

**STATE OF ILLINOIS**  
**INTERNAL AUDIT ADVISORY BOARD**

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

**MINUTES**

**Board Meeting – May 9, 2017**

**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 1:00 p.m. by Vice Chair Jay Wagner in Springfield. He welcomed all new members.

**ROLL CALL**

**Members Present/Location:**

H. Jay Wagner (Vice Chair), Office of the Attorney General – Springfield  
Jack Rakers, Central Management Services - Springfield  
Eric Williamson, Proxy for Leighann Manning, Office of the Treasurer – Springfield  
Stephen Kirk, Department of Transportation - Springfield  
Stell Mallios, Office of the Secretary of State – Chicago  
Amy DeWeese, Department of Human Services – Springfield  
Jamie Nardulli, Department of Healthcare and Family Services – Springfield  
Brent Nolen, Illinois State Police – Springfield  
Melissa Oller, Illinois State Board of Education – Springfield

**Members Absent:**

Tracy Allen (Chair), Office of the Comptroller  
Julie Zemaitis, University of Illinois

**Visitors Present:**

None.

**MINUTES**

The minutes for the May 9, 2017 SIAAB meeting were accepted with minor revisions. Mr. Kirk made a motion to accept, seconded by Mr. Rakers. The motion passed with one abstention.

## **PUBLIC PARTICIPATION**

None.

## **REPORTS AND UPDATES**

### **CPE Coordinator**

Mr. Wagner stated that Ms. Zemaitis uploaded a CPE Coordinator Update reporting the completed and pending course activity over the past month.

### **Quality Assurance Coordinator**

Mr. Wagner presented the following over Quality Assurance Reviews (QAR):

Western Illinois University - is requesting an SAIV with Leigh Moon meeting the qualifications as independent validator. Ms. DeWeese motioned to accept proposal, seconded by Mr. Rakers the motion passed unanimously.

Department of Human Services – completed their QAR on June 9, 2016. They generally conformed with standards. Ms. Nardulli motioned to accept QAR, seconded by Ms. Oller. The motion passed with one abstention.

Mr. Wagner requested one minor change to the Quality Assurance Review Process document on the 1<sup>st</sup> page 2<sup>nd</sup> paragraph to set the due date at five years from the date of the prior QAR report. Mr. Kirk motioned to accept the change, seconded by Mr. Rakers the motion passed unanimously.

### **FOIA Officer**

Mr. Williamson stated there was nothing to report.

### **Guidance Coordinator**

Mr. Kirk stated there are no new inquiries.

## **OLD BUSINESS**

### **FCIAA Committee**

Mr. Kirk stated that the FCIAA Committee met after the Spring SIAAB Chief Internal Auditor's Roundtable. There was a discussion about who should present any proposals to the OAG. It was stated that the OAG was open to various ideas, but there was no commitment. The guidance recommendation seemed to be liked the most, but there was some concern that the OAG could hold agencies to SIAAB recommended guidance. Mr. Kirk asked if it was okay to get in touch with Ms. Clark at the OAG to keep her in the loop.

## **NEW BUSINESS**

### **Conference Coordinator's report**

Mr. Wagner asked if there were any changes to the minutes from the Spring SIAAB Chief Internal Auditors Roundtable. There were none. Mr. Nolen motioned to accept the minutes, seconded by Ms. Oller. The motion passed unanimously.

### **Fall Conference Speakers**

Mr. Wagner stated that he has reached out to John Wszelaki to see if the American Center for Government Auditing would be able to provide a speaker. Mr. Wszelaki confirmed that he would send a representative.

Additionally, he stated that the Attorney General's Office is working on bringing a speaker as well.

### **Bylaw Changes**

Mr. Wagner stated that there was a role of Recording Secretary that while previously has been done was not formally a position on the Board. He introduced changes recognize the Recording Secretary position. There was a minor change to the language. Mr. Kirk motioned to accept, seconded by Ms. Nardulli the motion passed unanimously.

There was a discussion on proration of continuing professional education (CPE). There was consensus that an auditor should not be prohibited from auditing if they fall out of compliance. Rather, if supervision is not possible (i.e., such as one-person audit functions), they should disclose the nonconformance. No final decisions were made, and Mr. Wagner said he would prepare alternative language to discuss at the next meeting.

## **ANNOUNCEMENTS**

The next regular meeting is scheduled for June 13, 2017, at 1:00 p.m. The meeting will be at the Capital City Center's Video Conference Room #104, 130 West Mason, Springfield, Illinois. For those attending via video conference in Chicago, Room 9-036 of the James R. Thompson Center (JRTC), 100 W. Randolph St., will be reserved.

## **ADJOURNMENT**

A motion to adjourn was made by Mr. Kirk, seconded by Ms. DeWeese. Motion carried unanimously. Meeting adjourned at 1:39 p.m.