

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting

Meeting Minutes from December 14, 2016

Attendees	
Trustees / Directors Present:	F. Archambault, R. Carbray, T. Holt, T. Kruger, and D. Nayden
Staff Present:	A. Agwunobi, C. Andrews, K. Bailot, N. Baker, C. Bianchi, J. Blumenthal, A. Calandro, C. Chiaputti, J. Curreri, C. Eaton, K. Fearney, D. Galloway, J. Geoghegan, B. Gerjuoy, M. Glasgow, B. Gran, L. Hallarin, H. Hildebrandt, D. Hook, S. M. Jednak, S. Jordan, M. Larson, A. Marsh, I. Mauriello, T. Murphy, R. Orr, G. Pack, J. Pufahl, R. Rubin, P. Selleck, L. Silbart, E. Strassfeld, and K. Violette
State Auditors:	J. Carroll, and A. Phung
External Auditors:	D. Cogle, C. Jackson, M. McKinley

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:00 a.m. by Trustee Nayden.

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] – Preliminary drafts or notes that the public agency has determined that the public’s interest in withholding such documents clearly outweighs the public interest in disclosure. [1-210(b)(1)]
- C.G.S. 1-200(6)[E] – 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) – Records, reports and statements privileged by the attorney-client relationship. [1-210(b)(10)]
- C.G.S. 1-200(6)[C] – Records of standards, procedures, processes, software and codes not otherwise available to the public, the disclosure of which would compromise the security and integrity of an information technology system. [1-210(b)(20)]

Executive Session was attended by the following: Joint Audit & Compliance **Committee Members:** F. Archambault, R. Carbray, T. Holt, T. Kruger and D. Nayden; **OACE Staff members:** K. Bailot, A. Calandro, C. Chiaputti, P. DeMeo, T. Dyer, K. Fearney, D. Galloway, C. Gray, H. Hildebrandt, D. Hook, A. Marsh, I. Mauriello, G. Pack, A. Quaresima and K. Violette; **Senior Staff:** A. Agwunobi, J. Geoghegan, S. Jordan, L. Silbart, R. Rubin, and A. Zehner; **General Counsel:** R. Orr; **Asst. Attorney General:** J. Blumenthal; **Portions of Executive Session were also attended by:** C. Andrews, C. Bianchi, W. Byerly, A. Calandro, J. Curreri, C. Eaton, B. Gerjuoy, M. Glasgow, L. Hallarin, M. Jednak, M. Larson, M. Mundrane, T. Murphy, J. Pufahl, P. Selleck, L. Silbart, and E. Strassfeld; **External Auditor:** M. McKinley.

The Executive Session ended at 11:00 a.m. and the JACC returned to open session at 11:02 a.m.

There were no public comments.

Tab 1 – Minutes of the Meeting

ON A MOTION made by Trustee Nayden and seconded by Director Archambault the minutes of the September 21, 2016, JACC meeting were approved.

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Tab 5 – External Engagements

The Annual Agreed-Upon Procedures performed on the Division of Athletics FY16 Statements of Revenues and Expenses performed by BKD were presented.

Marcum’s C. Jackson and D. Cogle presented the John Dempsey Hospital (JDH), Finance Corporation, and University Medical Group (UMG) audited financial statements for year ending June 30, 2016.

TAB 3 – Storrs & UConn Health Significant Compliance Activities

K. Fearney and I. Mauriello provided an update on compliance activities.

TAB 4 – Significant Audit Activities

C. Chiaputti provided the JACC with an update on the status of audit assignments (Storrs and UConn Health). The JACC accepted six of the seven audits presented, in addition OACE had fourteen audits in progress during this reporting period.

Tab 5 – Charter Review

ON A MOTION made by Trustee Archambault and seconded by Director Holt, both the Executive Risk Management Compliance Committee Charter and the Office of Audit and Compliance and Ethics Charter were approved.

Tab 6 – Auditor of Public Accounts

Auditors of Public Accounts, J. Carroll and A. Phung presented the University of Connecticut and University of Connecticut Health Center’s Audited Financial Statements for the year ended June 30, 2016.

Tab 7 – 2017 JACC Meeting Dates

The 2017 JACC meeting dates are as follows: February 16, May 16, September 14, and December 19.

Tab 8 - Informational / Educational Items

The committee was provided with the following:

- Compliance Newsletters – UConn and UConn Health,
- Current Issues in Compliance Newsletters – UConn and UConn Health.

There being no further business, **ON A MOTION** made by Trustee Nayden and seconded by Director Carbray, the meeting was adjourned at 11:35 a.m.

Respectfully submitted,
Angela Marsh