

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting

Meeting Minutes from December 1, 2015

| Attendees | |
|-------------------------------|---|
| Trustees / Directors Present: | F. Archambault, S. Cantor, R. Carbray, T. Kruger, and D. Nayden |
| Staff Present: | N. Adams, A. Agwunobi, C. Andrews, C. Bianchi, J. Blumenthal, W. Byerly, J. Carroll, C. Chiaputti, C. Cieplinski, P. DeMeo, E. Dumas, C. Eaton, K. Fearney, D. Galloway, D. Gnodtke, C. Gray, E. Hanyckyj, M. Jednak, S. Jordan, R. Krinsky, M. Larson, A. Marsh, I. Mauriello, M. Mundrane, T. Murphy, B. O'Connor, M. O'Connor, R. Orr, G. Pack, B. Patel, J. Petrizzo, L. Pittman, J. Pufahl, C. Renshaw, S. Reis, R. Rubin, S. Russolino, J. Sullivan, K. Violette, N. Wallach, T. Walters, S. Wetstone, and E. Zincavage |
| State Auditors: | J. Carroll and N. Freitas |
| BKD: | M. McKinley |

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:01 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 such documents clearly 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)[C] – Records of standards, procedures, processes, software, and codes not otherwise available to the public, the disclosure of which would compromise the security and of integrity of an information technology system. [1-210(b)(20)]

Executive Session was attended by the following: Joint Audit & Compliance **Committee Members:** F. Archambault, S. Cantor, R. Carbray, T. Kruger and D. Nayden; **OACE Staff members:** N. Adams, C. Chiaputti, P. DeMeo, K. Fearney, D. Galloway, C. Gray, R. Krinsky, A. Marsh, I. Mauriello, G. Pack, K. Violette, and E. Zincavage; **Senior Staff:** A. Agwunobi, S. Jordan, S. Reis, and R. Rubin; **General Counsel:** R. Orr; **Asst. Attorney General:** J. Blumenthal; **Portions of Executive Session were also attended by:** C. Andrews, J. Carroll, C. Cieplinski, M. Mundrane, T. Murphy, L. Pittman, and J. Pufahl.

The Executive Session ended at 10:43 a.m. and the JACC returned to open session at 10:45 a.m.

There were no public comments.

Tab 1 – Minutes of the Meeting

ON A MOTION made by Trustee Nayden and seconded by Trustee Carbray the minutes of the September 17, 2015, JACC meeting were approved.

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TAB 2 – Storrs & UConn Health Significant Compliance Activities

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

Chief B. O'Connor and Fire Lieutenant C. Renshaw presented the committee with an overview of the revised Storrs Emergency Preparedness Plan.

C. Chiaputti updated the committee indicating that implementation of ICD-10 at UConn Health is going smoothly and a full update will be provided at the next JACC meeting in February 2016.

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 four audits and had twenty audits ongoing during this reporting period. OACE completed one special project.

The JACC accepted three audits, as follows:

- Dental Record Management,
- axiUm Dental System, and
- Foundation Receipts and Disbursements – FY15.

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

Tab 4 – Charter Review

D. Galloway presented the Joint Audit and Compliance Committee and the Office of Audit, Compliance and Ethics Charters for review. The committee agreed to keep these documents in draft until further refinement is considered.

ON A MOTION made by Trustee Nayden and seconded by Director Archambault the UConn Health Executive Risk Management Compliance Committee Charter was approved.

Tab 5 – External Engagements

M. McKinley presented the report of the Annual Agreed Upon Procedures to the Statements of Revenues and Expenses of the UConn Athletic Program conducted by BKD.

Tab 6 – Informational / Educational Items

The JACC 2016 calendar was shared.

- Wednesday, February 3, 2016, 10:00 a.m. – 12:00 p.m. at the Rome Commons Ballroom, Storrs,
- Tuesday, May 17, 2016, 10:00 a.m. – 12:00 p.m. at the Rome Commons Ballroom, Storrs,
- Wednesday, September 21, 2016, 10:00 a.m. – 12:00 p.m. at the Rome Commons Ballroom, Storrs, and
- Wednesday, December 14, 2016, 10:00 a.m. – 12:00 p.m. at the Rome Commons Ballroom, Storrs.

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Tab 7 – Informational / Educational Items

The committee was provided with the following:

- Compliance Newsletters – Storrs and UConn Health,
- Current Issues in Compliance Newsletters – Storrs and UConn Health, and
- Article from the 2014 URIMA Journal – Six Lessons Learned Managing the Risk of Minors on Campus.

There being no further business, **ON A MOTION** made by Trustee Nayden and seconded by Trustee Cantor, the meeting was adjourned at 11:29 a.m.

Respectfully submitted,

Angela Marsh

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