

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

Meeting Minutes from May 17, 2016

Attendees	
Trustees / Directors Present:	F. Archambault, S. Cantor, R. Carbray, T. Holt, T. Kruger, and D. Nayden
Staff Present:	A. Agwunobi, C. Andrews, K. Bailot, C. Bianchi, J. Blumenthal, W. Byerly, C. Chiaputti, P. DeMeo, A. Diamond, L. DiGrazia, T. DiStasio, A. Donahue, C. Eaton, K. Fearney, D. Galloway, J. Geoghegan, M. Glasgow, C. Gray, E. Hanycky, G. Johnson, M. Lucas, H. Hildebrandt, R. Krinsky, A. Marsh, I. Mauriello, K. Metcalf, C. Molin, M. Mundrane, T. Murphy, B. Murray, R. Orr, J. Pufahl, A. Quaresima, R. Rubin, J. Seemann, P. Selleck, K. Violette, C. Weiskopf, S. Wetstone, and E. Zincavage
State Auditors:	J. Carroll, W. Felgate, N. Freitas, J. Rasimas and G. Slupecki
RSM:	M. Bloom

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

ON A MOTION made by Trustee Nayden and seconded by Trustee Carbray, 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 regarding Recovery Audit Contractor (RAC) Audits. [1-210(b)(4)]
- 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: Joint Audit & Compliance **Committee Members:** F. Archambault, S. Cantor, R. Carbray, T. Holt, T. Kruger and D. Nayden; **OACE Staff members:** K. Bailot, C. Chiaputti, P. DeMeo, T. DiStasio, K. Fearney, D. Galloway, C. Gray, H. Hildebrandt, R. Krinsky, A. Marsh, I. Mauriello, A. Quaresima, K. Violette, and E. Zincavage; **Senior Staff:** A. Agwunobi, A. Donahue, J. Geoghegan, J. Seemann, and R. Rubin; **General Counsel:** R. Orr; **Asst. Attorney General:** J. Blumenthal; **Portions of Executive Session were also attended by:** C. Andrews, C. Bianchi, W. Byerly, A. Diamond, C. Eaton, M. Glasgow, G. Johnson, K. Metcalf, M. Mundrane, T. Murphy, B. Murray, J. Pufahl, C. Weiskopf, and Scott Wetstone.

The Executive Session ended at 11:36 a.m. and the JACC returned to open session at 11:37 a.m.

There were no public comments.

ON A MOTION made by Trustee Nayden and seconded by Trustee Carbray the order of the agenda was adjusted to accommodate presenter’s availability.

Tab 1 – Minutes of the Meeting

ON A MOTION made by Trustee Nayden and seconded by Director Archambault the minutes of the February 3, 2016, JACC meeting were approved.

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

Meeting Minutes from May 17, 2016

TAB 2 – Storrs & UConn Health Significant Compliance Activities

- K. Fearney provided an update on the Minors Protection Program and Freedom of Information requests.
- D. Galloway updated the committee on the proposed Annual Compliance Reports and a Three-Year Compliance Work Plan.
- He also announced that Paul McCarthy will be joining OACE as Compliance Counsel in June.
- Due to restricted time, I. Mauriello's update on significant compliance activities was deferred.
- C. Molin gave an overview of the Drug Free Schools and Workplace program at UConn Health.
- J. Geoghegan provided an update on ICD-10 at UConn Health.

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 five of the six audits presented and had fifteen audits in progress during this reporting period.
- The committee was also provided with the status of OACE's audit recommendation follow-up activities.

Tab 4 – Charter Review

The Executive Risk Management and Compliance Committee – Storrs Charter was provided to the committee for information. There were no changes to the charter and no additional discussion.

Tab 5 – External Engagements

M. Bloom of RSM presented the UConn 2000 Construction Projects' Expenditures Annual Audit and Agreed Upon Procedures for FY15.

Tab 6 – Auditor of Public Accounts

Auditors of Public Accounts, J. Rasimas, J. Carroll, W. Felgate, G. Slupecki, and N. Freitas, presented the committee with the findings of the Statewide Single Audit Report for the Fiscal Year Ended June 30, 2015.

Tab 7 - Informational / Educational Items

The committee was provided with the following:

- Compliance Newsletters – Storrs,
- Current Issues in Compliance Newsletters – Uconn and UConn Health.

There being no further business, **ON A MOTION** made by Trustee Nayden and seconded by Trustee Kruger, the meeting was adjourned at 12:15 p.m.

Respectfully submitted,

Angela Marsh