

Minutes - September 24, 2009

TRUSTEES/DIRECTORS PRESENT: C. Chase, J. Goldberg, J. Haberland, and D. Nayden

STAFF PRESENT: N. Adams, C. Andrews, S. Alexander, J. Biancamano, J. Bradley, N. Bull, T. Callahan, C. Chiaputti, C. Eaton, B. Feldman, J. Geoghegan, C. Gray, R. Gray, M. Hogan, D. Hook, M. Kirk, W. Kleinman, R. Krinsky-Rudnick, I. Krisst, C. Laurencin, M. Liskom, D. Martel, I. Mauriello, P. McDowell, D. Munroe, P. Nicholls, J. Reynolds, L. Riley, R. Rubin, J. Schwager, J. Sullivan, M. Summerer, L. Troyer, R. Urban, K. Violette, K.M. Walker, N. Wallach, J. Walter, S. Wetstone

UHY: M. Brooder and A. Scillia

STATE AUDITORS: J. Carroll and J. Rasimas

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:35 a.m. by Trustee Nayden.

ON A MOTION made by Director Haberland and seconded by Director Goldberg, THE JACC VOTED to go into executive session pursuant to Connecticut General Statutes Sections 1-210(b)(1) and (20) to discuss draft audit reports and risk based audit plans. Trustee Nayden, Director Chase, Director Goldberg and Director Haberland, N. Adams, J. Biancamano, J. Bradley, N. Bull, C. Chiaputti, B. Feldman, R. Gray, President M. Hogan, C. Laurencin, W. Kleinman, M. Liskom, I. Mauriello, D. Munroe, P. Nicholls, R. Rubin, L. Troyer, R. Urban, K. Violette, K.M. Walker, and J. Walter were present during executive session. In addition, S. Alexander, T. Callahan, J. Geoghegan, C. Gray, D. Hook, M. Kirk, R. Krinsky-Rudnick, I. Krisst, P. McDowell, L. Riley, J. Schwager, J. Sullivan and S. Wetstone, C. Eaton and D. Martel attended part of the executive session.

The Executive Session ended at 11:30 a.m. and the JACC returned to open session at 11:35 a.m.

TAB 1: Minutes

ON A MOTION by Director Haberland and seconded by Director Goldberg, the minutes of the June 4, 2009 JACC meeting were approved.

TAB 2: Follow-up to the June 4, 2009 JACC Meetings

During the June 4, 2009 JACC meeting, Trustee Nayden asked the President if he thought that the University should require employees to certify an annual acknowledgement which lists all policies that employees must be aware of and adhere to. President Hogan indicated that he would report back to the JACC at the next meeting.

President Hogan indicated that UConn Storrs has over 120 policies that may apply to employees depending upon the activities they are undertaking. These policies range from central policies, such as the Code of Ethics, Diversity, Travel, and Payroll to more specialized policies (which apply to a limited number of employees), like the Exhaust Fan Maintenance Policy or Floor Tile Management Policy. Consequently, at the New Employee Orientation, employees sign-off on a document indicating that they have received information on 32 central policies. Going forward, in their annual (mandatory) compliance training, employees will be provided with instruction on the University's on-line Policies e-Library, which offers a comprehensive list of all policies.

Minutes – September 24, 2009

TAB 3: JACC Meeting Schedule 2009-2010

Trustee Nayden asked K. M. Walker to revise the JACC meeting schedule to ensure that JACC meetings are held approximately three weeks prior to the Board of Trustees meetings. Because the Board of Trustees meet six times per year while the JACC meets only four, there may not always be a feeder meeting directly in front of an established Board meeting. K. M. Walker indicated that we would revise the schedule and bring it back to the committee but asked that the committee approved the current schedule until that time.

ON A MOTION made by Director Haberland and seconded by Director Goldberg, the JACC meeting schedule was approved.

TAB 4: Significant Compliance Activities

American Recovery and Reinvestment Act of 2009 (ARRA)

K.M. Walker recognized all the work that has been done by both research communities regarding ARRA monthly reporting. Approximately 357 proposals totaling \$15 million have been processed for Storrs and UCHC combined.

Non-Retaliation Policy

L. Troyer announced that the non-retaliation policy has been approved.

UCHC Institutional Conflicts of Interest in Research Policy (ICol)

The draft UCHC Institutional Conflicts of Interest in Research (ICol) Policy was approved by the Board of Directors on September 14, 2009.

Update on Hospital Improvement Plan

M. Summerer, Director of John Dempsey Hospital, provided the JACC with an update on the Hospital Improvement Plan. M. Summerer pointed out that the second to the last bullet has an error; instead of stating that JDH “expects to have completed the remaining items” of the Hospital Improvement Plan, it should state JDH “anticipates completing most of the remaining items” of the Hospital Improvement Plan.

UCHC Monitoring Plan Update

I. Mauriello provided the JACC with an overview of the new UCHC monitoring program. She pointed out that the monitoring program is meant to be a collaborative process which is intended to educate and optimize compliance within the institution. It is adjunct to the current educational activities that the compliance office is involved in and augments the audit program as well. This is meant to be a living and breathing program because risks will change. UCHC Compliance has already rolled out a few of their monitors. The JACC was provided with a Draft Compliance Monitoring Plan for FY 10 Schedule of Monitors. Compliance has been working closely with C. Chiaputti in the audit area to ensure that there is no inappropriate overlap between audit and compliance.

Minutes – September 24, 2009

TAB 5: Status of Audits

C. Chiaputti provided the JACC with the status of current audit assignments. OACE has 35 audits in process during this reporting period. Eleven final draft audit reports were issued; one preliminary draft report was issued, 20 audits were in the fieldwork stage and three were in the planning stage.

TAB 6: Risk Based Audit Plans

C. Chiaputti presented the FY 10 Risk Based Draft Audit Plans.

ON A MOTION made by Director Haberland and seconded by Director Goldberg, the audit plans were approved.

TAB 5: External Engagements

M. Brooder of UHY presented the JACC with draft audit reports as follows:

- Audit of Construction Expenditures of UCONN 2000 – Monteith Renovations Project Substantially Completed during the Fiscal Year ended June 30, 2002.
- Audit of Construction Expenditures of UCONN 2000 Projects Substantially Completed during the Fiscal Year ended June 30, 2008.
- Agreed-Upon Procedures on UCONN 2000 Construction Expenditures for the Fiscal year ended June 30, 2008.

UHY also provided the JACC with the following:

- Communication with the Joint Audit & Compliance Committee
- Trend Analysis – Proposed Adjustments
- Trend Analysis – Management Letter Comments
- Management Letter

All UHY documents were handed out at the JACC meeting; these items were not mailed out with the JACC packets.

TAB 8: Internal Audit Oversight

K.M. Walker provided the JACC with a copy of the Institute of Internal Auditors 10-point oversight checklist. K.M. Walker filled out this checklist as it pertains to the University of Connecticut; eight points were complete; one was partially complete and one is in the planning stage. A Quality Assessment Review will be conducted during the fall of 2010.

TAB 9: Informational/Educational Items

The JACC was provided with copies of the OACE Storrs & UCHC Quarterly Newsletters (Summer 2009); the Institute of Internal Auditors “Tone at the Top” and PricewaterhouseCoopers “Business upheaval: Internal audit weights its role amid the recession and evolving enterprise risks.”

ON A MOTION made by Director Haberland and seconded by Director Goldberg, the meeting was adjourned at 12:15pm.

Respectfully submitted, Karen Violette – Secretary to the Joint Audit & Compliance Committee.