The teleconference of the Joint Audit & Compliance Committee (JACC) was called to order at 10:05 a.m. by Trustee Nayden.

M. Walker and Trustee Nayden thanked President Austin for his service and support throughout the years and informed him that he would be missed.

**TAB 1: Minutes**

**ON A MOTION** by Trustee Nayden and seconded by Trustee Barry, the minutes of the June 7, 2007 meeting were approved.

**TAB 2: Follow-up on June 7, 2007 JACC Meeting**

All follow-up activities were addressed.

**TAB 3: Significant Compliance Activities**

Along with a one-page handout on Compliance Plan Highlights, OACE updated the Committee on significant compliance activities during the reporting period.
OACE (Storrs) has taken on the responsibilities of Freedom of Information Requests (FOI). In 2006, from May to December the University of Connecticut received and processed 17 FOI requests. The frequency of FOI requests has greatly increased. Notably this year in the month of August alone, the University of Connecticut received 17 FOI requests. Storrs has asked and received approval to hire additional staff support in the Compliance area.

**TAB 4: Compliance Agreement**

OACE (UCHC) signed a three-year Certification of Compliance Agreement (CCA) on June 25, 2007. UCHC has established workgroups to assure compliance with each component of the agreement. The first annual report is due June 25, 2008. I. Mauriello will ensure that all reports will be reviewed and approved by Dr. Deckers prior to submission to the OIG.

OACE (Storrs) submitted the University of Connecticut’s annual report to the Environmental Protection Agency Suspension and Debarment Division on June 28, 2007 as required by the Corporate Integrity Agreement (CIA). As part of the Agreement, Storrs conducted an annual audit of federal grant/contract funds.

**TAB 5: Status of Audit Assignments**

There were 13 audits completed during the reporting period.

OACE will provide the Committee with a revised audit plan at the next meeting scheduled for December 11, 2007.

**TAB 6: External Engagements – Independent Auditors**

UHY presented the following audits:

- Agreed-Upon Procedures on Expenditures of UCONN 2000 Projects (Named Projects, Deferred Maintenance and Capital Equipment) for the Fiscal Year ended June 30, 2006;
- Audit of Construction Expenditures of UCONN 2000 Projects Substantially Completed during the Fiscal Year ended June 30, 2004 and for Projects Substantially Completed prior to or during the Fiscal Year ended June 30, 2003;

Copies of these reports were distributed at the meeting.

**TAB 7: UConn 2000 Construction Program**

The Committee received updates on audit recommendations from the Governor’s Commission as well as an update on all remaining open UCONN 2000 Program Audit Recommendations. All recommendations have been implemented, and therefore, these issues are now closed.
J. Bradley provided a PowerPoint presentation on the Reorganization of AES; Development and Implementation of Policies and Procedures; UConn 2000 Capital Projects.

The presentation provided in Tab 8 was modified and a new presentation and organization chart were distributed at the meeting.

**TAB 9: Risk Management Process Review**

The Risk Management Process was discussed.

**TAB 10: Public Meeting Provisions**

On August 9, 2007, Mr. Thomas Hennick, FOI Public Education Officer, provided training at the Storrs Campus concerning public meeting provisions as related to the Freedom of Information Act (FOIA). The training included topics such as types of public meetings, agenda requirements (posting), executive sessions and minutes of meetings. OACE provided the Committee with the highlights of this training.

There being no further questions or issues, ON A MOTION made by Trustee Nayden and seconded by Director Haberland, the meeting was convened to Executive Session Pursuant to Connecticut General Statues Section 1-200(6(A) and 6(E), to discuss a personnel matter and discussion of a matter that potential disclosure of which would constitute an invasion of personal privacy at 11:10 a.m. P. Austin, P. Barry, S. Brohinsky, C. Chiaputti, J. Goldberg, J. Haberland, W. Kleinman, J. Main, I. Mauriello, D. Nayden, R. Rubin, R. Schurin, R. Urban and M. Walker were present at this session. Immediately after this discussion concluded, management was dismissed and the Auditors of Public Accounts and UHY were asked to join the executive session to meet with the JACC members and members of the Office of Audit, Compliance & Ethics in a private forum.

The meeting was adjourned at 11:25 a.m.

Respectfully submitted,

Karen Violette
Secretary to the JACC