

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

Meeting Minutes from September 27, 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, J. Blumenthal, C. Chiaputti, A. Cretors, K. Fearney, D. Galloway, J. Geoghegan, S. Jordan, K. Larsen, I. Mauriello, P. McCarthy, R. Orr, R. Rubin, J. Seemann, L. Silbart, S. Simpson
State Auditors:	J. Carroll, N. Freitas, and A. Phung

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:05 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. Dyer, K. Fearney, D. Galloway, C. Gray, H. Hildebrandt, D. Hook, A. Marsh, I. Mauriello, P. McCarthy, and K. Violette; **Senior Staff:** A. Agwunobi, J. Geoghegan, S. Jordan, J. Seemann, and R. Rubin; **General Counsel:** R. Orr; **Asst. Attorney General:** J. Blumenthal and S. Simpson; **Portions of Executive Session were also attended by:** C. Andrews, D. Atherton, W. Byerly, R. Corbett, A. Diamond, T. Dominguez, M. Funderburk, M. Glasgow, M. Hills, G. Johnson, K. Larsen, M. Larson, K. Metcalf, T. Murphy, J. Pufahl, L. Silbart, R. Trestman, R. Wahl, C. Weiskopf, W. Wendt, and Scott Wetstone.

The Executive Session ended at 11:20 a.m. and the JACC returned to open session at 11:24 a.m.

There were no public comments.

Tab 1 – Minutes of the Meeting

ON A MOTION made by Trustee Nayden and seconded by Director Archambault the minutes of the May 17, 2016, JACC meeting were approved.

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Meeting Minutes from September 27, 2016

TAB 2 – Storrs & UConn Health Significant Compliance Activities

- K. Fearney and I. Mauriello provided an update on compliance activities.
- A. Cretors provided an update on NCAA Compliance activities.

TAB 3 – Significant Audit Activities

C. Chiaputti provided the JACC with an update on the status of audit assignments (Storrs and UConn Health). The JACC accepted seven of the nine audits presented, in addition OACE had seventeen audits in progress during this reporting period.

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

- C. Andrews provided an update on the Leave Time Benefit audit.

Tab 4 – 2017 Draft Audit and Compliance Plans

- C. Chiaputti provided the committee with the Storrs and UConn Health FY17 Audit Plans.
 - K. Fearney provided the committee with the Storrs FY17 Compliance Plan and I. Mauriello the UConn Health FY17 Compliance Plan.
- ON A MOTION** made by Trustee Cantor and seconded by Trustee Kruger, both the audit and compliance plans were approved by the committee.

Tab 5 – External Engagements

- On A MOTION** made by Trustee Nayden and seconded by Director Holt, the JACC approved the hiring of CohnReznick – UCONN 2000 Constructions Project Expenditure Annual Audit and Agreed Upon Procedures.
- On A MOTION** made by Trustee Nayden and seconded by Trustee Archambault, the JACC approved the hiring of BKD – Annual NCAA Agreed-Upon Procedures to the Statements of Revenues and Expenses of the UConn Athletics Program.

Tab 6 – Auditor of Public Accounts

Auditors of Public Accounts, J. Carroll, N. Freitas, and A. Phung presented the Auditors’ Report – University of Connecticut for the Fiscal Years Ended June 30, 2014 and 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 Director Archambault, the meeting was adjourned at 12:05 p.m.

Respectfully submitted,

Angela Marsh