

# REPORT

**To: IEEE Region 3 ExCom**  
**From: IEEE Region 3 Operational Audit Committee (OAC)**  
**Date: 2024 August 26**  
**By: Gregg Vaughn**

## **1 Summary**

### **1.1 Items Needing ExCom Action**

None

### **1.2 Items Needing ExCom Discussion**

The template for Region 3 committees to use for all reports to the ExCom needs to be discussed by the ExCom for comments and/or approval. A copy of the template is in the Appendix.

### **1.3 Events or Activities Since Last ExCom Report**

The Operational Audit Committee (OSC) met on July 8, 2024, to discuss a proposed template for Region 3 ExCom committee reports and additions to the Region 3 manuals to add operational materials concerning the OAC.

### **1.4 Planned Near Future Events or Activities**

The OAC will meet again on August 26, 2024, to discuss a draft version of the additional material for the Region 3 manuals.

## **2 Announcements**

None

### **2.1 Section Events or Activities**

### **2.2 Area Events or Activities**

### **2.3 Region 3 Events or Activities**

### **2.4 IEEE-USA Events or Activities**

### **2.5 IEEE Events or Activities**

## **3 Committee Report Detail**

### **3.1 Items Needing ExCom Action**

None

### **3.2 Items Needing ExCom Discussion**

The OAC has proposed a template for all Region 3 committees to use when reporting to the ExCom. The OAC is seeking comments and/or approval of the template from the ExCom. The source file of the template can be provided by the Chair of the OAC. If approved by the ExCom the source file needs to be made available at some location of the Region 3 web site.

### **3.3 Events or Activities Since Last ExCom Report**

Minutes for the July 8, 2024, meeting are in the Appendix.

### **3.4 Planned Future Events or Activities**

The Chair of the OAC produced a draft version of the material proposed to be added to the Region 3 Operations Manual and distributed it to the members of the OAC. This material will be discussed at the OAC meeting on August 26, 2024. The draft version is in the Appendix.

### **3.5 Goals**

(1) Propose a method by which committee reports and other relevant materials can be archived for later use by the OAC when conducting an audit of such committee.

The goal has been accomplished. The proposed method is for all committees to use the report template presented by the OAC. Also, all relevant source material (email messages, text files, etc.) will be included in the appendix of the report.

(2) Write an operations manual for the OAC. Bill Ratcliff started the task of writing such a manual when he was chair of the OAC.

Progress has been made toward this goal. It was decided by the OAC to incorporate the needed materials into existing Region 3 manuals rather than to write a new manual that would at least partially duplicate existing material. The Chair of the OAC has drafted such a document for discussion by the OAC. It will be discussed at the next OAC meeting on August 26, 2024. At some later date proposed additions to the Region 3 manuals will be presented to the ExCom for discussion/approval.

## **Appendix**

Proposed template for Region 3 committee reports to the ExCom.

# REPORT

**To:** IEEE Region 3 ExCom  
**From:** IEEE Region 3 Operational Audit Committee  
**Date:** 2024 July 22  
**By:** Gregg Vaughn

## 1 Summary

### 1.1 Items Needing ExCom Action

[List one sentence at most about each item that should be acted upon by the ExCom (requires a vote). If there are no such items, write "None."]

### 1.2 Items Needing ExCom Discussion

[List one sentence at most about each item that should be discussed by the ExCom. If there are no such items, write "None."]

### 1.3 Events or Activities Since Last ExCom Report

[List one sentence at most about each event or activity, such as a committee meeting, that has happened since the last ExCom meeting. For each meeting, if the minutes are attached to this report in the Appendix, no description is needed in "Committee Report Detail" below.]

### 1.4 Planned Near Future Events or Activities

[List one sentence at most about each event or activity that is planned before the next ExCom meeting.]

## 2 Announcements

[Under the appropriate sub-heading below, include announcements of events, opportunities, activities, meetings, etc. that are of interest to the ExCom. Attach any supporting material in the Appendix.]

### 2.1 Section Events or Activities

### 2.2 Area Events or Activities

### 2.3 Region 3 Events or Activities

### 2.4 IEEE-USA Events or Activities

### 2.5 IEEE Events or Activities

Style is Subtitle

Gregg Vaughn  
07/07/2024 17:27

Style is Subject

Gregg Vaughn  
07/07/2024 17:28

Style is Heading 1

Gregg Vaughn  
07/07/2024 17:23

Style is Heading 2

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07/07/2024 17:23

Style is Body Text

Gregg Vaughn  
07/07/2024 18:16

### **3 Committee Report Detail**

#### **3.1 Items Needing ExCom Action**

[Include description of the items needing ExCom action. Attach any supporting material in the Appendix.]

#### **3.2 Items Needing ExCom Discussion**

[Include description of the items needing ExCom discussion. Attach any supporting material in the Appendix.]

#### **3.3 Events or Activities Since Last ExCom Report**

[Include information about the events or activities since the last committee report to the ExCom. No details are needed for meetings whose minutes are attached in the Appendix.]

#### **3.4 Planned Future Events or Activities**

[Include information about future events or activities that the committee has planned. Attach any supporting material in the Appendix.]

#### **3.5 Goals**

[Include goals that the committee has set for itself along with progress toward the goals if appropriate.]

### **Appendix**

Style is Appendix

Gregg Vaughn  
07/07/2024 18:34

OAC minutes from July 8, 2024

IEEE Region 3 Operational Audit Committee (OAC) Meeting  
2024 July 8

Members	Present
Gregg Vaughn	x
Damith Wickramanayake	
Steve Kemp	x
Arup Ghosh	x
Vince Socci	

Item 1:

Discuss template for IEEE Region 3 committees to use for report to the ExCom and Committee.

Gregg presented a draft copy of a template for discussion. After discussion, the members present proposed no changes to the template. Input from other members is sought.

Item 2:

Discuss the assignment to write an operations manual for the OAC.

It was decided for each OAC member to look at the Region 3 Operations Manual and Schedule to see what else is needed.

The next meeting of the OAC will be at 7:00 PM EDT on August 26, 2024, the same night as the Region 3 ExCom meeting at 8:00 PM EDT.

Draft material to be added to the Region 3 Operations Manual



# REGION 3 OPERATIONS MANUAL

01 January 2024

## V.6 OPERATIONAL AUDIT

The Operational Audit Committee (OAC) shall determine administrative and management effectiveness by performing operational reviews of other Region 3 Committees.

### **Members**

1. The OAC Chair shall be a member.
2. 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.
3. No member of the OAC shall be a member of the committee(s) being reviewed.

### **Responsibilities**

The Operational Audit Committee shall:

- 1 Conduct an operational audit of one or two standing committees each year as designated by the Delegate/Director as described in Section II, Policies and Procedures: Periodic Review of Region Standing Committees.
  - 1.1 The period of time to be considered in the review is the past four to six years.
  - 1.2 The OAC shall delve into the effectiveness, contributions, policies, procedures, actions, composition, budget considerations, and other related aspects of the committee being reviewed.
  - 1.3 The OAC shall provide a written report to the Delegate/Director giving the results of the operational audit of each committee.
- 2 Conduct an operational audit of another Region 3 entity as designated by the Delegate/Director on an "as required" basis.
- 3

### **Calendar**

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.

### **Review Criteria**

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.

### **Final Report**

The final audit report that is delivered to the Delegate/Director will contain recommendations for the committee being audited. Each recommendation will be action-oriented and restricted to one issue. The committee being audited will prepare a response to the review, addressing each recommendation and indicating acceptance, modification, rejection, or need for guidance from the Region 3 Delegate/Director. The report and response will be archived for at least ten years.

## Calendar for OAC in 2024

Month	Who	Activity
February	OAC	OAC Chair notifies Region Committees and activities to be reviewed and requests information from chair of committee(s) being audited.
March/ April	All	Plan meetings (if any) in conjunction with Region Committee as approved by Region Director
May	OAC	Chair of committee being audited delivers information to OAC Chair.
August	OAC	OAC Chair delivers the preliminary audit report to the chair of the committee(s) being audited.
September	OAC	OAC Chair delivers the final audit report to the Delegate/Director.
September	OAC	The chair of the committee(s) being audited May deliver a report to the Delegate/Director in response to the audit report.
September	R3 Committee	The slate of Director-Elect candidates from the ExCom is submitted to the Region 3 Committee for endorsement.
November	Committee Chair	If reviewed by Operational Audit , respond to Final Report at ExCom
November	OAC	Complete and report Operational Audit results to SOSC, ExCom
November	OAC	Final Report on reviewed committee(s) to Del/Director & reviewed entity/activity

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March/ April	All	Plan meetings (if any) in conjunction with Region Committee as approved by Region Director
May	OAC	Chair of committee being audited delivers information to OAC Chair.
August	OAC	OAC Chair delivers the preliminary audit report to the chair of the committee(s) being audited.
September	OAC	OAC Chair delivers the final audit report to the Delegate/Director.
September	OAC	The chair of the committee(s) being audited May deliver a report to the Delegate/Director in response to the audit report.
November	Committee Chair	If reviewed by Operational Audit, respond to Final Report at ExCom
November	OAC	Complete and report Operational Audit results to SOSC, ExCom
November	OAC	Final Report on reviewed committee(s) to Del/Director & reviewed entity/activity

Comments by Gregg Vaughn:

We have assumed that whatever our committee generates should be incorporated into the Region 3 documents that already exist (Region 3 By Laws and Operations Manual). Bill Ratcliff's committee generated a mind map concerning the Operational Audit Committee. A copy of this document is attached. It contained nine major headings. It is my opinion that several of these headings are not needed since they are already covered by portions of the existing Region 3 Operations Manual. These unneeded topics are Archive/History, Projects Created, Purpose, Membership Criteria, and Review Criteria. Further, it is my opinion that the topics of Data Acquisition is not needed. It is my opinion, then, that paragraphs about the remaining three topics be added to the Region 3 Operations Manual, Section V.6 Operational Audit. To stimulate discussion of these topics to be added I have written draft version of the needed additional topics as follows:

### **Values**

The values to govern the work of the OAC are

1. the truth,
2. the quest for root causes of discovered deficiencies,
3. the use of fact-based assessments,
4. the IEEE and Region 3 Mission, and
5. the minimization of personal bias.

### **Core Principles**

The core principles to be employed by the OAC are

1. The OAC shall maintain confidentiality.
2. Report detail is non-negotiable. [I am not sure what is meant here.]
3. Inaccuracies made by the OAC in reports are correctable.
4. The audit is focused on processes and systems.
5. The audit is not focused on people.

### **Audit Process**

The audit process consist of two major functions. The first is gathering information. In order to do so, the OAC will acquire operational data, conduct interviews, analyze information, develop status reports, conduct committee meetings, and writ the audit report. The second is communicate the audit report. To do so, the OAC will circulate the report to the OAC members for comments, present the report to the chair of the Region 3 committee being audited, discuss the results and correct the report, transmit the report to the Region 3 Director, and archive the audit report and supporting documents.

# V.6 Operational Audit

