

**INTERAGENCY INTERNAL AUDIT AUTHORITY  
OPEN SESSION MINUTES  
JANUARY 15, 2020**

The Interagency Internal Audit Authority (IIAA) met at 8:05 a.m., January 15, 2020, in the 2<sup>nd</sup> Floor Winchester Conference Room of Winchester Hall, 12 E. Church Street, Frederick, Maryland. Those present were:

IIAA Members: Chair Steve Darr, Shaun Jones, Nicole Prorock, Steve McKay, and Tom Lynch

IA Staff: Tricia Griffis and Dawn Reed

FCC Staff: Dana McDonald

FCPS Staff: Melissa Rollison

FCG Staff: Rick Harcum, Lori Depies and Melanie Thom

Contractors:

SC&H: Ed Mikhail, Brian Glazewski, and Matt Simons

CLA: Sean Walker and Cheri King

FNP: Steve Bohnel and Allen Etzler

Public: Ed Burrell, Karl Bickel, Eileen Benecke, Richard Kaplowitz, Mike Morse, Joe Berman, and Jo Harte

Mr. Steve Darr, Chair, called the IIAA open meeting of December 19, 2019, to order at 8:05am.

Approval of Agenda – January 15, 2020

**Mr. Shaun Jones made a motion to accept and approve the agenda for the January 15, 2020 meeting as presented and amended (January 13, 2020), seconded by Mr. Steve McKay. All present voted in favor (Lois Jarman absent). The motion passes.**

Approval of Open Meeting Minutes – December 15, 2019

**Mr. Tom Lynch made a motion to approve the open meeting minutes of December 15, 2019, seconded by Mr. Steve McKay. All present voted in favor with Shaun Jones abstaining (Lois Jarman absent). The motion passes.**

Status of Assignments

CLA:

FCG 287(g) – Ms. Griffis said the fieldwork for this audit is underway and CLA has been performing interviews and test work. She said CLA now has access to OnBase and is able to review financial invoices and see background throughout the general ledger. Mr. Sean Walker, CLA, said that progress is being made and getting close to going into full draft report mode. He said they have been out and met with the detention center employees as well as reviewing general ledger balances, invoices, and credit card receipts. Mr. Walker said he expects to have the draft report for the February meeting.

FCG Receipts Transactions – Ms. Griffis said a planning meeting was held last week and we now have a good outline of all the different areas that the County takes in receipts in one way or another. She said interviewing will be next and then onto the test work. Ms. Griffis said more meetings will take place, but for now, she has requested that CLA continue to concentrate on the 287(g) engagement as it is currently a high priority for the County.

SC&H:

FCG Internal Personally Identifiable Information - Ms. Griffis said the planning phase is complete and we are holding this audit to only a planning phase. She said we will not be moving forward with a testing phase as it has been concluded that the recommendations are the same as the external PII audit. Ms. Griffis said the planning phase memorandum is with our IIT group to put together their management responses. She said she expects to have their responses and a final report at the February meeting.

FCPS Timesheet Controls – Ms. Griffis said this audit and the entrance meetings will kick off in February. She said she wanted to give FCPS some time as they are busy getting W2s out to their employees.

Special Projects and Other Work:

DFRS Review of Fleet Funding - Ms. Griffis said the fleet funding review is still in process. She said she is still waiting on the Fleet Division to get back with their responses to the invoices she gave them. Mr. Rick Harcum said to notify him if responses were not given in a timely manner.

Towing – Ms. Griffis said she continues to track this on a monthly basis, however, she is very excited to announce that the Tow Oversight Committee has decided to move to a one beat rotation. She said she believes this will help ensure a more fair process for the towing companies going forward. Ms. Griffis said after January or February, once the “one beat” rotation has been in place, she will no longer be monitoring this project monthly.

Ms. Griffis said she will be meeting the Mayor of the City of Frederick regarding a request came in to take a look into the Community Action Agency funding/County funding.

Follow Ups:

Ms. Griffis said there hasn't been a big change in the status of the following follow ups.

- LOSAP is completing their guidelines and will be closed once they are received.
- FCG Payroll and Timesheet will be closed out as a new system is not going to be implemented at this time.
- FCG ECC Staffing and Overtime continues to have a need for positions, however, this audit will be closed out.
- FCG and FCPS PII still in process (expects early 2020).
- FCPS School Activity Funds is waiting on status from FCPS to close out.

Risk Assessments

Ms. Griffis said the County risk assessment along with FCPS is in draft (and confidential) and ready for review and discussion. The IIAA discussed the risk assessment and suggested some changes. After changes are made, further review and discussion will take place along with the level of risk placement, at the February meeting. Ms. Griffis said she expects to have FCC's risk assessment drafted for the February meeting.

Fraud Hotline

FCG: None

FCPS: 1

FCC: None

Other Business

Reminder of the MD Open Act Meeting training.

**At 9:12am, Mr. Steve Darr made a motion, seconded by Ms. Nicole Prorock, to close the open session and go into a closed session in accordance with:**

**Maryland Annotated Code Government Article §3-305 (b)(1) “To discuss the appointment, employment, assignment, promotion, discipline, demotion, compensation, removal, resignation, or performance evaluation of appointees, employees, or officials over whom this public body has jurisdiction; any other personnel matter that affects one or more specific individuals.” Those present voted in favor (Tom Lynch and Lois Jarman absent). The motion passes.**

**Topic: fraud hotline matters**

**At 9:31am, Mr. Steve Darr made a motion to end the closed session and return to an open session**

**At 9:34am, Mr. Steve Darr made a motion to end and adjourn the January 15, 2020 meeting.**

Respectfully Submitted,



Dawn Reed  
Administrative Coordinator