

DEPARTMENTAL STANDARD OPERATING PROCEDURE

Miami-Dade County Aviation Department

DSOP No. 01-06

Effective: December 11, 2001

SUBJECT: RESPONSE TO EXTERNAL AUDITS AND INVESTIGATIVE REPORTS

PURPOSE AND SCOPE: To establish uniform procedures for the coordination, tracking, and response to reports generated by authorities external to the Miami-Dade Aviation Department (MDAD). These external authorities include, but are not limited to, the Audit and Management Services Department, the Office of the Inspector General, and other investigative agencies. These authorities may send MDAD official reports (such as audits, management reviews, investigative findings, official inquiries, etc.) that require a Department response.

This Departmental Standard Operating Procedures (DSOP) does not apply to matters under investigation by competent authorities.

I. AUTHORITY:

- A. [Operational Directive 99-02, Operational Directives.](#)
- B. [Operational Directive 99-03, Aviation Department Written Directive System.](#)
- C. [County Administrative Order 3-7, Disposition of Audit Reports.](#)

II. DEFINITIONS:

- A. *Department response* – The official written response of the Miami-Dade Aviation Department to a report from an outside authority.
- B. *Response Coordinator* - For the purposes of this DSOP, the Professional Compliance Division (PCD) will be responsible for coordinating all MDAD efforts in responding to these matters.
- C. *Assigned Assistant/Associate Director* – The Assistant or Associate Director whose area of responsibility is primarily affected by the issues in the audit, management review, investigative report, etc., is the individual assigned with the responsibility for the Department response.

- D. *Response preparer* – The person determined by the assigned Assistant/Associate Director as best suited by experience, correspondence skill, technical knowledge and familiarity with the subject matter to prepare the Department response.

III. POLICY:

- A. It is the policy of the Aviation Department to respond to such reports in a timely and accurate manner in compliance with all applicable County Administrative Orders.
- B. All responses will be factual and complete without defensive or self-serving statements. To this effect, responses will be coordinated by a central office to ensure consistency and timeliness.
- C. Responses must be prepared by the person or unit best suited to providing the most comprehensive and accurate response.
- D. Only the Aviation Director can authorize and sign the Department responses to audits, management reviews, investigative findings, and official inquiries.
- E. In the extended absence of the Aviation Director, the individual officially designated as the Acting Aviation Director during the time period of his/her absence can sign for him/her.
- F. The signature of the Acting Aviation Director should only be used when the timeliness of the response precludes waiting for the routine return of the Aviation Director.

IV. GENERAL GUIDELINES:

- A. Receipt of audits, management reviews, investigative reports, etc. from outside agencies:
 - 1. These reports should be addressed to the Aviation Director and should be received by the Director's Office.
 - 2. Departmental personnel directly receiving such a report will immediately forward it to the Director's Office for appropriate disposition.
 - 3. The Director will determine if any specific item in the report meets the criteria necessary to be handled according to the procedures established by this DSOP. Those items will be forwarded to the PCD for response coordination.

B. Response Format/Stationery:

1. Unless other specific instructions are provided, the response will be prepared using accepted County standards for correspondence.
2. Responses to departments/units/offices/persons within county government will be prepared using the County memorandum form.
3. Responses to agencies/offices/persons outside County government will be prepared using letter format on the appropriate letterhead stationery.
4. If circumstances warrant, the response may be prepared as a separate report on plain bond and forwarded as an attachment/enclosure to a transmittal memorandum/letter.
5. Where the responding unit/office has already developed an approved and accepted response format or style for that particular type report, that established style format should continue to be used. Where no such pre-established response format and style already exists, a simple finding/recommendation versus Department response style should be used. The annexed document provides an example of this response style.

V. GENERAL PROCEDURES FOR HANDLING RESPONSES:

A. When coordinating responses, the PCD will:

1. Enter receipt of the report into an established tracking system for such assignments and initiate process tracking.
2. Determine which Assistant or Associate Director is to be responsible for the Department response. The assigned Assistant/Associate Director will be the one whose area of responsibility is primarily affected by the issues in the report.
3. Where the subject report crosses several areas of the Department and no one Assistant/Associate Director clearly has a majority of the issues, the PCD will discuss best assignment with the Aviation Director. The Director may elect to assign the PCD to oversee the preparation of the response.

4. A copy of the report with all pertinent attachments will be forwarded to the assigned Assistant/Associate Director for handling along with an expected response date. The tracking log maintained by the PCD will be updated accordingly.
5. The completed Department response will be returned to the PCD. The PCD will review the report for apparent content accuracy and style consistent with MDAD standards. As a quality control review, the PCD will make no substantive changes to the completed response, but will refer any concerns or issues back to the assigned Assistant/Associate Director for resolution.
6. The completed Department response will be forwarded to the Director's Office for final review or modifications and signature.
7. A copy of the final signed Department response will be returned to the PCD to close out the assignment log.
8. Where the situation warrants, the PCD will establish appropriate future follow-up inspections to insure that actions identified in the Department response were successfully implemented.

B. The Assigned Assistant/Associate Director will:

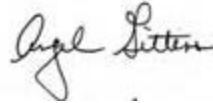
1. Determine the best person to be the actual response preparer.
2. Be responsible for overseeing the preparation of the Department response.
3. Resolve any Department policy issues that develop in responding to the report. This will include discussions with other Department staff as well as the PCD and the Aviation Director on relevant policy matters.
4. Review and approve the completed Department response for content accuracy, grammar, presentation format and style.

C. The response preparer will:

1. Collect the required information, pertinent data, and subordinate responses from other parts of the Department.
2. Prepare the written Department response for the Director's signature in the appropriate format.

REVOCATION: None.

CROSS REFERENCE: None.



Angela Gittens, Aviation Director

Date: December 11, 2001

ANNEX:

[Format for responding to audits findings or investigative reports.](#)