

OPERATIONAL AUDIT COMMITTEE 2020 REPORT

19 OCTOBER 2020

Bill Harrison, Chair

REGION 3 OPERATIONS MANUAL Revised 20 July 2020

II. POLICIES and PROCEDURES

Review of Region Standing Committees

The Operational Audit Committee shall review Region Standing Committees as deemed appropriate by the Committee in consultation with the Region 3 Director.

V. COMMITTEES

The following Standing Committees shall be established by and are responsible to the Region 3 Committee and the Region 3 Executive Committee (ExCom).

1. Awards and Recognition
2. Conference
3. Finance
4. Member Communications
5. Nominations and Appointments
6. Operational Audit
7. Professional Activities
8. Section Support
9. Strategic Operations and Support
10. Student Activities

V. COMMITTEES

7. All Committees are encouraged to submit timely information of interest to IEEE members to the Member Communications Committee for dissemination in the Region 3 Newsletter, Web Site, eNotices, social media, etc.

8. Each Committee is encouraged to recognize the accomplishment of its own members as such accomplishments are made. Encourage and, to the extent possible, support the recognition of Region 3 members for Region 3 awards, special awards, recognitions, commendations, and nonRegion 3 IEEE awards including Institute awards and recognition.

V. COMMITTEES

- **Committees should publish their minutes and reports and supply them to the Secretary so that they are archived on the Region 3 website (<http://ewh.ieee.org/reg/3/excom/meetings/>).**
- **It is very important that the Committee Meetings Minutes and Annual Reports list accomplishments against the Committee's Year's Goals & Responsibilities and other important actions.**

V. COMMITTEES

OPERATIONAL AUDIT PROCESS

At a minimum, the following information shall be made available to the Region 3 Operational Audit Committee:

- 1. Committee responsibilities per the Region 3 Operations Manual.**
- 2. Committee goals as developed on a yearly basis.**
- 3. Committee structure/organizational chart.**
- 4. Committee members and terms of office (with contact information).**
- 5. Provide evidence of the standing committee's support of committee members for awards and recognitions.**
- 6. Special Projects and initiatives.**
- 7. Committee budget with income and expense versus actuals.**

REGION 3 OPERATIONS MANUAL (Revised 20 July 2020)

II. POLICIES and PROCEDURES - Even Year and Odd Year Calendar - OAC

- **February - OAC Chair notifies Region Committees and activities to be reviewed. and requests information from chair of committee(s) being audited.**
- **May - Chair of committee being audited delivers information to OAC Chair.**
- **August - OAC Chair delivers the preliminary audit report to the chair of the committee(s) being audited.**
- **September - OAC Chair delivers the final audit report to the Delegate/Director.**
- **September - The chair of the committee(s) being audited May deliver a report to the Delegate/Director in response to the audit report.**
- **November - Complete and report Operational Audit results to SOSOC, ExCom.**
- **November - Final Report on reviewed committee(s) to Del/Director & reviewed entity/activity.**

REGION 3 AUDITS

Year	Review
2019	Area Chair Function
2019	Student Activities
2020	Awards and Recognition
2020	Finance
2021	Conference
2021	Nominations and Appointments
2022	Member Activities
2022	Strategic Operations and Support
2023	Professional Activities
2023	Section Support
2024	Student Activities

2020 AUDIT – AWARDS & RECOGNITION

A. REVIEW CRITERIA (FROM R3 OPS MANUAL)	INFORMATION SUBMITTED?	OAC COMMENTS
1. Committee responsibilities per the Region 3 Operations Manual.	Documents and files were submitted in a timely manner.	Response satisfactory - no deficiency noted.
2. Committee goals as developed on a yearly basis.	Documents and files were submitted in a timely manner.	Response satisfactory - no deficiency noted.
3. Committee structure/organizational chart.	Documents and files were submitted in a timely manner.	Response satisfactory - no deficiency noted.
4. Committee members and terms of office (with contact information).	Documents and files were submitted in a timely manner.	Response satisfactory - no deficiency noted.
5. Sponsorship of Region 3 members for Institute awards and recognition.	ARC Chair requested clarification of this audit criterion.	Discussions with David Green, SOSC Chair, resulted in clarification to R3 Ops Manual
6. Special Projects and initiatives.	Documents and files were submitted in a timely manner.	Response satisfactory - no deficiency noted.
7. Committee budget with income and expense versus actuals.	Documents and files were submitted in a timely manner.	Response satisfactory - no deficiency noted.

2020 AUDIT – AWARDS & RECOGNITION

B. ADDITIONAL AUDIT QUESTIONS (FROM OAC MEMBERS)	RESPONSES	OAC COMMENTS
<p>R3 Level of Funding appears to be focused on the Awards Program for SoutheastCon. What else is in the funding? What additional funding is required?</p>	<p>You are correct that the ARC funding is solely based on SoutheastCon (travel, awards presented there, printing programs for ceremony, and sometimes shipping costs). I haven't seen a need for other items to be covered in the budget.</p>	<p>Thank you for the response.</p>
<p>The ARC composition of members was significantly changed in 2019. What were the reasons behind the changes? What impact have the changes made? Are they working?</p>	<p>The composition of the ARC changed due to the restructuring of committees in the Region 3 by-laws. I think the change helped give the ARC a broader perspective across the Areas within the Region. This is good for publicizing our awards and contacting nominators when we have questions. The committee we have now is great!</p>	<p>Thank you for the response.</p>
<p>R3 Awards and Recognition Program Manual Is the 2018 Revision the latest? Please discuss the evolution of the Manual from 2012 to 2016 and 2016 to 2018. What changes are currently anticipated?</p>	<p>The evolution of the manual from 2012 to 2016 is before my time. The updates made in 2018 were clarifying based on questions and comments I received from nominators as well as my observations of nominations that were not well aligned with the award category. Another update to the manual is planned this year, simply to update the URL of the nomination site to the OpenWater platform that we now must use.</p>	<p>Thank you for the response.</p>
<p>Please discuss the activity in supporting Recognition of the volunteers who work in the other Region 3 Committees, Sections, Chapters, Students / Faculty and Industry.</p>	<p>The ARC runs the Outstanding Service Award program and delivers its recommendation to the R3 ExCom yearly based on nominations received. This award covers volunteers in the Region and its components.</p>	
<p>What are your recommendations for changes to the Charter, support from R3 ExCom, and support needed from MGA or other IEEE entities?</p>	<p>My only recommendation is for MGA/IEEE HQ to settle on an online awards platform and stick to it. We are on the third platform since I started this position in the middle of 2017. It takes a substantial amount of time to set up the awards in a new portal.</p>	<p>Thank you for the response.</p>

2020 AUDIT – AWARDS & RECOGNITION

C. OBSERVATIONS AND RECOMMENDATIONS	RESPONSES	OAC COMMENTS
		SUBMIT ARC RECOMMENDATION TO MGA: My only recommendation is for MGA/IEEE HQ to settle on an online awards platform and stick to it. We are on the third platform since I started this position in the middle of 2017. It takes a substantial amount of time to set up the awards in a new portal.

2020 AUDIT – FINANCE

- **ALL AUDIT CRITERIA:** Response satisfactory - no deficiencies noted.
- **AUDIT QUESTIONS (FROM OAC MEMBERS):** No questions were raised by the OAC for the Finance Committee Chair.
- **RECOMMENDATION:** Finance Committee consider submitting nominations for region and other awards.
- **RECOMMENDATION:** Distribute Treasurer's Report in a more timely manner, preferably at least 48 hours before the EXCOM meeting.

QUESTIONS?