

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting – November 12, 2019

1:00 p.m.

CALL TO ORDER

A meeting of the State Internal Audit Advisory Board (SIAAB) was held at the William G. Stratton Building, 401 South Spring Street, Video Conference Room 500 1/2, Springfield, Illinois, with video conferencing available at the JRTC, Room 9-036, Chicago, Illinois. The meeting was called to order at 1:00 P.M. by Vice Chair Jay Wagner in Springfield.

ROLL CALL

Members Present/Location:

Julie Zemaitis (Chair), University of Illinois – Audio Conference
H. Jay Wagner (Vice Chair), Office of the Attorney General - Springfield
Leighann Manning, Office of the Treasurer – Audio Conference
Gary Shadid, Illinois Office of the Comptroller – Springfield
Amy De Weese, Department of Human Services – Springfield
Jack Rakers, Department of Central Management Services, Springfield
Rex Crossland, Department of Employment Security – Springfield
Natalie Covello, Chicago State University – Video Conference, Chicago
Stell Mallios, Office of the Secretary of State – Video Conference, Chicago

Members Absent:

Jamie Nardulli, Department of Health and Family Services - (Notified Chair)
Brent Nolen, Illinois State Police - (Notified Chair)

MINUTES

A motion to approve the minutes for the October 8, 2019, SIAAB meeting was made by Mr. Crossland. The motion was seconded by Mr. Shadid. Ms. Covello abstained. The motion passed.

A motion to approve the minutes for the 2019 SIAAB Fall Conference was made by Mr. Crossland. The motion was seconded by Mr. Shadid. Mr. Rakers abstained. The motion passed.

A motion to approve the minutes for the 2019 SIAAB Fall Conference Chief Internal Auditor Roundtable was made by Mr. Shadid and seconded by Mr. Crossland. Mr. Rakers and Ms. Mallios abstained. The motion passed.

PUBLIC PARTICIPATION

There was no public participation.

REPORTS AND UPDATES

CPE Coordinator

Ms. Zemaitis reported that there has been one completion and one pending registration for the SIAAB on-line training course since the last Board meeting.

Ms. Zemaitis also reported that renewal of the Board's CPE sponsor license was initiated in October 2019. She noted that the online renewal was completed and recorded. The Board has not yet received the new certificate.

Ms. Zemaitis stated that a question was raised regarding whether the Statewide Ethics Training could be counted towards CPE required by SIAAB. Mr. Wagner noted that previous Board activity updated the Bylaw to support acceptance of the Statewide Annual Ethics Training as ethics CPE for SIAAB purposes as this is acceptable in accordance with the CIA certification.

Quality Assurance Coordinator

Mr. Wagner reported that Chicago State University (CSU) submitted their QAR noting a partially conforms opinion. Mr. Crossland made a motion to accept the CSU QAR, seconded by Mr. Shadid. Ms. Covello abstained. The motion passed.

FOIA Officer

Ms. Manning reported that there have been no FOIA requests.

Guidance Coordinator

Mr. Wagner reported that *Draft Guidance #9 – Internal Assessments* was discussed during the SIAAB Chief Internal Auditor Roundtable and a revised version was uploaded to the SIAAB SharePoint for Board review. Mr. Wagner requested a motion to distribute the draft guidance to the Chief Internal Auditors for review and comment. Mr. Crossland made a motion, seconded by Mr. Rakers. The motion passed.

Conference Coordinator

Mr. Wagner reported that the 2019 SIAAB Fall Conference and Roundtable Meetings were a success and that current surveys indicated high attendee satisfaction. In addition, early indications

are that the revenue and expenses resulting from the conference are likely to be close to breaking even.

OLD BUSINESS

FCIAA Checklists

Mr. Shadid stated that there was no update to report.

Internal Auditor Position Series

Mr. Crossland stated that there was no update to report.

SIAAB Bylaw Change - Continuing Education Requirements

Mr. Wagner reported that the exposure draft was sent to the Chief Internal Auditors and discussed during the CIA Roundtable at the SIAAB Fall conference and that feedback supports a consensus to allow CPE for passing of examinations and performance of peer reviews. Mr. Wagner requested a motion to disseminate the proposed revision of SIAAB Bylaw 2.5.2 to the Chief Internal Auditors. Feedback will be compiled and tentatively, the Board will vote on the revision at the December Board meeting with an expected implementation date of January 1, 2020. Mr. Crossland made a motion, seconded by Mr. Rakers. The motion passed.

NEW BUSINESS

Spring 2020 CIA Roundtable

Mr. Wagner reported that interest has been expressed for holding a Spring Chief Internal Auditor Roundtable session. Mr. Wagner proposes the session be held in April 2020 and stated that he would begin looking for a venue.

2020 SIAAB Position Nominations and Elections

Mr. Wagner stated that 2020 SIAAB nominations will be discussed at the January 2020 Board meeting with elections scheduled for the February 2020 Board meeting. Coordinator positions will be adopted in March 2020. He requested that Board members communicate any suggestions for positions for nomination and planning purposes.

2020 Meeting Dates

Ms. Zemaitis reported that a new calendar has been uploaded to SharePoint with the 2020 Board Meeting dates for each month. Mr. Shadid made a motion to accept the 2020 SIAAB Board meeting calendar. Ms. De Weese seconded the motion. The motion passed.

Reciprocal Reviews

Ms. Zemaitis stated that she is currently preparing a revision to SIAAB Bylaw 3.4.3 regarding the flexibility of reciprocal reviews while still maintaining independence and complying with standards. Once a draft is completed it will be distributed to the Board.

ANNOUNCEMENTS

The next regular meeting is scheduled for December 10, 2019, at 1:00 p.m. The meeting will be at the William G. Stratton Building, 401 South Spring Street, Video Conference Room 500 ½, Springfield, Illinois. For those attending via video conference in Chicago, Room 9-035 of the James R. Thompson Center (JRTC), 100 W. Randolph St., will be reserved.

ADJOURNMENT

A motion to adjourn was made by Mr. Shadid, seconded by Mr. Rakers. Motion carried unanimously. Meeting adjourned at 1:38 P.M.