|  |  |
| --- | --- |
| **Attendees** |  |
| Trustees / Directors Present: | F. Archambault, S. Cantor, R. Carbray, T. Holt, T. Kruger, and D. Nayden |
| Staff Present: | M. Accorsi, A. Agwunobi, C. Andrews, K. Bailot, D. Barberi, C. Bianchi, J. Blumenthal, J. Carroll, C. Chiaputti, A. Cretors, L. Cruickshank, P. DeMeo, A. Diamond, C. Eaton, K. Fearney, D. Galloway, J. Geoghegan, B. Gore, C. Gray, E. Hanyckyj, H. Hildebrandt, R. Hoagland, S. Jordan, A. Keilty, R. Krinsky, K. Larsen, M. Larson, A. Marsh, I. Mauriello, P. McCarthy, J. McDonnell, C. Mitchell, M. Mundrane, T. Murphy, L. Neal, R. Orr, B. Patel, J. Pufahl, A. Quaresima, S. Reis, R. Rubin, J. Seemann, R. Simon, E. Swindelles, E. Tripp, K. Violette, N. Wallach, S. Wetstone, A. Zehner, and E. Zincavage |
| State Auditors: | J. Carroll, N. Freitas, J. Rasimas, and G. Slupecki |

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:03 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 University has determined the public’s interest in withholding outweighs the public’s 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 or the information contained therein pertaining to or communications privileged by the attorney-client relationship. [1-210(b)(10)]
* C.G.S. 1-200(6)[C] – Matters concerning standards, processes and codes not available to the public the disclosure of which would compromise the security of integrity of an information technology system. [1-210(b)(20)]

Executive Session was attended by Joint Audit & Compliance **Committee Members:** F. Archambault, S. Cantor, R. Carbray, T. Holt, T. Kruger and D. Nayden; **OACE Staff members:** K. Bailot, D. Barberi, C. Chiaputti, P. DeMeo, K. Fearney, D. Galloway, C. Gray, H. Hildebrandt, R. Krinsky, A. Marsh, I. Mauriello, J. McDonnell, L. Neal, A. Quaresima, K. Violette, and E. Zincavage; **Senior Staff:** A. Agwunobi, J. Geoghegan, S. Jordan, S. Reis, R. Rubin, and J. Seemann; **General Counsel:** R. Orr; **Asst. Attorney General:** J. Blumenthal; **Portions of Executive Session were also attended by:** M. Accorsi, S. Allen, C. Andrews, J. Carroll, A. Cretors, A. Diamond, K. Larsen, P. McCarthy, M. Mundrane, T. Murphy, and J. Pufahl, R. Simon, E. Swindelles, E. Tripp, N. Wallach, and A. Zehner.

The Executive Session ended at 10:50 a.m. and the JACC returned to open session at 10:55 a.m.

There were no public comments.

**Tab 1 – Minutes of the Meeting**

**ON A MOTION** made by Trustee Nayden and seconded by Trustee Cantor the minutes of the May 7, 2015, JACC meeting were approved.

**TAB 2 – Storrs & UConn Health Significant Compliance Activities**

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

J. Pufahl updated the committee on the data exposure in the School of Engineering.

A. Cretors and P. McCarthy presented the committee with an update on NCAA Compliance activities as well as various topics impacting the NCAA.

C. Mitchell updated the committee on ICD-10 initiatives at UConn Health. K. Fearney provided an update for the Storrs campus.

**Annual Audit and Compliance Plans – Storrs and UConn Health**

C. Chiaputti provided the committee with the Storrs and UConn Health FY16 Audit Plans.

K. Fearney provided the committee with the Storrs FY16 Compliance Plan and I. Mauriello the UConn Health FY16 Compliance Plan.

**ON A MOTION** made by Trustee Kruger and seconded by Director Holt, both the audit and compliance plans were approved by the committee.

**TAB 3 – Significant Audit Activities**

C. Chiaputti provided the JACC with an update on the status of audit assignments (Storrs and UConn Health). OACE completed eight audits and had twelve audits ongoing during this reporting period. OACE completed three special projects.

The JACC accepted eight, as follows:

* Cash Handling,
* Medical Device Security,
* Health Management (HIM) – Patient Record Management JDH UMG,
* UConn Health Electronic Health Record (eHims),
* General University Fee (GUF) Funded Activity – Marching Band,
* Firewall Security,
* NCAA Compliance – Academic Performance, and
* Project Commissioning / Closeout Process.

The Student Health Services Clinical Systems audit was incorrectly posted to the Status of Audit Assignments.

The committee was also provided with the status of OACE’s follow-up activities.

**Tab 4 – Auditors of Public Accounts**

Auditors of Public Accounts, J. Carroll, N. Freitas, J. Rasimas, and G. Slupecki presented the Auditors’ Report – University of Connecticut for the Fiscal Years Ended June 30, 2012 and 2013 – Storrs.

**Tab 5 – External Engagements**

**ON A MOTION** made by Trustee Nayden and seconded by Trustee Borges, the JACC approved the re-appointment of the accounting firm of McGladrey as independent auditors of UConn 2000 expenditures for FY15.

**ON A MOTION** made by Trustee Nayden and seconded by Trustee Cantor, the JACC approved the re-appointment of the accounting firm BKD to provide audit services for the year ending June 30, 2015.

**Tab 6 – Informational / Educational Items**

The committee was provided with the following:

* Compliance Newsletters – Storrs and UConn Health,
* Practical Guidance for Health Care Governing Boards on Compliance Oversight, April 20, 2015, and
* JACC Agenda Forecast.

There being no further business, **ON A MOTION** made by Trustee Nayden and seconded by Trustee Kruger, the meeting was adjourned at 11:30 a.m.

Respectfully submitted,

***Angela Marsh***

Angela Marsh