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

Meeting Minutes from March 1, 2018

University of Connecticut, Lewis B. Rome Commons Ballroom, 626 Gilbert Road Extension, Storrs, CT

<table>
<thead>
<tr>
<th>Attendees</th>
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<tr>
<td>Trustees / Directors</td>
<td>F. Archambault, R. Carbray, J. Freedman, J. Gouin, T. Holt, and D. Nayden</td>
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<td>Present:</td>
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<td>State Auditors:</td>
<td>W. Felgate, B. Jordan</td>
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<td>CohnReznick:</td>
<td>P. Ballasy, C. Kurth</td>
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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 Director Holt, 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, J. Freedman, J. Gouin, T. Holt, and D. Nayden

Audit Staff members: C. Chiaputti, H. Hildebrandt, A. Marsh, G. Perrotti, A. Quaresima, and E. Zincavage; Compliance Staff members: K. Fearney, and E. Vitullo; Senior Staff: A. Agwunobi, J. Geoghegan, S. Jordan, R. Maric, R. Rubin, and J. Shoulson; General Counsel: N. Gelston, B. White; Portions of Executive Session were also attended by: M. Frank, C. Gray, M. Larson, B. Metz, M. Mundrane, J. Pufahl, and R. Rudnick.

The Executive Session ended at 10:30 a.m. and the JACC returned to open session at 10:32 a.m.
There were no public comments.

Tab 1 – Minutes of the Meeting
ON A MOTION made by Trustee Nayden and seconded by Trustee Gouin the minutes of the December 19, 2017, JACC meeting were approved.

Tab 2 – External Engagements

Tab 3 – UConn and UConn Health Significant Compliance Activities
K. Fearney provided an update on the reorganization efforts of both centralized and decentralized compliance units.
Tab 4 – Storrs & UConn Health Significant Audit Activities
C. Chiaputti provided the JACC with an update on the status of audit assignments (Storrs and UConn Health). The JACC accepted three audits presented, in addition, Audit and Management Advisory Services had seventeen audits in progress during this reporting period.

Tab 5 – UConn Health - HealthONE
UConn Health CIO B. Metz provided a HealthONE update for the Epic EHR Project to the committee.

Tab 6 – Charters
ON A MOTION made by Trustee Nayden and seconded by Director Archambault the Joint Audit and Compliance Committee (JACC) Charter was approved.

ON A MOTION made by Trustee Nayden and seconded by Trustee Carbray the Office of Audit and Management Advisory Services (AMAS) Charter was approved.

ON A MOTION made by Trustee Nayden and seconded by Trustee Gouin the Office of University Compliance Charter was approved.

Tab 7 - Informational / Educational Items
The committee was provided with the following:
Compliance Newsletters –UConn Health

There being no further business, ON A MOTION made by Trustee Nayden and seconded by Director Archambault, the meeting was adjourned at 10:55 a.m.

Respectfully submitted,
Angela Marsh