

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

Web Address: [HTTP://SIAAB.AUDITS.UILLINOIS.EDU](http://SIAAB.AUDITS.UILLINOIS.EDU)

MINUTES

Board Meeting – December 8, 2015

1:00 p.m.

CALL TO ORDER

A meeting of the State Internal Audit Advisory Board (SIAAB) was held at the Capital City Center, Room 104, Springfield, Illinois, with video conferencing available at the JRTC, Room 9-036, Chicago, Illinois. The meeting was called to order at 1:01 p.m. by Chair Gary Shadid in Springfield.

ROLL CALL

Members Present/Location:

Gary Shadid, (Chair) Illinois, Department of Agriculture – Springfield
Stephen Kirk, (Vice Chair), Department of Transportation – Springfield
Tracy Allen, Office of the Comptroller - Springfield
Debbie Abbott, Central Management Services – Springfield (departed at 1:35p)
Jane Hewitt, Department of Human Services - Springfield
Stell Mallios, Office of Secretary of State - Chicago
Leighann Manning, Office of the Treasurer – Springfield
H. Jay Wagner, Office of the Attorney General – Springfield
Julie Zemaitis, University of Illinois - Springfield

Members Absent:

None

Visitors Present:

None

MINUTES

The minutes for the November 10, 2015 SIAAB meeting were accepted after minor updates. Mr. Kirk made a motion to accept as amended, seconded by Ms. Manning. The motion passed unanimously, with Ms. Zemaitis abstaining due to not attending the prior meeting.

The minutes for the October 27-29, 2015 SIAAB conference were accepted after updates (added presenter affiliations to the minutes). Ms. Zemaitis made a motion to accept as amended, seconded by Mr. Wagner. The motion passed unanimously.

PUBLIC PARTICIPATION

None

REPORTS AND UPDATES

CPE Coordinator

Ms. Zemaitis stated one internal auditor completed the training and three are pending.

Quality Assurance Coordinator

Mr. Shadid stated the Department of Insurance submitted a late QAR notification. Their QAR was due on June 30, 2015; however, the Chief Internal Auditor position was vacant until last month.

FOIA Officer

Ms. Manning stated there were no new requests.

Guidance Coordinator

Mr. Wagner stated he received minimal feedback on the two exposure drafts (#05 Small Audit Functions, and #06 Pre-Implementation Reviews) and is presenting both as final to the Board.

Mr. Wagner recommended the Board adopt #05 – Conformance with the Standards and FCIAA for Small Audit Functions in the State of Illinois. Ms. Abbott motioned to accept, Mr. Kirk seconded. Motion passed unanimously.

Mr. Wagner recommended the Board adopt #06 – Pre-Implementation Reviews in the State of Illinois. Mr. Allen motioned to accept, Ms. Manning seconded. Motion passed unanimously.

Mr. Wagner provided a list of website resources he suggested be added to the resources page on the SIAAB web site as follows:

Resource Links

IIA's American Center for Government Auditing (ACGA): <https://acga.theiia.org>

Chicago IIA: <https://chapters.theiia.org/chicago>

Central Illinois IIA: <https://chapters.theiia.org/centralillinois>

ISACA Chicago Chapter: <http://www.isaca.org/chapters1/chicago/Pages/default.aspx>

Association of Certified Fraud Examiners (ACFE) Fraud Prevention Checkup:

<http://www.acfe.com/fraudpreventioncheckup.aspx>

Government Accountability Office (GAO) Center for Audit Excellence

<http://www.gao.gov/resources/centerforauditexcellence/overview>

State IA Employment Opportunities

Work 4 Illinois: <http://work.illinois.gov>

Mr. Kirk made the motion to add the links, Ms. Zemaitis seconded. Motion passed unanimously.

OLD BUSINESS

Fall Conference

Mr. Allen stated 34 of 140 attendees completed conference surveys. Overall, participants were satisfied with the conference and had some suggestions for next year. Mr. Kirk suggested perhaps reverting to paper surveys would improve participation.

Mr. Allen noted that IIA headquarters reimbursed ACGA Director Jim Pelletier for his expenses, so he will not request reimbursement from SIAAB.

August 2014 Comment Request for SIAAB to Adopt Public Rules

The request is still pending. Ms. Zemaitis suggested sending a follow-up request.

Record Retention

Ms. Abbott discussed several documents provided to the Board: an *Inventory Worksheet*, an *Application for Authority to Dispose of State Records*, and a suggested *State Internal Audit Advisory Board Public Records Management Tool*. Ms. Abbott suggested using the Tool for our retention schedule. Mr. Kirk stated we need to make sure everything we do is documented on the Tool, because anything not on a set retention schedule must be retained forever.

Discussion with New Auditor General

Mr. Shadid noted the new Auditor General (Frank Mautino) was sworn in on December 7, 2015.

Mr. Shadid suggested removing staffing issues from list of items to discuss with the incoming Auditor General. Mr. Kirk suggested leaving everything on the table. Ms. Hewitt suggested inviting the new Auditor General to the Spring Chief Internal Auditor Roundtable, if one is held.

Mr. Kirk suggested giving the new Auditor General some time to settle in, extend a message of congratulations, express a desire to meet with him, and welcome him to our meetings.

NEW BUSINESS

None

ANNOUNCEMENTS

The next regular meeting is scheduled for January 12, 2016, at 1:00 p.m. The meeting will be at 500 ½ Stratton Building in, Springfield, Illinois (the normal venue is not available). For those attending via video conference in Chicago, Room 9-036 of the JRTC will be reserved.

ADJOURNMENT

A motion to adjourn was made by Mr. Kirk, seconded by Ms. Hewitt. Motion carried unanimously. Meeting adjourned at 2:02 p.m.