

Joint Audit & Compliance Committee

Minutes of May 8, 2013

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

STAFF PRESENT: N. Adams, K. Bailot, J. Biancamano, J. Blumenthal, J. Carroll, C. Chiaputti, G. DeAngelis, C. Eaton, K. Fearney, W. Felgate, K. Gafford, J. Geoghegan, D. Gnodtke, R. Gray, E. Hanycky, A. Harnisch, S. Herbst, G. Karsanow, W. Kleinman, R. Krinsky Rudnick, W. Locust, M. Lucas, A. Marsh, I. Mauriello, T. Monahan, B. Patel, J. Rasimas, S. Reis, R. Rubin, G. Slupecki, J. Small, K. Sorrentino, J. Sullivan, L. Teal, R. Urban, K. Violette, E. Vitullo, R. Vollaro, M. Walker, N. Wallach, S. Wetstone, E. Zincavage and R. Zingari

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:05 am by Trustee Nayden.

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) / Medicaid Audit Update [1-210(b)(4)]

Executive Session was attended by Joint Audit & Compliance Committee Members – F. Archambault, P. Drotch, T. Holt, T. Kruger, D. Nayden and W. Shepperd; OACE Staff members – N. Adams, K. Bailot, C. Chiaputti, K. Fearney, A. Marsh, I. Mauriello, K. Violette, L. Vitullo, M. Walker and E. Zincavage; Senior Staff – J. Blumenthal, K. Gafford, R. Gray, S. Herbst, W. Klienman, S. Reis, R. Rubin, and R. Urban; Portions of Executive Session were also attended by – J. Biancamano, C. Eaton, D. Gnodtke, K. Sorrentino, J. Small, L. Teal and R. Zingari.

The Executive Session ended at 11:03 a.m. and the JACC returned to open session at 11:05 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 February 13, 2013 meeting were approved.

Joint Audit & Compliance Committee

Minutes of May 8, 2013

TAB 2 - Significant Storrs and UCHC Compliance Activities

ON A MOTION made by Trustee Nayden and seconded by Trustee Archambault, the Athletics presentation was eliminated from the agenda and approved to be added to the September 10, 2013 JACC meeting agenda.

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

- HIPAA
- Conflict of Interest and Webpage
- Compliance E-community Development
- Marketing Strategies

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

- Report of Privacy Breach
- Conflict of Interest in Research On-line Reporting System
- Compliance Office Restructuring
- Research Compliance Officer: Position currently vacant
- Workgroup for HITECH/HIPAA Compliance
- Compliance Week

K. Bailot, Associate Finance Compliance Officer - UCHC, presented a high level overview of Medicare Coverage Determinations. Showing the importance to UCHC.

TAB 3 - Auditors of Public Accounts – State-wide Single Audit FY12

J. Carroll, W. Felgate, J. Rasimas, and G. Slupecki, Auditors of Public Accounts, presented the FY12 State of Connecticut State-Wide Single Audit Report.

The entire presentation can be viewed at http://cga.ct.gov/apa/pdf2013/statewide_20130328_fy2012.pdf . (Those pages identified particularly for the University of Connecticut and the University of Connecticut Health Center are pages F154-F162 and F170-F192.)

TAB 4 - Significant Audit Activities

C. Chiaputti provided the JACC with an update on the status of audit assignments (Storrs and UCHC). OACE completed seven audits, two special projects and had thirteen audits ongoing during this reporting period.

C. Chiaputti noted an error on the status of the audit sheet provided in the packet. The Faculty Consulting FY12 Audit should not have been in draft report issued column.

The seven audits completed this period were:

- ARRA – CCM Cage Wash (Update 5)
- Bioscience CT Initiative (Update 4)

Joint Audit & Compliance Committee

Minutes of May 8, 2013

- Athletics Financial Audit
- Grant Expenditures and Cost Transfers
- Research Towers – Contract Review
- Billing for Replacement Medical Devices
- Stem Cell (Revised)

There were two audit reports that were not accepted by the JACC. These audit reports will be brought back to the JACC at the September 2013 meeting, for approval by the committee:

- Stamford Business Office and IT Audit
- Technology Incubation Program (TIP)

P. Drotch asked that OACE consider creating trend charts identifying overdue, high risk items. In addition, responsible parties will be asked to present the items status, plans to rectify and the anticipated date of implementation to the JACC.

TAB 5 - External Engagements

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

TAB 6 - Informational / Educational Items

The committee was provided with:

- Quarterly Newsletter for Winter 2013 – Storrs / UCHC
- Article: *Annual Compliance Training Provides Valuable Guidance to Employees*, UConn Today, written by Stephanie Reitz, March 22, 2013
- JACC Agenda Forecast

There was no further business.

ON A MOTION made by Trustee Nayden and seconded by Director Shepperd, the meeting was adjourned at 11:37 a.m.

Respectfully submitted,

Angela Marsh

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September 10, 2013