

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

Meeting Minutes from May 16, 2017

Attendees	
Trustees / Directors Present:	F. Archambault, M. Boxer, R. Carbray, J. Freedman, T. Holt, T. Kruger, and D. Nayden
Staff Present:	A. Agwunobi, K. Bailot, C. Bianchi, C. Chiaputti, A. Cretors, C. Eaton, K. Fearney, D. Galloway, J. Geoghegan, M. Glasgow, B. Goetz, C. Gray, S. Jordan, A. Marsh, I. Mauriello, M. Mundrane, R. Orr, J. Pufahl, D. Purington, R. Rubin, J. Seemann, L. Silbart, K. Violette, and B. White
Auditors of Public Accounts:	W. Felgate, G. Slupecki
CohnReznick:	P. Ballasy, C. Kurth, and B. Roche

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:02 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, R. Carbray, J. Freedman, T. Holt, T. Kruger, and D. Nayden

OACE Staff members: K. Bailot, C. Chiaputti, K. Fearney, A. Marsh, I. Mauriello, and K. Violette; **Senior Staff:** A. Agwunobi, J. Geoghegan, S. Jordan, L. Silbart, R. Rubin, and J. Seemann; **General Counsel:** R. Orr; **Chief Counsel – UConn Health:** B. White; **Portions of Executive Session were also attended by:** C. Bianchi, R. Boggis, C. Delello, C. Eaton, N. Ferron, B. Gerjuoy, C. Gray, K. Holsinger, M. Mundrane, J. Peeples, J. Pufahl, D. Purington, and P. Selleck.

The Executive Session ended at 10:47 a.m. and the JACC returned to open session at 10:50 a.m.

There were no public comments.

D. Galloway introduced new JACC members Mark Boxer and Joel Freedman to the committee; announced new UConn Health Internal Auditor, Libby Gallo; and that IT Audit Manager Carrie Gray has taken the position of the UConn Health Director of Information Security. D. Galloway also confirmed his retirement date of June 9, 2017.

Tab 1 – Minutes of the Meeting

ON A MOTION made by Trustee Nayden and seconded by Director Holt the minutes of the February 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 including the compliance monitoring program at Storrs and the establishment of two compliance committees at UConn Health: Finance Compliance Committee and Information Security and Privacy Compliance Committee.

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A. Cretors provided an Athletics NCAA Compliance update and D. Purington provided a HealthOne EMR Project update to the committee.

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 nine audits presented, in addition, OACE had fourteen audits in progress during this reporting period.

Tab 4 – Auditors of Public Accounts

Auditors of Public Accounts, W. Felgate and G. Slupecki, presented the committee with the findings of the Statewide Single Audit Report for the Fiscal Year Ended June 30, 2016.

Tab 5 – External Engagements

P. Ballasy, C. Kurth, and B. Roche of CohnReznick presented the Audit of Substantially Complete UConn 2000 Construction Projects and Agreed-Upon Procedures on UConn 2000 Expenditures for Fiscal Year 2016.

Tab 6 - Informational / Educational Items

The committee was provided with the following:

- Article – Defining the Meaning of ‘Auditing’ and ‘Monitoring’ and Clarifying the Appropriate Use of the Terms,
- 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