

**Internal Audit Commission  
Meeting Minutes  
October 16, 2019  
2:00 p.m.**

Attending Members: Kyle J. Bergquist, Chairman, Internal Audit Commission  
Bruce Rubenstein, Internal Audit Commission Member  
Edmund M. See, Internal Audit Commission Member  
Craig S. Trujillo, Chief Auditor and Secretary to the Internal Audit Commission

Guests: Joe Caruso, Deputy Chief Auditor  
Lori Mizerak, Corporation Counsel

The meeting was held in the Internal Audit Conference Room #304 at 550 Main Street, Hartford, CT.

The topics of discussion, for the most part, followed the items on the agenda, which was prepared jointly by the Chief Auditor and the Internal Audit Commission (IAC) members and filed with the Town and City Clerk prior to the meeting. Items discussed were as follows:

1. The meeting was called to order by IAC Chairman Bergquist at 2:01PM.
2. K. Bergquist took roll call. The individuals in attendance are noted above.
3. The minutes from the September 2019 IAC meeting were deemed to represent the proceedings. IAC member See made a motion to accept the minutes, seconded by IAC member Rubenstein and unanimously approved.
4. The Internal Audit Department (IAD) Activity Report for the month of September 2019 was noted. IAC Chairman Bergquist asked about the AutoAudit software status. C. Trujillo noted he met with the Mayor to discuss the necessity. J. Caruso noted that we need to get two more competitive bids as required by the City Purchasing policy. IAC Member See brought up the meeting with the State Attorney's Office. C. Trujillo noted that money is being repaid back to HPS and a demand letter is being drafted to send out to City & HPS employees. C. Trujillo also informed that the HPS CFO and Risk Manager both resigned from their positions. He also informed them that it is the Mayor's intention to consolidate the Risk Manager positions for the City and HPS.
5. There was a review and discussion of audit reports issued since the September 2019 IAC meeting:
  - a. City of Hartford Department of Public Works Equipment Maintenance Services Accounts and Operations Audit Report 2003 – J. Caruso noted operations have improved since our last audit; however, they are not doing parts inventory on an annual basis and not all fleet vehicles have been entered into MUNIS. J. Caruso also noted that the number of FuelMaster IDs have decreased significantly; however, a process needs to be implemented to inform the DPW Superintendent when employees terminate so he can remove their employee IDs from FuelMaster. J. Caruso also noted there was old fleet vehicles that needs to be replaced and the last major fleet

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purchase was back in 2016 when they purchased the Chevy Caprices and in 2019 when they purchased ten Chevy Tahoes.

- b. City of Hartford Town Clerk's Office Revenue Accounts and Operations Audit Report 2004 – J. Caruso noted that this audit was expedited due to concerns about money being left open on the counter and the safe is kept open all throughout the work day, which were confirmed by Audit. In addition, J. Caruso noted that procedures need to be documented for many of their processes, specifically around who can make photocopies for no-fee. J. Caruso agreed to assist the Town Clerk's Office in documenting written procedures.
6. J. Caruso noted the following audits in-process: Department of Management & Budget Grants Administration Accounts and Operations; Department of Health & Human Services Revenue and Medicaid Reimbursement Accounts and Operations; and City Department of Human Resources Employee Healthcare Contributions. J. Caruso also noted that the Hartford Public Schools Payroll Accounts and Operations audit will be announced shortly.
7. There was no discussion of special review requests as nothing has been issued since the prior meeting. J. Caruso noted that he's waiting on information from the insurance provider in regards to Councilman Deutsch's request relating to the high deductible health plan.
8. J. Caruso noted that progress continues to be made on following up on audit recommendations. J. Caruso informed the IAC that C. Trujillo and himself met with the Mayor to discuss open FY'2019 recommendations and implementing a new process to enhance compliance. J. Caruso intends to communicate to each Department Head, the Mayor and Chief of Staff and City Council all outstanding audit recommendations that have not been addressed by each Department Head. The purpose is to create urgency to clear the recommendations, which has already been noticed by IAD. J. Caruso also noted that IAD already is more than halfway through all FY'2015 audits that were agreed would be superseded during FY'2020.
9. Under new business, J. Caruso informed the IAC about the resolution from the Oct 15, 2019 City Council meeting. C. Trujillo noted it was written poorly and it was unclear what they were looking for from IAC if the resolution was approved. C. Trujillo noted it got referred to the Council Legislative Affairs Committee. J. Caruso then informed the IAC of statistics on the HPS healthcare fraud and who has paid back and/or on a payment plan. IAC Member Rubenstein requested that we put this topic on the agenda for the next IAC meeting. J. Caruso also asked if we should put the appointment of a new IAC Chairman for the next IAC meeting to commence in January 2020. IAC Bergquist confirmed to put it on next month's agenda. J. Caruso also informed the IAC that it is Julio Concepcion's assertion that IAC Chairman Bergquist does not need to be reappointed and that it is his opinion that he can continue serving on the IAC until they want to reappoint someone different.
10. The next IAC meeting is scheduled for November 20, 2019 at 2:00PM. in the IAD conference room # 304. The meeting was adjourned at 2:37PM. after a motion made by IAC Member Rubenstein, seconded by IAC Member See and unanimously approved.

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**Respectfully submitted by Craig S. Trujillo – Chief Auditor, City of Hartford**