

JACC Minutes – December 15, 2011

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

BOARD OF TRUSTEES: L. McHugh and T. Ritter

STAFF PRESENT: N. Adams, P. Austin, K. Bailot, J. Biancamano, C. Bianchi, N. Bull, T. Callahan, C. Chiaputti, A. Donahue, C. Eaton, K. Egeberg, K. Fearney, B. Feldman, J. Geoghegan, B. Gore, C. Gray, R. Gray, S. Herbst, H. Hildebrandt, R. Hoagland, R. Krinsky-Rudnick, M. Liskom, W. Locust, J. Main, C. Malloy, A. Marsh, D. Martel, D. Mattessich, I. Mauriello, D. Munroe, C. Mitchell, P. Nicholls, M. Oconnors, P. McDowell, T. Monahan, B. Patel, S. Reis, D. Romono-Connors, R. Rubin, J. Small, K. Violette, E. Vitullo, R. Urban, M. Vertefeuille, M. Walker and E. Zincavage

STATE AUDITOR: G. Slupecki and J. Rasimas

BKD: Mary McKinley

KPMG: S. Jackson and C. Kavanagh

McGladrey: M. Bloom and L. Schaedel

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 9:10 am by Trustee Nayden.

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

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)].

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)].

Executive Session was attended by Joint Audit & Compliance Committee Members – F. Archambault, F. Borges, P. Drotch, T. Holt, T. Kruger, D. Nayden and W. Shepperd; OACE Staff members, N. Adams, K. Bailot, T. Callahan, C. Chiaputti, A. Donahue, C. Eaton, K. Fearney, J. Geoghegan, C. Gray, H. Hilderbrandt, M. Liskom, A. Marsh, I. Mauriello, P. McDowell, K. Violette, E. Vitullo, M. Walker, and E. Zincavage; Senior Management – P. Austin, J. Biancamano, B. Feldman, R. Gray, S. Herbst, D. Martel, and S. Reis, D. Romano-Connors, R. Rubin, as well as Attorney Urban. W. Locust, J. Main and C. Mitchell were in attendance for a portion of the executive session.

JACC Minutes – December 15, 2011

The Executive Session ended at 10:00 a.m. and the JACC returned to open session at 10:05 a.m. There were no public comments.

TAB 1 - Minutes of the September 07 and October 5, 2011 JACC Meeting

ON A MOTION made by Trustee Archambault and seconded by Director Holt, the minutes of both the September 7 and October 5, 2011 meetings 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

- Annual Compliance Training
- Institutional Conflict of Interest (Col) Disclosures in Research
- Department of Health & Human Services, Office of Inspector General (OIG) Work Plan
- Coding – International Classification of Diseases (ICD)
- Health Ethics Trust Best Practice Award

Storrs

- University Policy Protocol and Website
- Office of the Attorney General Privacy Task Force
- Monitoring Plan Update

K. Bailot informed the JACC of the University of Connecticut Health Center Medicare Coverage Determination Initiative.

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 five consulting engagement. The nine audits are listed below.

- ARRA Quarterly Validation (3rd Quarter Ending 09/30/11)
- Faculty Consulting Activities and University Procedures
- Purchasing Card Program
- Stem Cell Agreements
- Email - UCHC
- Materials Management - UCHC
- Financial Aid Awards – Storrs and Regional Campuses for the 2011-2012 Academic Year
- Motor Pool Operations
- Central Stores Business Operations
- John Dempsey Hospital Charge Description Master

March 6, 2012

JACC Minutes – December 15, 2011

Tab 4 – Joint Audit and Compliance Committee

K. Walker provided the JACC with 2011 Self Assessment Executive Summary and Detailed Analysis.

Tab 5 – OACE Strategic Plan FY 2012-2014

K. Walker provided the JACC with a copy of the OACE Strategic Plan for Fiscal Years 2012 through 2014.

Tab 6 – External Audit Projects

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

M. Bloom from McGladrey updated the JACC on the status of their Uconn 2000 Construction Program Audit and Agreed Upon Procedures Audit.

S. Jackson and C. Kavanagh from KPMG presented their results of their audit of the financial statements of the University of Connecticut Health Center, John Dempsey Hospital (21002 Fund), UCONN Medical Group (Clinical Operations), and the Finance Corporation (collectively referred to as the “Health Center”) as of and for the year ended June 30, 2011.

M. McKinley from BKD presented their University of Connecticut Independent Accountants’ Report on Agreed-upon Procedures performed on the Division of Athletics as Required by NCAA Bylaw 3.2.4.16 – June 30, 2011.

Tab 7 – Auditors of Public Accounts

J. Rasimas presented their Auditors Report on the University of Connecticut Health Center for the fiscal years ended June 30, 2009 and 2010.

TAB 8 – Informational/Educational Items

The JACC was provided with copies of the OACE Storrs & UCHC Quarterly Newsletters for the Fall of 2011.

ON A MOTION made by Trustee Archambault 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 the public’s interest in withholding outweighs the public’s interest in disclosure [1-210(b)(1)].

Executive Session was attended by Joint Audit & Compliance Committee Members – F. Archambault, F. Borges, P. Drotch, T. Holt, T. Kruger, D. Nayden and W. Shepperd; OACE Staff members C. Chiaputti and M. Walker, Board of Trustee Members L. McHugh and T. Ritter, Senior Management – S. Herbst and R. Rubin, Attorney Urban.

March 6, 2012

JACC Minutes – December 15, 2011

There was no further business.

ON A MOTION made by Trustee Archambault and seconded by Director Holt, the meeting was adjourned at 12:10 p.m.

Respectfully submitted,

Karen Violette

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Secretary to the Joint Audit & Compliance Committee

March 6, 2012