

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

Meeting Minutes from February 3, 2016

Attendees	
Trustees / Directors Present:	F. Archambault, R. Carbray, T. Holt, T. Kruger, and D. Nayden
Staff Present:	A. Agwunobi, S. Allen, C. Andrews, O. Andujar, K. Bailot, D. Barberi, C. Bianchi, J. Blumenthal, J. Carroll, C. Chiaputti, D. Clokey, E. Cracco, A. Cretors, E. Daugherty, P. DeMeo, T. Dominguez, E. Dumas, T. Dyer, M. Eagen, C. Eaton, K. Fearney, D. Galloway, J. Geoghegan, M. Gilbert, M. Glasgow, D. Gnodtke, K. Goss, C. Gray, E. Hanyckyj, H. Hildebrandt, R. Hoagland, S. Jacobs, R. Krinsky, K. Larsen, A. Marsh, I. Mauriello, P. McCarthy, C. Mitchell, M. Mundrane, T. Murphy, R. Orr, B. Patel, J. Pufahl, A. Quaresima, S. Reis, R. Rubin, S. Russolino, J. Seemann, E. Strassfeld, J. Sullivan, K. Violette, S. Wetstone, E. Zincavage, and A. Zehner
State Auditors:	J. Carroll, N. Freitas, J. Rasimas and G. Slupecki
Marcum:	D. Coyle, C. Jackson

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 9:01 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, R. Carbray, T. Holt, T. Kruger and D. Nayden; **OACE Staff members:** O. Andujar, K. Bailot, D. Barberi, C. Chiaputti, P. DeMeo, T. Dyer, K. Fearney, D. Galloway, K. Goss, C. Gray, H. Hildebrandt, R. Krinsky, A. Marsh, I. Mauriello, A. Quaresima, K. Violette, and E. Zincavage; **Senior Staff:** A. Agwunobi, C. Andrews, J. Geoghegan, M. Gilbert, J. Seemann, S. Reis, and R. Rubin; **General Counsel:** R. Orr; **Asst. Attorney General:** J. Blumenthal; **Portions of Executive Session were also attended by:** J. Carroll, C. Cieplinski, D. Clokey, E. Cracco, A. Cretors, E. Daugherty, M. Eagen, D. Gnodtke, S. Jacobs, K. Larsen, P. McCarthy, M. Mundrane, T. Murphy, and J. Pufahl.

The Executive Session ended at 9:53 a.m. and the JACC returned to open session at 9:55 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 December 1, 2015, JACC meeting were approved.

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

The committee postponed the discussion of the Significant Compliance Activities until the next JACC meeting.

### 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 ten audits and had thirteen audits in progress during this reporting period.

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

S. Allen provided an update on the Status of Corrective Actions – Health Information / Record of Care Management.

### Tab 4 – Charter Review

The committee postponed the update on the Executive Risk Management Compliance Committee – Storrs Charter until the next JACC meeting.

### Tab 5 – External Engagements

C. Jackson and D. Coyle presented the Financial Statements as of June 30, 2015 for the University Medical Group (UMG), the John Dempsey Hospital (JDH) and Finance Corporation conducted by Marcum.

RMS (formerly McGladrey) provided an Audit Timeline for UConn 2000 Construction Program.

### Tab 6 – Auditor of Public Accounts

Auditors of Public Accounts, J. Rasimas, J. Carroll, G. Slupecki, and N. Freitas, presented the committee with the findings of the University of Connecticut and University of Connecticut Health Center Audited Financial Statements for the year ended June 30, 2015.

They also presented the Auditors' Report - University of Connecticut Health Center for the Fiscal Years Ended June 30, 2013 and 2014.

C. Eaton also provided a summary of GASB 68.

### Informational / Educational Items

The committee was provided with the following:

- Compliance Newsletters – Storrs,
- Current Issues in Compliance Newsletters – Storrs 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 11:07 a.m.

Respectfully submitted,

**Angela Marsh**