

STATE OF ILLINOIS
INTERNAL AUDIT ADVISORY BOARD
WEB ADDRESS: [HTTP://SIAAB.AUDITS.UILLINOIS.EDU](http://SIAAB.AUDITS.UILLINOIS.EDU)

MINUTES
Board Meeting January 11, 2006

A regular meeting of the State Internal Audit Advisory Board was held on January 11, 2006 at the Capital City Center, Springfield, Illinois, Room 103. The meeting was called to order by Chair Barbara Ringler at 10:02 a.m.

Members Present

Barbara Ringler, Chair – Office of the Treasurer
John W. Cressman, Vice-Chair – Illinois Office of Internal Audits
Rusti Cummings – Office of the Comptroller
Al DiSilvestro – IL Secretary of State (via phone)
Lesslie D. Morgan – Office of the Attorney General
Kathleen Moreno – Eastern Illinois University (Term to 2/1/04)

Members Absent

None

Minutes

The Board reviewed the minutes from the December 14, 2005 meeting. There were no suggested revisions. A motion to approve the minutes was made by Ms. Cummings and seconded by Mr. Cressman. All were in favor. The December 14, 2005 meeting minutes were approved.

Old Business

CPE Coordinator – Online Peer Review Training Update

Ms. Morgan informed the Board that there have been two additional people that have passed the course, bringing the total to 23 people trained to perform peer reviews. There are three individuals who are currently taking the course.

Appointment(s) to SIAAB

Mr. Cressman informed the Board that he has met with Mr. John Harris, the Chief Operating Officer with the Governor's Office in regard to the appointment. Mr. Cressman also drafted a letter to Mr. Harris following their meeting. Mr. Cressman will be meeting with Mr. Harris again in the near future.

Peer Review Team Approval Request – Illinois State University

Mr. Ringler informed the Board that she had contacted Mr. Rick Papuga to inform him of the Board's decision that one external validator from a single organization is sufficient in cases of Self-Assessment.

Mr. Cressman made a motion to approve one reviewer from Eastern Illinois University. Ms. Morgan seconded the motion. All were in favor. Ms. Ringler will inform Mr. Papuga of the Board's ruling.

Discussion of Statement of Independence and Confidentiality Policy

The Board discussed various changes to be made to the Statement of Independence and Confidentiality Policy forms before they are implemented. Ms. Cummings suggested allowing Ms. Moreno to make the proposed changes and e-mail the revised forms to the Board who will then vote via e-mail on the final drafts. Once the final drafts are approved, Ms. Moreno will contact Mr. Mascorro (U/I) for inclusion with the Peer Review Team Approval Request located on the SIAAB's web site. When an organization submits their request for Peer Review Team Approval, they will also need to submit the completed Statement of Independence and Confidentiality Policy forms.

New Business

Ethics Training Confirmation

Ms. Cummings had forwarded an e-mail to Ms. Ringler in regard to the Board members taking the Ethics Training. All Board members confirmed that they had taken and passed the required Ethics Training for the 2005 calendar year.

Peer Review Team Approval Requests – Governor's State University, Chicago State University, and the Attorney General's Office

The Board reviewed requests from the above listed organizations.

Mr. Cressman made a motion to approve the Governor's State University request subject to receipt of the Statement of Independence and Confidentiality Policy forms. Ms. Moreno seconded the motion. The Governor's State University's Request for Team Approval was approved.

The Board discussed possible conflicts with the Chicago State University's choice of E. C. Ortiz & Co. as their external validator. Ms. Ringler will contact Mr. Meehan to discuss the Board's concerns. The Board did not approve the request for team approval at this time.

Ms. Morgan stepped out of the meeting room so the Board could review the Attorney General's Request for Team Approval. Ms. Moreno made a motion to approve the Attorney General's request subject to Ms. Lazar taking the training course and receipt of the Statement of

Independence and Confidentiality Policy forms. Ms. Ringler seconded the motion. The Attorney General's Office Request for Team Approval was approved.

The Board discussed the issue of having prior colleagues of an entity do the entities peer review. The Board ruled that this was not considered an impairment, therefore, would allow a prior colleague of an entity to do the entities peer review.

Freedom of Information Act Question

Ms. Sharon Downen had e-mailed Ms. Ringler a question in regard to the Freedom of Information Act. She would like to know whether the results of a peer review that is conducted under the SIAAB Bylaws are subject to the FOIA? The Board concluded that the Freedom of Information Act at 5 ILCS 140/7 (n), explicitly states that internal audit workpapers are excluded. Ms. Ringler will inform Ms. Downen of the Boards interpretation of FOIA as it pertains to her question.

Performance Committee Expansion

The Board discussed the issue of expanding the Performance Committee. Ms. Ringler asked the Board if they would have any staff that would be able to sit on the Committee. The Board members will bring a list of staff suggestions to the next meeting for the Board to review.

Discussion of Article III, Section V of Bylaws

Ms. Ringler brought to the Boards attention that the Amendment updates of the Bylaws is listed under Article III, when in fact this should be its own Article to incorporate the entire Bylaws. The Board agreed that the Amendments section should have the heading of Article IV Amendments. Ms. Woerner will have the change made to the Bylaws.

2005 Fall Conference

Ms. Ringler informed the Board that she had spoken to Mr. Ray Piiparinen, who states he has received all of the collections except from the Secretary of State attendance fees. Mr. DiSilvestro informed the Board that the payment has been processed and is pending payment with the Comptroller's Office. Including the pending payment from the Secretary of State, the total number of revenues for the conference is \$1,680.00, minus disbursements of \$1,642.14 with a net of \$37.86, which will be on credit with the IIA for future use.

Statement of Economic Interest Letter

Mr. Cressman informed the Board that he had received a letter from the Secretary of State's Office in regard to economic interest. The letter attached a list of the SIAAB Board members that filled out a statement of economic interest. The only Board member listed was Ms. Rusti Cummings. The Board discussed each entities procedures in completing economic interest forms for individual employees. Mr. Cressman will fax the letter to Mr. DiSilvestro to research the issue.

Nomination of SIAAB Board Members

Ms. Cummings nominated Mr. Cressman for the position of Chair person. There were no other nominations for Chair. Ms. Morgan moved to close the nominations for the position of Chair person.

Ms. Cummings nominated Ms. Morgan for the position of Vice-Chair person. There were no other nominations for Vice-Chair. Ms. Moreno moved to close the nominations for the position of Vice-Chair person.

The Board will vote on the above listed nominations for officers at the next Board meeting.

Announcements

None

Next Meeting

The next meeting will be held February 8, 2006 at 10:00 a.m. at the Capital City Center, Room 103, Springfield, Illinois.

Adjournment

A motion to adjourn was made by Mr. Cressman and seconded by Ms. Morgan. All were in favor. The meeting was adjourned at 11:37 a.m.