

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

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

**MINUTES**

**Board Meeting – June 13, 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 1:05 p.m. by Chair Tracy Allen in Springfield. He welcomed all new members.

**ROLL CALL**

**Members Present/Location:**

Tracy Allen (Chair), Office of the Comptroller - Springfield  
H. Jay Wagner (Vice Chair), Office of the Attorney General – Springfield  
Jack Rakers, Central Management Services - Springfield  
Eric Williamson, Proxy for Leighann Manning, Office of the Treasurer – Springfield  
Stephen Kirk, Department of Transportation - Springfield  
Stell Mallios, Office of the Secretary of State – Chicago  
Amy DeWeese, Department of Human Services – Springfield  
Jamie Nardulli, Department of Healthcare and Family Services – Springfield  
Brent Nolen, Illinois State Police – Springfield  
Melissa Oller, Illinois State Board of Education – Springfield

**Members Absent:**

Julie Zemaitis, University of Illinois (Notified Chair of Car Trouble)  
Amy De Weese, Department of Human Services (Notified Chair)

**Visitors Present:**

None.

## MINUTES

The minutes for the May 9, 2017 SIAAB meeting were accepted. Mr. Kirk made a motion to accept, seconded by Mr. Nolen. The motion passed unanimously.

## PUBLIC PARTICIPATION

None.

## REPORTS AND UPDATES

### **CPE Coordinator**

Ms. Zemaitis' car broke down on her way to the SIAAB meeting in Springfield, and she was unable to make the meeting. She notified the Vice Chair by email at 12:40p.

### **Quality Assurance Coordinator**

Mr. Wagner noted the following Chief Internal Auditor activity:

- Darick Clark will be the new Chief Internal Auditor at the Department of Lottery, effective June 16, 2017.
- The Department of Insurance Chief Internal Auditor position is now vacant, as their Chief Internal Auditor accepted a position outside of auditing.
- The Governors' State University Chief Internal Auditor position is now vacant, as their Chief Internal Auditor accepted a position outside of auditing.

Mr. Wagner send an email on May 16, 2017 requesting an update on their QAR status, and provided late QAR letter templates to send to chief executive officers of agencies who are delinquent on their QARs, with recommendations as follows:

- Agencies with a Chief Internal Auditor two years past due on their QAR, with no team request on file and/or no current known activity: **Send the Late QAR Letter (2 years) to the chief executive officer on July 3, 2017.**
  - One agency was two years past due on their QAR; however, their review team is onsite the week of June 12, 2017, with the expectation the QAR will be done before the next meeting: **Recommend tabling until July 11, 2017.**
- Agencies with an Acting Chief Internal Auditor two years past due on the QAR: **Send the Late QAR Letter (2 years - Acting CIA) to the chief executive officer on July 3, 2017.**
- Agencies with no Chief Internal Auditor two years past due on the QAR: **Send the Late QAR Letter (2 years – no CIA) to the chief executive officer on July 3, 2017.**
- Agencies one year past due on their QAR: **Send the Late QAR Letter (1 year) to the chief executive officer on July 3, 2017.**

For entities less than one year delinquent on their QARs, a follow up email was sent on May 16, 2017; however, Mr. Wagner recommended tabling the issue until the month in which their QAR becomes over one year delinquent.

A motion was made by Mr. Kirk to send the QAR letters as recommended, and table the remaining delinquent QARs as recommended. Seconded by Ms. Oller. Motion passed unanimously.

### **FOIA Officer**

Ms. Manning stated there was nothing to report.

### **Guidance Coordinator**

Mr. Kirk stated there are no new inquiries.

### **OLD BUSINESS**

#### **FCIAA Committee**

Mr. Kirk sent out the SIAAB Working Group Proposal prior to the meeting. He stated that the proposal is meant to give Chief Internal Auditors more flexibility than what they have now, but still follow what FCIAA requires. There was discussion about whether there could be a statement added to say that it is permissible to follow the FCIAA categories currently used. The committee felt that this would lessen their proposal. Additionally, there were questions about whether this was a Guidance document. It was explained that the Guidance document would be written after this. With this understanding, a motion was made to send it to Chief Internal Auditors for comment by Mr. Wagner and seconded by Ms. Manning. Motion passed unanimously with Mr. Kirk abstaining.

### **NEW BUSINESS**

#### **Conference Coordinator's report**

Mr. Allen went over the list of speakers that have volunteered to speak: Kirk Lonbom from DoIT about Cyber Security, the Office of the Attorney General will have a representative present, John Baranzelli from CMS about the Rapid Results Program. Additionally, the OAG may present for an hour and there might be a presentation of FCIAA changes.

#### **Bylaw Changes**

Mr. Wagner went over the changes to the Continuing Education Requirements. There were updates to the dates to make them more current. A motion to approve the changes to Continuing Education Requirements was made to Mr. Rakers and seconded by Ms. Nardulli. Motion passed unanimously.

## **Officer Changes**

Mr. Allen stated that he has accepted another position and will have to step down from SIAAB. As such, Mr. Wagner as Vice Chair becomes the Chair. Mr. Wagner nominated Leighann Manning as Vice Chair. A vote will take place at the next meeting for Vice Chair.

## **ANNOUNCEMENTS**

The next regular meeting is scheduled for July 11, 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 Mr. Kirk, seconded by Mr. Nolen. Motion carried unanimously. Meeting adjourned at 2:15 p.m.