

State Internal Audit Advisory Board - Public Records Management Tool

Ref #	Description of Public Record (5 ILCS 140/3.5)	Immediately Available (Yes / No) (5 ILCS140/ 3.5) (Note: Immediately Available Records can be found on SIAAB website)	Record Retention Period
1 Board Membership			
1a	Listing of Members	Yes	5 years
1b	Member Appointment Letters	No	5 years
1c	Listing of Officers, Coordinators, Special Assistants	No	5 years
2 Board Meetings			
2a	Calendar of Regular Meetings	Yes	5 years
2b	List of Special Meetings	Yes	5 years
2c	Agendas for Meetings	Yes	5 years
2d	Minutes and Attendance of Board, Executive Committee, and Performance Committee Meetings (Executive and Performance Committees were discontinued as of June 9, 2010)	Yes	5 years
2e	Letters of Notification for Lack of Attendance at SIAAB meetings	No	5 years
2f	Board Member Delegation Notifications	No	5 years
3 Policies & Procedures: General			
3a	Current Bylaws & Amendments	Yes	7 years
4 Policies & Procedures: Quality Assurance/Self Assessment with Independent Validation			
4a	Online Quality Assurance Review Training Program Registration Form (blank)	Yes	7 years
4b	Online Quality Assurance Review Training Program Course Outline	Yes	7 years
4c	Online Quality Assurance Review Training Program Course Evaluation Form (blank)	Yes	7 years
4d	Request for Quality Assurance Team Approval Form (blank)	Yes	7 years
4e	Quality Assurance Confidentiality Policy/Commitment form (blank)	Yes	7 years
4f	Quality Assurance Statement of Independence Form (blank)	Yes	7 years

State Internal Audit Advisory Board - Public Records Management Tool

Ref #	Description of Public Record (5 ILCS 140/3.5)	Immediately Available (Yes / No) (5 ILCS140/ 3.5) (Note: Immediately Available Records can be found on SIAAB website)	Record Retention Period
4g	Internal Audit Quality Assurance Review Program (Instructions, Questionnaires, Sample Letters, etc.) (blank)	Yes	7 years
4h	Quality Assurance Matrix (blank)	Yes	7 years
4i	Quality Assurance Frequently Asked Questions	Yes	7 years
4j	External Quality Assurance or Self-Assessment with Independent Validation Report Template (blank)	Yes	7 years
4k	SIAAB Quality Assurance Coordination Checklist (Previously known as Performance Committee's Quality Assurance Review Procedures) (blank)	Yes	7 years
5	Policies & Procedures: Subsequent Review for External Assessment or Self Assessment with Independent Validation		
5a	External Assessment and Independent Validator Subsequent Review Process	Yes	7 years
5b	Summary of External Assessment and Independent Validation Subsequent Review Template (blank)	Yes	7 years
5c	Summary of External Assessment and Independent Validation Subsequent Review Example (blank)	Yes	7 years
6	Files: Quality Assurance		
6a	Request for Quality Assurance Team Member Approval with Team Statement(s) of Independence and Confidentiality Policy / Commitment	No	7 years
6b	Requests for Modification/Extension of Quality Assurance Review Periods	No	7 years
6c	Review Team Exceptions	No	7 years
6d	Internal Audit Department's Quality Assurance Matrix	No	7 years
6e	Internal Audit Department's Quality Assurance Summary memo and/or supporting documentation	No	7 years
6f	Internal Audit Department's Quality Assurance Report	No	7 years
6g	SIAAB Quality Assurance Project Coordination Checklist (Previously known as Performance Committee's Quality Assurance Review Procedures)	No	7 years
6h	Quality Assurance Transmittal Letters & related documents	No	7 years

State Internal Audit Advisory Board - Public Records Management Tool

Ref #	Description of Public Record (5 ILCS 140/3.5)	Immediately Available (Yes / No) (5 ILCS140/ 3.5) (Note: Immediately Available Records can be found on SIAAB website)	Record Retention Period
6i	Quality Assurance Monitoring Schedule	No	7 years
6j	Completed Statements of Independence forms for Special Assistants & Board Members	No	7 years
6k	Completed Confidentiality Policy / Commitment forms for Special Assistants & Board Members	No	7 years
7 CPE: Online Quality Assurance Training			
7a	Online Quality Assurance Review Training Program Registrations	No	5 years
7b	Online Quality Assurance Review Training Program Lessons	No	5 years
7c	Online Quality Assurance Review Training Test Questions	No	5 years
7d	Online Quality Assurance Review Training Program Scoring Key (Test Answers)	No	5 years
7e	Online Quality Assurance Review Training Program Course Evaluations	No	5 years
7f	CPE Awarded	Yes	5 years
7g	List of Individuals who have completed Online Quality Assurance Review training	No	5 years
8 CPE: Board Annual Conferences			
8a	Conference Agendas	Yes	5 years
8b	Conference Minutes	Yes	5 years
8c	Conference Correspondence	No	5 years
8d	Conference Handouts	No	5 years
8e	Conference Evaluation Forms	No	5 years
8f	Conference Evaluations Summary	No	5 years
8g	Registration List	No	5 years
8h	Attendance Sheets	No	5 years

State Internal Audit Advisory Board - Public Records Management Tool

Ref #	Description of Public Record (5 ILCS 140/3.5)	Immediately Available (Yes / No) (5 ILCS140/ 3.5) (Note: Immediately Available Records can be found on SIAAB website)	Record Retention Period
8i	CPE Awarded	No	5 years
9 CPE: Other			
9a	Interpretation of CPE Activities	No	5 years
9b	Exceptions Granted for CPE Requirements	No	5 years
9c	CPE Sponsor License from IL Dept of Financial & Professional Reg.	No	5 years
9d	IIA Authorization to Reprint	No	5 years
10 Public Access Information			
10a	Freedom of Information Act– related files	No	5 years
10b	Open Meeting Act – related files	No	5 years
10c	Description of Internal Audit Advisory Board	Yes	5 years
10d	List of Public Records Maintained by the Internal Audit Advisory Board	Yes	5 years
10e	FOIA & OMA training certificates	No	5 years
11 Files: Miscellaneous			
11a	Application for Authority to Dispose of State Records (Schedule of Destruction)	No	Permanent
11b	Record Disposal Certificate	No	Permanent
Other Authoritative Resources Utilized by SIAAB			
a	Illinois Fiscal Control and Internal Auditing Act	n/a	n/a
b	Institute of Internal Auditors International Standards for the Professional Practice of Internal Auditing (Standards)	n/a	n/a
c	Institute of Internal Auditors Code of Ethics	n/a	n/a
d	Institute of Internal Auditors Definition of Internal Auditing	n/a	n/a

State Internal Audit Advisory Board - Public Records Management Tool

Ref #	Description of Public Record (5 ILCS 140/3.5)	Immediately Available (Yes / No) (5 ILCS140/ 3.5) (Note: Immediately Available Records can be found on SIAAB website)	Record Retention Period
e	Institute of Internal Auditors Practice Advisories (applicable portions identified in SIAAB Quality Assurance Matrix)	n/a	n/a
f	Governmental Auditing Standards (applicable portions identified in SIAAB Quality Assurance Matrix)	n/a	n/a
g	Illinois Freedom of Information Act	n/a	n/a
h	Illinois Open Meetings Act	n/a	n/a
i	Illinois State Records Act	n/a	n/a
j	State of Illinois Identity Protection Act	n/a	n/a
k	Personal Information Protection Act	n/a	n/a

Approved May 12, 2010

Revised August 11, 2010 for retention periods

Revised May 24, 2011 for CPE Awarded availability