

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

Meeting Minutes from December 19, 2017

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

Attendees	
Trustees / Directors Present:	F. Archambault, M. Boxer, R. Carbray, J. Freedman, J. Gouin, T. Holt, and D. Nayden
Staff Present:	A. Agwunobi, N. Baker, C. Bianchi, C. Chiaputti, C. Eaton, K. Fearney, N. Gelston, J. Geoghegan, B. Goetz, C. Gray, S. Jordan, M. Larson, R. Maric, A. Marsh, I. Mauriello, B. Metz, M. Mundrane, J. Pufahl, R. Rubin, J. Teitelbaum, E. Vitullo, B. White
State Auditors:	J. Drozdowski, W. Felgate, A. Phung
BKD:	M. McKinley
Marcum:	D. Cogle, C. Jackson

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 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, J. Gouin, T. Holt, and D. Nayden

OACE Staff members: C. Chiaputti, K. Fearney, and I. Mauriello; **Senior Staff:** A. Agwunobi, J. Geoghegan, S. Jordan, R. Maric, R. Rubin, and J. Teitelbaum; **General Counsel:** N. Gelston, B. White; **Portions of Executive Session were also attended by:** C. Eaton, C. Gray, A. Marsh, B. Metz, M. Mundrane, J. Pufahl and E. Vitullo.

The Executive Session ended at 10:49 a.m. and the JACC returned to open session at 10:51 a.m. There were no public comments.

R. Rubin introduced new committee member, Board of Trustee Jeanine Gouin.

Tab 1 – Minutes of the Meeting

ON A MOTION made by Trustee Nayden and seconded by Director Freedman the minutes of the September 14, 2017, JACC meeting were approved.

Tab 2 – External Engagements

M. McKinley presented the BKD Annual Agreed-Upon Procedures performed on the Statement of Revenues and Expenses of the UConn Athletics Program.

C. Jackson and D. Cogle presented the Marcum Audited Financial Statements for the University of Connecticut Health Center John Dempsey Hospital (JDH), UConn Medical Group (UMG) and Finance Corporation for the year ended June 30, 2017.

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Tab 3 – Auditor of Public Accounts

State Auditors W. Felgate, A. Phung and J. Drozdowski presented the University of Connecticut and University of Connecticut Health Center Audited Financial Statements for the year ended June 30, 2017.

Tab 4 – Storrs & UConn Health Significant Compliance Activities

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

HealthONE

UConn Health CIO B. Metz provided a HealthONE update for the Epic EHR Project to the committee.

Tab 5 – 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 audits presented, in addition, OACE had eighteen audits in progress during this reporting period.

C. Chiaputti introduced the Office of Audit, Compliance and Ethics, new IT Audit Manager, Gregory Perrotti.

OACE Organizational Structure

B. White discussed the Office of Audit, Compliance and Ethics organizational structure. Stating that the two offices will separate with C. Chiaputti appointed as the head of Audit and Management Advisory Services and K. Fearney appointed as the Interim Head of the Central Compliance Office.

Tab 6 – JACC 2018 Meeting Date

ON A MOTION made by Trustee Nayden and seconded by Director Holt the 2018 JACC calendar was approved.

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 Trustee Guoin, the meeting was adjourned at 11:57 a.m.

Respectfully submitted,
Angela Marsh