

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting
Minutes of the December 9, 2021 Meeting

WebEx Meeting

Attendees	
Trustees/ Directors:	Chair: M. Boxer, A. Dennis-LaVigne, F. Archambault, J. Gouin, T. Holt
Staff:	A. Agwunobi, J. Blumenthal, L. Brown, W. Byerly, T. Casey, C. Delello, N. Fuerst, N. Gelston, J. Geoghegan, G. Kersaint, R. Rubin, R. Wrynn, T. Dyer, E. Gallo, H. Hildebrandt, D. Hook, M. Kennedy, F. LaRosa, C. Murray, G. Perrotti, A. Quaresima, D. Swol, O. Andujar, K. Fearney, B. Gelston, K. Hill, L. Neal, E. Vitullo, N. Baker, C. Bianchi, A. Cunningham, M. Frank, C. Girasoli, M. Glasgow, L. Hansen, A. Jiang, S. Kelmelis, A. Kucia, M. Lucas, A. Mansi, M. O’connor, N. Patrylak, E. Schneider
External Invitees:	K. Davis, M. Delaney, S. Metzler, A. Phung

1. Opening

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:00 a.m. by Committee Chair Boxer.

2. Executive Session anticipated

EXECUTIVE SESSION

ON A MOTION by Director Archambault and seconded by Trustee Gouin, the JACC voted unanimously to go into executive session to discuss:

- C.G.S. 1-210(b)(1)– 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.
- C.G.S. 1-200(6)(B) – Records or the information contained therein pertaining to strategy and negotiations with respect to pending claims.
- C.G.S. 1-210(b)(10) – Records, reports and statements privileged by the attorney-client relationship.
- C.G.S. 1-210(b)(20)– 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.

The entire executive session was attended by the following: JACC Members: M. Boxer, A. Dennis-LaVigne, F. Archambault, J. Gouin, T. Holt; **President and Senior Staff:** A. Agwunobi, J. Blumenthal, L. Brown, W. Byerly, T. Casey, C. Delello, N. Fuerst, N. Gelston, J. Geoghegan, G. Kersaint, R. Rubin, R. Wrynn; **Audit and Management Advisory Services Staff:** T. Dyer, E. Gallo, H. Hildebrandt, D. Hook, M. Kennedy, F. LaRosa, C. Murray, G. Perrotti, A. Quaresima, D. Swol; **University Compliance Staff:** O. Andujar, K. Fearney, B. Gelston, K. Hill, L. Neal, E. Vitullo.

The following were in attendance for part of Executive session: University Information Technology Staff: A. Buckley, C. Bernard, C. Gray, M. Mundrane.

The Executive Session ended at 10:44 a.m.

OPEN SESSION

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The JACC returned to public session at 10:45 a.m.

1. Public Participation

There were no public comments.

ON A MOTION by Trustee Gouin and seconded by Director Holt, the Minutes of the September 2, 2021, JACC meeting were unanimously approved.

ON A MOTION by Trustee Gouin and seconded by Director Holt, the Minutes of the November 19, 2021, Special JACC meeting were unanimously approved.

2. External Audit Activities

F. LaRosa provided an update on the status of external audit engagements.

ON A MOTION by Director Archambault and seconded by Trustee Gouin, the UConn Health to Appoint Pharmacy Optimization Consultants, Inc. to Perform an Audit of John Dempsey Hospital Hemophilia Treatment Center 340B Drug Pricing Program was unanimously approved by the JACC.

ON A MOTION by Director Archambault and seconded by Trustee Gouin, the UConn to Appoint Meyer Hoffman McCann to Perform Annual Audits of the UConn 2000 Projects for Fiscal Years 2021, 2022, and 2023 was unanimously approved.

K. Davis provided a presentation on the 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, 2021

A. Phung provided a presentation on the UConn fiscal year 2021 financial statement audit.

3. Significant Internal Audit Activities

F. LaRosa provided an update on the status of internal audits.

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

F. LaRosa provided an update on the current Audit and Management Advisory Services organizational chart.

4. Compliance Activities

ON A MOTION by Trustee Gouin and seconded by Director Archambault, the University policy on policies was unanimously approved.

K. Fearney provided an update on the significant compliance activities.

K. Fearney provided a presentation on the university compliance data and trends.

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C. Delello provided a presentation on compliance and management performance evaluations.

K. Fearney informed the JACC that there are informational and educational compliance items attached to the agenda.

5. Information Technology Update

M. Mundrane provided an update on the UConn information technologies.

A. Buckley provided an update on the UConn Health information technologies.

6. Miscellaneous

M. Boxer informed the JACC that the 2022 JACC Schedule is attached to the agenda.

7. Conclusion of Full Meeting

ON A MOTION by Trustee Dennis-LaVigne and seconded by Trustee Gouin, the JACC Committee voted unanimously to adjourn the meeting.

There being no further business appearing, the meeting was adjourned at 11:29 a.m.

Respectfully submitted,

Molly Kennedy