The Institute of Internal Auditors, Inc., New York Chapter

Officer Role: Chapter President

RESPONSIBILITIES

The Chapter President Shall:

1. Serve as the executive head of the Chapter and, when present, shall preside at all meetings of the Chapter and of the Board of Governors.

2. Be responsible for the enforcement of the Bylaws of the Institute of Internal Auditors, Inc., and these Bylaws of the Chapter and the resolutions and proceeding of the Board of Directors of the Institute and of the Board of Governor of the Chapter.

3. Keep the Board of Governors of the Chapter fully informed of the affairs of the Chapter and shall consult with the President and the Board of Directors of the Institute and the Board of Governors of the Chapter, when necessary, concerning the business of the Chapter and its activities.

4. Serve as the main point of contact between the chapter and the District Representative (DR) and District Advisor (DA).

5. Serve as the main point of contact between the chapter and IIA Headquarters (HQ).

6. Preside at all meetings of the chapter, the board of governors, and the nominating committee.

7. Enforce the Bylaws of both The IIA and the chapter.

8. Review the Chapter’s Bylaws annually.

9. Appoint all chapter committee chairpersons and committee members, except as limited by the Chapter Bylaws.

10. Establish chapter goals based on input from other officers and committee chairpersons.

11. Identify and implement services for chapter members to serve the needs of the membership.

12. Ensure a succession plan by identifying future leaders for local and international positions.

13. Chair a transitional meeting at the end of the chapter year to transition outgoing and incoming officers.

14. Ensure a sound financial plan for chapter funds with the approval of the board or as authorized by the Chapter Bylaws.

15. Enforce the review of Chapter Leader Webinars by all chapter officers, if applicable.

16. Responsible for the following Committees:

   a. CAP Reporting Committee
   b. Chapter Audit Committee
   c. Volunteer Committee
   d. Nominating Committee
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Role: Executive Vice President

RESPONSIBILITIES

1. Perform the duties of the president in the absence or disability of the president.
2. Plan and organize Government Audit Conference, General Auditors Roundtable and Business and Industry events
3. Coordinate chapter events and meetings.
4. Advise and assist the president in staffing chapter committees.
5. Perform other duties as assigned by the president.
6. Responsible for the following Committees:
   a. Long Range Planning Committee
   b. General Auditors Roundtable
   c. Managers / Directors Roundtable
   d. Business and Industry and Special Events Committee
   e. Government Audit Conference
   f. Academic Relations Committee
   g. Student Events and Student Dinner Committee
   h. IA Education Partnership (IAEP) Committee
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Role: VP Professional Development

RESPONSIBILITIES

Maintain Speaker Database

1. Develop a list of members who have the desire and ability to speak on auditing or related topics. Committee files should contain biographical sketches of each speaker, including company affiliation and position, and topic preferences.
2. Utilize the Speaker Database maintained at IIA Global HQ which reflects topics and speakers as identified by chapters.
3. Encourage chapter members to identify potential speakers.
4. Arrange recognition of speakers through articles in chapter newsletters, recognition of speakers at meetings, on the Web site and through other media.

Program Development

5. Responsible for planning and organizing Annual Audit Seminar and Monthly Workshops.
6. Develop programs designed to assist members in improving their internal audit performance. The program should reflect:
   a. Topics related to internal auditing more so than sessions devoted to general business matters, economic conditions, etc.
   b. Member interest as determined by an effective means such as a survey.
7. Present the proposed program for the upcoming chapter year to the board of governors outlining topics, speakers, panel discussions, case studies, etc.
8. Make recommendations to the board of governors regarding workshop dates, locations, contracts with meeting facilities, and proposed fee structure for attendees.
9. After board approval, obtain/confirm speakers for each topic and submit the completed and confirmed program to the Chapter President.
10. Set a goal to have a preliminary program schedule for board approval by June 30th. This should coincide with the annual chapter organizational meeting.
11. Coordinate scheduling with other chapters in the district and obtain appropriate approval for all programs 6 CPE or longer so as not to conflict or compete with other local chapters or The IIA.

Workshop Management

12. Obtain speaker biographical data and pertinent information on the topic and forward this to the appropriate committee or person to advertise the event.
13. Confirm with the speaker the meeting date, time and place, and audiovisual equipment needs or special arrangements.
14. Receive and tabulate reservations for members and non-members attending each event.
15. Notify the management of the meeting facility of the number of persons expected to attend.
16. Coordinate information for name badges and consider special recognition of new members and special guests.
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17. Ensure A/V required by the speaker is available and working.
18. Ensure that room arrangements such as a head table, seating layout, and registration table are set up appropriately.
19. Serve as a host to speakers.
20. Analyze the evaluations of the program and provide input to the chapter president and board of governor.
21. Handle complaints. If food or service is poor, if facilities are uncomfortable, or if the speaker cannot be seen or heard from some of the table locations, take corrective action. Then report and make recommendations for improvement to the board of governors.
22. Maintain a record of attendance of those members requesting CPE credit and prepare the certificates.

Post Workshop

23. Share speaker information and attendance numbers with the CAP committee.
24. Maintain a file of records and correspondence to pass on to successor at the close of the chapter year.
25. Transmit the count of member and non-member attendees to the secretary and/or CAP chairperson for reporting purposes.
26. Develop and maintain evaluation processes to ensure needs of membership are met. Speaker ratings should be reported to IIA HQ through the CAP report.
27. Maintain a file of records and correspondence to be passed on to successor at the close of the chapter year.

Responsible for following Committees:

a. Annual Audit Seminar Committee
b. Workshops Committee
c. Luncheon Committee
Role: VP of Professional Services

RESPONSIBILITIES

Subscription

1. Maintain and administer the Chapter Subscription Plan
2. Keep records of the subscription monies received and arrange for prompt depositing of the same.
3. Maintain records of the use of subscription tickets by members through attendance of the Chapter Workshops and Seminars.
4. Report to the Board of Governors the status of subscriptions received and outstanding as well as the use of subscription tickets.

Newsletters

5. Produce regular issues of the chapter newsletter. Newsletter may be in printed or electronic format.
6. The newsletter should include items such as new members, committee reports, meeting announcements, seminars, chapter officers contact information, global updates, news from the profession, or any other information from chapter activities that would be of interest to the members.
7. Distribute the newsletter to members in a timely fashion so it will not only serve as news but as a reminder of the next chapter event and a summary of past events. Post to the chapter Web site.
8. Issues may be exchanged with leaders of other chapters.
9. Maintain a chronological file of all issues. Establish a review team to edit newsletters for accuracy prior to release.
10. Maintain a file of records and correspondence to pass on to successor at the close of the chapter year.
11. Encourage members to submit material for use in the Newsletter and other IIA publications, in particular, technical articles, and items of general interest to auditors for the Internal Auditor.
12. Encourage members to submit material for use in IIA specialty newsletters and information of particular interest to chief audit executives.
13. Encourage speakers at chapter meetings to submit manuscripts or articles to the committee.
14. Develop a program to present awards or special recognition to authors at chapter meetings.
15. Encourage suggestions and constructive criticism from members concerning IIA publications.

MAINTAINING CHAPTER WEBSITE and SOCIAL MEDIA

16. Maintain and administer the chapter Website as a repository of information that will create public awareness of the internal auditing profession, The IIA, the chapter and the
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accomplishments of its members designed to generate favorable interest in internal auditing and enhance the professional image of the chapter and the profession.

17. Keep the Website current and accurate.
18. Comply with all requirements set forth by The IIA, especially those related to privacy issues.
19. Implement appropriate safeguards over access to chapter and member data.
20. Recommend an advertising policy and a fee schedule.
22. Maintain LinkedIn and Twitter accounts of the Chapter and promote chapter activities including seminars, workshops, social events etc. and engage in dialog with members to obtain feedback.

Responsible for following Committees:

a. Newsletter Committee
b. Website Administration Committee
c. Group Subscriptions Committee
d. Social Media Committee (LinkedIn and Twitter)
e. Employment Advertising
Role: VP and Treasurer

RESPONSIBILITIES

Budget

1. Assist Chapter Officer to update their proposed chapter budget for the forthcoming year and to obtain approval of the board of governors at its first meeting of the chapter year.
2. Identify significant items included in the proposed chapter budget that require decision by the board of governors as to policy or major commitments.
3. Secure board of governors' approval for major budget deviations early in the chapter year.

Banking

4. Ensures proper separation of duties; that no single person has control over the entire cash process.
5. Administer bank accounts and manage cash flows.
6. Ensure banking transactions are performed with proper dual authorizations and records maintained.
7. Ensure monthly bank reconciliations are prepared/reviewed by an independent officer of the chapter (Someone with no treasury responsibilities or check signing authority.)
8. Suggest plans for investment or use of excess funds and investing surplus assets as approved by the board.

Safeguard of assets

9. Safeguard financial assets and physical assets of the chapter.
10. Maintain Custody of Chapter financial records, check books, deposit slips, bank records, expenditure approvals and invoices, tax records etc.

Payment Processing

11. Ensure that all expenses are properly authorized and, agree to the budget as approved by the Board.
12. Ensure vendor payments are approved as per the Chapter Treasury Manual and Chapter Compact and maintain records of approvals.

Receipts Processing

13. Verify, reconcile and record revenues with attendance or other reporting tools (Cvent, PayPal etc.). Collect outstanding receivables from chapter events.

Reporting

14. Responsible for all statutory reporting requirements including maintaining current articles of incorporation.
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15. Maintain proper accounting entries and records for all income and expenditure and reserve items during the financial year including
   a. Cash/Bank Register
   b. Bank Statements
   c. Bank Reconciliation Statements
   d. Journal Entries
   e. Monthly Statement of Income and Expenditures
   f. General Ledger
   g. Monthly Balance Sheet
   h. Monthly Statement of Budget vs Actual Financial Statements

16. Maintain proper tax records and ensure filing of Form 990 with the IRS by the applicable deadlines. Issue 1099 Forms for vendor payments above applicable limits and file 1099 Forms with IRS by applicable deadline.

17. Prepare a Board Financial Reporting package for every Board meeting.

18. Prepare periodic and annual financial reports including statement of cash flows for board approval.

19. Prepare an annual report and financial statement to be reviewed by independent group/person (Someone with no treasury responsibilities or check signing authority.) who is preferably a CIA or CPA.

Record Retention

20. Ensures that all financial statements and related records/vouchers are maintained for a period in accordance with the IIA records retention policy.

21. Coordinate with History Committee to ensure that records as mandated to be permanently maintained by federal, state, insurance companies and grantors are kept as permanent records. Examples are application for recognition of tax-exempt status, the determination letter recognizing tax-exempt status, and organizing documents (articles of incorporation and bylaws, with amendments, board minutes).

22. Maintain and update the Chapter Treasury Manual, as applicable.

Gifts and Awards

23. Establish and monitor chapter awards program. Inform chapter members of the awards made by the chapter and by the global organization.

24. Coordinate with Each Chapter officer nominations to identify individuals believed to meet the standards required for the various awards.

25. Provide nominations to Chapter President for final review and approval.

26. Coordinate / make arrangements to obtain awards/ plaques.

Internal Controls and Oversight

27. Ensuring proper segregation of duties and other internal controls are in place and operating for managing the chapter’s financial assets.

28. Ensuring adherence to the Treasurer’s Manual and Chapter Compact
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29. Coordinate with independent auditor and furnish accounting records, financial statements as necessary to ensure independent audit is completed each year and reported by the auditor to the Board.

30. At the termination of the Chapter Treasurers term of office, he/she shall turn over to the incoming Chapter Treasurer all funds, records, papers, books and documents and all other property of the Chapter having to do with the financial or other transactions or business of the Chapter which may have come into his/her possession or may have been compiled or created during their term of office.

Responsible for the following Committees:

a. Budget and Finance Committee
b. Gifts and Awards Gifts Committee
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Role: VP and Secretary

RESPONSIBILITIES

The Chapter Vice President and Secretary shall

1. Perform duties delegated by the Board of Governors as required by the Secretary of the Chapter.
2. Prepare, publish, and maintain all minutes of meetings of the board of governors and the chapter.
3. Maintain chapter membership records.
4. Coordinate publication and mailing lists for meeting notices, newsletters, and directory.
5. Establish communication flow concerning chapter member issues among all committees.
6. Perform as corresponding secretary for the chapter.
7. Notify each member of the Chapter of all meetings and shall do any and all other things normally required by a Chapter Vice President and Secretary to keep the officers and the Board of Directors of the Institute and the Board of Governors and the Chapter officers and members informed of the affairs of the Chapter.
8. Be responsible for Chapter recordkeeping. These duties include insuring that the Chapter archives are safe, secure and easily accessible.
9. Be responsible for assembling all current year Chapter records for placement in the Chapter archives.
10. Turn over to the incoming Vice President and Secretary all records, papers, books and documents and all other property of the Chapter which may have come into his/her possession or may have been compiled or created during his/her term of office, at the end of his/her term.
11. Responsible for the following Committees:
   a. Certification Committee
   b. Membership Committee
   c. Awards Dinner Committee
   d. History Committee
   e. Diversity Committee
   f. Social Committee
   g. Outreach Committee