

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting, September 8, 2010

10:00 a.m.

CALL TO ORDER

The regularly scheduled 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 9-035, Chicago, Illinois. Due to connectivity issues, the meeting was called to order at 10:12 a.m. by Julie Zemaitis, Chair. The meeting was recorded for subsequent transcription of the minutes.

ROLL CALL

Members Present/Location

Julie Zemaitis (Chair), University of Illinois – Springfield

Lesslie Morgan (Vice Chair), Office of the Attorney General – Springfield

Rusti Cummings, Office of the Comptroller – Springfield

Spenser Staton, Illinois Department of Central Management Services – Springfield

Barb Ringler, Office of the Treasurer – Springfield

Members Absent

Nancy Bowyer, Office of the Secretary of State – Chicago

MINUTES

The minutes for the August 11, 2010 meeting were reviewed and revisions made as follows:

Page 1, Members Absent, paragraph under list of members was corrected to read, *“Ms. Zemaitis introduced Nick Barnard attending on behalf of Ms. Ringler. Ms. Ringler delegated to Mr. Barnes her voting rights for this meeting.”*

Page 2, FOIA Officer, second paragraph, FOIA e-mail for Ms. Ringler was corrected to read, *“advisoryboardfoia@treasurer.state.il.us”*.

Page 3, Old Business, IOIA Deconsolidation, second paragraph, last sentence was corrected to read, *“Mr. Staton will find out who maintains this information and get it corrected.”*

Page 4, third paragraph, second line of first sentence was corrected to read, *“Ms. Morgan confirmed that 50 minutes each for the Office of the Attorney General’s presentations on FOIA and the Identity Protection Act would be sufficient.”*

Page 7, Adjournment, the adjournment time was corrected to *“1:10 p.m.”*

A motion was made by Ms. Cummings to accept the August 11, 2010 minutes as revised and Mr. Staton seconded. The motion unanimously carried.

REPORTS

CPE Coordinator – Online Quality Assurance Review Training Update

Ms. Morgan reported that there were two individuals who completed the on-line course; one from Chicago State University and one from Teachers Retirement System. She also indicated that there are two individual from Chicago State University who requested an extension to complete the on-line training. And extension for these two individuals was granted through October 6, 2010.

Ms. Morgan stated that the on-line training course registration was updated to include the following question: “Can the SIAAB use your name for State Internal Audit Organizations to obtain potential external quality assurance team members?” in order to ask individuals registering to take the on-line training course if they want their names released.

FOIA Officer –

Ms. Cummings stated no FOIA requests have been received.

Ms. Cummings stated that she will be drafting an introduction statement to go with the list of documents under the new Freedom of Information and Open Meetings Act Web page. She also indicated that the PDF documents posted on this Web page will be password-protected so that these documents cannot be altered. Ms. Cummings suggested adding a Request Form on this Web page for to be used to process FOIA requests. The Request Form will include contact information, nature of the request, and whether the request if for commercial business or not. Ms. Cummings proposed the Board put something together and discuss during the next Board meeting.

Recess for Committee Meetings –

The regular session of the Board recessed at 10:28 a.m. for Committee meetings.

Performance Committee –

Ms. Morgan indicated that she received a request from NIU regarding the Quality Assurance Review and stated that she has agreed to forgo that QAR until after the October Fall Conference.

Ms. Morgan also indicated that she did not receive a revised request form with the dates for the completion of the Office of the Secretary of State’s QAR, nor a resume from Stacy Smith. Ms. Morgan further indicated that she will follow-up on these items.

Executive Committee –

None

Resume Regular Session –

The regular session of the Board resumed at 10:31 a.m.

OLD BUSINESS

Fall Conference

Ms. Zemaitis proposed to set the registration fees at \$75 for the two-day conference. Ms. Zemaitis stated that the benchmark is 75 people to register to attend the conference and proposed that the Board members communicate this event to their contacts. Mr. Staton indicated that he would hold a meeting with all IOA staff and inform them of the conference. Ms. Zemaitis indicated that she would be calling the Chief Internal Auditors she has not heard from to find out if they would be sending anyone to the conference.

Ms. Zemaitis distributed a copy of the conference brochure and requested feedback on the cancellation policy and agendas.

Ms. Morgan suggested including a pre-requisites information page on the brochure as a requirement for CPE. She indicated that she would send the document that was used for last year's conference to Ms. Zemaitis to use.

Ms. Zemaitis indicated that a copy of a Training Session Information Sheet will be sent to Board members who have speakers coming from their agencies to the conference in order to capture their bio information, course objectives, etc.

Ms. Morgan requested that the agendas be updated to move her training sessions as follows: IIA Standards Update to October 26 at 10:40 a.m.; and QAR Process refresher to October 27 at 9:30 a.m.

A motion to accept the fee \$75.00 for the two-day fall conference was made by Mr. Staton and seconded by Ms. Morgan. The motion unanimously carried.

Mr. Staton indicated that he would be willing to lead the Audit Staff Roundtable on October 26. Mr. Staton also stated that he would approach Steve Kirk to lead the Chief Internal Auditors Roundtable.

Mr. Zemaitis indicated she would lead the Universities Roundtable on October 27.

A motion to accept the cancellation policy as written was made by Ms. Ringler and seconded by Mr. Staton. The motion unanimously carried.

Ms. Zemaitis indicated that the conference brochure would be finalized and posted on the SIAAB Web site by the end of the week.

NEW BUSINESS

Records Retention Policy –

Ms. Cummings stated that she did not have a chance to track the wording for the Board to discuss with the Records Commission.

Mr. Staton indicated that he received a box from Jewel Bishop containing old copies of Board minutes and materials going back several years. Mr. Staton further indicated he would go through the contents of the box to determine what documents are deemed official for FOIAA depository.

Ms. Zemaitis requested any SIAAB procedural type of documents that might be sent by Ms. Bishop to Mr. Staton be made available to her. Ms. Zemaitis further stated that she would be putting together a Policy/Procedures manual that can be used by future Board Chairs and can be used as a type of blueprint of things that need to be done and remembered throughout the planning of meeting and events for the Board.

Minutes of Closed Meetings –

Ms. Ringler presented background information regarding closed sessions and indicated that in the past the Board did not have minutes for these closed sessions. Ms. Cummings added that under the requirement of the Open Meetings Act, the Board is to go back every six months and review these closed session to determine if they should be placed on the SIAAB Web site.

The Board members reviewed the minutes for the December 28, 2006 Executive Committee Closed Session.

A motion to approve the minutes of the closed session was made by Ms. Ringler and seconded by Ms. Cummings. The motion unanimously carried.

An additional motion to post the minutes on the SIAAB Web site and make them public was made by Ms. Ringler based on the subject of that meeting. The motion was seconded by Mr. Staton. The motion unanimously carried.

[Mr. Staton left the Board Meeting at 11:10 a.m.]

Quality Assurance Review Program Revisions –

Ms. Morgan stated that the Quality Assurance Review Program Web page needed to be updated. Ms. Morgan indicated that the on-line training course will also need to be updated in January 1, 2011, after the changes to the IIA Standards are available in order to avoid a crossing-over with the Standards. Ms. Cummings agreed to hold off until 2011 to ensure agencies are held to the current Standards at the right time.

Ms. Ringler suggested posting a clarification of calendar year expectations for the completion of QAs. Ms. Morgan agreed to add the following statement on the QAR Program Web page: *“If your QA is scheduled during calendar year 2011, the SIAAB requires the EQA/SIAAAB scope to be based upon calendar year 2010 activities.”*

Ms. Ringler suggested that the Frequently Asked Questions document should include information on how to determine a validator or a reviewer and information on how to determine “generally”, “partially”, or “does not conform” assessments. Ms. Morgan agreed to add language on these two elements to the Frequently Asked Questions document.

Ms. Zemaitis suggested the approval of the Quality Assurance Review Program Web page changes pending additional changes to the Frequently Asked Questions document.

A motion to approve the revisions to the Quality Assurance Review Program information to be posted on the Web site with grammatical corrections was made by Ms. Ringler. The motion was seconded by Ms. Cummings. The motion unanimously carried.

Two-Year CPE Cycle –

Ms. Morgan reported that she received an inquire from Shane Forman on September 1, 2010, regarding whether their two-year CPE period should begin on calendar year 2011/2012 or whether they should stay on calendar year 2010/2011 basis. Since Ms. Forman’s agency is currently on the 2010/2011 two-year cycle, the Board agreed that she should stay on the same schedule.

Ms. Morgan indicated that she would respond to Ms. Forman’s inquire to let her know what the Board recommended and to clarify what the deconsolidation was.

SIAAB 2011 Meetings Calendar –

Ms. Zemaitis provided copies of the proposed meeting dates for 2011 to the Board. Ms. Zemaitis stated that the meeting time for all meetings in 2011 was updated to 1 p.m. since that was the consensus of all Board members. Ms. Zemaitis also stated that additional meeting dates were added in October, November, and December 2011, for a total of two meetings each month in anticipation of future QARs.

Ms. Cummings indicated that she would not be able to attend the December 28, 2011, and the June 8, 2011, meetings. Ms. Zemaitis added that due to the University’s reduced service days in December, she would look for alternative dates.

Ms. Morgan indicated that she has a conflict for the meeting on May 11, 2011.

Ms. Zemaitis stated that she would check to make sure one of the dates selected for 2011 did not fall on Veteran’s Day. Ms. Zemaitis further suggested to table 2011 meeting calendar and indicated she will send a revised meetings calendar for approval during next month’s meeting.

ANNOUNCEMENTS

The next regular meeting will be October 13, 2010 at 1:00 p.m. at the Capital City Center's Video Conference Room #104, 130 West Mason, Springfield, Illinois. For those attending via video conference in Chicago, Room 9-035 of the JRTC has been reserved.

ADJOURNMENT

A motion to adjourn the Regular Session was made by Ms. Ringler and seconded by Ms. Morgan. The motion unanimously passed and the meeting was adjourned at 12:26 p.m.