

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD

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

MINUTES

Board Meeting – March 9, 2021

1:02 p.m.

CALL TO ORDER

A meeting of the State Internal Audit Advisory Board (SIAAB) was held via videoconference. The meeting was called to order at 1:02 P.M. by Chair Amy Macklin.

ROLL CALL

Members Present:

Amy Macklin (Chair), Department of Human Services
Natalie Covello (Vice Chair), Chicago State University
H. Jay Wagner , Office of the Attorney General
Leighann Manning, Office of the Treasurer
Stell Mallios, Office of the Secretary of State
Jack Rakers, Department of Central Management Services
Gary Shadid, Office of the Comptroller
Stephen Kirk, Department of Transportation
Julie Zemaitis, University of Illinois System
Kishor Desai, Student Assistance Commission
Nikki Lanier, Department of Revenue

Members Absent:

None

Location:

All members participated via video or teleconference.

TELECONFERENCING DUE TO COVID-19 SITUATION:

The meeting was held via videoconference under SIAAB Bylaw 1.5.7. A recording of the meeting will be kept for 18 months.

MINUTES

A motion to approve the minutes for the February 9, 2021 SIAAB meeting was made by Ms. Zemaitis. The motion was seconded by Mr. Wagner. The motion passed unanimously.

PUBLIC PARTICIPATION

There was three public participants, Phillip Dasso, Chief Internal Auditor of the Department of Children and Family Services, Michael Sowinski Chief Internal Auditor of Western Illinois University, and Ellen Fairfield-Jennings Chief Internal Auditor of the Illinois Environmental Protection Agency. Mr. Dasso inquired as to the specific two-year reporting period that should be used for monitoring and tracking CPE. Ms. Zemaitis stated the Board does not prescribe which two years, only that the reporting is to be two successive (non-rolling) calendar years , and it should be determined by each Chief Internal Auditor. Mr. Kirk offered that for agencies who have a two-year compliance period, it has been helpful for that two-year period to also be used for CPE tracking.

REPORTS AND UPDATES

CPE Coordinator

Ms. Zemaitis reported that there were four completions and three new registrations for the SIAAB online training course since the last Board meeting.

Quality Assurance Coordinator

Ms. Covello reported that the Illinois Department of Revenue submitted a QAR team request. Mr. Wagner made a motion to accept the request. The motion was seconded by Ms. Zemaitis. The motion passed unanimously with Ms. Lanier abstaining.

Ms. Covello reported that the Illinois Student Assistance Commission submitted a QAR team request. Ms. Lanier made a motion to accept the QAR and associated letter. The motion was seconded by Mr. Kirk. The motion passed unanimously with Mr. Desai abstaining.

Ms. Covello reported that the Southern Illinois University System submitted a QAR team request. Mr. Wagner made a motion to accept the QAR and associated letter. The motion was seconded by Mr. Desai. The motion passed unanimously with Mr. Shadid abstaining.

Ms. Covello requested approval for notification of her new QAR coordinator role to Chief Internal Auditors (or identified liaisons) for the Department of Military Affairs, Department of Natural Resources, Department of Veterans' Affairs, Illinois Emergency Management Agency, Department of Corrections, Department of Juvenile Justice, Illinois State Police, Department of Aging, Illinois Lottery, Illinois State Employee's Retirement Systems, Illinois State Universities Retirement Systems, Department of Public Health, Eastern Illinois University, Illinois Commerce Commission, Environmental Protection Agency, Illinois Housing Development authority, Department of Innovation and Technology, Department of Employment Security, and Western Illinois University. A motion was made by Mr. Wagner to approve this outreach. The motion was seconded by Mr. Kirk. The motion passed.

FOIA Officer

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

Guidance Coordinator

Ms. Manning stated there was nothing to report.

Conference Coordinator

Mr. Wagner stated a formal request had been submitted to request the new President for the IIA to speak at the next conference. Mr. Wagner asked the Board if they wanted to pursue the roundtable discussions that had been tentatively scheduled for May. Ms. Covello stated it would be valuable and beneficial. Mr. Kirk stated he had attended a large roundtable conference via Zoom which worked well. Mr. Wagner will send a survey to determine interest prior to scheduling the roundtables.

OLD BUSINESS

FCIAA Checklists

Mr. Shadid stated that the executive review by the Office of the Comptroller of the proposed checklist had been completed with changes made and submitted.

NEW BUSINESS

Board Coordinators

Ms. Macklin appointed the following Board member to coordinator positions:

Quality Assurance Coordinator – Natalie Covello
Assistant Quality Assurance Coordinator – Amy Macklin
Guidance Coordinator – Stephen Kirk
Recording Secretary – Nikki Lanier
Conference Coordinator – H. Jay Wagner
FOIA Coordinator – Leighann Manning
Assistant FOIA Coordinator – Jack Rakers
CPE Coordinator/Webmaster – Julie Zemaitis

Ms. Zemaitis made a motion to approve the coordinator appointments. Ms. Covello seconded the motion. The motion passed.

Board Statements of Independence and Confidentiality

A motion to approve the Statements of Independence and Confidentiality submitted by each Board member was made by Mr. Wagner and seconded by Mr. Kirk. The motion passed.

Prior Closed Meeting Minutes

Ms. Macklin noted there was no closed meeting during the past Board meeting.

Review of Audio/Video Recordings

Ms. Macklin noted any audio/video recordings have not met the 18-month retention and no action was required.

Other Business

Ms. Macklin made the Board aware of a document the Institute of Internal Auditors issued which provides guidance related to Quality Insurance Improvement Programs and considerations during the pandemic. General discussion was held related to the Board's role in disseminating the guidance to Chief Internal Auditors. Mr. Desai made a motion to have the Board Chair draft an email with the IIA guidance attached for distribution to the Chief Internal Auditors. Ms. Lanier seconded the motion. The motion passed.

Ms. Macklin stated Ms. Covello had noted a contradiction in current bylaws, 3.4.2 and 3.5.2, as written regarding communication to an agency's chief executive officer in the event of a late QAR. General discussion was held that the Board prefers to determine the appropriateness of issuing a letter on a case by case basis, which would require revision to bylaw 3.4.2. Mr. Wagner made a motion to strike language from Bylaw 3.4.2 that contradicts with language in bylaw 3.5.2. Mr. Kirk seconded the motion. The motion passed.

ANNOUNCEMENTS

The next regular meeting is scheduled for April 13, 2021, at 1:00 p.m., the method is to be determined based on the current situation.

ADJOURNMENT

A motion to adjourn was made by Mr. Kirk, seconded by Mr. Shadid. Motion carried unanimously. Meeting adjourned at 1:55 P.M.