

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting-November 12, 2013

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 9-036, Chicago, Illinois. The meeting was called to order at 1:02 p.m. by Vice Chairman Dodd in Chicago.

ROLL CALL

Members Present/Location:

Julie Zemaitis (Chair), University of Illinois – Springfield

Marcus Dodd (Vice Chair), Illinois Department of Employment Security – Chicago

Debbie Abbott, Central Management Services-Springfield

Stell Mallios, Office of Secretary of State- Chicago

Lesslie Morgan-Office of the Attorney General- Springfield

Tracy Allen, Office of the Comptroller – Springfield

Stephen Kirk, Department of Transportation - Springfield

Jane Cullen, Illinois Emergency Management Agency - Springfield

Gary Shadid-Illinois Department of Commerce and Economic Opportunity- Springfield

Member Absent:

Barb Ringler, Office of the Treasurer

MINUTES

The October 8, 2013, meeting minutes were presented to the Board for discussion and approval. A minor clerical change was suggested. A motion was made by Mr. Allen and seconded by Mr. Shadid to accept the October 8, 2013, minutes as amended. The motion carried unanimously.

The October 29 and 30, 2013, Fall Government Auditing Conference minutes were presented to the Board for discussion and approval. A suggestion was made to include the number of participants in attendance each day. A motion was made by Ms. Morgan and seconded by Mr. Kirk to accept the October 29 and 30, 2013, minutes as amended. The motion carried unanimously.

REPORTS AND UPDATES

CPE Coordinator

Ms. Zemaitis reported that for the period of September 10 through November 12, 2013, 3 individuals had completed the 2013 QAR Course, one individual was pending completion, and one individual had registered and access had expired with no request to renew.

Ms. Zemaitis also reported that all CPE Certificates from the Fall Government Auditing Conference had been issued.

In accordance with SIAAB Bylaws, Article II, Section V, 2.5.1, Ms. Zemaitis had received a written request to grant an exception from a portion of the CPE requirements. Ms. Jill Verdeyen, University of Illinois, will be one hour short of the Governmental CPE requirement at December 31, 2013, due to being on maternity leave. Ms. Verdeyen plans to complete the CPE upon her return, within two months of December 31, 2013. A motion was made to grant the exception by Ms. Morgan and seconded by Mr. Shadid. The motion carried by a vote of 8 yeases. Ms. Zemaitis abstained.

FOIA

The FOIA Officer was not present at the meeting, so the Board passed on this report.

Guidance Coordinator

Mr. Kirk reported that he is currently working on drafting guidance on the following topics that have been proposed: Internal Audit Committees in Illinois State Government Operations, Compliance by Small Internal Audit Shops, Access and Disclosure of Engagement Records, and Audit Plan Process and Amendments.

Quality Assurance Coordinator

The Board reviewed and made corrections and updates to the QAR tracking spreadsheet maintained by the Quality Assurance Coordinator to record the status of QARs for each state agency. The Board discussed posting an abbreviated schedule on the SIAAB website which would provide a list of each state agency, the release date of the agency's prior QAR, and when the next QAR is due.

New Business

Proposed Revision to the Bylaws

In a past meeting the Board had discussed revising the Bylaws to allow for appointing Special Assistant Coordinators at times other than during the March meeting. Upon further review, Bylaws Article I, Section I, 1.4.2 currently provides for appointing Special Assistant Coordinators at the March meeting or as needed throughout the year. The Board concluded no revision to the Bylaws is necessary at this time.

Revisions to Description of the Internal Audit Advisory Board Webpage

The Board discussed and provided corrections and updates to the Description of the Internal Audit Advisory Board Webpage; the description is required by the Illinois Freedom of Information Act. A motion was made by Ms. Morgan to approve the revisions and was seconded by Mr. Dodds. The motion carried unanimously.

Old Business

Status of Fall Conference

Mr. Allen provided a wrap up report for the Fall Government Auditing Conference. There were 170 people registered for the Conference this year; approximately 160 were in attendance each day. Preliminary survey results were available and provided to the Board. The Board discussed the survey results including input on each speaker and suggestions for next year. These will be considered as we prepare for 2014. Northfield has provided the final invoice for the Conference totaling \$10,273.40. Anticipated revenue is \$9,212.25, for an expected loss of \$1,061.15. Netting against excess revenues from prior Conferences of \$1,894.81 leaves remaining excess revenue of \$833.66. The final cost per participant was \$61.51; participants were charged \$55.00 for the Conference. The IIA had collected \$2,200.00 and \$7,012.25 was still outstanding.

Two individuals canceled their registrations on 10/25/13, one from Illinois State Board of Education and one from SIU-E. Per the registration form, Conference fees for any cancellation after 10/22/13 but before 10/25/13 would be refunded less a \$25 processing fee. Mr. Allen discussed with the Board how the Board would like to handle these cancellations and the \$25 processing fee. A motion to waive the \$25 fees was made by Mr. Shadid and seconded by Ms. Morgan. The motion carried by a vote of 8 yeses and one no by Ms. Cullen.

Mr. Allen then reviewed with the Board suggestions for the 2014 Conference. Mr. Allen proposed working with the Springfield Chapter of the IIA and the Northfield to secure October 28 and 29, 2014, as dates for next year's Conference. A motion was made by Mr. Allen and was seconded by Mr. Kirk. The motion carried unanimously.

SIAAB Resource Page

The Board members provided several suggestions for improvement of the SIAAB Resource webpage, which will be incorporated into the draft webpage and provided to the Board for further consideration. An announcement of the project was made at the Fall Government Auditing Conference for input and suggestions by the state internal audit community. No input had yet been received.

Records Retention Project

The Board discussed that it was previously determined that the Records Retention project is not urgent and will be tabled until after the Board completes other initiatives of updating of the SIAAB Resource page and the Fall Conference.

ANNOUNCEMENTS

The next regular meeting is scheduled for December 10, 2013 at 1:00 p.m. The meeting will be at the Capital City Center's Video Conference Room #104, 130 West Mason, Springfield, Illinois. For those attending via video conference in Chicago, Room 9-036 of the JRTC will be reserved. The Chair announced she will not be present at that meeting due to attending a Conference; the Vice Chair, Mr. Dodds, will Chair the December meeting.

ADJOURNMENT

A motion made by Mr. Kirk to adjourn the meeting and was seconded by Mr. Shadid. The motion carried unanimously and the meeting was adjourned at 2:58 p.m.