

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting – December 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 9-035, 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
Jack Rakers, Department of Central Management Services – Springfield
Brent Nolen, Illinois State Police – Springfield
Rex Crossland, Department of Employment Security – Springfield
Natalie Covello, Chicago State University – Video Conference, Chicago
Stell Mallios, Office of the Secretary of State – Video Conference, Chicago

Members Absent:

Gary Shadid, Illinois Office of the Comptroller – (Notified Chair)
Amy De Weese, Department of Human Services – (Notified Chair)
Jamie Nardulli, Department of Healthcare and Family Services

MINUTES

A motion to approve the minutes for the November 12, 2019 SIAAB meeting was made by Mr. Wagner. The motion was seconded by Ms. Manning. Mr. Nolan abstained. The motion passed.

PUBLIC PARTICIPATION

There was no public participation.

REPORTS AND UPDATES

CPE Coordinator

Ms. Zemaitis reported that there have been three completions and two pending registrations for the SIAAB on-line training course since the last Board meeting.

Ms. Zemaitis also reported confirmation that the Board's CPE sponsor license is active through December 31, 2019 and is on track for renewal. She noted that the renewal will be verified in January and that no CPE certificates should be awarded without it.

Quality Assurance Coordinator

Mr. Wagner reported that a Team Request was submitted for the State Fire Marshal. Ms. Manning made a motion to approve the request, seconded by Mr. Crossland. The motion passed.

After an inquiry by Chicago State University, Mr. Wagner recommended, with general agreement, that the standard report and matrix templates could be used to for subsequent external quality assurance reviews. Standards that received a Generally Conforms during the initial review could be marked N/A so that only those Standards that received a Partially or Does Not Conform would be assessed during the subsequent review. The subsequent review in this case would not extend the due date of the next external assessment.

FOIA Officer

Ms. Manning reported that there have been no FOIA requests.

A review of SIAAB records for disposal will commence during 2020.

Guidance Coordinator

Mr. Wagner reported that *Draft Guidance #9 – Internal Assessments* only received feedback from one chief internal auditor commending the draft. Mr. Nolan made a motion for immediate adoption, seconded by Mr. Rakers. The motion passed.

Conference Coordinator

Mr. Wagner reported that there were no updates.

OLD BUSINESS

FCIAA Checklists

Ms. Zemaitis stated that Mr. Shadid reported progress on the checklists.

Internal Auditor Position Series

Mr. Crossland stated that there was no update to report.

SIAAB Bylaw Change - Continuing Education Requirements

Ms. Zemaitis recommended deleting the Enrolled Agent (EA) and the Personal Financial Specialist (PFS) certifications from the proposed revision of SIAAB Bylaw 2.5.2 allowing CPE for passing of examinations and performance of peer reviews. Mr. Wagner reported no other feedback from Chief Internal Auditors. Mr. Crossland made a motion to approve with the recommended changes, seconded by Mr. Rakers. The motion passed. The revisions to the Bylaws are effective January 1, 2020.

Spring 2020 CIA Roundtable

Mr. Wagner reported that he will begin identifying the venue and date for the Spring Chief Internal Auditor Roundtable session.

2020 SIAAB Position Nominations and Elections

Mr. Wagner stated that 2020 SIAAB nominations will be discussed at the January 2020 Board meeting.

NEW BUSINESS

SIAAB Bylaw Change – Reciprocal Review

Mr. Wagner presented a proposed revision to Bylaw 3.4.3 Review Teams. The revision would allow the Board to make determinations in allowing quality assurance reviews in cases where internal audit staff have changed significantly eliminating independence issues. Mr. Crossland motioned to approve, seconded by Mr. Nolan. The motion passed.

ANNOUNCEMENTS

The next regular meeting is scheduled for January 14, 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 9-035 of the James R. Thompson Center (JRTC), 100 W. Randolph St., will be reserved.

ADJOURNMENT

A motion to adjourn was made by Ms. Manning, seconded by Mr. Wagner. Motion carried unanimously. Meeting adjourned at 1:30 P.M.