

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

SIAAB Fall Conference Chief Internal Auditor Roundtable – October 25, 2018
8:00 A.M.

CALL TO ORDER

A Chief Internal Auditor Roundtable meeting hosted by the State Internal Audit Advisory Board (SIAAB) was held at the Northfield Center in Springfield, Illinois on October 25, 2018. The meeting was called to order at 8:00 A.M. by SIAAB Chair Leighann Manning.

INTRODUCTIONS

Each participant of the roundtable made an introduction including their name and agency represented.

MEETING TOPICS

1) Department of Innovation and Technology (DoIT)

Mr. Doug Tinch, Chief Internal Auditor for the Department of Innovation and Technology, provided a brief synopsis of the history of DoIT and its organizational structure and the effect of this on other agencies.

Open discussions included the following topics:

- Summary of the Illinois Office of the Auditors Service Organization Control Report released for DoIT on August 15, 2018. Agencies should document review of service organizations SOC reports.
- Currently there is no plan to reassign IT auditors to DoIT under the consolidation. DoIT perceives the functionality of applications to be the responsibility of the agencies.
- Although Chief Information Officers (CIO) are located within the agencies, they are employees of DoIT. There are currently six cluster CIO's.
- Concern regarding whether DoIT serves as a service organization to other state agencies. In addition, concern expressed regarding the adequacy of services provided by DoIT.

2) Staffing and Management changes for the Illinois Office of the Auditor General

3) New SIAAB Members

4) QAR Process Changes Discussion

- SIAAB has reviewed the process for notifying agencies of late QARs. Moving forward, the Board will send notices to all agencies once their QAR is at least one year past due. The letter will contain all facts surrounding the cause that the QAR is outstanding.
- SIAAB will begin a new process of sending notices to agencies that are approximately eighteen months out from their QAR Due Date. These letters will be sent each year when the SIAAB QAR Coordinator is appointed.

5) IT Project Monitoring

- Reminder that a risk assessment worksheet is available on the SIAAB website to assist Audit shops with assessing whether projects are major or minor and to document the review of new major IT projects in accordance with the Fiscal Control and Internal Auditing Act (FCIAA).

6) CPE Policy

- SIAAB is working on a proposal of changes for Article II, Section V of the Bylaws regarding Continuing Education Requirements, to correlate with the new GAO, Government Auditing Standards: 2018 Revision.

7) Determining Risk Appetite

- Executive Management determines the acceptable level of risk for an agency. Management responds to audit findings and also chooses whether to accept the risk of not taking action or to implement corrective action for issues noted.

8) Discussion of Agencies without a Chief Internal Auditor

- CMS is currently providing audit services to some agencies that do not have a Chief Internal Auditor (CIA).

ADJOURNMENT

The meeting was adjourned at 12:00 P.M. by SIAAB chair Leighann Manning.