

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting, June 15, 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 1:05 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
Nancy Bowyer, Office of the Secretary of State – Chicago
Barbara Ringler, Office of the Treasurer - Springfield
Jane Cullen, Illinois Department on Aging - Springfield
Marcus Dodd, Illinois Department of Employment Security – Chicago
Doug Hathhorn, Illinois Department of Revenue – Springfield (Joined meeting at 1:40 p.m.)
Lisa LaBonte, Illinois Department of Natural Resources – Springfield
Julie Zemaitis, University of Illinois – Springfield (Joined meeting at 1:17 p.m.)

Members Absent

Tracy Allen, Office of the Comptroller – Springfield
Spenser Staton, Illinois Department of Central Management Services – Chicago

MINUTES

The May 23, 2011, meeting minutes were presented to the Board for discussion and approval. A motion was made by Ms. Zemaitis and seconded by Mr. Dodd to accept the May 23, 2011 meeting minutes as presented. The motion carried unanimously.

REPORTS AND UPDATES

CPE Coordinator –

Ms. Morgan reported that as of the June 15th meeting, four individuals had successfully completed the 2011 version of the on-line training course and one individual had successfully completed the 2010 version

of the course. As of the meeting, there was only one individual registered to take the 2011 version of the course and there were no individuals registered to take the 2010 version. Ms. Morgan stated that the SIAAB's Webmaster has been provided updated listings to post on the Board's website upon the award of the CPE certificates.

Ms. Morgan reported that the annual license for CPE Sponsorship is required to be filed with DPFR on an annual renewal basis. The Board will need to determine who will serve as the CY2012 CPE Coordinator. Ms. Zemaitis inquired about the timeframe involved with the receipt and filing of the renewal license. Ms. Morgan stated that generally DPFR sends a renewal notice in October or early November of each year. Since SIAAB is a governmental entity the fees for renewal are waived. The annual renewals are required to be processed by the DPFR by December 31st of each year.

FOIA Officer –

Ms. Ringler reported that no FOIA requests were received since the last meeting.

Guidance Coordinator –

Mr. Kirk stated that he had not received any request for guidance as of the June meeting, however, since the Guidance Coordinator's role on the Board is a new one, it may be helpful if a formal notice was sent to the State of Illinois Chief Internal Auditors. Ms. Zemaitis stated that along with adding an announcement to the Board's "What's New Section" she would recommend that he send a formal announcement to the Chief Internal Auditors listed on the State Internal Audit Manager's listing.

Proposed Revisions to Open Meetings Act –

Ms. Morgan provided an update on HB 1277, which had been passed by the Senate on May 17, 2011 and was sent to the Governor on June 15, 2011. Ms. Morgan received an update from Mr. Green, Vice President Government Relations inquiring on whether the Board would consider sending an endorsement of HB 1277 to the Governor. Ms. Morgan received a copy of a letter sent to the Governor by the Illinois CPA Society's (dated June 11, 2011) in support of HB 1277's passage.

The Board discussed the Illinois CPA Society's request and a motion was made by Ms. LaBonte and seconded by Mr. Kirk that the Chair, on behalf of the SIAAB, send a letter to Governor in support of the passage of HB 1277. The motion carried unanimously.

OLD BUSINESS

SIAAB 's Records Retention Policy –

The Board discussed the SIAAB's Record Retention Policy (CMS) and SIAAB Public Records Management Tool describing its public records. CMS has always been considered the Board's lead agency due to the number of members appointed by the Governor. Prior CMS Chief Internal Auditors were responsible for maintaining the Board's records and sending them to State Archival. However, with the development of the SIAAB's Public Records Management Tool as a result of FOIA, further review by the Board is necessary.

Ms. LaBonte volunteered to work with Mr. Staton in reviewing the SIAAB's Record Retention Policy and drafting proposed changes for the Board's consideration.

Further discussion was tabled until the July 2011 meeting.

SIAAB's Annual Training Conference –

Ms. Ringler reported that she has continued to work with Northfield Center and the IIA (co-sponsor) in scheduling the September 27, 2011 and September 28, 2011 SIAAB Government Auditing Conference. Ms. Ringler distributed a packet with additional information pertaining to the proposed conference schedule (daily) and tentative session topics, along with a cost breakout schedule for the Board's discussion. The Board discussed the proposed conference schedule, tentative session topics and conference registration costs. A motion was made by Ms. Cullen and seconded by Ms. Zemaitis authorizing Ms. Ringler to obtain additional IIA information necessary for setting the conference registration fees and to proceed with notifying State Internal Audit Managers about the conference. The motion carried unanimously.

Further discussion was tabled until the July 2011 meeting.

Quality Assurance Reviews –

Ms. Morgan reported the status of the external quality assurance reviews received by the Board as of the June meeting:

- **Northern Illinois University** - The draft EQA/SAIV Report (Based on Standards Effective January 1, 2009) was received on May 11, 2011, and assigned to a Special Assistant Quality Assurance Coordinator on May 20, 2011 and completed on May 23, 2011.

Ms. Morgan presented the Northern Illinois University's EQA review to the Board for discussion. A motion was made by Mr. Hathhorn and seconded by Ms. Ringler to approve the release of the NIU external quality assurance review. The motion carried unanimously.

- **Southern Illinois University** - The draft EQA/SAIV Report (Based on Standards Effective January 1, 2009) was received on May 16, 2011, and assigned to a Special Assistant Quality Assurance Coordinator on May 20, 2011. The Assistant Quality Assurance Coordinator has communicated that further follow-up is in progress.
- **Illinois State University** - The draft EQA/SAIV Report (Based on Standards Effective January 1, 2009) received on May 20, 2011, and assigned to a Special Assistant Quality Assurance Coordinator on May 20, 2011. The Assistant Quality Assurance Coordinator has communicated that further follow-up is in progress.
- **Illinois Teacher's Retirement Systems** - The draft EQA/SAIV Report (Based on Standards Effective January 1, 2009) was received by the Assistant Quality Assurance Coordinator on June 9, 2011 and assigned to a Special Assistant Quality Assurance Coordinator on June 10, 2011.

Ms. Morgan reported that as of the June meeting, all previously submitted Request for Team Member Approvals that had been approved by the Board contingent upon the completion of the SIAAB's EQA Review Course had been finalized with the exception of the Illinois Student Assistance Commission's Request for Approval.

Discussion on Implementing PA96-1473 Public Comments –

Ms. Ringler stated that she had not had sufficient time to fully address proposed revisions to the Board's Bylaws and would provide additional information at the July 2011 meeting.

NEW BUSINESS

Quality Assurance Review Report Release Letter -

The Board discussed the template to be used by the Chair when releasing Quality Assurance Review Report and revised the draft letter to incorporate the Board's oversight of the release of the report. A motion was made by Ms. LaBonte and seconded by Ms. Cullen to approve the Chair's EQA Release Cover Letter based upon the Board's discussion. The motion carried unanimously.

Other Business –

No "Other Business" was brought to the Board's attention for discussion.

ANNOUNCEMENTS

The next regular meeting will be July 13, 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. Cullen. The motion carried unanimously and the meeting was adjourned at 3:00 p.m.