

# Joint Audit & Compliance Committee

Minutes of May 7, 2015

## TRUSTEES/DIRECTORS

PRESENT: F. Archambault, S. Cantor, R. Carbray, T. Holt, T. Kruger, and D. Nayden

## STAFF PRESENT:

N. Adams, C. Andrews, N. Baker, C. Bianchi, J. Blumenthal, W. Byerly, J. Carroll, C. Chiaputti, P. DeMeo, T. Dyer, C. Eaton, K. Fearney, K. Gafford, D. Galloway, J. Geoghegan, M. Glasgow, C. Gray, E. Hanycky, R. Hoagland, M. Jednak, S. Jordan, K. Larsen, M. Larson, J. Main, A. Marsh, M. Mundrane, T. Murphy, R. Orr, J. Pufahl, S. Reis, R. Rubin, J. Seemann, P. Selleck, K. Violette, E. Vitullo, N. Wallach, S. Wetstone, and E. Zincavage

STATE AUDITORS: J. Carroll, W. Felgate, N. Freitas, J. Rasimas, and G. Slupecki

MCGLADREY: M. Bloom

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:02 a.m. by Trustee Nayden.

**ON A MOTION** made by Trustee Nayden and seconded by Director Holt, THE JACC VOTED to go into executive session to discuss:

- C.G.S. 1-200(6)(E) – A discussion of any matter which would result in the disclosure of public records or the information contained therein pertaining to preliminary drafts or notes that the public agency 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) - A discussion of any matter which would result in the disclosure of public 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) - A discussion of any matter which would result in the disclosure of public 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 information technology systems.

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 – N. Adams, C. Chiaputti, P. DeMeo, T. Dyer, K. Fearney, D. Galloway, C. Gray, A. Marsh, K. Violette, E. Vitullo, and E. Zincavage; Senior Staff – C. Andrews, K. Gafford, 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 – J. Carroll, C. Eaton, K. Larsen, M. Mundrane, T. Murphy, and J. Pufahl.

The Executive Session ended at 11:17 a.m. and the JACC returned to open session at 11:18 a.m. There were no public comments.

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## **Tab 1 – Minutes of the Meeting**

**ON A MOTION** made by Trustee Nayden and seconded by Trustee Cantor the minutes of the February 10, 2015, JACC meeting were approved.

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

K. Fearney provided an update on significant compliance activities.

N. Wallach and W. Byerly presented an overview of Research Compliance for Storrs and UConn Health.

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

S. Wetstone updated the committee regarding open payment activity at UConn Health.

## **TAB 3 – Revised Travel and Entertainment Policies and Procedures**

C. Eaton provided the committee with a summary of changes made to this policy.

**ON A MOTION** made by Trustee Carbray and seconded by Director Archambault, the revised Travel and Entertainment Policies and Procedures for Storrs and the regional campuses were approved by the committee.

## **TAB 4 – Significant Audit Activities**

C. Chiaputti provided the JACC with an update on the status of audit assignments (Storrs and UConn Health). OACE completed five audits and had ten audits ongoing during this reporting period. OACE also was working on four special projects.

The JACC accepted four, of the five audits, as follows:

- CLAC Renovations – Review 2,
- Endowed Char Accounts,
- Server Implementation and Security, and
- Faculty Consulting – FY14.

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

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## **Tab 5 – Auditors of Public Accounts - FY14 Statewide Single Audit Findings and Management Responses**

Auditors of Public Accounts, J. Carroll, N. Freitas, J. Rasimas, G. Slupecki, and W. Felgate presented the Statewide Single Audit for the Fiscal Year Ended June 30, 2014 relative to:

- University of Connecticut Research and Development.
- UConn Health Research and Development.
- University of Connecticut Federal Financial Aid Assistance Programs.

[http://www.cga.ct.gov/apa/reports/statewide/STATEWIDE\\_20150330\\_FY2015.pdf](http://www.cga.ct.gov/apa/reports/statewide/STATEWIDE_20150330_FY2015.pdf) (Pages 277-314)

## **Tab 6 – External Engagements**

M. Bloom from McGladrey presented the committee with the following FY14 report:

- University of Connecticut – Report to the Board of Trustees and Joint Audit and Compliance Committee.
- University of Connecticut – Audit of Construction Expenditures of UConn 2000, Projects Substantially Completed.
- University of Connecticut – Agreed Upon Procedures on UConn 2000 Construction Expenditures.

**ON A MOTION** made by Trustee Nayden and seconded by Director Archambault this audit was approved.

## **Tab 7 – Informational / Educational Items**

The committee was provided with the following:

- Compliance Newsletters – Storrs and UConn Health,
- Current Issues in Compliance, 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 12:21 p.m.

Respectfully submitted,

*Angela Marsh*

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