

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting, November 9, 2011

1:00 p.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. The meeting was called to order at 1:04 p.m. by Lesslie Morgan, Chair.

ROLL CALL

Members Present/Location

Lesslie Morgan (Chair), Office of the Attorney General – Springfield
Steve Kirk, (Vice-Chair) Illinois Department of Transportation– Springfield
Tracy Allen, Office of the Comptroller – Springfield
Nancy Bowyer, Office of the Secretary of State - Chicago
Barb Ringler, Office of the Treasurer - Springfield
Spenser Staton, Illinois Department of Central Management Services – Springfield
Marcus Dodd, Illinois Department of Employment Security – Chicago
Kelly Guerrero, Illinois Department on Aging – Springfield (Voting Designee – Departed 2:35 p.m.)
Doug Hathhorn, Illinois Department of Revenue - Springfield
Lisa LaBonte, Illinois Department of Natural Resources – Springfield

Members Absent

Julie Zemaitis, University of Illinois

Non-Members Present

Anita Geter, Illinois Student Assistance Commission – Chicago (Departed 2:40 p.m.)

MINUTES

The October 12, 2011, meeting minutes were presented to the Board for discussion and approval. A motion was made by Mr. Kirk and seconded by Mr. Allen to accept the October 12, 2011 meeting minutes as amended. The motion carried unanimously.

REPORTS AND UPDATES

CPE Coordinator –

Ms. Morgan reported that four individuals had successfully completed the 2011 version of the SIAAB External Quality Assurance Review Training Course since the October meeting. No other registrations had been received for the 2010 version of the course.

Ms. Morgan asked that the Board to consider removing the link to the SIAAB's External Quality Assurance Review Training Course containing the IIA's Standards effective January 1, 2009. After a brief discussion on the status of current Quality Assurance Reviews in progress, a motion was made by Mr. Staton and seconded by Ms. Ringler to remove the training course link containing the IIA's Standards effective January 1, 2009. The motion carried unanimously.

Ms. Morgan also stated that the 2012 CPE Sponsor License Renewal Form has been received and asked Ms. LaBonte whether she was still interested in serving as the CY2012 CPE Coordinator. Ms. LaBonte stated that she was and Ms. Morgan provided the 2012 CPE Sponsor License Renewal Form to Ms. Labonte for renewal during the meeting.

FOIA Officer –

Ms. Ringler and Mr. Staton reported that there were no FOIA requests received since the October 12, 2011 meeting.

Guidance Coordinator –

Mr. Kirk reported that he had not received any request for guidance since October 12, 2011 meeting.

Board Appointments -

Mr. Staton reported that he had contacted the Director of the Governor's Office of Executive Appointments and was told that the appointments were made for the appropriate periods and that the information shown on the website was incorrect. Ms. Morgan asked Mr. Staton had there been any further communication regarding Ms. Cullen's appointment which had expired on February 1, 2011. Mr. Staton stated that he had recommended that Ms. Cullen be reappointed and will provide a further update at the next meeting.

OLD BUSINESS

SIAAB's Records Retention Policy –

Ms. LaBonte stated that she had not been able to commit any time to review the SIAAB's Records Retention Policy due to unforeseen matters that took priority. Mr. Staton reported that he has determined that there were two key discussion points pertaining to whether electronic or hardcopy records were to be forwarded to State archives and who should be responsible for overseeing the distribution of records. Ms. Morgan recommended that a third point be included pertaining to whether the current record disposal policy should be amended. Further discussion was tabled until the December 14, 2011 meeting.

SIAAB's Annual Training Conference Results–

The Board discussed the SIAAB Annual Training Conference Survey results to evaluate the type of training activities that should be held during CY2012.

Quality Assurance Reviews –

Ms. Morgan provided an update on the requests for team approvals and external quality assurance reviews that had been received since the Board's October 12th meeting:

Request for External Quality Assurance Team Approval:

- **Illinois Student Assistance Commission** – Ms. Morgan reported that the Illinois Student Assistance Commission has submitted a request to the Board to consider the approval of separating the IIA Standards portion of their Self-Assessment with Independent Validation based on IIA Standards in effect as of January 1, 2011. Ms. Geter provided a brief overview of the reasons for which the request was being made. After a brief discussion, a motion was made by Mr. Staton and seconded by Ms. LaBonte to approve the request before the Board. The motion carried by 7 votes with Mr. Dodd (FCIAA Validator) and Ms. Morgan abstaining from participating in the voting process.

Mr. Kirk, as Vice Chair officially signed the Illinois Student Assistance Commission request during the Board meeting.

External Quality Assurance Review Reports Released:

- Ms. Morgan reported that no External Quality Assurance Review Reports had been released since the last meeting.

External Quality Assurance Review Reports Before the Board for Discussion:

- **Illinois Commerce Commission** - Ms. Morgan presented the Illinois Commerce Commission SAIV Report (Based on Standards Effective January 1, 2009) for the Board's discussion. A motion was made by Ms. Ringler and seconded by Ms. LaBonte to approve the release of the Illinois Commerce Commission's SAIV Report as amended. The motion carried unanimously.
- **Eastern Illinois University** - Ms. Morgan presented the Eastern Illinois University's SAIV Report (Based on Standards Effective January 1, 2009) for the Board's discussion. A motion was made by Ms. LaBonte and seconded by Mr. Hathhorn to approve the release of the Eastern Illinois University's SAIV Report as amended. The motion carried unanimously.

External Quality Assurance Reviews Received By Board for Review:

No other External Quality Assurance Reviews had been received by the Board for review since the last meeting.

External Quality Assurance Review Reports In Progress:

- **Northeastern Illinois University** - Request for SAIV Team Approval (Based on Standards Effective January 1, 2009) granted by the Board on March 9, 2011 – SAIV is in progress.

External Quality Assurance Reviews Due CY12:

- **Illinois State Board of Education** - No Request for Team Approval Received – EQA Completion Due March 2, 2012.
- **Illinois Housing Development Authority** - No Request for Team Approval Received – EQA Completion Due March 8, 2012.
- **Illinois Office of the Comptroller** - No external quality assurance review has been conducted or initiated since the IIA five-year external quality assurance review requirements became effective on January 1, 2002. EQA completion will be due following the close of FY2012.
- **Illinois Supreme Court** - Although the Supreme Court is not subject to the Board's oversight of its External Quality Assurance process, the Supreme Court's Chief Internal Auditor is responsible for conducting an external quality assurance review pursuant to IIA's Standards if they use the IIA's "Conforms with the International Standards for the Professional Practice of Internal Auditing" within their Internal Audit Charter or reports.

Discussion on Implementing PA96-1473 Public Comments –

Ms. Ringler reported on the progress she has made in drafting the language for implementation of the Public Comments pursuant to PA96-1473. After brief discussion, the Board tabled further discussion until the December 14, 2011 meeting.

NEW BUSINESS

Meeting Schedule for November 2011 -

The Board discussed whether the second meeting scheduled for November 23, 2011 would be necessary and a motion was made by Mr. Kirk and seconded by Mr. Allen to cancel the meeting scheduled for November 23, 2011. The motion carried unanimously.

ANNOUNCEMENTS

The next regular meeting will be December 14, 2011, 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 meeting was made by Mr. Kirk and seconded by Ms. LaBonte. The motion carried unanimously and the meeting was adjourned at 2:58 p.m.