

**STATE OF ILLINOIS**  
**INTERNAL AUDIT ADVISORY BOARD**

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

**MINUTES**

**Board Meeting, February 8, 2012**

**1:00 p.m.**

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**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 2-201, 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  
Nancy Bowyer, Office of the Secretary of State - Chicago  
Spenser Staton, Illinois Department of Central Management Services – Chicago  
Tracy Allen, Office of the Comptroller – Springfield  
Jane Cullen, Illinois Department on Aging – Springfield  
Marcus Dodd, Illinois Department of Employment Security – Chicago  
Lisa LaBonte, Illinois Department of Natural Resources – Springfield  
Julie Zemaitis, University of Illinois - Springfield

**Members Absent**

Barb Ringler, Office of the Treasurer  
Doug Hathhorn, Illinois Department of Revenue

**Non-Members Present**

N/A

**MINUTES**

The January 11, 2012, meeting minutes were presented to the Board for discussion and approval. A motion was made by Ms. Zemaitis and seconded by Mr. Allen to accept the January 11, 2012 minutes. The motion carried unanimously.

## **REPORTS AND UPDATES**

### **CPE Coordinator –**

Ms. LaBonte reported that during January 2012, five individuals had successfully completed the 2011 version of the SIAAB External Quality Assurance Review Training Course and two individuals were currently registered.

### **FOIA Officer –**

Mr. Staton reported that there were no FOIA requests received since the January 11, 2012 meeting.

### **Guidance Coordinator –**

Mr. Kirk reported that he had not received any request for guidance since the January 11, 2012 meeting.

### **Board Appointments –**

Mr. Staton provided an update to the Board on the status of the appointments that remain outstanding. Mr. Staton stated that he had requested that the Governor reappoint the current individuals serving on the Board, and that to his knowledge there was no need to submit a new application.

## **OLD BUSINESS**

### **SIAAB's Records Retention Policy –**

Ms. LaBonte stated that both she and Mr. Staton continue to review the current retention policy and overall believe that the overall destruction policy was outdated and not practical. Once they finalize their review they plan on also looking at the current list of records on the Board's website, to see where further changes are needed. Further discussion was tabled until the March 14<sup>th</sup> meeting.

### **Quality Assurance Reviews – Current Reviews and Requests –**

Ms. Morgan provided an update on the requests for team approvals and external quality assurance reviews that had been received since the Board's January 11th meeting:

### **External Quality Assurance Review Reports Released:**

- **Northeastern Illinois University** - Ms. Morgan reported that the Northeastern Illinois University's EQA Report (Based on Standards Effective January 1, 2011) for the Board's discussion was released on January 17, 2012.

### **Request for External Quality Assurance Team Approval:**

- **Illinois Housing Development Authority** - Ms. Morgan reported that since the January 11<sup>th</sup> meeting the Board received notice that there had been a change in the Chief Internal Auditor. IHDA has submitted a Request for External Quality Assurance Team Approval to conduct a Self-Assessment with Independent Validation based on IIA Standards in effect as of January 1, 2011. After a brief discussion of the recent developments and amended request a motion was made by

Ms. LaBonte and seconded by Ms. Cullen to accept the amended Request for EQA Team Approval. The motion carried by 7 votes with Ms. Zemaitis and Ms. Morgan abstaining from participating in the voting process.

- **External Quality Assurance Reviews Due CY12:**
- **Illinois State Board of Education** - No official Request for Team Approval Received – EQA Completion Due March 2, 2012 has been submitted, Ms. Oller has communicated that she plans on submitting a request within the next two months.
- **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.

#### **SIAAB 2012 Training –**

Ms. Zemaitis reported that she had not had sufficient time to draft a Continuing Education Assessment of Needs survey, however she planned on reviewing past conference results and forwarding a draft to Board members within the next week. Further discussion was tabled until the March 14 meeting.

#### **Other New Business SIAAB 2012 Projects –**

The Board discussed a list of projects provided by Ms. LaBonte, Mr. Kirk, Mr. Staton and Ms. Zemaitis. Mr. Staton volunteered to compile a list for the Board's discussion at its March 14<sup>th</sup> meeting. Further discussion was tabled until the March 14 meeting.

#### **CPE/Certifications -**

The Board discussed the merits of revising the SIAAB Board's CPE policies based upon the inquiry received from Ms. Schultz, however no official action was taken. Further discussion was tabled until the March 14<sup>th</sup> meeting.

#### **NEW BUSINESS**

#### **Election of Officers –**

Ms. Morgan presented the slate of Officers nominated at the Board's January 11, 2012 meeting as follows:

- Mr. Stephen Kirk, Chair
- Mr. Spenser Staton, Vice Chair

After a brief discussion on the process, the Board voted unanimously to elect the Officers as presented.

The Officers assumed their positions immediately following the election.

**ANNOUNCEMENTS**

The next regular meeting will be March 14, 2012 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 2-201 of the JRTC has been reserved.

**ADJOURNMENT**

A motion to adjourn the regular meeting was made by Ms. Morgan and seconded by Ms. LaBonte. The motion carried unanimously and the meeting was adjourned at 2:30 p.m.