

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting – February 14, 2017

1:00 p.m.

CALL TO ORDER

A 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 1:06 p.m. by Vice Chair Tracy Allen in Springfield.

ROLL CALL

Members Present/Location:

Tracy Allen (Vice Chair), Office of the Comptroller – Springfield
Nick Barnard, Proxy for Leighann Manning, Office of the Treasurer – Springfield
Stell Mallios, Office of the Secretary of State - Chicago
Gary Shadid, Department of Agriculture - Springfield
H. Jay Wagner, Office of the Attorney General – Springfield
Julie Zemaitis, University of Illinois – Springfield

Members Absent:

Stephen Kirk, (Chair), Department of Transportation
Jack Rakers, Central Management Services

Visitors Present:

None.

MINUTES

The minutes for the January 10, 2017 SIAAB meeting were accepted with minor revisions. Ms. Zemaitis made a motion to accept, seconded by Mr. Shadid. The motion passed unanimously.

PUBLIC PARTICIPATION

None.

REPORTS AND UPDATES

CPE Coordinator

Ms. Zemaitis stated that for the 2013 version of the course, 2 completed.

Ms. Zemaitis stated that for the 2017 version of the course, 2 completed and 6 were pending. (The 2017 version is currently only open to SIAAB members for testing purposes.)

Quality Assurance Coordinator

Mr. Allen stated there were no new reports or requests.

FOIA Officer

Mr. Barnard stated there was nothing to report.

Guidance Coordinator

Mr. Wagner stated there are no new or outstanding requests.

OLD BUSINESS

Attorney General Request

No update. The Board agreed it is not necessary to include this item on future meeting agendas. The item will be added to a future meeting agenda when a response is received.

Quality Assurance Matrix/Process

Ms. Zemaitis stated feedback received to date has been clerical in nature. She has updated all QAR documents, both 2013 and 2017, including the Frequently Asked Questions (FAQ) documents and the report template. There was consensus to discuss at the next meeting after everyone, including those absent, have had a chance to review them.

The Board discussed whether to publish the QAR documents to date or release all at once. Mr. Shadid commented that he will begin using the new matrix immediately upon release, and one other Chief Internal Auditor is planning to use the new matrix as well. There was consensus that usage will provide timely feedback. Mr. Wagner made a motion to publish the revised QAR 2013 Standards version documents to

date (matrix, program documents, templates, coordinator checklists) noting the use is permissible but not required, seconded by Mr. Shadid. Motion carried unanimously.

Ms. Zemaitis uploaded a summary of changes to the Standards that require action (many of the updates are wording changes and do not require any changes in practice).

Two SIAAB members tested the new 2017 CPE course in order to test the course, noting only minor clerical issues. Everyone was asked to review and provide changes to Ms. Zemaitis prior to the March 14, 2017 meeting.

FCIAA Committee

Mr. Allen stated there is nothing to report.

NEW BUSINESS

Before proceeding to the election of new officers, Mr. Wagner asked the Board to approve a modified Statement of Independence form. At the December 13, 2016 meeting, the Board approved Mr. Wagner's form in regards to accepting an offer to teach a course as an Adjunct Instructor at the University of Illinois at Springfield (UIS) starting in January 2017. Mr. Wagner became aware on the first day of class (January 17, 2017) that one of his students works as an intern in internal audit at the Department of Children and Family Services (DCFS). Mr. Wagner also stated that he notified the DCFS Acting Chief Internal Auditor of DCFS potential impairment. The motion to accept was made by Ms. Zemaitis and seconded by Mr. Shadid. Motion passed unanimously with an abstention from Mr. Wagner.

Election of New Officers

In the absence of Chair Kirk, and as Vice Chair Allen is the nominee for Chair, the most recent former chair, Mr. Shadid, presided over the meeting for the election of New Officers.

New Chair: Ms. Zemaitis made a motion to elect Mr. Allen as Chair, seconded by Mr. Barnard. Motion passed unanimously with an abstention from Mr. Allen.

New Vice Chair: Mr. Allen made a motion to elect Mr. Wagner as Vice Chair, seconded by Mr. Barnard. Motion passed unanimously with an abstention from Mr. Wagner.

ANNOUNCEMENTS

The next regular meeting is scheduled for March 14, 2017, 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 James R. Thompson Center (JRTC), 100 W. Randolph St., will be reserved.

ADJOURNMENT

A motion to adjourn was made by Ms. Zemaitis, seconded by Mr. Shadid. Motion carried unanimously. Meeting adjourned at 1:47 p.m.