

JACC Minutes – April 12, 2012

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

STAFF PRESENT: N. Adams, J. Biancamano, C. Bianchi, N. Bull, T. Callahan, C. Chiaputti, C. Eaton, K. Fearney, B. Feldman, K. Fox, J. Geoghegan, R. Krinsky-Rudnick, J. Kulko, C. Malloy, A. Marsh, I. Mauriello, T. Monahan, R. Orr, B. Patel, G. Plesko, S. Reis, R. Rubin, J. Small, K. Violette, R. Urban, M. Vertefeuille, M. Walker, S. Wetstone, and E. Zincavage

STATE AUDITOR: J. Carroll and J. Rasimas

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 1:05 pm by Trustee Nayden.

ON A MOTION made by Trustee Drotch and seconded by Trustee Shepperd, 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)].

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)[C] 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.

Executive Session was attended by Joint Audit & Compliance Committee Members – F. Archambault, F. Borges, P. Drotch, T. Kruger, D. Nayden and W. Shepperd; OACE Staff members, N. Adams, C. Chiaputti, K. Fearney, A. Marsh, I. Mauriello, K. Violette, M. Walker and E. Zincavage; J. Biancamano, T. Callahan, B. Feldman, K. Fox, R. Orr, G. Plesko, R. Rubin, and S. Reis, Attorney R. Urban and M. Vertefeuille were in attendance for a portion of the executive session.

The Executive Session ended at 2:00 p.m. and the JACC returned to open session at 2:05 p.m. There were no public comments.

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TAB 1 - Minutes of the December 15, 2011 JACC Meeting

ON A MOTION made by Director Borges and seconded by Trustee Drotch, the minutes of December 15, 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 of Connecticut (University) and the University of Connecticut Health Center (UCHC) 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 – Internal Classification of Diseases (ICD) – ICD – 10 and Version 5010 Changes
- Nuclear Regulatory Commission Review
- Food and Drug Administration Review
- 2011 Annual Report to Office for Civil Rights – HIPAA

J. Kulko presented the JACC with an update on Clinical Trials Billing Monitors

Storrs

- Annual Compliance Training
- Freedom of Information Update
- Privacy Update

T. Monahan presented the JACC with an update on Environmental Health and Safety activities.

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 two special projects. JACC deferred acceptance of two of the nine audits completed (CITI and CCEI) during this period, pending additional management responses. The nine audits completed this period were:

- Capitol Projects Policy and Procedures Review – Facilities Development and Operations
- ARRA Validation (4th Quarter, 2011)
- Accounts Receivable / Bad Debt
- Clinical Engineering Systems Audit
- Connecticut Center for Entrepreneurship and Innovation (CCEI)
- Connecticut Institute Technology Institute (CITI)
- UCHC Quality Reporting Process
- NCAA Division I-A Membership Requirements
- ARRA Construction Project

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Tab 4 – Joint Audit and Compliance Committee

K. Walker updated the JACC on the 2011 Self Assessment Executive Summary and Detailed Analysis.

Tab 5 – OACE Strategic Plan FY 2012-2014

K. Walker updated the JACC on the status 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.

A special meeting was held on March 12, 2012 to seek JACC approval to hire Marcum, LLP to perform financial audits of the John Dempsey Hospital (JDH), UCHC Finance Corporation and the University Medical Group (UMG) and to discuss UConn 2000 Construction audits conducted by McGladrey & Pullen, FY11.

Tab 7 – Auditors of Public Accounts

J. Rasimas and J. Carroll presented their communications to the JACC on the University and UCHC Financial Statements as of and for the year ended June 30, 2011.

TAB 8 – Informational/Educational Items

The JACC was provided with copies of the quarterly newsletter – University of Connecticut (Winter 2012), the JACC Agenda Forecast and the “Ohio State Needs Ethics Office” ESPN.com.

There was no further business.

ON A MOTION made by Trustee Drotch and seconded by Director Borges, the meeting was adjourned at 3:00 p.m.

Respectfully submitted,

Angela Marsh

Angela Marsh
Assistant Secretary to the Joint Audit & Compliance Committee

June 7, 2012