

# JACC Minutes – June 7, 2012

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

STAFF PRESENT: C. Andrews, J. Biancamano, C. Bianchi, N. Bull, T. Callahan, C. Chiaputti, M. Choi, A. Donahue, C. Eaton, K. Egeberg, K. Gafford, J. Geoghegan, R. Gray, S. Herbst, R. Hoagland, R. Krinsky Rudnick, A. Marsh, D. Martel, P. McCarthy, T. Monahan, L. Neal, B. Patel, G. Plesko, J. Pufahl, S. Reis, R. Rubin, L. Teal, R. Urban, M. Van Gelder, K. Violette, L. Vitullo, M. Walker, W. Manuel and S. Wetstone

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 1:02 pm by Trustee Nayden.

**ON A MOTION** made by Trustee Drotch and seconded by Trustee Archambault, 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)[E] A discussion of any matter which would result in the disclosure of public records or the information contained therein as described in 1-210 (b)(20) concerning standards, processes and codes not available to the public the disclosure at 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. Holt, T. Kruger, D. Nayden and W. Shepperd; OACE Staff members - C. Chiaputti, R. Krinsky-Rudnick, A. Marsh, K. Violette, and M. Walker; Senior Staff – M. Choi, K. Gafford, R. Gray, S. Herbst, S. Reis, R. Rubin, and Attorney R. Urban; Portions of executive session were also attended by – J. Biancamano, N. Bull, R. Krinsky Rudnick, L. Neal, G. Plesko, J. Pufahl, and L. Vitullo.

The Executive Session ended at 1:50 p.m. and the JACC returned to open session at 1:55 p.m. There were no public comments.

## **TAB I - Minutes of Prior JACC Meeting**

**ON A MOTION** made by Trustee Nayden and seconded by Trustee Drotch, the minutes of both the March 12, 2012 and April 12, 2012 meetings were approved.

# JACC Minutes – June 7, 2012

## **TAB 2 - Significant Compliance Activities**

K. Walker provided the JACC with a summary of significant compliance activities for UCHC including:

- Institutional Conflict of Interest (Col) Disclosures in Research
- Coding – International Classification of Diseases (ICD) – ICD – 10 and Version 5010 Changes
- New National Institutes of Health Col Rule
- Government Refunds
  - Psychiatric Partial Hospitalization (PHP) and Intensive Outpatient Treatment (IOP)
  - Insulin

R. Krinsky Rudnick provided the JACC with a summary of significant compliance activities for the University of Connecticut including:

- Annual Compliance Training
- FERPA Policy Updates
- Privacy Rights Updates
- Freedom of Information Update

R. Krinsky Rudnick sought JACC support of OACE's Records Management Initiative. J. Pufahl provided the JACC with an executive summary on secureU – Enterprise IT Security.

W. Manuel, P. McCarthy and M. Van Gelder presented the JACC with an update on Athletics on:

- APR Penalty Structure and Access to Postseason Championships
- Additional Athletic Aid-update on a rule to allow each school to provide additional aid (up to \$2000) to student-athletes to cover miscellaneous expenses of college attendance.
- Multi-Year Scholarships, and
- Title IX consultant site visit

## **TAB 3 - Significant Audit Activities**

C. Chiaputti provided the JACC with a status update of current audit assignments. OACE completed three audits and 4 special projects during this period. JACC deferred acceptance of CCEI audit for the 2<sup>nd</sup> time, pending additional management responses. Sixteen audits are ongoing at this time. The three audits completed this period were:

- ARRA Validation 1<sup>st</sup> Quarter
- Foundation Receipts & Expenditures
- Center for Science & Technology Commercialization (CSTC)

# JACC Minutes – June 7, 2012

## Tab 4 – Joint Audit and Compliance Committee

A revised charter was provided to the JACC for approval. **ON A MOTION** made by Trustee Drotch and seconded by Trustee Nayden the revised JACC Charter was approved.

Trustee Archambault asked the question if OACE has the resources to conduct the activities / responsibilities listed in Charter. This is being reviewed at this time for further action.

## Tab 5 – External Engagements

C. Chiaputti provided the committee an update on external audit projects and noted that the scope of the Marcum, LLP audit should be FY 12, not FY 11.

## Tab 6 – Informational / Educational Items

The JACC was provided with:

- Storrs and UCHC quarterly newsletters
- “Tone at the Top” Newsletter  
(Copyright 2012 - The Institute of Internal Auditors)
- Article “Information on Implementation of Physician Payments”  
(Copyright Center for Medicare and Medicaid Services)
- Article “New Health Law will Require Industry to Disclose Payments to Physicians”  
(Copyright Kaiser Health News)
- JACC Agenda Forecast

There was no further business.

**ON A MOTION** made by Trustee Drotch and seconded by Director Borges, the meeting was adjourned at 2:40 p.m.

Respectfully submitted,

*Angela Marsh*

Angela Marsh  
Assistant Secretary to the Joint Audit & Compliance Committee

August 9, 2012