

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting, November 10, 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
Nancy Bowyer, Office of the Secretary of State – Chicago
Doug Hathhorn, Illinois Department of Revenue - Springfield
Steve Kirk, Illinois Department of Transportation – Springfield
Barb Ringler, Office of the Treasurer – Springfield
Rusti Cummings, Office of the Comptroller – Springfield

Spenser Staton, Illinois Department of Central Management Services – Chicago
– (Joined the meeting at 10:38 a.m.)

MINUTES

The minutes for the October 13, 2010, meeting were reviewed and revisions made as follows:

Page 2, first paragraph under Reports, CPE Coordinator – Online Quality Assurance Review Training Update, last sentence was revised to read, *“Ms. Morgan further indicated that the Webmaster may be considering changing the on-line training course to use a new and more current application.”*

Page 2, third paragraph under Reports, CPE Coordinator – Online Quality Assurance Review Training Update, first sentence was revised to read, *“Ms. Morgan indicated that she received the SIAAB CPE license renewal document from the Illinois Financial Professional Regulations....”*

Various typographical corrections were noted.

A motion was made by Mr. Kirk to accept the October 13, 2010, minutes as revised and Mr. Hathhorn seconded. The motion carried unanimously.

The minutes for the October 26-27, 2010, Fall Conference were reviewed and revisions made as follows:

Page 2, third paragraph under October 27, 2010, the following statement was added at the end of the paragraph, *"The agenda was revised to reflect a 2-hour presentation on the QAR Process Refresher."*

Page 2, fourth paragraph under October 27, 2010, the following statement was added at the end of the paragraph, *"The agenda was revised to reflect a 30-minute presentation on this topic."*

A motion was made by Ms. Ringler to accept the October 26-27, 2010, Fall Conference minutes as revised and Ms. Cummings seconded. The motion carried unanimously.

REPORTS

CPE Coordinator – On-line Quality Assurance Review Training Update

Ms. Morgan reported one individual is registered to take the on-line training course. Ms. Morgan further reported that the CPE certificates for the Fall Conference will be sent out by November 9, 2010. Ms. Morgan indicated that there were 96 CPE certificates prepared and will be sent via e-mail.

Ms. Morgan provided the following documents to the FOIA Officers: copies of all handouts; copies of all sign-in sheets; and copies of the list of potential attendees to the fall conference.

FOIA Officer Update –

Ms. Cummings reported no FOIA requests were received.

[Connection to Chicago was lost at 10:38 a.m. and reestablished at 10:40 a.m.]

Ms. Cummings indicated that she has drafted seven documents that will help build a method in which the Board can respond more quickly to FOIA requests. The documents include: a FOIA Request Form, Freedom of Information Request Form, a template for granting a request, a template for partial granting or denying of a request, a template for denying a request, an extension letter template, and a pre-approval for exemption letter template. Ms. Cumming further indicated that Ms. Ringler will review these documents prior to posting on the SIAAB Website.

Quality Assurance Coordinator –

Ms. Zemaitis reported that Ms. Bowyer's request for her Quality Assurance Review (QAR) Team was not properly approved during the October Board meeting. Ms. Zemaitis reiterated that Stacy Smith is the

Reviewer for Ms. Bowyer's QAR, the start of the QAR is October 31, 2010, the draft report to the Quality Assurance Coordinator is December 31, 2010, and the final report is due by April 13, 2011.

Mr. Staton moved to accept Ms. Bowyer's Quality Assurance Review Team and Ms. Morgan seconded. The motion carried unanimously.

Assistant Quality Assurance Coordinator –

Ms. Morgan did not have anything to report.

OLD BUSINESS

Fall Conference

Ms. Zemaitis provided the Board Members with copies of the conference satisfaction surveys results received to date. Ms. Zemaitis further indicated that she will provide a final tally of survey results at the November Board meeting.

Ms. Zemaitis stated that she will be sending out reminders to those individuals whose conference fees payment has not yet been received by the IIA and will provide the Board with an update on where the Board stands on monies received at the December Board meeting.

Ms. Zemaitis reported that she received a request for conference registration fees waiver from two individuals. Ms. Zemaitis indicated that these request were received after the October 20th cut-off date and that in accordance with the Board's conference cancellation policy, the Board would need to grant the waivers on a case-by-case basis. Ms. Zemaitis further explained that the reasons for each of the two requests were work-related.

Mr. Hathhorn informed the Board that another individual has requested a waiver due to medical reasons. Therefore, Mr. Hathhorn requested the conference fees be waived for that individual as well.

A motion to waive the registration fees for all three individuals was made by Ms. Cummings and seconded by Ms. Ringler. The motion carried with seven ayes and one vote opposing the two individuals who requested waivers due to work-related reasons.

NEW BUSINESS

Records Retention Policy –

Mr. Kirk expressed concern regarding the Board's method of retaining certain records in e-mail form and proposed he and Ms. Cummings discuss. Ms. Cummings will report back to the Board with a briefing of their discussion and whether any adjustments need to be made to the Board's Records Retention Policy.

Ms. Cummings indicated that the Board needs to adopt a Records Retention Policy for the SIAAB records retention timeframes previously approved by the Board. Ms. Cummings further indicated that she and Ms. Ringler will draft a Records Retention Policy and will bring back for the Board's approval prior to submitting it to the Records Commission.

SIAAB Bylaws Revisions –

This item was deferred until the December meeting. Ms. Zemaitis proposed the Board review Bylaws prior to the December meeting in order to discuss any additional revisions.

IIA Standards –

Ms. Morgan proposed the Board discuss the various elements of the new Standards and make a formal adoption of the new Standards at the December meeting.

Ms. Morgan further proposed that the next meeting time be extended in order to have sufficient time to cover both the Bylaws and the Standards. Ms. Zemaitis will 1) confirm that the December meeting is scheduled and 2) request that the December meeting be extended.

ANNOUNCEMENTS

The next regular meeting will be December 8, 2010, at 10:00 a.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 meeting was made by Ms. Morgan and seconded by Mr. Kirk. The motion unanimously passed and the meeting was adjourned at 11:18 a.m.