

JACC Minutes – September 7, 2011

TRUSTEES/DIRECTORS PRESENT: F. Archambault, F. Borges, T. Holt, D. Nayden, and W. Shepperd

STAFF PRESENT: N. Adams, P. Austin, J. Biancamano, C. Bianchi, D. Bradway, N. Bull, C. Chiaputti, C. Eaton, K. Fearney, B. Feldman, J. Geoghegan, C. Gray, R. Gray, S. Herbst, H. Hildebrandt, R. Hoagland, W. Kleinman, R. Krinsky-Rudnick, M. Liskom, I. Mauriello, P. McCarthy, P. McDowell, T. Monahan, K. Price, J. Pufahl, S. Reis, R. Rubin, J. Small, M. Sullivan, J. Sullivan, K. Violette, E. Vitullo, M. Walker, J. Walter, S. Wetstone, and E. Zincavage

STATE AUDITOR: J. Rasimas

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:06 am by Trustee Nayden.

ON A MOTION made by Trustee Archambault and seconded by Director Holt, the committee voted to amend the agenda to add additional executive session items to include:

C.G.S. 1-200(6)(E) a discussion of any matter which would result in the disclosure of public 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) – a discussion of a matter which would result in the disclosure of public records or the information contained therein pertaining to communications privileged by the attorney-client relationship regarding advice provided by outside counsel [1-210(b)(10)].

In addition, the JACC will discuss:

C.G.S. 1-200(6)(C) & (E) - Matters concerning standards, processes and codes not available to the public the disclosure of which would compromise the security or integrity of information technology systems;

C.G.S. 1-200(6)(E) – Preliminary drafts or notes that the public agency has determined the public's interest in withholding outweighs the public's interest in disclosure [1-210(b)(1)].

ON A MOTION made by Trustee Archambault and seconded by Director Holt, THE JACC VOTED to go into executive session.

Executive Session was attended by Joint Audit & Compliance Committee Members – F. Archambault, F. Borges, T. Holt, D. Nayden and W. Shepperd; OACE Staff members, N. Adams, C. Chiaputti, K. Fearney, C. Gray, R. Krinsky-Rudnick, M. Liskom, I. Mauriello, K. Violette, E. Vitullo, M. Walker, and E. Zincavage; Senior Management – P. Austin, J. Biancamano, N. Bull, B. Feldman, R. Gray, S. Herbst and S. Reis as well as Attorney M. Sullivan and W. Kleinman. J. Pufahl was in attendance for a portion of the executive session.

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The Executive Session ended at 11:09 a.m. and the JACC returned to open session at 11:15 a.m. There were no public comments.

TAB 1 - Minutes of the June 8, 2011 JACC Meeting

ON A MOTION made by Trustee Archambault and seconded by Director Holt, the minutes of the June 8, 2011 meeting were approved.

TAB 2 - Significant Compliance Activities

K. Fearney and I. Mauriello provided the JACC with a summary of significant compliance activities for both the University and University of Connecticut Health Center including:

UCHC

- Compliance Training Statistics for 2011
- Institutional Conflicts of Interest in Research Policy
- Regulatory Updates
- AAMC Compliance Program Peer Evaluation Project
- NIH – Conflict of Interest Disclosures

Storrs

- Exit Interview Program
- Regulatory Compliance Update
 - Program Integrity Rules
 - Red Flags Rule

Storrs and UCHC

- Monitoring Plan Updates

K. Price, Director of Research Safety at UCHC provided a presentation on Lab Safety. He discussed the following major recent compliance efforts:

- Semiannual Lab Hazard Inspections
- Asbestos Awareness Policy
- Power Tool Survey
- Audit of Radiation Safety Program
- Audit of High Dose Rate Radiation Therapy Cases
- Incinerator/Crematory Decommissioning
- Planning for Decommissioning Related to Future Construction

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TAB 3 - Significant Audit Activities

C. Chiaputti provided the JACC with a status update of current audit assignments. OACE completed 9 audits this cycle. In addition OACE completed one consulting engagement. The nine audits are listed below.

1. ARRA Quarterly Validation (2nd Quarter Ending 06/30/11)
2. Center for Public Health & Health Policy (CPHHP)
3. UConn Capital Projects – Non AES – Academic Renovations
4. CT Center for Entrepreneurship & Innovation (CCEI)
5. User Account Administration - UCHC
6. Materials Management - UCHC
7. HR – Search, Hiring and Compensation Practices
8. Research Misconduct Process - UCHC
9. Partial Hospitalization Program (PHP) – Psychiatric

Tab 4 – OACE Strategic Plan FY 2009 – 2011

K. Walker provided the JACC with a copy of the close out of the OACE Strategic Plan for Fiscal Years 2009 through 2011.

Tab 5 – External Audit Projects

The JACC was provided with an update on all external audit projects currently underway at the University and UCHC.

OACE recommended that the Joint Audit and Compliance Committee approve the appointment of the accounting firm BKD to provide audit services for the year ended June 30, 2011. These services include reporting on the application of agreed-upon procedures in compliance with The National Collegiate Athletic Association (NCAA) Financial Reporting Requirements. The proposed fee for the above services, on a not to exceed basis, is \$22,660. The engagement will commence on or about September 15, 2011 and is expected to be completed no later than January 15, 2011. In accordance with the terms of the contract, the University may elect to utilize BKD to provide NCAA financial audit services on an annual basis for up to five consecutive years.

ON A MOTION made by Trustee Archambault and seconded by Director Holt, the JACC approved this request.

Tab 6 – Joint Audit & Compliance Committee Draft Self Assessment – 2011

K. Walker provided the JACC with a draft JACC Self Assessment – 2011 Questionnaire. The primary purpose of this self assessment is to assist JACC members in assessing the effectiveness of the JACC. The self-evaluation will aid the JACC in determining its strengths and weaknesses and will lay a foundation for future improvement. Also it will allow the JACC to evaluate and make improvements in its manner of operation and rate both the quality and quantity of work accomplished.

JACC members should complete the questionnaire and return it to OACE prior to October 3, 2011. OACE will consolidate and analyze the data and discuss the results with the JACC chair. The final report will be submitted to the JACC at the December 15, 2011 meeting.

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TAB 7 – Informational/Educational Items

The JACC was provided with copies of the following:

- OACE Storrs & UCHC Quarterly Newsletters (Summer 2011)
- Accounting for Disclosure Under HIPAA (Proposed Rule: 76 Federal Register 31426) – May 31, 2011
- JACC Agenda Forecast - revised

ON A MOTION made by Trustee Archambault and seconded by Director Holt, the meeting was adjourned at 11:33 a.m.

Respectfully submitted,

Karen Violette

Karen Violette
Secretary to the Joint Audit & Compliance Committee

December 15, 2011