

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting
Minutes of the December 16, 2020 Meeting

Telephone Meeting

Attendees	
Trustees/ Directors:	Chair: M. Boxer, A. Dennis-Lavigne, B. Pollard, D. Toscano, F. Archambault, J. Gouin, T. Holt
Staff:	A. Agwunobi, J. Blumenthal, P. Casey, N. Fuerst, N. Gelston, J. Geoghegan, S. Jordan, T. Katsouleas, A. Keilty, M. Kirk, R. Maric, R. Rubin, J. Simpson, J. Shoulson, O. Andujar, T. Dyer, K. Fearney, E. Gallo, S. Guralnick, K. Goss, K. Hill, M. Kennedy, F. LaRosa, C. Murray, L. Neal, G. Perrotti, A. Quaresima, K. Violette, E. Vitullo, E. Zincavage, C. Bernard, C. Gray, M. Mundrane, C. Podesta, N. Eskin, M. O'Connor, N. Patrylak, C. Bianchi, W. Byerly, L. Cruickshank, A. Cunningham, G. Daniels, C. Delello, M. Frank, L. Hansen, M. Jednak, M. Lucas, K. Rourke, K. Sadowski, W. Thorpe, B. Woodaman, R. Wrynn
State Auditors	W. Felgate
Marcum	C. Jackson
BKD	A. Kerr, M. McKinley

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

ON A MOTION made by Committee Chair Boxer, approved by Director Holt and seconded by Trustee Dennis-Lavigne, 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: JACC, BOT and BOD members: M. Boxer, A. Dennis-Lavigne, B. Pollard, D. Toscano, F. Archambault, J. Gouin, T. Holt; **President and Cabinet members:** A. Agwunobi, M. Kirk, N. Fuerst, N. Gelston, R. Rubin, R. Maric, S. Jordan, T. Katsouleas **Senior Staff:** A. Keilty, J. Simpson, J. Blumenthal, J. Geoghegan, J. Shoulson, P. Casey; **AMAS Staff:** T. Dyer, E. Gallo, K. Goss, M. Kennedy, F. LaRosa, C. Murray, G. Perrotti, A. Quaresima, K. Violette, E. Zincavage; **University Compliance Staff** O. Andujar, K. Fearney, S. Guralnick, K. Hill, L. Neal, E. Vitullo; **Portions of Executive Session were also attended by:** C. Bernard, C. Gray, M. Mundrane, C. Podesta, A. Kerr, M. McKinley.

The Executive Session ended at 10:38 a.m., the JACC returned to public session at 10:39 a.m.

Tab 1 - General

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There were no public comments.

ON A MOTION made by Committee Chair Boxer, approved by Trustee Gouin and seconded by Trustee Dennis-Lavigne the minutes of the September 10, 2020 JACC meeting were approved.

Tab 2 – External Audit Activities

F. LaRosa provided an update on the ongoing external engagements.

ON A MOTION made by Committee Chair Boxer, approved by Trustee Dennis-Lavigne and seconded by Trustee Gouin the Pharmacy Optimization Consultants, INC DBA 340b Compliance Partners- audit of UConn Health's remaining covered entity 340b drug pricing program was approved.

F. LaRosa presented the BKD independent accountant's report on applying agreed-upon procedures performed on the division of athletics as required by NCAA bylaw 3.2.4.17.1 year ended June 30, 2020.

C. Jackson from Marcum presented the financial statements audit for fiscal year ended June 30, 2020 of UConn Health's John Dempsey Hospital, University Medical Group, and Finance Corporation.

Tab 3 – Significant Internal Audit Activities

F. LaRosa provided an update on the status of audit assignments.

F. LaRosa provided an update on the status of audit findings.

Tab 4 – Compliance Activities

K. Fearney provided an update on compliance activities.

K. Fearney provided an update on university compliance data and trends.

Tab 5 – Information Technology Updates

C. Podesta provided an update on UConn Health IT projects.

M. Mundrane provided an update on the UConn IT projects.

There being no further business, **ON A MOTION** made by Committee Chair Boxer, approved by Trustee Dennis-Lavigne and seconded by Trustee Gouin, the meeting was adjourned at 11:12 a.m.

Respectfully submitted,
Molly Kennedy