



## **Departmental Standard Operating Procedure (DSOP)**

### **DSOP No. 01-07**

**Last Amended: March 12, 2002**

**Effective: March 3, 2020**

### **SUBJECT: QUALIFICATION VERIFICATION AND DUE DILIGENCE**

**PURPOSE and SCOPE:** To establish guidance and procedures for the verification of statements and assertions made by external parties to the Miami-Dade Aviation Department. This process is known as "Qualification Verification" or "QV."

#### **I. AUTHORITY:**

- A. Operational Directive No. 99-03, Aviation Department Written Directive System.
- B. Departmental Standard Operating Procedure No. 00-01, Departmental Standard Operating Procedures
- C. Chapter 25-1.2 Miami-Dade County Code, Chapter 25 Miami-Dade Aviation Department Rules and Regulations.

#### **II. DEFINITIONS:**

- A. MDAD – Miami-Dade Aviation Department
- B. Due Diligence – Reasonable steps taken by an employee to verify the authenticity of documents, statements or other representation made by external parties.
- C. External Parties – An organization that is a legal entity or an individual external to the Miami-Dade County organization. For example, it could be an organization or individual providing a reference for a candidate seeking to secure an employment position with MDAD or an organization providing a reference to conduct business with MDAD.
- D. Primary Source – A document or firsthand account that constitute direct evidence of an object of study. For example, an academic transcript from a college or university, a certification or license issued by a state governing body, or an individual with firsthand knowledge, of a candidate seeking employment with MDAD.

- E. RFQ – Request for Quotation is a business process to invite legal entities to bid on specific products or services that MDAD is seeking.
- F. RFP – Request for Proposal is a business process to invite other legal entities to review the requirements of the proposal. Legal entities must meet or exceed the requirements of the proposal to be considered and/or contracted to complete project(s) at MDAD.

### **III. POLICY:**

To the extent possible, each Aviation employee will exercise due diligence by verifying the contents of documents, disclosures, affidavits, statements or other representations made by vendors, applicants, bidders, contractors, concessionaires, and other seeking to do business with or through MDAD to establish the authenticity, veracity, accuracy and truthfulness of the information with the issuing agencies and other primary sources. QV is the responsibility of each Aviation employee as part of his or her normal assigned duties.

### **IV. PROCEDURES:**

- A. During QV, when the employee identifies an error, he or she must notify their immediate supervisor to rectify the error. If the error seems to indicate possible fraud, he or she must notify their supervisor or Division Head to determine if deliberate misinformation was submitted and inform the Professional Compliance Division (PCD) and the Aviation Director or his or her authorized designee in writing.
- B. If an employee is unsure of the relevance of the information, he or she must notify their immediate supervisor. If deliberate misinformation was submitted, the supervisor shall inform the Aviation Director or his or her authorized designee in writing.
- C. In the event that the verification review reveals material inconsistencies warranting in depth follow up, it must be reported in writing to the Aviation Director. The Aviation Director or his or her authorized designee will advise PCD to conduct further follow up as warranted.
- D. These instructions do not conflict with the requirements of Administrative Order 7-7, Employees Having Knowledge of a Crime, nor do they abrogate the employee's right to contact the Office of Inspector General or a law enforcement agency.



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- E. The PCD will follow Operational Directive, 18-02, Fraud Policy, as applicable upon notification of material misrepresentation. PCD will report the results of their review to the Aviation Director.

**V. EXCEPTIONS:**

None

**VI. ENFORCEMENT:**

1. MDAD does not accept any liability when actions are in violation of this policy.
2. Employees who violate this policy will be subject to corrective and/or disciplinary actions as defined and deemed appropriate by Department Management.

**VII. AMENDMENTS:**

The Department reserves the right to amend this operating policy at any time based on current law, Miami-Dade County policies and operating needs.

**VIII. REVOCATION:**

Revocations and removal of established Department policies requires written justification by requesting division management for review and concurrence by the Department's Professional Compliance Division. Upon written concurrence, the revocation request will be submitted, by Professional Compliance, for approval by the Aviation Director. Should the written directive be an Operational Directive, the authorized revocation justification will be sent to the Clerk of the Board for filing with the original Operational Directive under revocation. All approved revocation justification memoranda shall be posted to the Department's Written Directives Log to identify why the directive has been revoked to maintain ongoing operational accountability.

**IX. SEVERABILITY:**

If any court of competent jurisdiction determines that any provision in this policy is illegal or void, that provision shall be nullified and the remainder of this policy shall continue in full force and effect. If such court rules that any charge, fee, or security deposit requirement is illegal or void, the Aviation Director is authorized and directed to impose a charge, fee, or security deposit requirement that complies with the court order or applicable provisions of law, which shall become effective

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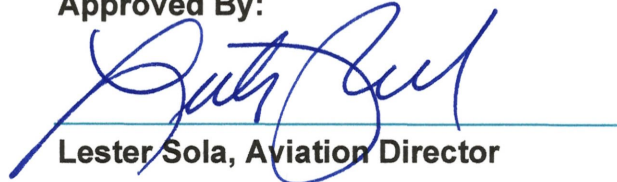
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on the date of imposition and shall continue until modified by the Miami-Dade County Board of County Commissioners.

**X. CROSS REFERENCES:**

Miami-Dade County Administrative Order 7-7, Employees Having Knowledge of a Crime.

Approved By:

A handwritten signature in blue ink, appearing to read "Lester Sola", is written over a horizontal blue line.

Lester Sola, Aviation Director

Date: March 3, 2020