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

Meeting Minutes from September 14, 2017

University of Connecticut, Lewis B. Rome Commons Ballroom, 626 Gilbert Road Extension, Storrs, CT

Attendees

<table>
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<tr>
<th>Trustees / Directors Present:</th>
<th>F. Archambault, M. Boxer, J. Freedman, T. Holt, and D. Nayden</th>
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The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 9:15 a.m. by Trustee Nayden.

ON A MOTION made by Trustee Nayden and seconded by Director Archambault, 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, M. Boxer, J. Freedman, T. Holt, and D. Nayden


The Executive Session ended at 10:26 a.m. and the JACC returned to open session at 10:27 a.m.

There were no public comments.

Tab 1 – Minutes of the Meeting

ON A MOTION made by Trustee Nayden and seconded by Director Holt the minutes of the May 16, 2017, JACC meeting were approved.

Tab 2 – Storrs & UConn Health Significant Compliance Activities

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

Tab 3 – HealthONE

D. Purington introduced new UConn Health CIO, Bruce Metz and she provided a HealthONE update for the Epic EHR Project to the committee.

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 seven audits presented, in addition, OACE had fourteen audits in progress during this reporting period.
Tab 5 – Draft Audit Plans for 2018
C. Chiaputti provided the committee with the FY18 Draft Audit Plans for Storrs and UConn Health and ON A MOTION made by Trustee Nayden and seconded by Director Holt; they were approved by the committee.

Tab 6 – External Engagements
ON A MOTION made by Trustee Nayden and seconded by Trustee Boxer, the JACC approved the fee proposed by BKD to perform the FY17 NCAA Annual Agreed Upon Procedures to the Statements of Revenues and Expenses for Athletic Programs.

ON A MOTION made by Trustee Nayden and seconded by Trustee Archambault, the JACC approved the fee proposed by CohnReznick to perform the audit of expenditures for UConn 2000 projects substantially completed during the FY17 and perform agreed upon procedures on FY17 UConn 2000 expenditures.

Tab 7 – 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 Freedman, the meeting was adjourned at 11:17 a.m.

Respectfully submitted,

Angela Marsh