

# From the P&P - AUDITS

- The IEEE Standards Association Standards Board (SA) staff members are a credible source of information to help determine or substantiate whether Standard Development Committee members are maintaining their qualifications status and are members in good standing.
- The SA can also independently verify whether the Committee is adhering to acceptable procedural requirements specified in this manual and its supporting documents.

# What do we need to do

- I talked to Andy as to what they did last time.
- He felt they decided they need to confirm creditable credentials.
- Member
- Credentials
- SA Member

The following is the matrix they  
drew up and confirmed.

# Summary of Internal Audit Results

- **Audit Item/Category**
- **Comments/Recommendations/Actions**
- 1. **Proofs on file that a balanced membership exists, that a sufficiently "diverse" technical group is established, & members possess appropriate technical qualifications & relevant experience (P&P, Sect. 3.1)**
- Current evidence/proof of qualifications (e.g., bios) on file were sketchy, outdated, or non-existent.
- A balanced P/U/G profile could not be readily substantiated.
- Remedy – Update P&P to mandate that a written, updated bio be submitted by all board and WG members listing experience, education, area of expertise, and demonstrate relevant or equivalent experience which qualifies the member "for the record". Updated bios would be provided at least every 3 years to the Secretary, or sooner in the event of a change in job status.

# Summary of Internal Audit Results

- **Audit Item/Category**
- **2. Active IEEE/EMC or affiliate member (board members & WG Chairs)? (P&P, Sect. 3.1)**
- **Comments/Recommendations/Actions**
- Overall conformance demonstrated.
- P&P modified to merge this requirement with Items #1 & #3 (i.e., include IEEE/EMC, affiliate & SA member numbers on the bio).

# Summary of Internal Audit Results

- **Audit**
- **Item/Category**
- **3. Active SA member?** (P&P, Sect. 3.1)
- **Comments/Recommendations/Actions**
- Full conformance was difficult to demonstrate initially due to the scattered nature of the information on file for CY98-99, but eventually resolved.
- P&P modified to merge this requirement and Items #1 & #2 (i.e., include IEEE/EMC, affiliate & SA member numbers on the member updated bio).
- Request an annual listing from IEEE SASB staff to independently confirm membership status and assigned numbers.
- Require WG chairs to be EMC-S members and should be SA members.

# Summary of Internal Audit Results

- **Audit Item/Category**
- **Comments/Recommendations/ Actions**
- 4. **Record of annual meeting attendance** (yearly EMC symposium, as a minimum) (P&P, Sects. 3.1 & 4.3.2)
- Compliant - Records are complete and readily verifiable.

# Summary of Internal Audit Results

- **Audit Item/Category**
  - **Comments/Recommendations/ Actions**
- 5. Record of assigning & documenting voting proxies via RSVP form sent to Secretary (P&P, Sect. 4.11)
    - Compliant - Records are complete and readily verifiable.
    - **Not applicable today**

# Summary of Internal Audit Results

- **Audit Item/Category**
- **6. Member recruits replacement at end of his/her term?**  
(P&P, Sect. 3.1)
- **Comments/Recommendations/Actions**
- At least 3 deficiencies cited.
- P&P modified to relax this from a “must” to “should”.

# Summary of Internal Audit Results

- **Audit Item/Category**
- **7. Record of member's balloting history & participation?**  
(P&P, Sect. 3.1)
- **Comments/Recommendations/Actions**
- Compliant - Records are complete and readily verifiable.

# Summary of Internal Audit Results

- **Audit Item/Category**
- **8. No WG Chair concurrently leads 2 or more active working groups?**  
(P&P, Sect. 4.2)
- **Comments/Recommendations/Actions**
- Compliant - Records are complete and readily verifiable.

# Summary of Internal Audit Results

- **Audit Item/Category**
  - **Comments/Recommendations/ Actions**
- 9. Letter of appointment or assignment by SDCom Chair to committee or WG Chair on file? (P&P, Sect. 4.2)
  - Non-compliant.
  - P&P modified to refer to the PAR as a method of conforming to this requirement.

# Summary of Internal Audit Results

- **Audit Item/Category**
  - **Comments/Recommendations/Actions**
- 10.
- Company/individual 2-year commitment letter on file to serve on SDCOM board?  
(P&P, Sect. 3.1)
- Non-compliant.
  - P&P modified to merge this requirement with Item #11 (Annual Reaffirmation).

# Summary of Internal Audit Results

- **Audit Item/Category**
- **Comments/Recommendations/Actions**
- 11. Annual letter of reaffirmation supplied by board members & WG officers? (P&P, Sects. 3.1, 3.2 & 4.2)
- P&P modified to merge this requirement with Items #1, #2 & #3.
- Requirement for Secretary to annually send reappointment confirmation letters to all WG officers (Chairs, Vice Chairs & Secretaries) has been eliminated as this procedure does not provide added value.

# Summary of Internal Audit Results

- **Audit Item/Category**
- **12. Critical SDCom & WG documentation complete, readily verifiable, properly maintained on file & generally compliant to ANSI guidelines?**  
(P&P, Sects. 4.7 & 4.8)
- **Comments/Recommendations/ Actions**
- Compliant - Record-keeping system currently in place is in general conformance to P&P including relevant sections of the IEEE Standards Ops Manual.

A review of the P&P and Operation manual would be in order, to make sure additional items needed to be added.

We need to form a committee  
and get going!

Previous committee was:

- D. Hoolihan
- J. Butler
- A. Drozd