

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting – May 14, 2019

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 Chair Julie Zemaitis in Springfield.

ROLL CALL

Members Present/Location:

Julie Zemaitis (Chair), University of Illinois – Springfield
H. Jay Wagner (Vice Chair), Office of the Attorney General – Springfield
Leighann Manning, Office of the Treasurer – Springfield
Gary Shadid, Illinois Office of the Comptroller – Springfield
Rex Crossland, Department of Employment Security – Springfield
Amy De Weese, Department of Human Services – Springfield
Brent Nolen, Illinois State Police – Springfield
Natalie Covello, Department of Commerce and Economic Opportunity – Chicago – Video Conference
Stell Mallios, Office of the Secretary of State – Chicago – Video Conference
Denise Caldwell, Proxy for Jack Rakers, Department of Central Management Services – Springfield

Members Absent:

Jack Rakers, Department of Central Management Services (Notified Chair)
Jamie Nardulli, Department of Health and Family Services

MINUTES

A motion to approve the minutes for the April 9, 2019 SIAAB meeting was made by Mr. Crossland. The motion was seconded by Mr. Shadid. The motion passed.

PUBLIC PARTICIPATION

There was no public participation.

REPORTS AND UPDATES

CPE Coordinator

Ms. Zemaitis reported that there were two completions for the SIAAB on-line training course since the last Board meeting and no pending registrations.

Quality Assurance Coordinator

Mr. Wagner reported that a Team Request was submitted for Chicago State University. Mr. Wagner made a motion to accept the Team Request. The motion was seconded by Mr. Crossland. The motion passed.

Mr. Wagner reported that a second Team Request was submitted by the Department of Commerce and Economic Opportunity. Mr. Wagner made a motion to accept the Team Request. The motion was seconded by Mr. Crossland. Ms. Covello abstained. The motion passed.

Mr. Wagner reported that six Quality Assurance Reviews are currently past due. He has proposed that letters be withheld if the agency is actively working to complete the Quality Assurance Review. For agencies that have QARs past due and are not actively engaged in completing their QAR, Mr. Wagner will draft notification letters for the Board to review.

FOIA Officer

Ms. Manning stated there was nothing to report.

Ms. Zemaitis noted that Ms. Manning completed the annual training provided by the Illinois Office of the Attorney General under the Freedom of Information Act and Open Meetings Act. The annual training is required by state statute and SIAAB bylaws for the FOIA Officer and Assistant FOIA Officer. Ms. Manning has provided her certificate. Ms. Zemaitis noted that she has not received notice from Mr. Rakers of his completion of the annual training.

Guidance Coordinator

Ms. Manning stated there is nothing to report.

Conference Coordinator

Mr. Wagner confirmed the 2019 SIAAB Fall conference date with Northfield Center. In addition, Mr. Wagner has placed the banquet event order and established a lodging rate of \$85 per night.

Mr. Wagner made a motion to accept the banquet event order and the lodging rate of \$85 per night. Mr. Shadid seconded the motion. The motion passed.

Mr. Wagner also confirmed with Northfield Center conference dates of October 22 through 24, 2024. Mr. Wagner made a motion to accept the dates established for the 2024 conference. The motion was seconded by Ms. De Weese. Mr. Crossland and Mr. Nolen abstained. The motion passed.

Mr. Wagner proposed a member rate for the 2019 conference to remain at \$99 and to increase the non-member rate to \$125, noting that only 16% of 2018 attendees were non-members, and explaining that the State should have a cost advantage as a result of paying membership dues. Mr. Wagner made a motion to accept the rates for the 2019 Fall SIAAB Conference. The motion was seconded by Mr. Crossland. The motion passed.

Mr. Wagner reported that a survey was sent to obtain feedback for planning of the 2019 conference. Mr. Wagner reported that speaker Raven Catlin had positive feedback and was the most requested speaker. He contacted Ms. Catlin and confirmed that she was available to speak during the conference at a rate of \$750 per hour. Mr. Wagner also noted that he is working to schedule other speakers.

OLD BUSINESS

FCIAA Checklists

Mr. Shadid stated that the Illinois Office of the Comptroller is currently considering possible revisions to the Statewide Accounting Management System (SAMS) Manual and that the revisions to the FCIAA checklist have been put on hold until he can confirm if there will be changes to the SAMS Manual.

Draft Changes to FCIAA

Mr. Crossland stated that there has been no activity regarding the draft changes to FCIAA for the past 6 to 8 weeks. Ms. Caldwell stated that Mr. Rakers asked her to report that he is not actively pursuing the draft FCIAA changes.

Spring Chief Internal Auditor Round Table

The planning of a Spring Chief Internal Auditor Round Table has been put on hold until the Internal Auditor Classification Series workgroup completes the revision to the series.

Internal Auditor Position Series

Mr. Crossland reported that a workgroup was formed including Theresa Smith - Department of Central Management Services (CMS), Mark Mahoney - CMS, Nikki Lanier - Department of Revenue, Jack Rakers – CMS, Nick Barnard – Department of Aging, and Darick Clark –

Department of the Lottery. Ms. De Weese inquired about the representation of the members of the workgroup and felt that it would be beneficial if one participant in the workgroup could represent larger agencies with Union employees. Mr. Crossland invited Ms. De Weese to join the workgroup. Ms. De Weese agreed to participate in the work group.

Mr. Crossland reported that the workgroup met on Friday, May 10TH. During the meeting, Ms. Smith reported that the Department of Central Management Services obtained the draft Internal Auditor Classification Series from Mr. Rakers and followed protocol to distribute the proposal to the agencies for comment. Ms. Smith reported that CMS has not yet reviewed the feedback received. Mr. Crossland suggested sending a coordinated survey to obtain additional feedback from Chief Internal Auditors, however Ms. Smith does not want to perform activities outside of CMS protocol. The workgroup discussed FCIAA and the history of the Internal Audit function within the State of Illinois including the Illinois Office of Internal Audit (IOIA) and common concerns regarding the Internal Auditor Classification Series. Ms. Smith and Mr. Mahoney stated that once CMS had an opportunity to review the feedback received regarding the Internal Auditor Classification Series, CMS would contact the members of the workgroup to reconvene.

Mr. Shadid proposed that the SIAAB Chairman contact CMS and request that draft documents that are provided to the workgroup also be provided to SIAAB. Ms. Zemaitis stated that it is her understanding that once the workgroup develops a new draft of the Internal Auditor Classification Series, it will be shared with the agencies for comment.

NEW BUSINESS

Confidentiality and Independence Statements

Ms. Covello submitted her confidentiality and independence statements to the Board. Mr. Wagner made a motion to accept the statements. The motion was seconded by Mr. Nolen. Ms. Covello abstained. The motion passed.

ANNOUNCEMENTS

The next regular meeting is scheduled for June 11, 2019, 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. Nolen, seconded by Mr. Crossland. Motion carried unanimously. Meeting adjourned at 2:26 P.M.