man-hours spent in travel time to and from work or the job site(s), are not compensable.

County reserves the right to add or delete, at any time, any or all tasks or services associated with this agreement

Cost Proposal Worksheet: to be used when performing work for Lee County.

Immigration Laws: Lee County will not intentionally award County contracts to any Consultant who knowingly employs unauthorized alien workers, constituting a violation of the employment provisions contained in 8 U.S.C. Section 1324 a(e), Section 274A(e) of the Immigration and Nationality Act ("INA").

Lee County shall consider the employment by any Consultant of unauthorized aliens a violation of Section 274A(e) of the INA. Such violation by the recipient of the employment provisions contained in Section 274A(e) of the INA shall be grounds for unilateral cancellation of the contract by Lee County.

## EVALUATION CRITERIA

The firms offering the best interview/presentation, in the opinion of the County, will be awarded a contract. **NOTE: The County will short list for interviews/presentations a minimum of two respondents for the Board/Clerk and minimum of two respondents for the Constitutional Officers, based on point totals, but reserves the right to invite more.**

In addition to the requested information listed under Submission of Letters of Interest, Section b, firms should address the following in their submittal:

### CRITERIA 1: EXPERIENCE (MAXIMUM POINTS: 40)

Include a brief one page narrative of your firm's qualifications to perform this particular service and history of your firm.

### CRITERIA 2: EXPERIENCE – WITH GOVERNMENTAL ENTITIES (MAXIMUM POINTS: 20)

Provide a listing of general governmental clients over the past three years to whom your firm has serviced; including names of the contact person(s) and phone numbers. Also list the various types of issues over the past three years.

### CRITERIA 3: APPROACH (MAXIMUM POINTS: 20)

Give a brief one page narrative of any unique or creative approach your firm would propose to perform under this contract.

NOTE: If it is your intent to employ a local firm (Lee County based) as part of your Approach to work performed under this contract, please identify the company and how you intend to use them as part of your effort.

### CRITERIA 4: KEY PERSONNEL EXPERIENCE TO THE PROJECT (MAXIMUM POINTS: 20)

- a) Provide experience, qualifications and educational background for the principal and staff responsible for the Lee County account (attach resumes).
- b) For each of the above persons, indicate their length of service in their present position, with your firm and in the same industry.

**Lee County Proposed Scope of Services for  
CN140300  
FINANCIAL AUDITOR**

The auditor shall provide the following:

Board of County Commissioners (BOCC) audit:

1. Board Of County Commissioners

- 1 Independent Auditors' Report on the basic financial statements of the County as a whole. This includes the governmental activities, business-type activities, aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the County.
- 2 Independent Auditors Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance With *Government Auditing Standards*.
- 3 Independent Auditor's Management Letter as defined in Section 10.554(1)(i), *Rules of the Auditor General* and as required by Sections 218.39(4), 215.97(9)(f), and 215.97(10)(d), *Florida Statutes*, and Section 10.557(3)(f), *Rules of the Auditor General* for the county as a whole and for each county agency for which a separate audit was conducted. The draft of the management letter is to be discussed with key staff members before its issuance in final form.
- 4 Independent Auditors' Report for the basic financial statements of the Port Authority.
- 5 Independent Accountants' Report on Applying Agreed Upon Procedures to evaluate the County's compliance with the financial test option included in the State of Florida Solid Waste Facility Financial Test as required by Rule 62-701.630(6), *Florida Administration Code*.
- 6 Review of the Statement of County Funded Court-Related Functions, as required by Sections 29.008 and 29.0085, *Florida Statutes*.
- 7 Review of the Annual Financial Report (AFR) as required by Section 218.32(1)(a), *Florida Statutes*.

2. Financial Assistance Report (Single Audit):

- 1 Report of Independent Auditor on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance With *Government Auditing Standards*.
- 2 Report of Independent Auditors on Compliance with Requirements That Could Have a Direct and Material Effect on Each Major Program and on Internal Control Over Compliance in Accordance with OMB Circular A-133 and Chapter 10.550, *Rules of the Florida Auditor General*.
- 3 Schedule of Findings and Questioned Costs- Federal Awards Programs and State Financial Assistance Projects.

- 4 Summary Schedule of Prior Audit Findings and Corrective Action Plan- Federal Awards Programs and State Financial Assistance projects.
  - 5 Report of Independent Auditor on Compliance with Requirements That Could Have a Direct and Material Effect on the Passenger Facility Charge Program and Internal Control over Compliance in Accordance with the Passenger Facility Program Audit Guide.
  - 6 Schedule of Findings and Questioned Costs- Passenger Facility Charge Program.
  - 7 Summary of Prior Audit Findings and Corrective Action Plan- Passenger Facility Charge Program.
3. Constitutional Officer- Clerk of Courts
    - 1 Independent Auditors' Report of the financial statements for each constitutional office.
    - 2 Independent Auditors' Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Special-Purpose Financial Statements Performed in Accordance with *Government Auditing Standards* for each constitutional office.
    - 3 Independent Auditor's Management Letter as defined in Section 10.554(1)(i), *Rules of the Auditor General* and as required by Sections 218.39(4), 215.97(9)(f), and 215.97(10)(d), *Florida Statutes*, and Section 10.557(3)(f), *Rules of the Auditor General* for each constitutional office. The draft of the management letter is to be discussed with key staff members before its issuance in final form.

Other Constitutional Officers (Sheriff, Tax Collector, Supervisor of Elections, and Property Appraiser) audits:

1. Independent Auditors' Report of the financial statements for each constitutional office.
2. Independent Auditors' Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Special-Purpose Financial Statements Performed in Accordance with *Government Auditing Standards* for each constitutional office.
- 3 Independent Auditor's Management Letter as defined in Section 10.554(1)(i), *Rules of the Auditor General* and as required by Sections 218.39(4), 215.97(9)(f), and 215.97(10)(d), *Florida Statutes*, and Section 10.557(3)(f), *Rules of the Auditor General* for each constitutional office. The draft of the management letter is to be discussed with key staff members before its issuance in final form.

Assistance in the production of financial statements and accompanying footnotes for the Sheriff, Tax Collector, Supervisor of Elections, and Property Appraiser. The financial statements for the Clerk of Court are prepared by the Clerk's General Accounting Office, Finance & Records Department.

Lee County is a political subdivision of the State of Florida. It is governed by an elected Board of County Commissioners. In addition to the members of the Board, there are five (5) elected Constitutional Officers: Clerk of Circuit Court, Property Appraiser, Sheriff, Supervisor of Elections, and Tax Collector. The Constitutional officers maintain separate accounting records and budgets.

Part I: Board of County Commissioners including all departments/divisions of the Board; and five enterprise activities – Lee County Port Authority, Lee County Water and Sewer Systems, Lee County Transit, Lee County Transportation Facilities (Midpoint, Cape Coral and Sanibel Toll Bridges), Lee County Solid Waste; and all Federal and State grants associated with the Board.

Part II: Constitutional Officers operations and associated Federal and State grants

The County has a component unit that has the same governing body as the Board. The departments and divisions of the Board and the Constitutional Officers, as well as the blended component unit, Lee County Port Authority, is included in the Lee County Comprehensive Annual Financial Report (examples of the County's financial reports can be seen on the Clerk's website at: <https://www.leeclerk.org> )

The composition of the County's funds is as follows (as of Fiscal Year Ended 2013):

Major Funds:

1. General
2. Lee County Library
3. MSTU
4. Tourist Development Tax
5. Capital Improvement
6. Port Authority
7. Water & Wastewater
8. Transportation Facilities
9. Solid Waste

Non-Major Funds:

1. Governmental Funds
  - Special Revenue- 19
  - Debt Service- 10
  - Capital Projects- 11
  - Permanent- 0
2. Enterprise Funds
  - Transit
3. Internal Service Funds- 5
4. Fiduciary Funds - 5

For the Fiscal Year Ended 2013, the County reported \$39,182,207 in Federal Assistance, major and non-major grants, \$15,094,540 State Financial Assistance and \$15,392,299 of PFC revenues.

Deadlines to provide the audited statements of the Constitutional Officers and the Clerk's opinion should be no later than December 7<sup>th</sup>.



## ADDITIONAL/SUPPLEMENTAL INFORMATION

\*The following deadline dates will be imposed for work performed under this contract:

- Deliver the Report of Independent Auditor with accompanying Special Purpose Financial Statements for the Constitutional Officers of the Sheriff, Tax Collector, Property Appraiser, and Supervisor of Elections no later than December 5
- Deliver the Report of Independent Auditor for the Clerk of Courts' ("Clerk") Special-Purpose Financial Statements no later than December 5
- Deliver the Report of Independent Auditor for Lee County's Comprehensive Annual Financial Report no later than February 28
- Deliver the Report of Independent Auditor for the Lee County Port Authority's Component Unit Financial Report no later than January 31
- Deliver the Statement of County-funded Court-related Functions and Report of Independent Auditor no later than January 20
- Deliver the Independent Accountant Report on Applying Agreed Upon Procedures for the Lee County's Solid Waste Facility Financial Test no later than March 20

\*The awarded firm will be required to execute an agreement similar to that in place with the County's current vendor of record. Here's a link to that agreement:

<http://www.leegov.com/gov/dept/ProcurementManagement/contracts/Documents/AnnualContracts/CN-11-04%20Financial%20Auditor/CN-11-04%20Financial%20Audit%20Cherry%20Bekaet%20Contract%205702.pdf>

\*All of the fiscal year 2013 reports referred to within this CN have been issued and are available for viewing at the Clerk's website: [www.leeclerk.org](http://www.leeclerk.org)

\*Approximately how many and what types of audit entries were made in Fiscal Year 2013? We post hundreds of post 9/30 entries, but for the normal year-end functions, such as accruals, since we do not prepare monthly financial statements. Any audit adjustments noted by the external auditors have been insignificant and thereby we passed on posting them. We discuss issues with the external auditors during the audit so may post or fix an item, but they are minimal.

\* All year end accrual (modified accrual and full accrual) entries are prepared by the County.

\* The Clerk of Courts prepares the complete financial statements for the Clerk of Courts, Port Authority standalone report, and the County's Comprehensive Annual Financial Report (CAFR).

\* The County prepares the Schedule of Expenditures of Federal Awards as well as the complete Single Audit Report.

\*Major federal and state programs in FY-13: 2 major Federal CFDA programs consisting of 11 individual grants, 2 State CSFA programs consisting of 9 individual grants. The next external auditor(s) to determine major grants for FY14.

\* The Clerk of Courts does not expect or need assistance to implement new GASB standards for the Clerk or County statements; however, we do communicate with the auditors to ensure that it is acceptable and that we are all on the same page. The four other Constitutional Officers may need assistance if applicable.

\* The County and Clerk have many software programs that integrate with our financial software via interfaces including programs/software for: payroll; a court case management system/software; Recording and Official Records software; Value Adjustment Board; Tax Deeds; Tourist Tax; investment portfolio. The fixed asset management program is a module within our financial software.

\*There are approximately 19 cash and investment accounts for the County and Clerk.

\* For the Clerk and County all accounts are reconciled on a monthly basis but are not marked to market (FMV) except at year-end since we do not prepare monthly financial statements.

\* The external auditors will only be provided with electronic versions of all audit work papers and financial statements, including the CAFR. The external auditors will be given view only access to our financial system and document imaging system and will be responsible for retrieving all necessary invoices and journal entries.

\*Interim and year-end fieldwork is typically completed as follows: Interim work in June and/or July and year-end November-January.

\* JD Edwards EnterpriseOne (E-1) is the financial software/system for the Clerk of Courts and the County, which is used to record revenues, pay vendors, record and maintain capital assets, and maintain the general ledger. The payroll is processed through a separate software, PDS, that interfaces with E-1. Crystal and BI reports are utilized for financial reporting.

## **INSURANCE REQUIREMENTS**

**Minimum Insurance Requirements:** *Risk Management in no way represents that the insurance required is sufficient or adequate to protect the vendors' interest or liabilities. The following are the required minimums the vendor must maintain throughout the duration of this contract. The County reserves the right to request additional documentation regarding insurance provided*

- a. **Commercial General Liability** - Coverage shall apply to premises and/or operations, products and completed operations, independent contractors, contractual liability exposures with minimum limits of:

\$500,000 per occurrence  
\$1,000,000 general aggregate  
\$500,000 products and completed operations  
\$500,000 personal and advertising injury

- b. **Business Auto Liability** - The following Automobile Liability will be required and coverage shall apply to all owned, hired and non-owned vehicles use with minimum limits of:

\$500,000 combined single limit (CSL)

- c. **Workers' Compensation** - Statutory benefits as defined by FS 440 encompassing all operations contemplated by this contract or agreement to apply to all owners, officers, and employees regardless of the number of employees. Workers Compensation exemptions may be accepted with written proof of the State of Florida's approval of such exemption. Employers' liability will have minimum limits of:

\$100,000 per accident  
\$100,000 disease limit  
\$500,000 disease – policy limit

- d. **Errors and Omissions** - Coverage shall include professional liability insurance, to cover claims arising out of negligent acts, errors or omissions of professional advice or other professional services.

\$1,000,000 combined single limit (CSL) of BI and PD

\*The required minimum limit of liability shown in a and b may be provided in the form of "Excess Insurance" or "Commercial Umbrella Policies." In which case, a "Following Form Endorsement" will be required on the "Excess Insurance Policy" or "Commercial Umbrella Policy."

**Verification of Coverage:**

1. Coverage shall be in place prior to the commencement of any work and throughout the duration of the contract. A certificate of insurance will be provided to the Risk Manager for review and approval. The certificate shall provide for the following:

- a. **The certificate holder shall read as follows:**

- Lee County Board of County Commissioners  
P.O. Box 398  
Fort Myers, Florida 33902**

- b. ***“Lee County, a political subdivision and Charter County of the State of Florida, its agents, employees, and public officials” will be named as an "Additional Insured" on the General Liability policy, including Products and Completed Operations coverage.***

**Special Requirements:**

1. An appropriate "Indemnification" clause shall be made a provision of the contract.
  2. It is the responsibility of the general contractor to insure that all subcontractors comply with all insurance requirements.
-

AFFIDAVIT CERTIFICATION  
IMMIGRATION LAWS

SOLICITATION NO.: \_\_\_\_\_ PROJECT NAME: \_\_\_\_\_

LEE COUNTY WILL NOT INTENTIONALLY AWARD COUNTY CONTRACTS TO ANY CONTRACTOR WHO KNOWINGLY EMPLOYS UNAUTHORIZED ALIEN WORKERS, CONSTITUTING A VIOLATION OF THE EMPLOYMENT PROVISIONS CONTAINED IN 8 U.S.C. SECTION 1324 a(e) {SECTION 274A(e) OF THE IMMIGRATION AND NATIONALITY ACT ("INA").

LEE COUNTY MAY CONSIDER THE EMPLOYMENT BY ANY CONTRACTOR OF UNAUTHORIZED ALIENS A VIOLATION OF SECTION 274A(e) OF THE INA. **SUCH VIOLATION BY THE RECIPIENT OF THE EMPLOYMENT PROVISIONS CONTAINED IN SECTION 274A(e) OF THE INA SHALL BE GROUNDS FOR UNILATERAL CANCELLATION OF THE CONTRACT BY LEE COUNTY.**

BIDDER ATTESTS THAT THEY ARE FULLY COMPLIANT WITH ALL APPLICABLE IMMIGRATION LAWS (SPECIFICALLY TO THE 1986 IMMIGRATION ACT AND SUBSEQUENT AMENDMENTS).

Company Name: \_\_\_\_\_

Signature

Title

Date

STATE OF \_\_\_\_\_  
COUNTY OF \_\_\_\_\_

The foregoing instrument was signed and acknowledged before me this \_\_\_\_\_ day of \_\_\_\_\_  
20\_\_\_\_, by \_\_\_\_\_ who has produced  
(Print or Type Name)  
\_\_\_\_\_ as identification.  
(Type of Identification and Number)

\_\_\_\_\_  
Notary Public Signature

\_\_\_\_\_  
Printed Name of Notary Public

\_\_\_\_\_  
Notary Commission Number/Expiration

The signee of this Affidavit guarantee, as evidenced by the sworn affidavit required herein, the truth and accuracy of this affidavit to interrogatories hereinafter made. **LEE COUNTY RESERVES THE RIGHT TO REQUEST SUPPORTING DOCUMENTATION, AS EVIDENCE OF SERVICES PROVIDED, AT ANY TIME.**

## LEE COUNTY PROCUREMENT MANAGEMENT - BIDDERS CHECK LIST

**IMPORTANT:** Please check off each of the following items as the necessary action is completed:

- \_\_\_\_\_ 1. The Solicitation has been signed and with corporate seal (if applicable).
- \_\_\_\_\_ 2. The Solicitation prices offered have been reviewed (if applicable).
- \_\_\_\_\_ 3. The price extensions and totals have been checked (if applicable).
- \_\_\_\_\_ 4. Substantial and final completion days inserted (if applicable).
- \_\_\_\_\_ 5. The original (must be manually signed) and 1 hard copy original and others as specified of the Solicitation has been submitted.
- \_\_\_\_\_ 6. Two (2) identical sets of descriptive literature, brochures and/or data (if required) have been submitted under separate cover.
- \_\_\_\_\_ 7. All modifications have been acknowledged in the space provided.
- \_\_\_\_\_ 8. All addendums issued, if any, have been acknowledged in the space provided.
- \_\_\_\_\_ 9. Licenses (if applicable) have been inserted.
- \_\_\_\_\_ 10. Erasures or other changes made to the Solicitation document have been initialed by the person signing the Solicitation.
- \_\_\_\_\_ 11. Contractor's Qualification Questionnaire and Lee County Contractor History (if applicable).
- \_\_\_\_\_ 12. DBE Participation form completed and/or signed or good faith documentation.
- \_\_\_\_\_ 13. Bid Bond and/or certified Check, (if required) have been submitted with the Solicitation in amounts indicated.
- \_\_\_\_\_ 14. Any Delivery information required is included.
- \_\_\_\_\_ 15. Affidavit Certification Immigration Signed and Notarized
- \_\_\_\_\_ 16. Local Bidder Preference Affidavit (if applicable)
- \_\_\_\_\_ 17. The mailing envelope has been addressed to:  
**ADDRESS**  
Lee County Procurement Mgmt.  
1825 Hendry St 3<sup>rd</sup> Floor  
Ft. Myers, FL 33901
- \_\_\_\_\_ 18. The mailing envelope **MUST** be sealed and marked with:  
Solicitation Number  
Opening Date and/or Receiving Date
- \_\_\_\_\_ 19. The Solicitation will be mailed or delivered in time to be received no later than the specified opening date and time. (Otherwise Solicitation cannot be considered or accepted.)

**\*\*This form is not required to be returned with your solicitation, but used as a tool when responding to the solicitation.**