

# Joint Audit & Compliance Committee

Minutes of December 11, 2014

## TRUSTEES/DIRECTORS

PRESENT: F. Archambault, S. Cantor, R. Carbray, T. Holt, T. Kruger and D. Nayden

## STAFF PRESENT:

K. Abu-Hasaballah, N. Adams, C. Andrews, J. Biancamano, C. Bianchi, J. Blumenthal, J. Carroll, C. Chiaputti, L. Cruickshank, J. Curreri, T. Dyer, D. Erickson, P. DeMeo, C. Eaton, D. Galloway, R. Hoagland, K. Fearney, T. Fisher, K. Gafford, J. Geoghegan, M. Glasgow, B. Gore, D. Gnodtke, C. Gray, M. Jednak, R. Krinsky, M. Larson, S. Leniart, A. Marsh, I. M. Maynard, Mauriello, T. Monahan, M. Mundrane, T. Murphy, B. O'Connor, M. O'Connor, R. Orr, B. Patel, J. Person, J. Pufahl, S. Reis, J. Small, K. Violette, E. Vitullo, N. Wallach, S. Wetstone, and E. Zincavage

## BKD:

M. McKinley

## MARCUM:

D. Angelucci and C. Jackson

## STATE AUDITORS:

J. Carroll and N. Freitas

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 3:02 p.m. by Trustee Nayden.

**ON A MOTION** made by Trustee Nayden and seconded by Director Archambault, THE JACC VOTED to amend the public session agenda order.

**ON A MOTION** made by Trustee Nayden and seconded by Trustee Carbray, THE JACC VOTED to go into executive session to discuss:

- C.G.S. 1-200(6)(E) – A discussion of any matter which would result in the disclosure of public records or the information contained therein pertaining to preliminary drafts or notes that the public agency has determined the public's interest in withholding outweighs the public's interest in disclosure. [1-210(b)(1)]
- C.G.S. 1-200(6)(E) - A discussion of any matter which would result in the disclosure of public records or the information contained therein pertaining to strategy and negotiations with respect to pending claims regarding Recovery Audit Contractor (RAC) Audits. [1-210(b)(4)]
- C.G.S. 1-200(6)(E) - A discussion of any matter which would result in the disclosure of public records or the information contained therein pertaining to or communications privileged by the attorney-client relationship. [1-210(b)(10)]
- C.G.S. 1-200(6)(c) – Matters concerning standards, processes and codes not available to the public the disclosure of which would compromise the security of integrity of information technology systems.

Executive Session was attended by Joint Audit & Compliance Committee Members – F. Archambault, S. Cantor, R. Carbray, T. Holt, T. Kruger and D. Nayden; OACE Staff members – N. Adams, C. Chiaputti, P. DeMeo, T. Dyer, K. Fearney, D. Galloway, C. Gray, R. Krinsky, A. Marsh, I. Mauriello, K. Violette, and E. Zincavage; Senior Staff – A. Agwunobi, J. Biancamano, K. Gafford, S. Reis; General Counsel: R. Orr, J. Blumenthal; Portions of Executive Session were also attended by – K. Abu-Hasaballah, J. Carroll, C. Eaton, T. Fisher, J. Geoghegan, D. Gnodtke, S. Leniart, M. McKinley, T. Monahan, M. Mundrane, T. Murphy, B. O'Connor, M. O'Connor, J. Pufahl and N. Wallach.

The Executive Session ended at 4:34 p.m. and the JACC returned to open session at 4:36 p.m. There were no public comments.

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## **Tab 1 – Minutes of the Meeting**

Trustee D. Nayden asked for approval of the minutes. **ON A MOTION** was made by R. Carbray to approve the September 12, 2014 minutes. The motion was seconded by Director Archambault.

## **TAB 5 – External Engagements**

C. Chiaputti provided the JACC with a brief update on the status of external audit projects.

M. McKinley presented The Annual Agreed Upon Procedures to the Statements of Revenues and Expenses of the UConn Athletic Program conducted by BKD.

C. Jackson presented the Financial Statements for Fiscal Year 2014 for the University Medical Group (UMG), the John Dempsey Hospital (JDH) and Finance Corporation conducted by Marcum.

## **TAB 2 - Storrs & UConn Health Significant Compliance Activities**

K. Fearney and I. Mauriello updated the committee on significant compliance activities.

B. O'Connor and J. Curreri updated the committee on Clery Act activities and progress of emergency management initiatives.

## **TAB 3 – HIPAA Policies Storrs**

**ON A MOTION** made by Trustee Cantor and seconded by Trustee Carbray, the HIPAA policies - Storrs published in the meeting materials were approved.

## **TAB 4 – Significant Audit Activities**

C. Chiaputti provided the JACC with an update on the status of audit assignments (Storrs and UConn Health). OACE completed eight audits and had thirteen audits ongoing during this reporting period. OACE also completed three special projects.

The JACC accepted eight audits this period as follows:

- Laboratory Safety (Revised)
- Emergency Preparedness
- Public Safety Overtime Payment
- University of Connecticut Foundation, Inc.
- Law School Foundation, Inc.
- Change Order Management
- Center for Laboratory Animal Care (CLAC) Renovations
- Cost Sharing on Federal Grants and Contracts

The committee was provided with the status of OACE's follow-up activities.

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## **TAB 6 – 2015 JACC Meeting Schedule**

**ON A MOTION** made by Trustee Nayden and seconded by Director Archambault, the FY 15 JACC meeting schedule was approved.

- Tuesday, February, 10, 2015 – Rome Commons Ballroom, Storrs
- Thursday, May 7, 2015 – Rome Commons Ballroom, Storrs
- Thursday, September 17, 2015 – Rome Commons Ballroom, Storrs
- Tuesday, December 1, 2015 – Rome Commons Ballroom, Storrs

## **Tab 7 – Informational / Educational Items**

The committee was provided with:

- Compliance Newsletter – UConn Health and Storrs
- Current Issues in Compliance – September and October 2014
- JACC Agenda Forecast

There was no further business.

**ON A MOTION** made by Trustee Nayden and seconded by Director Archambault, the meeting was adjourned at 5:02 p.m.

Respectfully submitted,

*Angela Marsh*

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