

**INTERAGENCY INTERNAL AUDIT AUTHORITY
OPEN SESSION MINUTES
OCTOBER 19, 2016**

The Interagency Internal Audit Authority (IIAA) met at 8:00 a.m., October 19, 2016, in the 2nd Floor Winchester Conference Room of Winchester Hall, 12 E. Church Street, Frederick, Maryland. Those present were:

IIAA Members: Chair Steve Darr, Vice Chair Shaun Jones, Eric Wu, Council President Bud Otis, David Bufter, and Colleen Cusimano

IA Staff: Tricia Griffis and Dawn Reed

FCC Staff: Bill Grutzkuhn

FCPS Staff: Amanda Baugher

FCG Staff: None

Contractors: None

External Auditors/Guests: None

Mr. Steve Darr, Chair, called the IIAA open meeting of October 19, 2016, to order at 8:09am.

Approval of Open Meeting Minutes – September 21, 2016

Mr. Shaun Jones made a motion to approve the open meeting minutes of September 21, 2016, as written and submitted, seconded by Mr. Bud Otis. Those present voted in favor with Mr. Steve Darr and Mr. David Bufter abstaining (Bob Kimble and Eric Wu absent for vote). The motion passes.

Status of Assignments

CLA:

Capital Improvement Project – Ms. Griffis said she sent out this report to the IIAA and has copies today as well. She said since she just received this report yesterday, we can vote via email after the IIAA has sufficient time to review. Ms. Griffis said she would like to have a vote before the next meeting so that the testing phase can begin. She said she will have the draft testing phase task order prepared as well.

Mr. Steve Darr said in the interest of full disclosure, he wanted to inform the IIAA that he has a client that has used CliftonLarsonAllen, LLP (CLA) in the past to provide accounting services, and may be in a position where he has to testify in related litigation. Mr. Darr said he would recuse/abstain himself from any future voting associated with CLA if that becomes necessary.

Risk Management Audit – Ms. Griffis said after she met with both the Finance Director and the Risk Management Director, it was noted that the worker's compensation piece of risk management has been mitigated and does not require in depth follow up as in previous years. She said other Division and Departments were not as concerned with the worker's compensation piece of the risk management as well. Ms. Griffis said she has pushed this audit back and has moved something else up which is the water and billing system/process.

Water & Sewer Billing System/Processes – Ms. Griffis said this has been on the risk assessment to do after one year of the new system being in place to test to see if it is working properly. Ms. Griffis said this would be the next audit she would have CLA perform.

SC&H:

ECC Staffing – Ms. Griffis said she is still waiting on management responses. She said she hopes to have them by the end of the week.

FCPS P-Card – Ms. Griffis said this report is finalized and will be posted to the website later today.

PII Planning Phase Audits (FCG, FCC, FCPS) - Ms. Griffis said the County will be first and that task order has been signed and approved and SC&H is already putting together surveys to send to each department. Ms. Griffis said she has received SC&H's cost estimate response to the planning phase task orders for FCC and FCPS and is distributing them to the IIAA for review and a vote to approve and issue.

Mr. Shaun Jones made a motion to approve Task Order #17-02, FCC Personally Identifiable Information Audit Planning Phase Task Order and Issue to SC&H, seconded by Mr. Eric Wu. All those present were in favor (Bob Kimble absent). The motion passes.

Mr. Shaun Jones made a motion to approve Task Order #17-03, FCPS Personally Identifiable Information Audit Planning Phase Task Order and Issue to SC&H, seconded by Mr. Eric Wu. All those present were in favor (Bob Kimble absent). The motion passes.

IA Special Projects:

DFRS Overtime and Staffing Analysis – Ms. Griffis said the draft is complete and with DFRS for review. She said once they review and send in their responses, she will review and then forward to the IIAA.

Misc. Follow Ups:

DFRS - Ms. Griffis said she continues to have monthly discussion with DFRS and has requested responses by December 31, 2016 on the open items from the Apparatus Repair and Maintenance Audit.

IIT Internet Security Audit - Ms. Griffis said IIT continues to work on the recommendations and she continues to meet with IIT monthly to go over their risk assessment and updates on the open items.

FCPS Purchasing – Ms. Griffis said one open recommendation remains from that audit and once FCPS' PeopleSoft upgrade is still in place, she will follow up.

FCG Salaried Management Terminations – Ms. Griffis said management is still working on their responses and has a meeting with HR and IIT scheduled for tomorrow.

FCG Towing – Ms. Griffis said she will schedule a meeting with Procurement and Contracting for review.

FCG P-Card – Ms. Griffis said she will schedule a meeting with Procurement and Contracting for review.

LOSAP – Ms. Griffis said she has received information and responses from Mr. Chip Jewell, which she is in the process of reviewing.

FCPS Payroll and Timesheet Controls – Ms. Griffis said she has received information and responses from Ms. Amanda Baugher, which she is in the process of reviewing.

Fraud Hotline

FCG: None

FCPS: None

FCC: None

Other Business

IIAA Resolution – Ms. Griffis said the Resolution is still in the County Executive's Office and still has not received any word on the status. It was discussed that Mr. Steve Darr and Mr. Shaun Jones will draft an email to the County Executive's Office requesting the status of the Resolution.

Risk Assessment – Ms. Griffis said she wanted to distribute for the IIAA to review and prepare to discuss and vote at the next meeting.

Contract Extension – Ms. Griffis said a Procurement Action Request was submitted to Procurement and Contracting requesting the extension.

At 9:03am: Mr. Steve Darr made a motion to end and adjourn the October 19, 2016 IIAA Meeting.

Respectfully Submitted,



Dawn Reed
Administrative Coordinator