# **STATE OF ILLINOIS**

# **INTERNAL AUDIT ADVISORY BOARD** Web Address: [HTTP://SIAAB.AUDITS.UILLINOIS.EDU](http://siaab.audits.uillinois.edu/)

# **MINUTES**

**Board Meeting – April 12, 2022**

**1:02 p.m.**

## **Call to Order**

A meeting of the State Internal Audit Advisory Board (SIAAB) was held via videoconference pursuant to the April 1, 2022, Governor’s Executive Order which declared all Illinois counties to be a disaster area and permits virtual meetings. The meeting was called to order at 1:02 P.M. by Vice Chair Nikki Lanier.

## **Roll Call**

**Members present:**

Nikki Lanier, (Vice Chair) Department of Revenue

Kishor Desai, Student Assistance Commission

Stephen Kirk, Department of Transportation

Amy Macklin, Department of Human Services

Stell Mallios, Office of the Secretary of State

Jack Rakers, Department of Central Management Services

Julie Zemaitis, University of Illinois System

**Members absent:**

Natalie Covello (Chair) Chicago State University (notified Vice Chair)

Leighann Manning, Office of the Treasurer (notified Chair)

H. Jay Wagner, Office of the Attorney General (notified Chair)

## **Minutes**

A motion to approve the minutes for the March 8, 2022, SIAAB meeting was made by Stephen Kirk and seconded by Julie Zemaitis. The motion passed unanimously.

## **Public Participation**

There was no public participation.

## **Reports and Updates**

**CPE Coordinator**

Julie Zemaitis reported two individuals, one from the Illinois Capital Development Board (CDB) and the other from the Illinois Department of Transportation (IDOT) had completed the course, and the related CPE certificates were issued. One other individual from the Illinois Department of Employment Security (IDES) started the QAR training; but has not completed it yet.

**Quality Assurance Coordinator**

Vice Chair Nikki Lanier stated the new QAR coordinator outreach was sent to all agencies per the schedule approved at the March meeting. She received an update from Jeff Beals, Chief Internal Auditor, at the Department of Natural Resources who indicated they are not currently able to perform their QAR based on staffing limitations. Denise Caldwell, Chief Internal Auditor, at the Illinois State Police provided an update that their QAR should be completed by June 2022. Correspondence was also received indicating Elizabeth Jackson is the new Chief Internal Auditor for the Illinois Commerce Commission. The new QAR coordinator outreach was sent accordingly and the SIAAB website was updated. Amy Macklin, validator for the Department of Corrections, stated they would not meet their original due date but are actively working to complete the QAR.

John Valtierra, Chief Internal Auditor, from the Department of Innovation and Technology submitted a revised Team Request changing the scope of the review to correspond with his time at the agency. The new scope will be from March 1, 2021, to June 30, 2022. Jack Rakers motioned to approve and seconded by Amy Macklin. The motion passed unanimously.

The State Universities Retirement System submitted their completed QAR, matrix, and related documentation for approval. Kishor Desai motioned to approve, and Julie Zemaitis seconded the motion. The motion passed unanimously.

The Western Illinois University submitted their QAR team request for approval with Yavonne Field and Susan Walch-Pimentel as validators. Amy Macklin motioned to approve and seconded by Jack Rakers. The motion passed unanimously.

**FOIA Officer**

Leighann Manning, FOIA Officer, did not attend the meeting and no FOIA updates were reported.

**Guidance Coordinator**

Stephen Kirk proposed change to the By-Laws that stated that in order to ensure an open channel of communication is maintained, the SIAAB Guidance Coordinator is responsible for ensuring that periodic meetings are held with the Office of the Illinois Auditor General. These periodic meetings shall be arranged and coordinated as directed by the Board. Those persons representing the Board at these meetings will be at the discretion of the SIAAB Chair with approval by the Board. He wanted to know individually whether he captured the concept correctly or not and then we can discuss it at our next meeting.

Amy Macklin stated that she had received a request from Stacey Smith of the Teachers Retirement System in reference to FCIAA and COBIT vs. NIST. Amy said she will forward the request to Stephen Kirk to handle as Guidance Coordinator. Stephen Kirk said he will obtain information regarding the issue for discussion at the next SIAAB meeting.

**Conference Coordinator**

Vice Chair Nikki Lanier noted that H. Jay Wagner had obtained the latest pricing menu from Northfield Inn which was available for review by the Board.

## **Old Business**

Stephen Kirk stated that there was nothing new to follow up on the earlier meeting on March 1, 2022, with  the Office of the Auditor General (OAG). Stephen Kirk stated he did not see the need to continue this topic on the monthly Board agenda if it is listed as a responsibility of the Guidance Coordinator. It would just be added as an area as necessary during the Guidance Coordinator update. The Board decided to wait until the Chair returned and the proposed By-Law change is reviewed and approved before a decision is made.

**New Business**

Jack Rakers stated there would be revisions forthcoming to the FCIAA checklist. The changes would address the updates to the IT section for NIST Revision 5 and would include a new optional section about the entity risks since some of these updates would impact agencies. There are plans to issue an exposure draft in the beginning of May.

## **Announcements**

The next regular meeting is scheduled for May 10, 2022, at 1:00 p.m.

## **Adjournment**

A motion to adjourn was made by Stephen Kirk, seconded by Amy Macklin. The motion passed unanimously. The meeting adjourned at 1:35 p.m.