

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting – September 10, 2019
1:00 p.m.

CALL TO ORDER

A meeting of the State Internal Audit Advisory Board (SIAAB) was held at the William G. Stratton Building, 401 South Spring Street, Video Conference Room 500 1/2, 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
Amy De Weese, Department of Human Services – Springfield
Jack Rakers, Department of Central Management Services, Springfield
Jamie Nardulli, Department of Health and Family Services, Springfield
Rex Crossland, Department of Employment Security – Springfield
Brent Nolen, Illinois State Police - Springfield

Members Absent:

Stell Mallios, Office of the Secretary of State – (Notified Chair)
Natalie Covello, Chicago State University - (Notified Chair)

MINUTES

A motion to approve the minutes for the August 13, 2019, SIAAB meeting was made by Ms. Nardulli. The motion was seconded by Mr. Nolen. Mr. Rakers, Mr. Crossland and Ms. Manning were not present for the vote. The motion passed.

PUBLIC PARTICIPATION

Terry Glavin, Department of Central Management Services – General Counsel

REPORTS AND UPDATES

CPE Coordinator

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

Quality Assurance Coordinator

Mr. Wagner reported that the Board received a completed QAR from the State Toll Highway Authority and made a motion for the Board to accept the QAR. The motion was seconded by Mr. Nolen. The motion passed. Mr. Wagner also reported that the Department of Veterans Affairs (DVA) and Chicago State University (CSU) both recently hired new Chief Internal Auditors (CIA). The CIA for DVA requested a one-year extension to complete the QAR that is currently due. Mr. Wagner proposed that the Board reassess progress regarding completion of the QARs for DVA and CSU in July 2020.

FOIA Officer

Ms. Manning stated there was nothing to report. Ms. Manning did state that the Illinois Office of the Treasurer is moving locations and she noted that she is in possession of physical files containing QARs submitted to SIAAB. Ms. Manning will review the record retention requirements for maintaining these physical files and will report the results at the next Board meeting.

Guidance Coordinator

Ms. Manning stated that the guidance regarding internal assessments has been provided to the Board for review. Mr. Wagner made a motion to send the exposure draft to all Chief Internal Auditors. The motion was seconded by Mr. Crossland. The motion passed. Mr. Wagner intends to incorporate responsive feedback prior to presenting as a discussion point at the upcoming Chief Internal Auditor (CIA) Roundtable.

Conference Coordinator

Mr. Wagner reported that all speaker time slots have been filled and that the draft agenda for the 2019 SIAAB Fall Conference was provided to the Board for review. Mr. Crossland made a motion to accept the brochure and to approve dissemination of the brochure. The motion was seconded by Mr. Shadid. The motion passed.

Mr. Wagner also reported that Tracy Allen has agreed to facilitate the IT Roundtable for the 2019 SIAAB Fall Conference. In addition, Mr. Wagner noted that the Roundtable brochure was provided to the Board for review. Ms. Manning made a motion to accept the brochure as presented

and to approve dissemination of the brochure. Ms. Nardulli seconded the motion. The motion passed.

OLD BUSINESS

FCIAA Checklists

Mr. Shadid stated that there is nothing to report.

Draft Changes to FCIAA

Mr. Rakers stated that there is nothing to report.

Internal Auditor Position Series

Mr. Crossland stated that there is nothing to report.

Meeting Location

Mr. Wagner stated that beginning in November 2019 the Chicago location for the SIAAB Board meetings will change to JRTC 09-035.

SIAAB Bylaw Change - Continuing Education Requirements

Mr. Wagner reported that the exposure draft was sent to the Chief Internal Auditors and that feedback is currently being incorporated into the draft which will be presented as a discussion topic for the CIA Roundtable discussion at the 2019 SIAAB Fall Conference.

OAG Audit Guide

Ms. Zemaitis reported agencies may request a copy of the 2019 Audit Guide from Jane Clark at the Office of the Auditor General (OAG).

NEW BUSINESS

Attorney General Opinion 19-001

Ms. Zemaitis stated that there were two purposes for including the Attorney General Opinion 19-001 on the agenda. First, for informational purposes to fulfill SIAAB's advisory role as a resource to CIA's to provide relevant information regarding the Fiscal Control and Internal Auditing Act (FCIAA). Second, regarding the Board's coordination of QARs for State agencies, whether the Attorney General Opinion had any impact on SIAAB's acceptance of the QARs for the designated state agencies.

Mr. Wagner reported that he communicated with the Institute of Internal Auditors regarding the Board's role in accepting QAR reports submitted under the purview of Attorney General Opinion

19-001. It was determined that because a separate report was issued for each of the agencies affected by the Opinion, no further action is considered necessary and the Board's action in accepting the reports was warranted.

Mr. Glavin, General Council for the Illinois Department of Central Management Services (CMS), thanked the Board for the opportunity to address the Attorney General Opinion 19-001. Mr. Galvin stated that it is CMS' intent to be supportive in assisting and facilitating the designated agencies in filling the vacant Chief Internal Auditor positions and in their need to implement a full-time program of internal auditing. CMS will continue its role as a resource and support function to perform audits for the designated agencies while they are pursuing compliance with FCIAA and the Attorney General Opinion.

ANNOUNCEMENTS

The next regular meeting is scheduled for October 8, 2019, at 1:00 p.m. The meeting will be at the William G. Stratton Building, 401 South Spring Street, Video Conference Room 500 ½, 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. Crossland, seconded by Mr. Wagner. Motion carried unanimously. Meeting adjourned at 1:23 P.M.