

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting
June 3, 2020

Minutes of the March 5, 2020 Meeting

University of Connecticut, Wilbur Cross, North Reading Room, Storrs, CT

Attendees	
Trustees/ Directors:	Chair M. Boxer, R. Carbray, J. Gouin, B. Pollard, A. Dennis-Lavigne, F. Archambault, T. Holt
Staff:	A. Agwunobi, N. Baker, C. Bernard, C. Bianchi, J. Blumenthal, W. Byerly, P. Casey, G. Daniels, T. Dominguez, T. Dyer, K. Fearney, M. Frank, N. Fuerst, E. Gallo, M. Gendreau, J. Geoghegan, M. Glasgow, K. Goss, C. Gray, L. Hansen, H. Hildebrandt, K. Hill, D. Hook, M. Jednak, S. Jordan, A. Keilty, M. Kennedy, M. Kirk, L. Kozma, F. LaRosa, M. Lucas, R. Maric, M. Mundrane, C. Murray, G. Perrotti, C. Podesta, A. Quaresima, S. Russolino, J. Shoulson, J. Sullivan, K. Violette, E. Vitullo, and E. Zincavage
Marcum LLP	C. Jackson
State Auditors	M. Delaney, W. Felgate, A. Phung

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:01 a.m. by Trustee Boxer.

ON A MOTION made by Trustee Boxer and seconded by Director 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
- 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, A. Dennis-Lavigne, J. Gouin, T. Holt, and B. Pollard; **Audit Staff members:** F. LaRosa, T. Dyer, E. Gallo, M. Gendreau, K. Goss, H. Hildebrandt, D. Hook, M. Kennedy, C. Murray, G. Perrotti, A. Quaresima, K. Violette, and E. Zincavage; **Compliance Staff members:** K. Fearney, K. Hill, and E. Vitullo; **Senior Staff:** A. Agwunobi, W. Byerly, J. Geoghegan, S. Jordan, A. Keilty, J. Shoulson; **General Counsel:** J. Blumenthal; **Portions of Executive Session were also attended by:** C. Bernard, P. Casey, G. Daniels, M. Glasgow, C. Gray, L. Kozma, M. Mundrane, C. Podesta.

The Executive Session ended at 10:51 a.m. and the JACC returned to open session at 10:52 a.m. There were no public comments.

Tab 1 – Minutes of the Meeting

ON A MOTION made by Trustee Boxer and seconded by Director Gouin the minutes of the December 20, 2019 JACC meeting were approved.

Tab 2 – External Engagements

K. Fearney provided the committee with an update on ongoing external engagements.

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ON A MOTION made by Trustee Boxer and seconded by Director Gouin, the Marcum LLP FYs 20 and 21 audit contract extension and fees were approved.

Tab 3 - Marcum LLP 2019 Financial Statements

C. Jackson from Marcum LLP presented the fiscal year 2019 Financial Statements for John Dempsey Hospital, UConn Medical Group and the Finance Corporation.

Tab 4 – Auditors of Public Accounts

W. Felgate from the Auditors of Public Accounts presented the fiscal year 2019 Financial Statements for the University of Connecticut.

A. Phung from the Auditors of Public Accounts presented the fiscal year 2019 Financial Statements for the UConn Health.

Tab 5 - UConn Health – EPIC and IT Update

C. Podesta provided an extensive update on the EPIC program.

M. Mundrane provided an IT Project update.

Tab 6 – University of Connecticut Revised Travel and Entertainment Policy and Procedures

P. Casey presented revisions to the Travel and Entertainment Policy and Procedures. **ON A MOTION** made by Trustee Boxer and seconded by Director J. Gouin, the Travel and Entertainment Policy and Procedures was approved.

Tab 7 – Significant Compliance Activities

K. Fearney provided an update on compliance activities.

W. Byerly provided an update on various Research Compliance activities.

Tab 8 – UConn & UConn Health Significant Audit Activities

K. Fearney provided the JACC with an update on the status of audit assignments (UConn and UConn Health). The JACC reviewed three audits.

Tab 9 – Informational / Educational Items

Compliance Matters

There being no further business, **ON A MOTION** made by Trustee Boxer and seconded by Director Gouin, the meeting was adjourned at 11:39 a.m.

Respectfully submitted,

Liz Vitullo