

IEEE Region 3 Operational Audit Committee
Report to the IEEE Region 3 ExCom, May 28, 2024

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Here is the progress that the OAC has made on the two assignments made by Director Grigorian.

(1) Finish the OAC Operations Manual.

It was suggested by David Green that this “OAC manual” be incorporated into the existing Region 3 documents: Region 3 Operations Manual and Schedule.

An example of an annual report was obtained from Bill Ratcliff. It is his annual report of the actions of the OAC in 2022. This report contains the audit results of Member Communications Committee (MCC) and the progress toward two other goals. It includes a short introduction (2 pages), the MCC audit report (4 pages), and 26 pages of appendix. It was submitted to the Region 3 Director.

One of the other goals was the development of “policy and procedures” for the OAC. Bill’s report state that the work toward a OAC manual is 60% complete. I have obtained from David Green a source copy of the XMIND document that Bill produced. A PDF file is attached in the Appendix. It still needs some work to turn it into a document that will fit into the existing documents.

(2) Write a procedure for all R3 committees to use to archive the committee activities for later use in an audit.

I propose that all Region 3 Committees document their work with a procedure similar to that illustrated by Bill Ratcliff in his 2022 annual report from the OAC. I also propose that the documentation happen every month at the ExCom meeting and not just at the end of the year.

(a) Every monthly report should contain a short summary of the activities of the committee followed by an appendix containing many detailed working documents used by the committee.

(b) If such a report is submitted each month, then the documents needed by a future OAC will be preserved with the ExCom minutes and be available on the web.

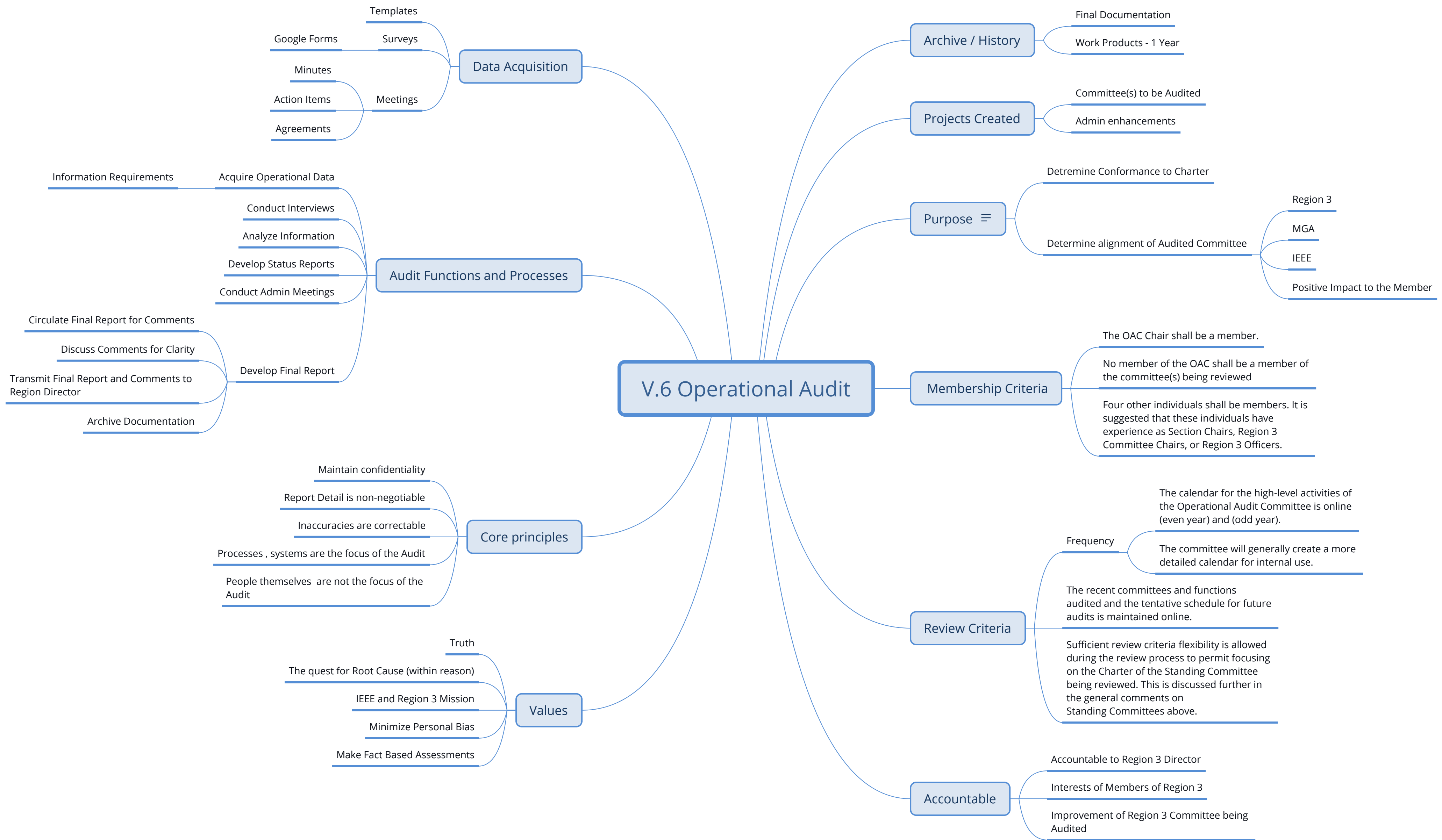
(c) No other mechanism will be needed to archive these reports since the ExCom documents are already archived.

(d) The format of the monthly report should be simple. It could have a few sections: goals, activities, progress toward goals, hinderances to progress, and supporting documents in an appendix.

(e) A suggested way to obtain monthly reports is to take notes of committee meeting in real time. A suggested way to obtain a short summary is using chatGPT; although some files should not be fed into chatGPT nor included in an appendix because they contain sensitive information. Some redaction may be needed on the part of the committee.

APPENDIX

V.6 Operational Audit



Data Acquisition

- Templates
- Surveys
- Meetings
- Google Forms
- Minutes
- Action Items
- Agreements

Audit Functions and Processes

- Acquire Operational Data
 - Information Requirements
- Conduct Interviews
- Analyze Information
- Develop Status Reports
- Conduct Admin Meetings
- Develop Final Report
 - Circulate Final Report for Comments
 - Discuss Comments for Clarity
 - Transmit Final Report and Comments to Region Director
 - Archive Documentation

Core principles

- Maintain confidentiality
- Report Detail is non-negotiable
- Inaccuracies are correctable
- Processes, systems are the focus of the Audit
- People themselves are not the focus of the Audit

Values

- Truth
- The quest for Root Cause (within reason)
- IEEE and Region 3 Mission
- Minimize Personal Bias
- Make Fact Based Assessments

Archive / History

- Final Documentation
- Work Products - 1 Year

Projects Created

- Committee(s) to be Audited
- Admin enhancements

Purpose

- Determine Conformance to Charter
- Determine alignment of Audited Committee
 - Region 3
 - MGA
 - IEEE
 - Positive Impact to the Member

Membership Criteria

- The OAC Chair shall be a member.
- No member of the OAC shall be a member of the committee(s) being reviewed
- Four other individuals shall be members. It is suggested that these individuals have experience as Section Chairs, Region 3 Committee Chairs, or Region 3 Officers.

Review Criteria

- Frequency
 - The calendar for the high-level activities of the Operational Audit Committee is online (even year) and (odd year).
 - The committee will generally create a more detailed calendar for internal use.
- The recent committees and functions audited and the tentative schedule for future audits is maintained online.
- Sufficient review criteria flexibility is allowed during the review process to permit focusing on the Charter of the Standing Committee being reviewed. This is discussed further in the general comments on Standing Committees above.

Accountable

- Accountable to Region 3 Director
- Interests of Members of Region 3
- Improvement of Region 3 Committee being Audited