

Joint Audit & Compliance Committee

Minutes of February 13, 2013

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

STAFF PRESENT: N. Adams, J. Biancamano, C. Bianchi, M. Bloom, J. Blumenthal, N. Bull, T. Callahan, J. Carroll, C. Chiaputti, D. Cogle, L. DiGrazia, C. Eaton, K. Fearney, K. Gafford, J. Geoghegan, D. Gnodtke, B. Gore, C. Gray, R. Gray, E. Hanyckyj, A. Harnisch, H. Hildebrandt, R. Hoagland, C. Jackson, R. Krinsky Rudnick, M. Lee, S. Lepowski, W. Locust, A. Marsh, S. Reis, D. Romano-Connors, R. Rubin, L. Schadel, G. Slupecki, J. Small, J. Sullivan, L. Teal, C. Thatcher, F. Torti, R. Urban, K. Violette, E. Vitullo, M. Walker, S. Wetstone, and Elaine Zincavage

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:00 am by Trustee Nayden.

There was no public comment.

ON A MOTION made by Trustee Nayden 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.
- 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. Holt, T. Kruger, D. Nayden and W. Shepperd; OACE Staff members – N. Adams, C. Chiaputti, C. Gray, K. Fearney, R. Krinsky Rudnick, A. Marsh, I. Mauriello, K. Violette, L. Vitullo, M. Walker and E. Zincavage; Senior Staff – J. Blumenthal, K. Gafford, R. Gray, S. Reis, R. Rubin, F. Torti and Ralph Urban; Portions of Executive Session were also attended by – J. Biancamano, N. Bull, L. DiGrazia, S. Lepowski, J. Nissen, D. Romano-Connors, and W. Locust.

The Executive Session ended at 11:00 a.m. and the JACC returned to open session at 11:03 a.m. There were no public comments.

TAB 1 - Minutes of Prior JACC Meeting

ON A MOTION made by Trustee Nayden and seconded by Trustee Drotch, the minutes of the December 11, 2012 meeting were approved.

Joint Audit & Compliance Committee

Minutes of
February 13, 2013

TAB 2 - Significant Storrs and UCHC Compliance Activities

I. Mauriello provided the JACC with a summary of significant compliance activities for UCHC including:

- Annual Mandatory Compliance Training Stats
- Compliance Staff Roles Restructuring
- Reports of Privacy Breaches to the Office of Civil Rights for 2012

• I. Mauriello informed the committee of two new rules:

1) HIPAA/HITECH Privacy & Security Rule published in the Federal Register on January 17, 2013. Rule is complex, requiring detailed changes to the Health Center's operations with respect to privacy and security of patient and human subject information. Compliance is required by September 23, 2013. Significant changes include but are not limited to:

- Elimination of the harm threshold in evaluating breach situations.
- Expansion of patient rights to restrict information.
- Strengthening patient access to their own health information in the format they request it.

2) Physician Sunshine Act Final Rule published in the Federal Register on February 18, 2013. Rule applies to applicable manufacturers & Group Purchasing Organizations describing requirements and procedures to report to CMS payments or other transactions of value made to physicians and teaching hospitals. Rule affects payments on or after August 1, 2013, requiring reports to CMS as of March 31, 2014 and annually thereafter. The details as well as exceptions to the rule are currently being evaluated. OACE Compliance will keep Executive teams and the JACC updated.

K. Fearnery provided the JACC with a summary of significant compliance activities for Storrs including:

- Data Privacy Month
- Policy of the Week
- Provost's Training Page
- Compliance and Ethics Blog
- Freedom of Information Requests

M. Lee, Director of Immigration Services - Storrs, presented an overview of the current climates in SEVIS (F and J Visas) areas: F-I Issues – governed by the US Department of Homeland Security (DHS) and J-I Issues – governed by the US Department of State (DOS).

TAB 3 - UCHC Executive Compliance Committee Charter Revision

ON A MOTION made by Trustee Nayden and seconded by Director Shepperd, the updated UCHC Compliance Committee Charter was approved.

May 8, 2013

Joint Audit & Compliance Committee

Minutes of
February 13, 2013

TAB 4 - Significant Audit Activities

Status of Audit Assignments (Storrs & UCHC)

C. Chiaputti provided the JACC with an update on the status of audit assignments. OACE completed nine audits, three special projects and had fifteen audits ongoing during this reporting period.

The nine audits completed this period were:

- SOM – Graduate Medical Education Consortium Billing Process and Reimbursement
- Body Donation Program
- Peoplesoft – Student Administration
- ARRA 4th Quarter Ending December 31, 2012
- CI Stem Cell Audit – FY12
- Connecticut Health Information Network (CHIN)
- NCAA Division I-A Membership Requirements
- BioScience CT Initiative (Update 3)
- ARRA – Center for Comparative Medicine

C. Chiaputti also presented the Revised Audit Plans (Storrs & UCHC). **ON A MOTION** made by Trustee Nayden and seconded by Trustee Borges, the revised Audit Plans for Storrs and & UCHC were approved.

TAB 5 - External Engagements

C. Chiaputti provided the committee an update on external audit projects.

- C. Jackson and D. Cogle presented the Marcum, LLP Financial Statements for Fiscal Year 2012 for: University Medical Group (UMG), John Dempsey Hospital (JDH) and Finance Corporation.
- M. Bloom and L. Schadel presented the final report from McGladrey & Pullen, LLP – Audit and agreed upon procedures of the UConn 2000 project expenditures for Fiscal Year 2012. D. Nayden suggested that this be provided directly to the Board of Trustees for review.

ON A MOTION made by Trustee Nayden and seconded by Trustee Drotch, this report was accepted.

TAB 6 - Auditors of Public Accounts

J. Carroll and G. Slupecki, Auditors of Public Accounts, presented the University of Connecticut and University of Connecticut Health Center Financial Statements as of and for the Year Ended June 30, 2012.

May 8, 2013

Joint Audit & Compliance Committee

Minutes of
February 13, 2013

TAB 7 - 2013 JACC Meeting Dates

The revised 2013 JACC Meeting Dates are:

- Wednesday, May 8th, 10:00-12:00 – Rome Commons Ballroom, Storrs
- Tuesday, September 10th, 10:00-12:00 – Rome Commons Ballroom, Storrs
- Tuesday, December 3rd, 1:00-3:00 – Rome Commons Ballroom, Storrs

TAB 8 - Informational / Educational Items

- Quarterly Newsletter for Fall 2012, UCHC
- Article “Eight Priorities for 2013” (Tone at the Top, Issue 59, Dec. 2012 / Jan. 2013)
- Data Privacy Month Flyer
- JACC Agenda Forecast

There was no further business.

ON A MOTION made by Trustee Nayden and seconded by Trustee Drotch, the meeting was adjourned at 12:00 p.m.

Respectfully submitted,

Angela Marsh

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May 8, 2013