

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

Meeting Minutes from February 16, 2017

Attendees	
Trustees / Directors Present:	F. Archambault, R. Carbray, T. Holt, and D. Nayden
Staff Present:	A. Agwunobi, K. Bailot, C. Bianchi, J. Blumenthal, W. Byerly, J. Carroll, C. Chiaputti, C. Connolly, P. DeMeo, T. Dominguez, E. Dumas, C. Eaton, K. Fearney, J. Geoghegan, M. Glasgow, C. Gray, H. Hildebrandt, G. Johnson, S. Jordan, K. Larsen, M. Larson, A. Marsh, I. Mauriello, K. Metcalf, M. Mundrane, R. Orr, J. Pufahl, R. Rubin, L. Silbart, K. Violette, C. Weiskopf, B. White, A. Zehner, and E. Zincavage

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:05 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, 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, and D. Nayden; **OACE Staff members:** K. Bailot, C. Chiaputti, P. DeMeo, K. Fearney, C. Gray, H. Hildebrandt, A. Marsh, I. Mauriello, and K. Violette; **Senior Staff:** A. Agwunobi, J. Geoghegan, S. Jordan, L. Silbart, R. Rubin, J. Seemann and L. Silbart; **General Counsel:** R. Orr; **Asst. Attorney General:** J. Blumenthal, B. White; **Portions of Executive Session were also attended by:** A. Diamond, G. Johnson, K. Larsen, K. Metcalf, M. Mundrane, J. Pufahl, and C. Weiskopf.

The Executive Session ended at 10:45 a.m. and the JACC returned to open session at 10:46 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 December 14, 2016, JACC meeting were approved.

TAB 2 – Storrs & UConn Health Significant Compliance Activities

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

C. Connolly, Sr. Export Control Officer, provided an overview of UConn’s Export Controls policy and procedures.

TAB 3 – Significant Audit Activities

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

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Tab 4 – External Engagements

ON A MOTION made by Trustee Nayden and seconded by Director Holt, the JACC approved the hiring of Marcum, LLP, for Financial Statement Audits of the University of Connecticut Health Center – John Dempsey Hospital (JDH), Finance Corporation, and the University Medical Group (UMG) for the upcoming period 2017-2020.

CohnResnick LLP provided the committee with a Conflict of Interest Management Plan.

Tab 8 - Informational / Educational Items

The committee was provided with the following:

- Compliance Newsletters – UConn and UConn Health,

There being no further business, **ON A MOTION** made by Trustee Nayden and seconded by Director Holt, the meeting was adjourned at 11:45 a.m.

Respectfully submitted,

Angela Marsh