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| **Attendees** |  |
| **Trustees / Directors Present:** | BOT Chairman D. Toscano, F. Archambault, M. Boxer, R. Carbray, A. Dennis-Lavigne, J. Gouin, T. Holt, and B. Pollard |
| **Staff Present:** | A. Agwunobi, O. Andujar, C. Bernard, C. Bianchi, J. Blumenthal, W. Byerly, A. Calandro, C. Chiaputti, C. Cipriani, T. Dyer, C. Eaton, K. Fearney, A. Fiorvanti, L. Gallo, B. Gelston, N. Gelston, M. Gendreau, J. Geoghegan, M. Glasgow, K. Goss, C. Gray, H. Hildebrandt, K. Hill, M. Jednak, S. Jordan, A. Keilty, L. Kozma, M. Larson, A. Marsh, L. Neal, G. Perrotti, A. Quaresima, J. Shoulson, J. Simpson, A. Swinney, E. Vitullo, and E. Zincavage |
| **BKD** | M. McKinley |

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:01 a.m. by Trustee Boxer.

**ON A MOTION** made by Trustee Boxer and seconded by Director 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
* 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:** BOT Chairman D. Toscano, F. Archambault, M. Boxer, R. Carbray, A. Dennis-Lavigne, J. Gouin, T. Holt, and B. Pollard; **Audit Staff members:** C. Chiaputti, T. Dyer, L. Gallo, M. Gendreau, L. Gallo, K. Goss, H. Hildebrandt, A. Marsh, G. Perrotti, A. Quaresima, and E. Zincavage; **Compliance Staff members:** O. Andujar, K. Fearney, B. Gelston, K. Hill, L. Neal, and E. Vitullo; **Senior Staff:** A. Agwunobi, W. Byerly, J. Geoghegan, S. Jordan, A. Keilty, R. Rubin, J. Shoulson, and J. Simpson; **General Counsel:** J. Blumenthal,N. Gelston; **Portions of Executive Session were also attended by:** C. Bernard, C. Eaton, M. Glasgow, C. Gray, M. Jednak, L. Kozma, M. Larson, and S. Nolan.

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.

**Tab 1 – Minutes of the Meeting**

**ON A MOTION** made by Trustee Boxer and seconded by Director Holt the minutes of the September 25, 2019 JACC meeting were approved.

**Tab 2 – External Engagements**

C. Chiaputti provided the committee with an update on ongoing external engagements.

M. McKinley from BKD presented the Annual Agreed-Upon Procedures performed on the Division of Athletics as Required by NCAA Bylaw 3.2.4.15.1, Year Ended June 30, 2019.

**ON A MOTION** made by Trustee Boxer and seconded by Director Carbray, the CohnReznick revised audit scope and fee were approved.

Marcum will present the UConn Health John Dempsey Hospital, University Medical Group, & Finance Corporation

Financial Statements for the Year Ended June 30, 2019 at the next meeting.

**Tab 3 – University of Connecticut Revised Travel and Entertainment Policy and Procedures**

C. Eaton, M. Larson presented revisions to the Travel and Entertainment Policy and Procedures. The JACC provided feedback and the approval for the revised policy and procedures was postponed until a later date.

**Tab 4 – Significant Compliance Activities**

K. Fearney provided an update on compliance activities.

A. Fiorvanti provided a NCAA Compliance update regarding changes to the usage of student athletes name, image and likeness.

The Research item on the agenda will be provided at the next meeting.

**UConn Health – EPIC Update**

The EPIC update item on the agenda will be provided at the next meeting.

**Tab 5 – UConn & UConn Health Significant Audit Activities**

C. Chiaputti provided the JACC with an update on the status of audit assignments (UConn and UConn Health). The JACC reviewed eight audits. In addition, Audit and Management Advisory Services had fourteen audits in progress at the end of this reporting period.

**Tab 6 – Informational / Educational Items**

Compliance Matters

There being no further business, **ON A MOTION** made by Trustee Boxer and seconded by Director Holt, the meeting was adjourned at 11:56 a.m.

Respectfully submitted,

***Angela Marsh***