

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position:</b> President
<b>Reports to:</b> Board of Governors
<b>Responsible for:</b> Board Meetings, Chapter Officers, Audit Committee, Nominating Committee, Awards Committee, CAP Committee, Research Committee, Mission and Bylaws Committee, Long Range Planning Committee, New Board Member Committee
<b>CAP Responsibilities and Timing:</b> <ul style="list-style-type: none"><li>• Attendance at Leadership Conference (typically in April in Orlando)</li><li>• Attendance at District Workshops</li><li>• Submit Chapter Self-Assessment (aka Annual Board survey and results) - due 7/31</li><li>• Submit Annual Chapter Giving Pledge Form – due 8/15</li><li>• Submit Annual Report of Expense and Income – due 8/31</li><li>• Submit Chapter Long Range Plan – due 8/31</li><li>• Submit Chapter Planning Checklist – due 9/30</li><li>• Submit Chapter Budget – due 9/30</li><li>• Succession Plan – due 11/30</li><li>• Review Incorporation Status for the year – due 11/30</li><li>• Submit Chapter Maturity Model – due 3/31</li><li>• Complete the District Rep Assessment – due 4/30</li><li>• Submit Chapter Officer Listing – due 4/30</li><li>• Submit Chapter Research Activities Report – due 5/15</li></ul>
<b>Estimated Hours per Month:</b> Approximately 30 hours per month
<b>List of Duties:</b> <ul style="list-style-type: none"><li>• Schedule board and officer meetings</li><li>• Submit board book and supporting materials to BOG one week in advance of meetings</li><li>• Annual review of committee position descriptions (beginning and end of each fiscal year)</li><li>• Serve as main point of contact between chapter and district representative</li><li>• Serve as main point of contact between chapter and HQ</li><li>• Preside at all meetings of the chapter members, Board of Governors, Nominating Committee</li><li>• Enforce the bylaws of the chapter and HQ</li><li>• Appoint all chapter committee chairpersons and committee members, except as limited by the bylaws</li><li>• Establish chapter goals based on the input from the other officers and committee members (effort is led by the SVP)</li><li>• Publish a President's message quarterly in the Innovator and on the website</li><li>• Identify and implement services for chapter members to serve the needs of the membership</li><li>• Ensure a succession plan by identifying future committee leaders, officers, board members and international positions</li><li>• Chair a transitional meeting at the end of the fiscal year to transition outgoing and incoming officers</li></ul>
<b>IIA Reports:</b> Included under CAP section
<b>Key Dates:</b> Included under CAP section
<b>Budget:</b> Responsible for all budget items under the President role. Also responsible for overall review of the budget for adherence to chapter goals.

**Records:**

- Board books– posted to a shared site
- Committee Job Descriptions – posted to a shared site
- CAP documents – submitted to CAP committee chair and district representative for retention

Prepared By: Katie Witt

Date submitted: July 14, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> Audit Committee - members MUST not have had officer, BOG or committee responsibilities during the year or the year prior to review
<b>Reports to:</b> President
<b>Responsible for:</b> Annual Audit
<b>CAP Responsibilities and Timing:</b> None
<b>Estimated Hours per Month:</b> Work completed over two month period – 40 hours
<b>List of Duties</b> <ul style="list-style-type: none"><li>• Conduct the annual financial statement audit in accordance with the IIA guidelines</li><li>• Provide results and recommendations to the BOG</li></ul>
<b>IIA Reports:</b> Annual audit report, approved by the President
<b>Key Dates:</b> TBD
<b>Budget:</b> n/a
<b>Records:</b> Annual Audit Records are maintained by the Chapter Treasurer. Recommendations are tracked through the BOG monthly meetings.

Prepared By: Katie Witt  
Date submitted: July 14, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> <i>Awards Committee</i>
<b>Reports to:</b> <i>President</i>
<b>Responsible for:</b> <i>N/A</i>
<b>CAP Responsibilities and Timing:</b> <i>N/A</i>
<b>Estimated Hours per Month:</b> <ul style="list-style-type: none"><li>• <i>February 4 hours</i></li><li>• <i>March 8 hours</i></li><li>• <i>April 8 hour</i></li><li>• <i>May 4 hours</i></li></ul>
<b>List of Duties:</b> <ul style="list-style-type: none"><li>• <i>Solicit IIA Chicago Chapter members for nominations (see Membership Award Categories attached)</i></li><li>• <i>E valuate nominations received and select awards winners</i></li><li>• <i>Coordinate production of awards to be presented to winners (including a plaque for the outgoing President)</i></li><li>• <i>Communicate with winners and invite them and a guest to the May luncheon</i></li><li>• <i>Present awards to winners at the Annual Membership Meeting during the month of May</i></li></ul>
<b>IIA Reports:</b> <i>N/A</i>
<b>Key Dates:</b> <ul style="list-style-type: none"><li>• <i>Early February... Awards Committee Members finalized and followed by Awards Committee kick-off meeting</i></li><li>• <i>March... Nominations solicited from Membership</i></li><li>• <i>Early April... Nominations reviewed and winners selected</i></li><li>• <i>Mid April... Awards produced</i></li><li>• <i>May (Annual Membership Meeting and Luncheon)... Awards presented to winners</i></li></ul>
<b>Budget:</b> <i>Budget amount determined by President and is typically based on the average expense of the prior three years.</i>
<b>Records:</b> <i>N/A</i>

Prepared By: Justin Naples

Date submitted: August 11, 2011

## MEMBERSHIP AWARD CATEGORIES

### **William C. Anderson - Member of the Year**

The IIA Chicago Chapter's most prestigious award, recognizing the individual who has made the most outstanding volunteer contribution to the Chapter during the current year. Candidates who have consistently demonstrated exceptional work for our Chapter will be considered.

### **Special Recognition**

Given to the member(s) who have either made a significant volunteer contribution during the current year, or who have provided significant and consistent service to the IIA and Chicago Chapter over a number of years.

### **Auditor of the Year**

A unique award, not related to volunteering with IIA Chicago Chapter, but rather focusing on the day-to-day performance as an internal audit professional. This award celebrates the value that the individual and our profession has recently brought to their organization. It is awarded to an internal auditor who directly and significantly contributed to their organization via examples such as fraud discoveries, control improvements, new risk assessment methodologies, revenue leakage findings, expense savings, continuous monitoring processes, or compliance and regulation controls. Please help us properly recognize the extraordinary on-the-job efforts of our members and submit your nominations.

### **New Member of the Year**

Awarded for the outstanding contributions made by a new member of the IIA, new IIA Chicago Chapter BOG member, Officer, or other Chapter volunteer during the current year.

### **Outstanding Committee Chairperson of the Year**

There are a large number of volunteers working in our chapter within a structured format that includes Chairpersons overseeing committees and numerous members. These are invaluable individuals within our chapter and this award recognizes the highest performing Chairperson during the current year.

### **Educator of the Year**

Awarded to a Chicagoland educator who has made a significant contribution to the internal audit profession either in the classroom or during research.

## IIA Chicago Chapter Board of Governors Responsibilities

<p><b>Position:</b> <i>Title of Board Position</i> <b>Long Range Planning Committee (LRP)</b></p>
<p><b>Reports to:</b> <i>Title of Board Position</i> -- President</p>
<p><b>Responsible for:</b> <i>List sub-committees</i>            Currently, the LRP is an advisory committee comprised of an active group of past Chapter presidents. These individuals may be active members of the Board of Governors. Including past presidents in this important committee helps provide for continuity, guidance and perspective. The LRP Committee does not have decision making authority.             The LRP Committee Chair is appointed by the President.</p>
<p><b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i></p>
<p><b>List of Duties</b> <i>Summarize major functions</i>            To apprise current and future Chapter member needs and, after giving consideration to Chapter resources, recommend long-range objectives for the Chapter that will maximize Chapter member benefits.             Responsibilities include:</p> <ol style="list-style-type: none"> <li>1. Evaluate the Chapter's ability to meet current and future member needs. Suggest improvements and modification of long-range objectives to improve the image, performance, growth and effectiveness of the Chapter and the profession in Chicago.</li> <li>2. Develop, maintain and review annually the long range plan. Obtain approval from the Board of Governors by August 31 of each Chapter year.</li> <li>3. Evaluate Chapter using Chapter Achievement Program (CAP) and maturity framework annually and report results to Board of Governors by May 31 so Chapter can include in Chapter Maturity Model Report by August 31 to IIA.</li> <li>4. Review and maintain Investment Policy annually. Make investment recommendations to Board of Governors accordingly. Establish an annual spending rule of a specified percentage of fund assets/income, so as to fund targeted strategic needs while seeking to preserve a fiscally responsible long term reserve by May 31.</li> <li>5. Report topics being addressed by the LRP Committee at Board meetings, as needed. Offer suggestions to improve Chapter operations.</li> <li>6. Discuss IIA North American Board strategies and initiatives with the Board of Governors, as needed.</li> <li>7. Perform a LRP Committee self-evaluation and report results to Board of Governors annually by May 31.</li> <li>8. Review LRP responsibilities annually and if applicable, submit changes to the President for approval by the Board of Governors.</li> <li>9. Maintain file of LRP Committee records and correspondence in accordance with the Chapter record retention policy. Coordinate with Chapter Secretary.</li> <li>10. Prepare annual summary report to the Chapter president describing the activities of this committee by May 31.</li> </ol>
<p><b>IA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i></p>
<p><b>Note:</b> LRP Committee has no requirement to prepare formal reports to the IIA.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i></p> <p>As listed above. Also, assist the President in filing the Chapter's goals by the April 30<sup>th</sup> deadline.</p>
<p><b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined. N/A – Included in Chapter President's Budget</i></p>
<p><b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)</i></p> <p>- As applicable.</p>

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position: Mission Statement &amp; By-laws</b>
<b>Reports to:</b> President
<b>Responsible for:</b> <i>List sub-committees</i>  In the event Mission Statement and/or Chapter bylaws need review and/or revision, this position will be appointed by the President.
<b>Estimated Hours per Month:</b>
<b>List of Duties</b> <i>Summarize major functions</i>  <ol style="list-style-type: none"><li>1. Enlist a committee</li><li>2. Review and draft possible revisions to Mission or bylaws for review by the board and membership</li><li>3. Present for review and approval.</li><li>4. Maintain the formal set of bylaws for the chapter</li></ol>
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i> Copy of revised Mission statement/By-laws should be forwarded on to the IIA after approval by Chapter membership.
<b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i> Consult by-laws for timing to distribute changes to membership.
<b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i> None
<b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)</i> Work file and final approved copy of Mission Statement and By-laws are to be maintained by the Secretary in a permanent file. Approved copies should be posted on the Chapter website accessible by members.

Prepared By: \_\_\_\_\_  
Date: \_\_\_\_\_

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> <i>New Board Member Orientation</i>
<b>Reports to:</b> <i>President</i>
<b>Responsible for:</b> <i>List sub-committees N/A</i>
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair. N/A</i>
<b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i> <b>Varies by time of year:</b> <b>0 - 10</b>
<b>List of Duties</b> <ul style="list-style-type: none"> <li>• Maintain/update as necessary the Chapter orientation manual, including Board member bios.</li> <li>• Provide orientation training to each new Board member or Officer.</li> </ul> <p style="margin-left: 20px;">Position exists to provide historical context/continuity to new Board members or Officers of the Chicago Chapter regarding their professional obligations and fiduciary responsibilities.</p>
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i>  <i>N/A</i>
<b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i>  <i>Early/late summer after new officers/Board members are installed; as well as anytime an interim Board member is appointed to fill a vacancy.</i>
<b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i>  <i>N/A</i>
<b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)</i>  <i>Electronic copies of all sections/attachments to the Chapter Orientation/Board Manual</i>

Prepared By: Mike Joyce  
Date submitted: 7/11/2011

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position:</b> Nominating Committee
<b>Reports to:</b> President - Chairperson
<b>Responsible for:</b> Identifying future board of governor members, chapter officers and succession planning
<b>Committee Composition:</b> A Nominating Committee of five (5) consisting of the President as chairperson, one (1) Governor, one (1) member not currently on the Board of Governors, and the two (2) most immediate past presidents who are willing and able to serve. The one (1) Governor must not be eligible for re-election during his/her term. The one (1) member not currently on the Board of Governors, along with the one (1) Governor will serve two year staggered terms.
<b>Estimated Hours per Month:</b> Committee does not meet monthly. Approximately 10 hours spread over a fiscal year.
<b>List of Duties:</b> Identifying future board of governor members, chapter officers and succession planning
<b>IIA Reports:</b> Succession plan – submitted by the President and due by 11/30
<b>Key Dates:</b> <i>Consult with Chapter bylaws to confirm accuracy of information below</i> <ul style="list-style-type: none"><li>• Succession plan – submitted by the President and due by 11/30</li><li>• Solicit nominations for Governors from the membership via email no less than 75 days in advance of the day for election of such governors</li><li>• List of nominees for such offices as to be filled shall be sent to the Secretary at least 60 days prior to such election</li><li>• At least 45 days preceding the day of the election, the Secretary shall communicate the list of nominees to each member via email and posting to the Chapter website. Nominee biographical information will be posted on the website upon approval of the Nominating Committee Chair.</li><li>• If members have additional nominations, they should be supported by no less than ten (10) members and submitted to the nominating committee no less than 35 days prior to the date of the election.</li><li>• At least 30 days prior to the election, an electronic ballot shall be sent to the membership to vote in advance of the election date.</li></ul>
<b>Budget:</b> n/a
<b>Records:</b> Meeting minutes to be retained by the President

Prepared By: Katie Witt  
Date submitted: July 13, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> <i>Title of Board Position</i> <i>Research Foundation</i>
<b>Reports to:</b> <i>Title of Board Position</i>
<b>Responsible for:</b> <i>List sub-committees</i> None
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i> <b>CAP points are earned through donations.</b>
<b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i> <i>Six hours, however, the amount can vary from 1 to over 10 hours depending on how many research projects are in-process.</i>
<b>List of Duties</b> <i>Summarize major functions</i> <ul style="list-style-type: none"> <li>- Work as a liaison with the IARF to ensure the Chicago Chapter's research needs are met.</li> <li>- Monitor the status of any funds donated to the IIRF that are set aside for specific projects.</li> <li>- Review projects that are funded through the Chicago Chapter</li> <li>- Report annually to the Chicago Chapter BOG regarding the IARF's accomplishments and projects in-process.</li> </ul>
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i> None.
<b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due. The annually report is delivered to the BOG in Febuary.</i>
<b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i> None.
<b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)</i> <i>The current Memo of Understanding is retained and monitored. It is in pdf and paper form, and is attached to this document.</i>

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position:</b> Chapter Achievement Program “CAP” Administrator
<b>Reports to:</b> President
<b>Responsible for:</b> <i>List sub-committees</i> None
<b>CAP Responsibilities and Timing:</b> Email CAP points to District Rep and President by the 10 <sup>th</sup> of each Month
<b>Estimated Hours per Month:</b> Average of 8 hours per month
<b>List of Duties</b> <i>Summarize major functions</i> <ul style="list-style-type: none"> <li>• Solicit reporting of CAP activities from chapter members</li> <li>• Track and report on chapter CAP activities</li> <li>• Remind individuals responsible for specific CAP activities when due dates are coming up and request evidence to support the CAP points taken</li> <li>• Provide current stats each month for the chapter snapshot in the board book</li> <li>• Marketing campaigns and chapter membership notifications</li> <li>• Update website and newsletter content with appropriate information as changes arise</li> <li>• Maintain integrity of CAP spreadsheet and applicable supporting documentation</li> </ul>
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i> <ul style="list-style-type: none"> <li>• Monthly CAP report emailed to District Rep and President by the 10<sup>th</sup> of each Month</li> </ul>
<b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i> <ul style="list-style-type: none"> <li>• CAP responsibility listing is updated and communicated annually with the incoming officer and BOG team – due by 8/31</li> <li>• Monthly CAP report emailed to District Rep and President by the 10<sup>th</sup> of each Month</li> </ul>
<b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i> N/A
<b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)</i> Records are kept in both electronic and paper format. Records include chapter administration items, records pertaining to membership, tax returns, copies of checks, etc. All records are maintained in the CAP Program Administrator’s office.

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position:</b> <i>Senior Vice President</i>
<b>Reports to:</b> <i>President</i>
<b>Responsible for:</b> <i>Volunteers, Career Assistance, Web Page, Survey and Chapter Goals</i>
<b>CAP Responsibilities and Timing:</b> Chapter Survey – 10 points Chapter Goals 8 points (due August 31) Chapter Website (1 point / month total of 12 points); Link website to TheIIA.Org – 2 points; post Volunteer Tile Ad – 2 points
<b>Estimated Hours per Month:</b> <i>20 hours per month</i>
<b>List of Duties</b> <i>Summarize major functions:</i> Fill in for President in absence, manage the Chapter Assistance Program, ensure goals are documented and monitored / tracked for the chapter; maintain chapter website; track volunteers and provide up to date listing to Board members and Committee Chairs for members willing to volunteer; and ensure annual survey is conducted and results followed up on.
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i> Survey results – annually Chapter goals – August 31
<b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i> Member survey typically conducted in March, Annual Seminar in April, Budget in September, Goals in August
<b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i> Budget for holding CAP events, maintaining website and minor administrative functions.
<b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)</i>  Volunteer List, goals, member survey – maintained on Google docs

Prepared By:  
7/27/2011

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position:</b> Career Assistance Program (CAP) chair
<b>Reports to:</b> Senior Vice President
<b>Responsible for:</b> No related sub-committees
<b>CAP Responsibilities and Timing:</b> The Career Assistance Program was established to assist IIA Chicago Chapter members during career transitions by providing access to training and networking events and communicating available job opportunities.  The committee's objectives are to: <ul style="list-style-type: none"><li>▪ Facilitate the placement of available individuals with organizations where resources are needed.</li><li>▪ Provide support for unemployed Chicago Chapter members by communicating IIA National's one year complimentary membership program.</li><li>▪ Provide and communicate training opportunities at a discounted price to maintain current skills.</li><li>▪ Facilitate educational and networking opportunities.</li></ul> The CAP Committee has been using LinkedIn as their main forum to communicate information from employers and recruiters to members who are in career transition and to create a 'virtual' job fair.
<b>Estimated Hours per Month:</b> 4-8 hours per month-- which includes attending the Chicago Chapter Board meetings.
<b>List of Duties</b> Coordinate calls with committee members. Create agendas and take minutes. Communicate with Chapter Board.
<b>IIA Reports:</b> Status of CAP activities are provided at Board meetings. No official IIA reports are required.
<b>Key Dates:</b> Activities are aligned with Chicago Chapter training sessions. The annual seminar and monthly training sessions could be key dates.
<b>Budget:</b> Approximately \$1,200 is budgeted to support CAP efforts. This represents costs such as food and room rental for potential events. For example at the annual seminar have had costs for balloons, scanner and food.
<b>Records:</b> No chapter records are maintained. Do maintain agendas and minutes of CAP meetings and participation information. Maintained on personal computer.

Prepared By: Peg Koenigs

Date submitted: July 20, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> Web Site Administrator
<b>Reports to:</b> Senior Vice President
<b>Responsible for:</b> <i>List sub-committees</i>  N/A
<b>Estimated Hours per Month:</b> 6 -10 hours
<b>List of Duties</b> <i>Summarize major functions</i> Update website as needed. Post new job ads, post new training information, invoice employers for job ads, maintain paypal links for payments. Address or forward member questions to appropriate parties when they come through the website.
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i>  N/A
<b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i>  Training information must be posted as soon as it is finalized to ensure that the web page has the most current information. Job ads are posted as soon as payment is received.
<b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i>  N/A - no dollars involved – Although Revenue is generated from Job ad postings.
<b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)</i>  Maintain web pages on my PC at home, with backups on diskettes/flash drive.

Prepared By: Wendy Funk  
Date: 6/1/2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> Volunteer Committee Chair
<b>Reports to:</b> Senior Vice President
<b>Responsible for:</b> <i>List sub-committees</i>  N/A
<b>Estimated Hours per Month:</b> 2 - 4 hours; Increases in the months leading up to the annual seminar
<b>List of Duties</b> <i>Summarize major functions</i> Maintain listing of all IIA members interested in volunteer positions. Solicit volunteers as needed/requested by other committees.  Provide assistance to the Day-of-Event Committee for the IIA annual seminar in securing the necessary number of volunteers to moderate and scan for CPE at each session.
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i>  N/A
<b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i>  January – April (months leading up to the IIA Annual Seminar)
<b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i>  N/A - no dollars involved
<b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained (home, work, Chapter registrar, etc.)</i>  Volunteer listing maintained on Google share doc

Prepared By: Alex Williams  
Date: 7/13/2011

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position:</b> Member Survey Committee Chairperson
<b>Reports to:</b> SVP (Senior Vice President)
<b>Responsible for:</b> None
<b>CAP Responsibilities and Timing:</b> 10 chapter achievement points for completing the annual member survey.
<b>Estimated Hours per Month:</b> An estimated 8 hours are spent per month for member survey responsibilities, though some months may require up to 40 hours for specific survey-related tasks.
<b>List of Duties</b> The Member Survey responsibilities include: <ul style="list-style-type: none"><li>- Conduct the Annual Member Survey and any of the other 3 standard IIA survey templates</li><li>- Compile report highlighting the results of the Annual Member Survey</li><li>- Assist chapter leadership in communicating the chapter member survey results through the Chapter Program</li><li>- Assist/provide consultation to the Annual Seminar Survey Sub-Committee</li><li>-</li></ul>
<b>IIA Reports:</b> The annual member survey is an input to the Chapter Program and is submitted to Corporate.
<b>Key Dates:</b> The following dates are critical: <ul style="list-style-type: none"><li>- January – Conduct the Annual Member Survey</li><li>- February – Compile Annual Member Survey Results</li><li>- February – April – Provide consultation/assistance for the Annual Seminar Survey</li><li>- February – Assist with Chapter Program development (membership survey is an input)</li></ul>
<b>Budget:</b> The fee for maintaining the IIA Chicago Chapter Survey Monkey Pro-Level Account is \$200 annually.  <i>Note: In the event of an ad-hoc physical survey (i.e., printed survey not conducted through SurveyMonkey.com), printing and survey materials may require minimal budget.</i>
<b>Records:</b> Historical chapter survey results are maintained on the SurveyMonkey.com IIA Chicago Chapter website. The website is accessed by typing “surveymonkey.com” and using the credentials for the “IIAChicago” user account. The assessment summary results of the annual member survey are also represented in the Board Minutes.  Note: Survey results may be further

Prepared By: Nathan Anderson  
Date submitted: 8/29/2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> <i>Goal Coordinator</i>
<b>Reports to:</b> <i>Board of Governors</i>
<b>Responsible for:</b> <i>List sub-committees</i> N/A
<b>CAP Responsibilities and Timing:</b> <i>8 points – Goals due August 31</i>
<b>Estimated Hours per Month:</b> <i>8 - 16</i>
<b>List of Duties:</b> <i>Work with Board and Committee members to define their goals for the current year. Track the progress of the goals and provide status updates at board meetings</i>
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i>  N/A
<b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i>
<b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i> No Budget
<b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained (home, work, Chapter registrar, etc.)</i> <i>Documents:</i> <i>Board Member goals</i> <i>Goal progress tracking</i> <i>Board Update presentations</i> <i>Stored on Home computer</i>

Prepared By: Craig Youngberg  
Date submitted: July 18, 2011

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position: VP – Education</b>
<b>Reports to:</b> <i>President – Chicago Chapter</i>
<ul style="list-style-type: none"> <li>• <b>Responsible for:</b> Provide a challenging program on topics related to internal auditing and of interest to internal auditors with the purpose of improving audit competencies and effectiveness of chapter members.</li> </ul> <p>Reporting to the VP – Education is:</p> <ul style="list-style-type: none"> <li>• AVP Education</li> <li>• Education Program Committee <ul style="list-style-type: none"> <li>➤ Annual Seminar Sub Committee</li> <li>➤ Fraud Seminar Sub Committee</li> </ul> </li> </ul>
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i>
<p><b>List of Duties:</b> Overall responsibilities include:</p> <ul style="list-style-type: none"> <li>• Develop annual for Chicago Chapter which currently includes: <ul style="list-style-type: none"> <li>➤ Annual Seminar</li> <li>➤ Fraud Conference</li> <li>➤ Corporate Governance Conference</li> <li>➤ Other – (up to 9) monthly education sessions</li> </ul> </li> <li>• Challenge existing program offerings and promote continuous improvement in program design and delivery</li> <li>• Collaborate on success of program offerings</li> <li>• Appoint committee/sub committee chairs and members and develop successor to VP position</li> <li>• Provide budgets and financial reports to BOG as required</li> <li>• Liaise with IIA and other local chapters and industry/professional associations on educational offerings.</li> </ul>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i></p> <ul style="list-style-type: none"> <li>• Prepare monthly reports either written or verbal to the board on the status of all committee’s and training.</li> <li>• Prepare monthly budget to actual results of educational programs.</li> <li>• Prepare monthly educational program counts and survey results.</li> </ul>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i></p> <ul style="list-style-type: none"> <li>• Develop annual program for review and endorsement by BOG by August 31.</li> <li>• Maintain annual program and provide updates to BOG at monthly meetings.</li> </ul>

**Budget:** *Identify the portion of the budget prepared by this position and describe how the budget figures are determined.*

- Assist in preparing and reviewing for the sub committee's listed above projected revenue and expenses.

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)*

- Turnover all worksheets containing budget and revenue projections.
- Turnover a listing of all training for all sub committee's for fiscal year.

Prepared By: Rebecca Nilson

Date: June 24, 2011

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position: AVP – Education</b>
<b>Reports to:</b> <i>VP - Education</i>
<ul style="list-style-type: none"> <li>• <b>Responsible for:</b> Assist in provide a challenging program on topics related to internal auditing and of interest to internal auditors with the purpose of improving audit competencies and effectiveness of chapter members.</li> </ul>
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i>
<p><b>List of Duties:</b> Overall responsibilities include assisting the VP – Education in:</p> <ul style="list-style-type: none"> <li>• Develop annual for Chicago Chapter which currently includes: <ul style="list-style-type: none"> <li>➤ Annual Seminar</li> <li>➤ Fraud Conference</li> <li>➤ Corporate Governance Conference</li> <li>➤ Other – (up to 9) monthly education sessions</li> </ul> </li> <li>• Challenge existing program offerings and promote continuous improvement in program design and delivery</li> <li>• Collaborate on success of program offerings</li> <li>• Appoint committee/sub committee chairs and members and develop successor to VP position</li> <li>• Provide budgets and financial reports to BOG as required</li> <li>• Liaise with IIA and other local chapters and industry/professional associations on educational offerings.</li> <li>• Performing any additional tasks requested by the VP - Education</li> </ul>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i></p> <ul style="list-style-type: none"> <li>• Assist VP of Education in preparing monthly reports either written or verbal to the board on the status of Educational Calendar, Counts, Budget vs. Actual and Survey Results.</li> </ul>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i></p> <ul style="list-style-type: none"> <li>• Assist in developing the annual program for review and endorsement by BOG by August 31.</li> <li>• Assist in maintaining annual program and provide updates to BOG at monthly meetings.</li> </ul>

**Budget:** *Identify the portion of the budget prepared by this position and describe how the budget figures are determined.*

- Assist in preparing and reviewing for the sub committee's listed above projected revenue and expenses.

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)*

- Turnover all worksheets containing budget and revenue projections.
- Turnover a listing of all training for all sub committee's for fiscal year.

Prepared By: Rebecca Nilson

Date: June 24, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position: Annual Seminar Co-Chairs</b>
<b>Reports to:</b> <i>VP - Education</i>
<b>Responsible for:</b> Coordination of Chapter's Annual seminar
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i>
<p><b>List of Duties</b></p> <ul style="list-style-type: none"> <li>• Assemble responsible Sub committee chairs</li> <li>• Contract w/ facility in advance of event</li> <li>• Develop seminar budget</li> <li>• Guide development of proposed tracks/speakers</li> <li>• Guide publicity efforts</li> <li>• Coordinate registration activities w/ chair</li> <li>• Provide over all project management to ensure key due dates met</li> </ul> <p>See Education Program Committee description for event guidance.</p>
<p><b>IIA Reports:</b></p> <p>Provides Chapter Board with pre-registration and post-registration summaries of results and attendance</p>
<p><b>Key Dates:</b></p> <ul style="list-style-type: none"> <li>• Establishes date for event in conjunction with schedule of meetings – typically held in March or April</li> <li>• Establishes remaining due dates by milestones, including development and publication of promotional brochure</li> </ul>
<p><b>Budget:</b></p> <p>Represents most significant component of the Chapter's revenue/expenses. Budget derived based on prior year results and future anticipated attendance/costs.</p>
<p><b>Records:</b> Prior year planning documents, copies of promotional materials, monitoring reports, etc. maintained by Chair and passed along each year.</p>

Updated by: Rebecca Nilson

Date: June 24, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> Education Program Committee
<b>Reports to:</b> Vice President - Education
<p><b>Responsible for:</b> Providing a challenging educational program on the subjects related to internal auditing and of interest to internal auditors with the purpose of improving the auditing competence and effectiveness of Chapter members. The topics and presenters at IIA Chicago educational events are one of several special ways the Chapter adds value to its members and guests. Our goal is to share useful information and techniques for audit professionals to do their jobs better and add value to their organizations as well as the internal audit profession. The Committee is chaired by the VP – Education and is assisted by the Assistant VP of Education.</p> <p>Committee membership includes the VP and AVP of Education, Annual Seminar Sub committee Chair, and Fraud Seminar Sub committee Chair. Other Chapter members should be added at the discretion of the VP Education to focus on emerging issues, Information Technology, and Communication/advertising events.</p> <p>Committee membership generally for 2 years with succession plans established for VP position and Annual Seminar Sub committee chair. An Annual Seminar Co-chair is appointed in year one is line to succeed the Sub committee chair in year 2. The AVP of the Education Program Committee is in line to succeed the VP – Education the following year.</p> <p>See the attached documentation providing how-to-guidance for all events.</p>
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i>
<p><b>List of Duties</b> <i>Summarize major Committee functions:</i></p> <ol style="list-style-type: none"> <li>1. Develop programs designed to assist members in improving their internal audit performance. The program should reflect:             <ol style="list-style-type: none"> <li>a. Topics related to internal auditing more so than sessions devoted to general business matters, economic conditions, etc.</li> <li>b. Member interest as determined by an effective means such as a survey.</li> </ol> </li> <li>2. Present the proposed program for the up-coming Chapter year to the Board of Governors outlining topics, speakers' panel discussions, case studies, etc.</li> <li>3. After Board approval, obtain speakers for each topic and submit the completed and confirmed program to the president.</li> <li>4. Coordinate scheduling with other Chapters and if required obtain appropriate approval for all programs one day or longer so as not to conflict or compete with other Chapters.</li> <li>5. Obtain from the speaker biographical data and pertinent information on the topic and forward this to the appropriate committee or person to advertise the event.</li> <li>6. Confirm with the speaker the meeting date, time and place, and audiovisual equipment needs or special arrangements and make the arrangements.</li> <li>7. Serve as a host to speakers.</li> <li>8. Arrange for a speaker gift and/or the prompt mailing of a letter of appreciation to each speaker.</li> <li>9. Analyze the evaluations of the program and provide input to the president and Board of Governors.</li> <li>10. Maintain a record of attendance of those members requesting continuing education credit and prepare the certificates.</li> <li>11. Maintain a file of records and correspondence to pass on to successor at the close of the Chapter year.</li> </ol>
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i> As required.

**Key Dates:** *List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.*

Determined as part of annual program design. Chicago Program events typically include:

1. Annual Seminar – March. April
2. Fraud conference – Fall
3. Corporate Governance Conference – Spring
4. Educational Sessions – Monthly during remaining 9 months.

Planning for year is generally completed July-September

**Budget:** *Identify the portion of the budget prepared by this position and describe how the budget figures are determined.*

Budgets are prepared for each program event as part of the planning process. These are reviewed by the President and Treasurer and approved by the Board of Governors. All potential budget overruns are reviewed and agreed by the Board of Governors as soon as identified.

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained (home, work, Chapter registrar, etc.)*

Records are maintained for each event by the individual with overall responsibility for that event.

Date Updated: June 24, 2011

By: Rebecca Nilson

## Guidance

### Guidance on Topic Selection

Sources of topic selection are available from but not limited to:

1. materials discussed and presented to Chapter Leadership by IIA International (IIA-I).
2. issues that come up at your place of employment — where there is a need to be informed and which could be addressed at the Annual Seminar, or in a How To, Information Technology, Emerging Issues, Special Industry, Directors Roundtable or other educational offering — all of which are hereafter referred to as “seminars”.
3. results of recent membership surveys at Chicago Chapter, other chapters, IIA-I or other professional organizations.
4. timely topics presented at prior meetings, other chapters, IIA-I, including recent international and/or other professional conferences, other audit organizations.
5. current or relevant business articles in “The Internal Auditor” or other professional periodicals.
6. online audit sites or topics gleaned from other professional web sites.
7. materials from business press, other publications and broadcast media.
8. topics which address compliance issues required by government or other regulation.
9. topics which present success stories by other organizations whose leaders wish to share their experiences.
10. topics of broad appeal relating to professional and personal development.

### Guidance on Recruiting Speakers

Sources of for speaker recruitment are available from but not limited to:

1. professionals whom you have heard making prior presentations whom you believe would add value during an educational presentation.
2. professionals with a proven public speaking track record whom others recommend.
3. professionals you know or know of who are highly regarded in the profession —such as people who have prepared written articles and whom you believe might do a credible job presenting.
4. speakers from past seminars, conferences, IIA-I and other professional organizations.
5. prominent leaders, successful practitioners, or other accomplished people who have a relevant program to present.
6. executives, consultants, media representatives and other third parties who are in the media and would be interesting to hear.
7. IIA Executive leaders.
8. Government or regulatory authorities.
9. specialized professionals who might enjoy participating on a panel discussion.
10. professionals from non-audit related fields who might have useful material to share.
11. recommended speakers from Chapter membership (surveys), feedback from prior seminars and recommendations from Board of Governors and educational committees
12. recommendations from current speaker database at IIA-I.

### Guidance on Speaker Contact Maintenance

Refer to points 1-7 of “Guidelines for All Chairs of an Education Committee”.

Some additional points are:

1. to keep costs to the minimum wherever possible

2. remember that an interesting non-dollar incentive for negotiating with speakers is that the presenters will get their names, titles, names of their organizations in IIA promotional materials which have wide circulation and which may lead to future consulting or other business for the presenter.
3. document the Chapter's agreement with the speaker by a letter of understanding—which may be done by email.
4. give speaker background information of typical profiles of session attendees describe nature of modern internal auditing to speakers who may not be familiar with audit practices.
5. ensure speaker(s) understand that presentations are not a forum to make a sales pitch. books, audio and videotapes typically should not be referenced during a presentation but may be available for sale at the end of the session in the back of the room.
6. send thank you letter to speaker acknowledging appreciation of the Board and chapter members.
7. after reviewing speaker evaluations, preparing report for the Board and discussing results with the Board, consider providing speaker heads up that you would like to invite them back again for a future presentation.
8. if and as appropriate, consider staying in touch with speakers through email, phone or other communications.

#### **Guidelines for all chairs of an Education Committee**

1. Select topics and recruit knowledgeable speakers at no cost or reasonable cost. Speakers who present for a full day are typically paid professionals which receive a fee. It is very difficult to expect a volunteer to prepare and speak for a full day session on their own time. Half day and multiple speaker sessions usually rely on volunteer speakers. Remember that no speaker fee does not mean no costs. We always have charges for room rental, equipment rental, handout duplications, luncheon and refreshments regardless of whether speaker is paid or not. This is why we must charge a fee for all sessions. Also, keep this in mind when a speaker is negotiating a \$2000 fee and arguing that you only need to have 10 attendees at \$200 each to "breakeven".
2. Negotiate payment for those speakers (usually FULL DAY) for which a fee is paid.
3. Construct a letter of understanding to be sent to each speaker, whether or not a fee is paid with these elements:
  - Date and time of the session (in some instances our speakers need to know they are only speaking for part of the day)
  - Expenses to be paid by the Chicago Chapter: hotel, airfare (lowest advance purchase fare, perhaps with a dollar cap), transfers, etc.
  - Type of seating preferred: classroom, roundtable, theater, etc. Communicate these requirements to Hotel Arrangements Chair as soon as available.
  - Audio / visual requirements. Very important and very expensive -- even for a short presentation. Communicate these requirements to Hotel Arrangements Chair as soon as available.
  - Handouts — who will provide? If the Chicago Chapter is to arrange the duplication of handouts, request an original several weeks before the session date to allow time for duplication. If you do nothing, many speakers will provide the original the day of the session. This creates a last minute crunch at a critical time. Also, the copy rates charged by the hotel are VERY COSTLY
4. Follow-up at least three months before the session date to obtain speaker biography and session description in order to help prepare the promotional brochure. Send speaker biography and session description to Training Brochure Chair at least 2 months before your session. Your dynamic speaker and topic are the start of a successful session; marketing and promotion are the keys to maximize attendance. Our audience just does not automatically show up each month.

5. Send speaker a copy of the brochure when available. They may request additional copies to help promote their session.

6. Keep speaker posted with questions that prospective attendees have as they register. This may assist the speaker to gear their presentation to the needs of our attendees.

7. Re-confirm one week and one or two days before the session. Let the speaker know where they should go and who will greet them the day of their presentation. Speakers like to know how many and who is registered to attend their session. Unfortunately, most of this information is available only days before the seminar. Calling them often the week before keeps them posted and demonstrates our professionalism. Call our Chapter Registrar and ask to be posted on any registration updates each week.

8. **BEING THERE** the day of your session is very important.

What is there to do?

- Greet speaker and all attendees
- Check the seating arrangements and comfort level in the room
- Inspect that all audio / video equipment meets the speaker needs
- Introduce the speaker, summarize where breaks and lunch will be held
- Distribute seminar evaluation forms and request they be returned to you
- Thank speaker for their presentation and present a gift (volunteer speakers only — PAID professional speakers DO NOT receive a gift). Contact Vice President — Education weeks before the presentation to arrange for a gift.
- At end of session, distribute CPE certificates
- Refer attendees to other Board members as needed to answer related questions.
- Solicit one-on-one feedback from attendees. Good or bad, this is valuable information as you plan future sessions.

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position: VP - Operations</b>
<b>Reports to: President</b>
<p><b>Responsible for:</b> <i>List committees</i></p> <ul style="list-style-type: none"> <li>▪ Academic Relations</li> <li>▪ Membership</li> <li>▪ CAE Roundtable</li> <li>▪ Manager Roundtable</li> <li>▪ Conference/Logistics</li> <li>▪ Certifications and CPE</li> <li>▪ Industry Roundtable</li> <li>▪ Advocacy</li> <li>▪ Registrar</li> </ul>
<b>Monthly Time Commitment:</b> 10 hrs
<p><b>List of Duties</b> <i>Summarize major functions</i></p> <ul style="list-style-type: none"> <li>◆ Assure effective short-term planning, execution, and follow-up for responsible committees.</li> <li>◆ Ensure each of these committees have sufficient resources (budgets and staffing).</li> <li>◆ Develop new committee members and chairs to allow replenishment of current committee chairs and officers.</li> <li>◆ Work with other officers to develop annual agenda.</li> <li>◆ Provide leadership to chapter in pursuing new ideas and in maintaining chapter vitality.</li> <li>◆ Active Participation in Officer's Calls and Board of Governor's Meetings.</li> </ul>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report</i></p> <p>None directly. Periodic reports are prepared primarily by Academic Relations, Advocacy, Membership, Conference/Logistics, Certifications/CPE and Membership, and submitted to the VP Operations. Beginning in Fiscal '11/'12, the key chairs will be presenting live at the Board of Governor's Meetings.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i></p> <p>Annual Budget</p> <ul style="list-style-type: none"> <li>▪ Chairs to VP Operations – August 15</li> <li>▪ VP Operations to Board of Governors – Early September</li> <li>▪ Board of Governors to the IIA – September 30</li> </ul>
<p><b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i></p> <p>Each Chair is responsible for developing their annual budget taking into account key initiatives, input from the VP Operations and Board of Governors, and economic conditions.</p>

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)*

Each chair is responsible for maintaining files for their respective committees and passing along to the next Chair. The Registrar is responsible for updating and maintaining the Records Retention Policy and key records as outlined in the Policy. The majority of files are maintained electronically.

Date Updated: July 12, 2011

By: Andrew Schweik

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position: Chapter Operations – Consolidated</b>
<b>Reports to: Vice President - Operations</b>
<b>Responsible for:</b> <ul style="list-style-type: none"><li>• Chapter Support</li><li>• CPE Coordination</li><li>• Registrations</li><li>• Record Retention</li><li>• Chapter operations systems development and integration</li><li>• Develop new specialty roundtables and work with VP-Operations to recruit Champions to make them operational and ongoing</li></ul>
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> 40

**List of Duties** *Summarize major functions*

Support – Ensure Registrar is in place to:

- Prepare miscellaneous reports/lists/etc. as required/requested by Board.
- Prepare/send/answer Chapter email. Answer phone line. Follow-up.
- Prepare deposits and maintain deposit records.
- Coordinate registration and materials for monthly training sessions, roundtables, and Annual Seminar. Complete reports.

CPE Coordination - Ensure Registrar is in place to:

- Prepare and maintain CPE forms for monthly training sessions.
- Prepare and maintain CPE forms for Annual Seminar.
- Prepare and maintain CPE forms for Manager and CAE Roundtables.

Registrations - Ensure Registrar is in place to:

- Monthly Training Sessions – prepare file of label info for mailer; prepare and send training session information email to Chapter members, other Chapters if possible and non-member list as required; prepare and send invoices; prepare all attendee training documents – CPE, final invoice, receipts, name badges; the day of the event work at registration and attend the Board meeting; prepare final report; make deposits.
- Annual Seminar – enter all seminar information into database, redo forms, gather labels from other chapters, enter data, prepare and send invoices, prepare weekly reports (including financial), make deposits, assemble folders, prepare lists (various)/name tags for the day of the seminar, work the registration table, prepare final report for Committee members.
- Manager's and CAE Roundtables – prepare nametags, CPE, and attendance list for coordinator.

Record retention - Ensure Registrar is in place to:

- Maintain records of monthly training sessions, which include attendance, CPE, check deposits. etc.
- Manage downloaded MMT database for Chapter use.
- Maintain records of the Annual Seminar, which include database file on the hard drive, hard copies of finances, reports, registrations, CPE, and miscellaneous.
- Maintain Manager's and CAE Roundtable attendee/CPE list.
- Maintain files of Board meetings, updates to the database, phone messages, A/R.
- Create and maintain Directory files.
- Maintain a list of equipment, equipment records and material resources.
- Create reports or determine information needed as requested by Board members.

Chapter operations systems development and integration

- Work with Ops VP and other officers to develop needed systems for membership, registration and payment.

Develop new specialty roundtables and work with VP-Operations to recruit Champions to make them operational and ongoing.

**IIA Reports:** *List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.*

None

**Key Dates:** *List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.*

- CPE forms for monthly training sessions are due on the session date.
- CPE forms for the Annual Seminar are due on the Annual Seminar date.
- The Monthly Membership report is generated at the beginning of each month with data from the previous month and sent to the President, Vice President and CAP Report person.
- The new member welcome email is sent at the beginning of each month.
- The Directory is completed and posted to the Chapter web site by the end of September. Emails are sent to Chapter members in late July and mid to late August so member information can be updated as needed. The MMT is supplied in two formats by IIA Global.
- Monthly Training Report is created the week of the training session.
- Annual Seminar is maintained on an ongoing basis from January through May. CPE is often requested a

year or two after the completion of the event.

- Directory is completed prior to the end of September of each year.
- All other records are maintained on an ongoing basis.

**Budget:** *Identify the portion of the budget prepared by this position and describe how the budget figures are determined.*

No budget responsibilities

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained (home, work, Chapter registrar, etc.)*

Chapter Support

- Specific emails are saved online. Phone messages are on paper with Chapter Registrar.
- All deposits are on paper with Chapter Registrar.
- MMT is online.
- All other records are on paper with Chapter Registrar

CPE Coordination

- The monthly training session file contains all materials pertinent to the session – CPE, attendance sign in sheets, and attendance list. It is on paper and maintained with the Chapter Registrar.
- The Annual Database, kept on the hard drive and on a USB storage unit, verifies CPE. The Chapter Registrar maintains this.
- Manager's and CAE Roundtables – list of attendees and sign in sheets in a file with Chapter Registrar.

Membership Data Base

- MMT is on the hard drive and backed up on a USB drive.
- The Directory is maintained on the hard drive and backed up on a USB drive. There is also a paper copy of the Past Presidents and current Board.
- Monthly Membership report is maintained on paper with Chapter Registrar.

Record Retention

- Chapter MMT is downloaded on as needed basis and kept on hard drive and USB drive. It is maintained by IIA Global.
- Annual Seminar is maintained on hard drive and paper with Chapter Registrar.
- Monthly education services on paper with Chapter Registrar.
- Directory is maintained on hard drive, USB drive, and paper with Chapter Registrar.
- Manager's and CAE Roundtable info is on paper with Chapter Registrar.

Registration

- Monthly training sessions – paper with Chapter Registrar.
- Annual Seminar – paper, hard drive, and USB drive with Chapter Registrar.
- Manager's and CAE Roundtable – paper with Chapter Registrar.

Date Updated: May 6, 2011 1, 2008

By: Bruce Adamec

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position:</b> Academic Relations
<b>Reports to:</b> Vice President Operations
<b>Responsible for:</b> <i>List sub-committees</i> None, except on an ad hoc basis.
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> 6.25
<p><b>List of Duties</b> <i>Summarize major functions</i></p> <ul style="list-style-type: none"> <li>▪ Assist colleges and universities in the Chicago metropolitan area in completing and submitting applications to become Internal Audit Education Partnership Program (IAEP) schools.</li> <li>▪ Oversee Chapter assistance, monetary and otherwise, to IAEP school(s).</li> <li>▪ Work with local area schools (typically colleges and universities, but other appropriate grade levels may be considered) to increase student understanding of the Internal Audit profession and generate enthusiasm for the profession. This may include presentations to students at specific schools or through the chapter sponsoring other types of programs. Consider presenting to local Beta Alpha Psi and other accounting societies.</li> <li>▪ Act as the liaison to The IIA in sponsoring seminars for faculty members on teaching Internal Audit classes.</li> <li>▪ Encourage professors and students from local colleges and universities to participate on the local Chapter's Board and to present or participate in educational sessions.</li> <li>▪ Complete and submit the annual Academic Relations document for The IIA regarding chapter activities associated with Academic Relations.</li> <li>▪ Attend chapter meetings.</li> <li>▪ Determine feasibility of pursuing other Academic Relations awards.</li> <li>▪ Work with IAEP school(s) to award scholarships to deserving students. If possible, institute annual or semi-annual essay contest for which the winner(s) would receive scholarship(s).</li> <li>▪ Promote the CIA designation to students at IAEP school(s). Explore the possibility of co-sponsoring, via monetary or other support, CIA review courses.</li> <li>▪ Encourage companies in the Chicago metropolitan area to hire students for Internal Audit internships.</li> </ul>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i></p> <p>Academic Relations report, which is submitted annually and approved by the Chapter President.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i></p> <p>Annual submission of the above-mentioned Academic Relations report by May 31.</p>
<p><b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i></p> <p>Budget is based upon funds needed to perform the items mentioned in the duties for this position and overall Chapter priorities.</p>
<p><b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained (home, work, Chapter registrar, etc.)</i></p> <p>Records should be maintained by the Academic Relations individuals and passed on to successors. The</p>

Treasurer retains Budget related information. The Academic Relations document submitted to the IIA also should be maintained in the President's files.

Updated By: Tonya Ferrill

Date: April 29, 2011

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position:</b> <b>Advocacy Committee</b>
<b>Reports to:</b> Vice President Operations
<b>Responsible for:</b> <i>List sub-committees</i> None, except on an ad hoc basis.
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> 6.25
<p><b>List of Duties</b> <i>Summarize major functions</i></p> <ul style="list-style-type: none"> <li>▪ Manage all activities related to the mission of the Chicago IIA Advocacy Committee which is “to increase among key stakeholders (IA practitioners, corporate executives and board members, professional organizations, educators, regulators/standard-setters, external auditors, etc.) in our region the understanding and appreciation of Internal Audit’s integral role in overall risk management, corporate governance, and value generation and raise awareness of the place of the IIA as the profession’s global leader, recognized authority and principal educator, thereby elevating the prestige, value perception and relevance of the profession, the Institute and the IIA Standards and CIA designation”.</li> <li>▪ Define / refine Committee mission and focus</li> <li>▪ Recruit committee members</li> <li>▪ Assign responsibilities to committee members and monitor progress</li> <li>▪ Manage the Committee budget</li> <li>▪ Maintain listing of industry and professional organizations and key contacts.</li> <li>▪ Communicate with industry and professional organizations to arrange interactions aimed at increasing understanding of the IA profession and its role in risk governance.</li> <li>▪ Maintain listing of target education institutions and key contacts (in coordination with Academic Relations Committee)</li> <li>▪ Manage outreach to education institutions (excluding those covered by Academic Relations Committee)</li> <li>▪ Maintain listing of Corporate targets and contacts</li> <li>▪ Manage outreach to area corporations</li> <li>▪ Arrange for topical meetings / presentations to stakeholders</li> <li>▪ Manage logistics and content preparations for meetings with stakeholders</li> <li>▪ Maintain baseline Advocacy communications deck. Update at least annually for changes in IIA standards or other topical matters</li> <li>▪ Monitor IIA Global Advocacy activities via IIA website and consider local deployment</li> <li>▪ Manage Advocacy participation in IIA annual event</li> <li>▪ Facilitate interactions / coordination among the Chicago IIA chapter and the Northwest and West IIA chapters</li> <li>▪ Liaise with Chicago Chapter BOG and VP Operations</li> </ul>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i></p> <p>Periodic reports to Chicago Chapter BOG or VP Operations as requested.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i></p> <p>Committee Chair designation is made annually. Committee activities are ongoing.</p>
<p><b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i></p>

Budget is based upon funds needed to perform the items mentioned in the duties for this position. Main costs include meeting material production costs, meeting venue costs, and Committee member travel expenses.

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)*

Records should be maintained by the Advocacy Committee Chair and passed on to successors. The Treasurer retains budget related information.

Updated By: John Larounis

Date: June 1, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> Certifications and CPE
<b>Reports to:</b> VP - Operations
<b>Responsible for:</b> The Institute of Internal Auditors (IIA) is recognized as the worldwide leader, authority, and principal educator for internal auditing professionals. Earning an IIA certification symbolizes your competency, commitment to and achievement in internal auditing. The IIA began administering the Certified Internal Auditor® (CIA®), Certification in Control Self-Assessment® (CCSA®), Certified Financial Services Auditor® (CFSA®), and Certified Government Auditing Professional® (CGAP®) exams using computer-based testing (CBT) on May 5, 2008. This role of Certifications and CPE is to promote and facilitate certifications among the Chapter Membership.
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> 2.5
<p><b>List of Duties Summarize major functions</b></p> <ul style="list-style-type: none"> <li>• Promote certifications among membership and non-members through attendance at chapter sponsored events</li> <li>• Be content expert on the exam process and respond to questions Chapter members and non-members may have</li> <li>• Assist in directing exam applicants to resources for consideration in preparing for exams</li> <li>• Liaise with vendors who provide exam preparation services</li> </ul>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i></p> <p>Quarterly reporting of new Certifications to VP –Operations.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i></p> <p>Key dates will be driven by the dates set for the annual Seminar and other Chapter education and development activities.</p>
<p><b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i></p> <p>\$1,000</p>
<p><b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)</i></p> <p>None required</p>

Date Updated: May 12, 2011  
 By: Dan Gaffney

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position: Conference and Hotel Arrangements</b>
<b>Reports to: VP – Operations and matrix reporting to Annual Seminar Chair</b>
<p><b>Responsible for:</b> <i>List sub-committees</i></p> <ul style="list-style-type: none"> <li>• Food and beverage, room set-ups, and audio/visual for:             <ul style="list-style-type: none"> <li>• Monthly educational sessions</li> <li>• Audit Manager and Audit Director roundtables</li> <li>• Board of Governor meetings</li> <li>• Annual Seminar</li> </ul> </li> <li>• Occasionally, prepare requests for proposals for new meeting facilities and audio/visual companies.</li> </ul>
<p><b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i></p>
<p><b>Estimated Hours per Month:</b>  <i>13.75 – experienced Chair / 17 – New Chair</i></p>
<p><b>List of Duties</b> <i>Summarize major functions</i></p> <ol style="list-style-type: none"> <li>1. Customer Service - Communicating and Consulting             <ul style="list-style-type: none"> <li>• Reply to Board of Governor and other customer requests within 24 hours if possible.</li> <li>• Serve as the liaison between meeting facility and IIA Board Committees for monthly educational sessions, Roundtables and Board meetings.</li> <li>• Serve as liaison between IIA Annual Seminar Committee and convention center sales representative, convention facilities manager, catering company personnel, audio/visual company representatives and vendor exhibitors.</li> </ul> </li> <li>2. Prepare Annual Plan for Meetings on a Calendar Year Basis.             <ul style="list-style-type: none"> <li>• Working with the Vice-President of Education, plan an entire year of meetings based on a calendar year; determine meeting dates; negotiate room rentals, food/beverage prices and audio/visual discounts with meeting facility.</li> <li>• Sign contracts with hotels, convention centers and other meeting establishments, accordingly.</li> <li>• Communicate meeting dates and space to entire Board of Governors. Maintain and update accordingly.</li> </ul> </li> <li>3. Execution of Individual Meeting Plans             <ul style="list-style-type: none"> <li>• Determine requirements of each meeting with the President, seminar chairperson, speaker and/or exhibitor including but not limited to room-set, telecommunication/internet, audio/visual, shipping/receiving materials, accommodations for out-of-town speakers food and beverage.</li> <li>• Estimate number of people that will attend meeting, sessions and food/beverage events only.</li> <li>• Communicate meeting requirements to meeting facility including but not limited to:                 <ul style="list-style-type: none"> <li>○ Food and beverage menus for breakfast, breaks, lunches and receptions</li> <li>○ Determine amount of food and beverage to order based on estimated attendance.</li> <li>○ Audio/visual equipment.</li> <li>○ Telecommunication and internet service.</li> <li>○ Room size requirements based on estimated attendance.</li> <li>○ Set-up requirements for session room, registration, lunch, exhibitors, speaker ready rooms, etc.</li> </ul> </li> <li>• On day of seminar or meeting, ensure that meeting facility has posted room assignments correctly on their daily event schedule, rooms are properly set, audio/visual is correct/operating and lunch guarantee is adequate based on expected attendance.</li> </ul> </li> <li>4. Review and Summarize Expenses for Reasonableness             <ul style="list-style-type: none"> <li>• Reconcile meeting facility charges to the items ordered and prices agreed upon in contract.</li> <li>• Prepare summary of costs and allocate costs to the appropriate Committees.</li> <li>• Submit request for payment, cost allocation report and original invoices to Treasurer for approval and payment.</li> </ul> </li> </ol>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the</i></p>

*approver of the report.*

In June or July, submit report listing meeting dates and rooms for the upcoming calendar year and include approximate costs for food/beverage, room rentals and audio/visual to be used by Committees for preparing their budgets for the fiscal year.

**Key Dates:** *List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.*

1. March/April/May – Annual Seminar – At or before the current year Annual Seminar, determine site/date for next year's Annual Seminar.
2. June – Soon after the current year-end, working with the new administration, determine site and monthly meeting dates for the upcoming calendar year and communicate to the Board of Governors.
3. Two months before and through the Annual Seminar date, monitor attendance at the various sessions. Assign sessions to rooms based on attendance and audio/visual requirements.
4. Three days before Annual Seminar, need to guarantee all food and beverage counts.
5. At least one week prior to meetings, need to communicate preliminary room requirements and room assignments to the meeting facility.
6. No later than noon on two business days prior to the meeting, communicate guaranteed food/beverage counts to the meeting facility.
7. No later than one month after meeting, submit a summary of monthly seminar charges to the Treasurer allocating meeting costs to the appropriate Committees.

**Budget:** *Identify the portion of the budget prepared by this position and describe how the budget figures are determined.*

This Committee only assists in other Committee budgets. A detailed schedule of costs for audio/visual, food/beverage, room rentals, internet and other meeting related costs is provided to the Officers for us by their Committees to cost their individual meetings.

Postage, printing (toner, paper, envelopes) and other expenses are absorbed personally as most work is performed at home. Expenses are minimal as most work is conducted via internet.

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)*

For monthly meetings, Annual Seminars and International Conferences 1995 and 2005:  
Hard and electronic copies of facility orders for room set-up and food/beverage, facilities Banquet Event Orders, copies of invoices, requests for payments and other documents on MS Word and MS Excel documents. Information resides on Richard Kokoszka's work and home computers. Information is backed-up at work and home computer from 1993 to 2010.

Date Updated: May 5, 2011

By: Rick Kokoszka

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position:</b> Membership Chair
<b>Reports to:</b> Vice President - Operations
<b>Responsible for:</b> <i>List sub-committees</i> *Recruitment * Recognition * Retention * Market Research * Email
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> 4
<p><b>List of Duties</b> <i>Summarize major functions</i></p> <p><b>Overall</b> Proactively manage all IIA needs of the IIA-Chicago member base. We traditionally have 30% annual turnover, and must recruit over 350 new members each year to break even. Coordinate the relationship between IIA International and our Chapter in terms of membership information,</p> <p><b>Recruitment</b> First point of contact for a new prospect is via inquiry on our Web site and Board member referral. Follow up with telephone call and e-mail as needed. Add name to our prospect list for communications. Reach out to companies who are new to the IIA and encourage them to join.</p> <p><b>Recognition</b> Registrar sends a welcome to the Chicago Chapter e-mail each month to our new members. We encourage new members to attend meetings and volunteer for a Committee. Each year at the May meeting, we recognize the achievements of our members.</p> <p><b>Retention</b> Sell the benefits of belonging to the IIA. Assist members navigating their way through Chicago chapter or IIA bureaucracy. Contact dropped members or with dues in arrears and determine reason. If they have a billing question, coordinate with International until resolution. If they left internal audit, identify replacement and establish contact.</p> <p><b>Market Research</b> Identify Chicago companies not represented in the IIA and determine if internal audit function is established and establish contact.</p>
<p><b>E-mail</b> Most of our members have provided E-mail addresses. This supports our long term goal to achieve quick access to a significant portion of our member base. We need to periodically request e-mails from those members that have not provided them, while respecting the wishes of our members who prefer not participate.</p>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i> Reports of membership activity are provided to the Board members at each meeting, except during time of Annual Seminar activity.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i> Membership Plan is due by September 30<sup>th</sup> of each year. Monthly follow-up on dropped and arrears members to determine cause and to encourage renewal or to determine name of replacement. Send e-mails to members with 10, 15,20+ (5 year increments) anniversaries and invite as our guest for the May Awards luncheon.</p>
<p><b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i> Membership recruitment mailings. (Estimate - \$300 per year) Student/Educator membership dues subsidy (Estimate - \$400 per year) Recognition pins and awards (Estimate - \$300 per year)</p>

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained (home, work, Chapter registrar, etc.)*

Staff maintains official records as provided by IIA International and maintained on Chapter database.

Updated: May 11, 2011

By: John Mickevice

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> CAE Roundtable Chair
<b>Reports to:</b> Vice President – Operations
<b>Responsible for:</b> Arranging CAE Roundtables throughout the year. The number of Roundtables (generally 3) depends on the demand and the need.
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> 6.5
<p><b>List of Duties</b> <i>Summarize major functions</i></p> <p>Arrange for a company/organization to sponsor the Roundtable. It is the sponsoring company's/organization's responsibility to provide a moderator, suitable space for the Roundtable (usually a room for 20-25), continental breakfast, morning coffee break and a lunch</p> <p>The Chairperson also must arrange for the printing of an adequate number of formal invitations and for the labels of local area audit department heads, both members and non-members. The Chairperson is responsible for affixing labels and postage and mailing the invitation.</p> <p>The Chairperson is also responsible for recording reservations as received. After each reservation is received, the individual's name, company/organization, telephone and fax numbers and e-mail address are obtained and recorded. The audit head is contacted by either fax or e-mail to confirm his/her reservation and request that he/she fax or e-mail a listing of suggested discussion topics.</p> <p>A listing of attendees is forwarded to the Chapter Operations Staff who prepares CFE certificates, a sign-in sheet and first time attendee name badges. (badges from previous Roundtables are maintained by the Chairperson.) The CFE certificates, sign-in sheet and the first time attendee badges are mailed to the Chairperson. The Chairperson will also contact the sponsoring company/organization to provide the total number of attendees.</p> <p>The Chairperson should arrive early on the day of the Roundtable in order to pass out name badges and CFE certificates and obtain each attendee's signature on the sign-in sheet. The sign-in sheet is returned to the Chapter Operations Staff, along with a copy of the minutes.</p> <p>Send out a thank you letter to sponsoring company/organization.</p>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i></p> <p>List of Attendees, as of reservation closing date, sent to the Chapter Operations Staff; Roundtable sign-in sheet received from Chapter Operations Staff completed and returned to the Chapter Operations Staff; Roundtable minutes mailed to the attendees and Chapter Operations Staff; Article to the Innovator Editor.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i></p> <p>6 weeks prior – have Invitations printed; 4 weeks prior - mail out invitations; 2 weeks prior – cut off reservations, notify sponsoring company of attendance, request CFE certificates, sign-in sheet and first time attendees; 2 days prior – provide sponsoring company/organization with final attendance count.</p>
<p><b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i></p> <p>Since most costs are assumed by the sponsoring company/organization, the Chapter's expense is limited to the printing of the invitation (\$130) and postage (\$75) for each Roundtable. There is no charge to the attendee's.</p>

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)*

Sign-in List maintained by the Chapter Operations Staff.

Date Updated: May 31, 2011

By: Kathy Swain

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> Manager Roundtable Chair
<b>Reports to:</b> Vice President - Operations
<b>Responsible for:</b> Plan and design the Manager Roundtables each quarter.
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> 5.5
<p><b>List of Duties</b></p> <ul style="list-style-type: none"> <li>• Curate, plan and facilitate discussion and speaker topics for Manager Roundtables throughout the year in a way that provides professional insight and promotes continual learning for participants.</li> <li>• Identify and engage attendees. Help attendees connect with each other and build their professional network through the roundtable forum.</li> <li>• Follow up on attendee requests. Solicit feedback to continuously improve the quality of each session.</li> </ul> <p>Administrative:</p> <ul style="list-style-type: none"> <li>• Facility and catering contracting</li> <li>• Distribute attendee invitations</li> <li>• Track RSVPs and attendance</li> <li>• Circulate sign-in sheet and remit to Operations (Rachel Means)</li> <li>• Distribute CPE certificates</li> <li>• Approve invoices</li> </ul>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i></p> <ol style="list-style-type: none"> <li>1. Invitation Distribution to the Registrar</li> <li>2. Sign-In Sheet to Operations (Rachel Means)</li> <li>3. Invoices to the Treasurer</li> </ol>
<p><b>Key Dates:</b></p> <ul style="list-style-type: none"> <li>• Throughout the quarter – Gather information, feedback and curate discussion topics, source and confirm speakers.</li> <li>• 6 weeks prior (at the latest) – finalize facility, food and equipment</li> <li>• 3 to 4 weeks prior -- Distribute invitations via email and Chapter announcements and begin collecting RSVPs</li> <li>• 2 week prior – Notify sponsoring company of attendance (if applicable)</li> <li>• 1 to 2 weeks prior – Confirm RSVPs</li> <li>• 1 to 2 week prior -- Request CFE certificates and sign-in sheet</li> <li>• 2 days prior – Provide sponsoring company/organization with final attendance count.</li> <li>• 1 to 2 days prior – Draft and print agenda and materials</li> </ul> <p>Post roundtable completion:</p> <ul style="list-style-type: none"> <li>• Within the week – Fax sign-in sheet to Rachel Means and request for CPE certificates for walk-ins.</li> </ul>

**Budget:**

Annual budget is approximately \$7,000. Costs consist primarily of facility rental and catering.

**Records:**

The Chapter Operations Staff (Rachel Means) maintains:

- Sign-in list
- CPE Certificates

The Chapter Treasurer maintains event invoices

The Manager Roundtable Chair maintains the roundtable agendas

Date Updated: April 27, 2011

By: Nancy Wu

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position: Chair Consumer/Manufacturing Industry Roundtable</b>
<b>Reports to: Vice President - Operations</b>
<b>Responsible for: Champion ongoing operations of the Consumer/Manufacturing industry roundtable.</b> Arrange Morning Roundtables throughout the year. The number of Roundtables depends on the demand and need (3 to 4 per year). Recruit sponsoring companies/organizations to host roundtables on a rotating basis. Develop interest in the roundtable by identifying and contacting chapter members. Record and mail out Roundtable minutes and prepare a short article for <i>The Innovator</i> .
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> <i>25 hours - Estimate for the overall Chair and Sub-Chairs on all industry roundtables</i>
<b>List of Duties</b> <i>Summarize major functions</i> Arrange for companies/organizations to sponsor Roundtables on an rotating basis. The sponsoring company's/organization's provides a facilitator, suitable space for the Roundtable (usually a room for 20-25), continental breakfast, morning coffee break and lunch.  Maintain/develop an emailing/phone list of prospective participants from the applicable population of chapter members to solicit participation.  Maintain a list of relevant and timely discussion topics for the industry. Periodically, identify new issues of interest to roundtables, and clip new relevant articles and distribute to participating companies.  Responsible for emailing invitations for industry local area audit department heads, both members and non-members and other internal audit leaders involved in the industry. Additional suggested discussion topics are also solicited.  The Chair is also responsible to work with the Registrar to develop registration procedures for each roundtable.  A listing of attendees is forwarded to the Chapter Registrar who prepares CPE certificates, a sign-in sheet and attendee name badges. (The CPE certificates, sign-in sheet and attendee badges are mailed to the Chairperson. The Chairperson will also contact the sponsoring company/organization to provide the total number of attendees.  The Chairperson should arrive early on the day of the Roundtable in order to pass out name badges and CFE certificates and obtain each attendee's signature on the sign-in sheet. The sign-in sheet is returned to the Chapter Registrar, along with a copy of the minutes.  Send out a thank you letter to sponsoring company/organization.
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i> Roundtable sign-in sheet received from Chapter Registrar completed and returned to the Chapter Registrar; Roundtable minutes mailed to the attendees and Chapter Operations Staff; Article to <i>The Innovator</i> Editor; Report of event to CAP administrator.
<b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i> 4 weeks prior - mail out invitations; weeks prior – cut off reservations, notify sponsoring company of attendance, request CPE certificates, sign-in sheet and first time attendees; 2 days prior – provide sponsoring company/organization with final attendance count.

**Budget:** *Identify the portion of the budget prepared by this position and describe how the budget figures are determined.*

Since most costs are assumed by the sponsoring company/organization, the Chapter's expense is limited. There is no charge to the attendees.

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)*

Sign-in List maintained by the Chapter Registrar.

Date Updated: May 6, 2011, 2008

By: Bruce Adamec

## IIA Chicago Chapter Board of Governors Responsibilities

<p><b>Position:</b>    <b>Chair Energy/Utility Industry Roundtable</b></p>
<p><b>Reports to:</b> Vice President - Operations</p>
<p><b>Responsible for: Champion ongoing operations of the Energy/Utility industry roundtable.</b>          Arrange Morning Roundtables throughout the year. The number of Roundtables depends on the demand and need (3 to 4 per year). Recruit sponsoring companies/organizations to host roundtables on a rotating basis. Develop interest in the roundtable by identifying and contacting chapter members. Record and mail out Roundtable minutes and prepare a short article for <i>The Innovator</i>.</p>
<p><b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i></p>
<p><b>Estimated Hours per Month:</b> <i>25 hours - Estimate for the overall Chair and Sub-Chairs on all industry roundtables</i></p>
<p><b>List of Duties</b> <i>Summarize major functions</i>          Arrange for companies/organizations to sponsor Roundtables on an rotating basis. The sponsoring company/organization provides a facilitator, suitable space for the Roundtable (usually a room for 20-25), continental breakfast, morning coffee break and lunch.</p> <p>Maintain/develop an emailing/phone list of prospective participants from the applicable population of chapter members to solicit participation.</p> <p>Maintain a list of relevant and timely discussion topics for the industry. Periodically, identify new issues of interest to roundtables, and clip new relevant articles and distribute to participating companies.</p> <p>Work with other IIA Chapters or interested organizations to improve inter-Organizational cooperation and coordination.</p> <p>Responsible for emailing invitations for industry local area audit department heads, both members and non-members and other interested internal audit leaders involved in the industry. Additional suggested discussion topics are also solicited.</p> <p>The Chair is also responsible to work with the Registrar to develop registration procedures for each roundtable.</p> <p>A listing of attendees is forwarded to the Chapter Registrar who prepares CPE certificates, a sign-in sheet and attendee name badges. (The CPE certificates, sign-in sheet and attendee badges are mailed to the Chairperson. The Chairperson will also contact the sponsoring company/organization to provide the total number of attendees.</p> <p>The Chairperson should arrive early on the day of the Roundtable in order to pass out name badges and CFE certificates and obtain each attendee's signature on the sign-in sheet. The sign-in sheet is returned to the Chapter Registrar, along with a copy of the minutes.</p> <p>Send out a thank you letter to sponsoring company/organization.</p>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i>          Roundtable sign-in sheet received from Chapter Registrar completed and returned to the Chapter Registrar; Roundtable minutes mailed to the attendees and Chapter Operations Staff; Article to <i>The Innovator</i> Editor; Report of event to CAP administrator.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i>          4 weeks prior - mail out invitations; week prior – cut off reservations, notify sponsoring company of attendance, request CPE certificates, sign-in sheet and first time attendees; 2 days prior – provide sponsoring company/organization with</p>

final attendance count.

**Budget:** *Identify the portion of the budget prepared by this position and describe how the budget figures are determined.*

Since most costs are assumed by the sponsoring company/organization, the Chapter's expense is limited. There is no charge to the attendees.

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained (home, work, Chapter registrar, etc.)*

Sign-in List maintained by the Chapter Registrar.

Date Updated: May 6, 2011, 2008

By: Bruce Adamec

## IIA Chicago Chapter Board of Governors Responsibilities

<p><b>Position:</b>    <b>Chair Higher Education Internal Auditing Roundtable</b></p>
<p><b>Reports to:</b> Vice President - Operations</p>
<p><b>Responsible for: Champion ongoing operations of the Higher Education IA roundtable.</b>          Arrange Morning Roundtables throughout the year. The number of Roundtables depends on the demand and need (3 to 4 per year). Recruit sponsoring companies/organizations to host roundtables on a rotating basis. Develop interest in the roundtable by identifying and contacting chapter members. Record and mail out Roundtable minutes and prepare a short article for <i>The Innovator</i>.</p>
<p><b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i></p>
<p><b>Estimated Hours per Month:</b> <i>25 hours - Estimate for the overall Chair and Sub-Chairs on all industry roundtables</i></p>
<p><b>List of Duties</b> <i>Summarize major functions</i>          Arrange for companies/organizations to sponsor Roundtables on a rotating basis. The sponsoring company/organization provides a facilitator, suitable space for the Roundtable (usually a room for 20-25), continental breakfast, morning coffee break and lunch.</p> <p>Maintain/develop an emailing/phone list of prospective participants from the applicable population of chapter members to solicit participation.</p> <p>Maintain a list of relevant and timely discussion topics for Higher Education IA leadership. Periodically, identify new issues of interest to roundtables, and clip new relevant articles and distribute to participating companies.</p> <p>Work with other IIA Chapters or interested organizations to improve inter-Organizational cooperation and coordination.</p> <p>Responsible for emailing invitations for Higher Education Internal Auditing leadership, both members and non-members and other interested internal audit leaders. Additional suggested discussion topics are also solicited.</p> <p>The Chair is also responsible to work with the Registrar to develop registration procedures for each roundtable.</p> <p>A listing of attendees is forwarded to the Chapter Registrar who prepares CPE certificates, a sign-in sheet and attendee name badges. (The CPE certificates, sign-in sheet and attendee badges are mailed to the Chairperson. The Chairperson will also contact the sponsoring company/organization to provide the total number of attendees.</p> <p>The Chair should arrive early on the day of the Roundtable in order to pass out name badges and CFE certificates and obtain each attendee's signature on the sign-in sheet. The sign-in sheet is returned to the Chapter Registrar, along with a copy of the minutes.</p> <p>Send out a thank you letter to sponsoring company/organization.</p>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i>          Roundtable sign-in sheet received from Chapter Registrar completed and returned to the Chapter Registrar; Roundtable minutes mailed to the attendees and Chapter Operations Staff; Article to <i>The Innovator</i> Editor; Report of event to CAP administrator.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i>          4 weeks prior - email out invitations; 2 weeks prior – cut off reservations, notify sponsoring company of attendance, request CPE certificates, sign-in sheet and first time attendees; 2 days prior – provide sponsoring company/organization with final attendance count.</p>

**Budget:** *Identify the portion of the budget prepared by this position and describe how the budget figures are determined.*

Since most costs are assumed by the sponsoring company/organization, the Chapter's expense is limited. There is no charge to the attendees.

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained (home, work, Chapter registrar, etc.)*

Sign-in List maintained by the Chapter Operations Staff.

Date Updated: May 6, 2011

By: Bruce Adamec

## IIA Chicago Chapter Board of Governors Responsibilities

<p><b>Position:</b>    <b>Chair Information Technology Auditing Roundtable</b></p>
<p><b>Reports to:</b> Vice President - Operations</p>
<p><b>Responsible for: Champion ongoing operations of the Information Technology Auditing roundtable.</b> Arrange Morning Roundtables throughout the year. The number of Roundtables depends on the demand and need (3 to 4 per year). Recruit sponsoring companies/organizations to host roundtables on a rotating basis. Develop interest in the roundtable by identifying and contacting chapter members. Record and mail out Roundtable minutes and prepare a short article for <i>The Innovator</i>.</p>
<p><b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i></p>
<p><b>Estimated Hours per Month:</b> <i>25 hours - Estimate for the overall Chair and Sub-Chairs on all industry roundtables</i></p>
<p><b>List of Duties</b> <i>Summarize major functions</i></p> <p>Arrange for companies/organizations to sponsor Roundtables on an rotating basis. The sponsoring company/organization provides a facilitator, suitable space for the Roundtable (usually a room for 20-25), continental breakfast, morning coffee break and lunch.</p> <p>Maintain/develop an emailing/phone list of prospective participants from the applicable population of chapter members to solicit participation.</p> <p>Maintain a list of relevant and timely discussion topics for Internal Audit department IT leadership. Periodically, identify new issues of interest to roundtables, and clip new relevant articles and distribute to participating companies.</p> <p>Work with ISACA and/or other IIA Chapters or interested organizations to improve inter-Organizational cooperation and coordination.</p> <p>Responsible for emailing invitations for IT Internal Auditing leadership, both members and non-members and other interested internal audit leaders. Additional suggested discussion topics are also solicited.</p> <p>The Chair is also responsible to work with the Registrar to develop registration procedures for each roundtable.</p> <p>A listing of attendees is forwarded to the Chapter Registrar who prepares CPE certificates, a sign-in sheet and attendee name badges. (The CPE certificates, sign-in sheet and attendee badges are mailed to the Chairperson. The Chairperson will also contact the sponsoring company/organization to provide the total number of attendees.</p> <p>The Chairperson should arrive early on the day of the Roundtable in order to pass out name badges and CFE certificates and obtain each attendee's signature on the sign-in sheet. The sign-in sheet is returned to the Chapter Registrar, along with a copy of the minutes.</p> <p>Send out a thank you letter to sponsoring company/organization.</p>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i></p> <p>Roundtable sign-in sheet received from Chapter Registrar completed and returned to the Chapter Registrar; Roundtable minutes mailed to the attendees and Chapter Operations Staff; Article to <i>The Innovator</i> Editor; Report of event to CAP administrator.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i></p> <p>4 weeks prior - mail out invitations; week prior – cut off reservations, notify sponsoring company of attendance, request CFE certificates, sign-in sheet and first time attendees; 2 days prior – provide sponsoring company/organization with</p>

final attendance count.

**Budget:** *Identify the portion of the budget prepared by this position and describe how the budget figures are determined.*

Since most costs are assumed by the sponsoring company/organization, the Chapter's expense is limited. \ There is no charge to the attendee's.

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained (home, work, Chapter registrar, etc.)*

Sign-in List maintained by the Chapter Operations Staff.

Date Updated: May 7, 2011

By: Bruce Adamec

## **IIA Chicago Chapter Board of Governors Responsibilities**

<b>Position:</b> Secretary
<b>Reports to:</b> President
<b>Responsible for:</b> Maintaining minutes of Board meetings, distributing minutes and subcommittee reports to Board members absent from meetings, and overseeing social event coordination/communication, custodian of Chapter Mission Statement and By-laws, and publication of the Innovator.
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i> Estimated 6 hours per month
<p>List of Duties:</p> <p>The duties and responsibilities of the secretary shall include, but not necessarily be limited to, the following:</p> <ol style="list-style-type: none"> <li>1. Attend monthly Board meetings, prepare, publish, and maintain all minutes of meetings of the Board of Governors and the Chapter sub-committees.</li> <li>2. To maintain Chapter memberships records.</li> <li>3. To coordinate publication and mailing lists for meeting notices, newsletters, and directory.</li> <li>4. To establish communication flow concerning Chapter member issues among all committees.</li> <li>5. To notify members of all Chapter events.</li> <li>6. To perform as corresponding secretary for the Chapter.</li> <li>7. Oversee the Speaker's Bureau, Web Page and publication of the Innovator and Membership Directory.</li> <li>8. Act as custodian for the Chapter Mission Statement and By-laws, collaborating with the President to periodically review the Mission Statement and By-laws and coordinate actions necessary when Mission Statement and/or By-laws are revised.</li> <li>9. Coordinate and communicate Chapter social events</li> </ol>
<b>IIA Reports:</b> Submit annual entry of the Innovator for Chapter Achievement points.
<b>Key Dates:</b> Develop budget in August and draft minutes within one week of each Board meeting.

**Budget:** From the Innovator's Editor, accumulate projected printing, postage and publishing costs. From the Editor of the Directory, gather anticipated printing and mailing costs, net of advertising revenue.

**Records:** Electronic copies of minutes are maintained on my PC.

Updated By: Kristi McGowan

Date: June 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> Communication Coordinator
<b>Reports to:</b> Secretary
<b>Responsible for:</b> <i>List sub-committees</i>  No subcommittees
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i> Estimated 4 hours per month (1 hour per week)
<b>List of Duties</b> <i>Summarize major functions</i> <ul style="list-style-type: none"> <li>• Prepare weekly emails to announce meetings, training, and other announcements the Board deems necessary.</li> <li>• Prepare quarterly editions of the Innovator newsletter; see “Innovator Editor” job description for more details</li> <li>• Send emails to membership, International and other chapter Presidents as needed.</li> </ul>
<b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i>
<b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i>
<b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i> <ul style="list-style-type: none"> <li>• See “Innovator Editor” job description for more details</li> </ul>
<b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)</i> <ul style="list-style-type: none"> <li>• Maintained locally by the Communication Coordinator</li> </ul>

Updated by: Kristi McGowan

Date: June 7, 2011

## **IIA Chicago Chapter -Board of Governors Responsibilities**

**Position: Innovator Editor and Photographer**

**Reports to:** Secretary

**Responsible for:** *List sub-committees*

No sub-committee responsibility

**CAP Responsibilities and Timing:** *Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.*

**Estimated Hours per Month:** *Include the average amount of hours spent each month*

Estimated 15 hours per edition (each quarter)

### **List of Duties Summarize major functions**

- Responsible for the direction, creation, and production of newsletter (in interactive pdf format) and educational mailings for Chicago Chapter of the IIA
- Attend monthly board meetings, classes and Networking luncheons/events (golf outing, dinners, etc.) to document photographically and develop content for articles to be included in newsletter
- Request from Chapter Board: president's message, articles, photographs, and announcements to be included as content – content relating to all training by Chapter is required
- Interface with layout artist and printer through draft and proofing phases of final newsletter and/or educational announcement flyers
- Interface with Chapter Registrar and Web Page Manager for distribution of newsletter to chapter members by posting to chapter website.
- Interface with Chapter Registrar for mailing labels of members for educational flyers
- Press representative for Chapter. Send press releases and maintain relationship with press/news organizations regarding chapter activities and educational sessions
- Backup coverage for chapter administrator/registrar

**IIA Reports:** *List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.*

None

**Key Dates:** *List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.*

Newsletter published and posted to Chapter website 4 times a year (April, July, September, December).

Press release deadline for news organizations is 2 weeks prior to event

**Budget:** *Identify the portion of the budget prepared by this position and describe how the budget figures are determined.*

Budget determined by printing, materials, postage and layout costs.

**Records:** *List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)*

Final newsletters and flyers, photographs, billing etc. maintained by editor. Additionally, website manager

maintains copies of the final product.

Prepared By: Kristi McGowan  
Date: June 7, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position: Social Events</b>
<b>Reports to:</b> Secretary
<b>Responsible for:</b> <i>List sub-committees</i> None
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i>
<p><b>List of Duties</b> <i>Summarize major functions</i></p> <ol style="list-style-type: none"> <li>1. Develop ideas as to possible social events that could be staged throughout the year that would foster stronger networking among the chapter membership and enhance working arrangements among board and committee volunteers</li> <li>2. Solicit ideas for social events from board members</li> <li>3. Design social events to reward/recognize board and committee volunteers</li> <li>4. Assist the Chapter President with plans for an annual chapter board/committee volunteer social event</li> </ol> <p>Estimated 8 hours per event, usually about 3 times a year</p>
<p><b>IIA Reports:</b> <i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i></p> <p>Periodic reporting at the monthly board meetings to discuss upcoming social plans.</p>
<p><b>Key Dates:</b> <i>List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.</i></p>
<p><b>Budget:</b> <i>Identify the portion of the budget prepared by this position and describe how the budget figures are determined.</i></p> <p>Budget funding is available; level of allocation should be discussed with the president and treasurer annually at the beginning of the chapter year.</p>
<p><b>Records:</b> <i>List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)</i></p> <p>Maintain a file of all correspondence and documentation related to social events. Maintain records of all ideas for social events that have been suggested, along with analysis. Provide a summary of all activities to be forwarded to the person accepting this role in the succeeding year.</p>

Prepared By: Kristi McGowan  
Date: June 7, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position:</b> Social Media
<b>Reports to:</b> Secretary
<b>Responsible for:</b> <i>List sub-committees</i> None
<b>CAP Responsibilities and Timing:</b> <i>Include the tasks needed for CAP points and the timing of each activity. Consult with the CAP committee chair.</i>
<b>Estimated Hours per Month:</b> <i>Include the average amount of hours spent each month</i> Estimated commitment of 10-15 hours per month
<p><b>List of Duties</b> <i>Summarize major functions</i></p> <p>The Social Media Committee is responsible for supporting the mission of the IIA by creating and utilizing online forums for professional networking and knowledge sharing. The group will strive to embrace these new mediums and adapt to the ever changing social media environment. Specifically, the committee will:</p> <ul style="list-style-type: none"> <li>✓ Increase the awareness of the preferred Social Media Platforms (LinkedIn, Facebook, Twitter, Flickr, etc.) and encourage member participation.</li> <li>✓ Educate members on the use of Social Media platforms through weekly Chapter emails, publishing content on the Social Media sites, and potentially through IIA sponsored workshops/training sessions.</li> <li>✓ Maintain the Chapter's Social Media sites on a regular basis (daily/weekly as deemed appropriate).</li> <li>✓ Promote educational content and resources provided by members and member firms.</li> <li>✓ Promote upcoming Chapter events</li> <li>✓ Distribute information provided at the Chapter events in real time (quotes, thoughts, knowledge, photos, etc..)</li> </ul> <p>To fulfill the mission of the Social Media Committee, the committee will recruit knowledgeable and energetic committee members. The committee members will attend monthly conference calls to establish and assign committee tasks. At least one committee member will be required to attend each IIA Chicago Chapter event and post relevant information about the event as it happens live.</p>
<b>IIA Reports:</b> <i>TBD and would be submitted to the Chapter Secretary.</i>
<b>Key Dates:</b> <i>days/weeks leading up to all events.</i>
<b>Budget:</b> <i>The committee will need to be provided access to each event throughout the year.</i>
<b>Records:</b> <i>committee meeting minutes</i>

Prepared By: Steven Randall  
Date: July 11, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<p><b>Position: Treasurer</b></p>
<p><b>Reports to:</b> President</p> <p>The Treasurer of the Chapter is elected for a one-year term and may be reelected for successive terms.</p>
<p><b>Responsible for:</b></p> <p>The Treasurer has overall responsibility and accountability for the financial wellness and reporting of the Chapter's financial position. Reporting to the Treasurer are:</p> <ul style="list-style-type: none"> <li>• Assistant Treasurer</li> </ul>
<p><b>Estimated Hours per Month:</b> ~40 hours</p>
<p><b>List of Duties</b> (<i>Summarize major functions</i>)</p> <ul style="list-style-type: none"> <li>• Maintain the financial records of the Chapter in accordance with the parameters established by the Chapter Board of Governors and the International Headquarters. Records are maintained in electronic format (Quickbooks Online Plus, Excel, Word, and the Treasurer Gmail account).</li> <li>• Prepare required monthly and annual statements and reports of financial activity.</li> <li>• Invest excess Chapter funds according to the direction of the Board and Investment Committee.</li> <li>• Assist as needed in the annual audit of the Chapter's financial records.</li> <li>• Annually assist the Chapter President and Vice Presidents in the preparation of the Chapter Budget.</li> <li>• Employ generally accepted accounting practices in the recording and reporting of all Chapter financial affairs. Chapter books and IRS reporting were on a Cash Basis through FY11. The Chapter will switch to a Modified Accrual Basis in FY12.</li> <li>• Prepare a monthly Balance Sheet and Profit and Loss Statement, along with a year-to-date Profit and Loss Statement and Budget to Actual Report. Distribute these reports at the monthly Board of Governors meeting.</li> <li>• Pay all bills and ensure that the Registrar makes all deposits on a timely basis.</li> <li>• Reconcile Accounts Receivables and work with the Registrar to follow-up on past dues.</li> <li>• Seek out ways to prudently invest excess funds on high yielding financial instruments (according to the direction of the Board).</li> <li>• Ascertain that allotments received from International are both timely and accurate.</li> <li>• Maintain proper bank relations, current signature cards, etc.</li> <li>• Ensure that CAP reporting requirements are met, as needed.</li> </ul>
<p><b>IIA Reports</b> (<i>List any reports that must be submitted to IIA, the frequency of the report, and the approver of the report.</i>)</p> <ul style="list-style-type: none"> <li>• Prepare an annual budget with input from all Board Officers and Committee Members, as appropriate. Budget process runs from June – August each year. The budget is approved by the Board of Governors and submitted to International by the President. Work closely with the President to finalize the budget.</li> <li>• Prepare monthly financial statements for presentation at each monthly Board meeting. Board members approve the financial statements each month. (Financial records are currently kept on Quickbooks Online Plus).</li> <li>• Prepare IRS Form 1099's for those individuals who receive in excess of \$600 per annum for services rendered. Forms must be mailed by January 31, and the 1096 mailed to the IRS by</li> </ul>

- February 28<sup>th</sup> each year. Reimbursable expenses are not reported.
- Prepare IRS Tax Return for exempt organizations under section 501(c) on IRS form 990. Tax return is due NLT 15 days in the 5<sup>th</sup> month after the close of the fiscal year (May 31, 20XX) – i.e., October 15.
  - Forward the Audited Financial Statements to International HQ upon completion of the independent audit. Allocation check will not be forwarded until International has received audited statements by the established due date.

**Key Dates** *(List any critical dates during the Chapter year- e.g., when tasks must be performed, when information is due.)*

Work with the President, Board members, and the CAP reporting officer to ensure that reporting dates are met each year. Ensure that there is an independent audit of the financial books of record each year between June – August. Audited financials must be sent to IIA International each year. Other dates noted in their appropriate sections.

**Budget** *(Identify the portion of the budget prepared by this position and describe how the budget figures are determined.)*

*Revenue:* 6/9-Month CD Interest Income, Chapter Allotment, Money Market Interest Income

*Expenses:* Administrative, Bank Service Charges, Annual Lock Box fee, PayPal fees, Quickbooks fees

**Records** *(List any Chapter records maintained by this position, how they are maintained (disk, paper, etc.) and where they are maintained home, work, Chapter registrar, etc.)*

Chapter financial records are stored with Treasurer. These documents may include hard copies of banking information, and soft copies of financials and other pertinent information on the Treasurer's computer. Payment approvals must be maintained in the Treasurer's Gmail account to support all transactions.

Deposits and checks written are recorded in Quickbooks Online Plus.

Prepared By: Nick Saracco

Date: May 31, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position: Assistant Treasurer</b>
<b>Reports to:</b> Treasurer  To ensure consistency over chapter accounting records the individual should commit to keeping this position for a minimum of 2-3 years. Transition to a replacement should occur during the second or third year.
<b>Responsible for:</b>  Although not directly responsible for any Chapter sub-committees the Assistant Treasurer will work closely with all Chapter Board members and committee staff to ensure accurate, timely and documented records of the chapter's financial records.
<b>Estimated Hours per Month:</b> 10-15 hours
<b>List of Duties</b> <ul style="list-style-type: none"><li>• Assist with the maintenance of the chapter's electronic accounting records on Quickbooks Online Plus.</li><li>• Ensure the security of the chapter's financial information.</li><li>• Assist with the preparation of monthly financial statements for presentation at each monthly board meeting. Presentation should include event profitability, budget to actual results, unusual fluctuations, unbudgeted expenditures and forecasted results.</li><li>• Maintain and update as required a chapter "chart of accounts".</li><li>• Reconcile Accounts Receivables with the Chapter Registrar and follow-up as needed.</li><li>• Furnish the Treasurer with electronic or paper reports from the chapter software package required for him/her to document results for audit, reporting or tax return preparation.</li><li>• Other responsibilities as determined by the Treasurer or the Board.</li></ul>
<b>IIA Reports:</b>  Work closely with the Treasurer to ensure that all required reports are submitted accurately and timely.
<b>Key Dates:</b> <ul style="list-style-type: none"><li>• Should attend each monthly meeting to assist with the presentation of financial results to the Board.</li><li>• Maintain a calendar of key dates and financial reports for the year. Publish at the beginning of the chapter year (June 1) and monitor to ensure compliance.</li></ul>
<b>Budget:</b>  Work with the Treasurer to forecast budgeted expenses for the Treasurer's function so as to be able to adequately perform responsibilities.
<b>Records:</b>  Maintain current and past years accounting records in electronic or paper format to satisfy Chapter and IRS requirements. Records over 2 years should be stored off-site for the required timeframes.

Prepared By: Nick Saracco  
Date submitted: May 31, 2011

## IIA Chicago Chapter Board of Governors Responsibilities

<b>Position: Board of Governor</b>
<b>Responsible for:</b> <ul style="list-style-type: none"><li>• 3-year term commitment</li><li>• Attend majority of BOG monthly meetings (approximately 10 meetings per year)</li><li>• Review Board Decks and materials prior to the BOG monthly meetings.</li><li>• Provide governance and oversight to chapter; finance, training, operations, etc.</li><li>• Chair one of the chapter's committees</li><li>• See also the Chapter by-laws</li></ul>
<b>Estimated Hours per Month:</b> 2 hours (not including committee activities)
<b>Key Dates:</b> <ul style="list-style-type: none"><li>• Should attend each monthly meeting to provide governance and oversight to the chapter. Meeting dates and times released at the beginning of each fiscal year by the Chapter President.</li></ul>

Prepared By: Katie Witt

Date submitted: March 2, 2012