

Joint Audit & Compliance Committee

Minutes of September 10, 2013

TRUSTEES/DIRECTORS PRESENT: F. Borges, S. Cantor, R. Carbray, T. Kruger and D. Nayden

STAFF PRESENT: J. Biancamano, C. Bianchi, J. Blumenthal, C. Chiaputti, A. Diamond, G. DeAngelis, L. DiGrazia, C. Eaton, K. Fearney, P. Fretz, K. Gafford, B. Gelston, J. Geoghegan, C. Gray, R. Gray, E. Hanyckyj, H. Hildebrant, W. Kleinman, R. Krinsky Rudnick, W. Locust, M. Lucas, A. Marsh, I. Mauriello, L. McHugh, M. Mundrane, L. Neal, R. Orr, B. Patel, J. Pufahl, J. Rasimas, S. Reis, D. Romano-Connors, R. Rubin, J. Seemann, P. Selleck, J. Sullivan, L. Teal, F. Torti, K. Violette, E. Vitullo, M. Walker, N. Wallach, and E. Zincavage

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 Borges, 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)]
- 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. Borges, S. Cantor, R. Carbray, T. Kruger and D. Nayden; BOT Chair L. McHugh; OACE Staff members – C. Chiaputti, K. Fearney, P. Fretz, C. Gray, H. Hildebrant, R. Krinsky Rudnick, A. Marsh, I. Mauriello, K. Violette, L. Vitullo, M. Walker and E. Zincavage; Senior Staff – K. Gafford, R. Gray, W. Kleinman, R. Orr, S. Reis, R. Rubin; Portions of Executive Session were also attended by – J. Biancamano, G. DeAngelis, L. DiGrazia, C. Eaton, J. Geoghegan, M. Lucas, M. Mundrane, J. Pufahl, D. Romano-Connors, P. Selleck, and L. Teal

The Executive Session ended at 10:45 a.m. and the JACC returned to open session at 10:50 a.m.

There were no public comments.

M. Walker shared that Fran Archambault was no longer on the committee and thanked him for his contributions to the JACC. He welcomed new committee members Shari Cantor and Rick Carbray.

TAB 1 - Minutes of Prior JACC Meeting

ON A MOTION made by Trustee Nayden and seconded by Trustee Kruger, the minutes of the May 8, 2013 meeting were approved.

Individual Responsibility, Institutional Success

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TAB 2 - FY14 Audit Plans (Storrs & UCHC)

C. Chiaputti presented the University of Connecticut and University of Connecticut Health Center's Audit Plans for FY14 to the JACC for approval. **ON A MOTION** made by Trustee Nayden and seconded by Trustee Carbray the FY14 Audit Plans were approved.

TAB 3 - FY14 Compliance Plans (Storrs & UCHC)

K. Fearney and I. Mauriello presented the University of Connecticut (Storrs & Regional Campuses) and University of Connecticut Health Center Compliance Plans for FY14 to the JACC. Plans will be brought back to the JACC for approval after each Executive Compliance Committee has reviewed.

TAB 4 - Storrs & UCHC Significant Compliance Activities

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

- Minors on Campus
- HIPAA
- Conflict of Interest and Commitment
- Records and Information Management
- Annual Compliance Training

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

- Privacy Breach Follow-up from March 8, 2013
- Compliance Office Restructuring
- Open Payments Rules – training
- Overpayment Refunds
- Annual HIPAA and Annual Compliance Training

TAB 5 - Significant Audit Activities

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

The JACC accepted nine audits this period as follows:

- ARRA Quarterly Review 2nd Quarter Ending 6/30/13
- Faculty Consulting – FY12
- Revised – Stamford Campus Business Office and IT Audit
- Accounts Receivable / Bad Debt Write-Off – UMG

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- University Medical Group (UMG) Charge Capture
- University Server – Physical Security
- Bioscience CT – Ambulatory Care Center (ACC)
- Quali Financial System
- Dining Services

Two audits were placed on hold by OACE. OACE will seek JACC acceptance at the December 2013 JACC meeting.

- Lifetime Clinical Records (LCR)
- Revised – Technology Incubation Program

C. Chiaputti also updated the JACC on follow-up activities.

C. Chiaputti introduced a new OACE staff member, Priscilla Fretz, UCHC Medical Auditor.

TAB 6 - FY12 State-wide Single Audit, Title IV Federal Aid Programs

W. Locust provided an update to the committee on the FY 12 State-wide Single Audit, regarding Title IV Federal Aid Programs, 2011-2012 Audit Findings. A Final Corrective Action Report was presented.

TAB 7 - External Engagements

C. Chiaputti provided the JACC with a brief update on the status of external audit projects.

On A MOTION made by Trustee Nayden and seconded by Trustee Borges, the JACC approved the hiring of McGladrey for audit services of UConn 2000 FY13.

On A MOTION made by Trustee Nayden and seconded by Trustee Cantor, the JACC approved the hiring of BKD for NCAA agreed upon procedures FY13.

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TAB 8 - Informational / Educational Items

The committee was provided with:

- Compliance Quarterly Newsletters for Summer 2013 – Storrs / UCHC
- An informative link to view a video entitled “Guidance for Health Care Boards”.
https://oig.hhs.gov/newsroom/video/2011/heat_modules.asp
Gregory Demske, Chief Counsel to the Inspector General, provides tips for health care boards to promote quality of care and embrace compliance with the law.
- JACC Agenda Forecast

There was no further business.

ON A MOTION made by Trustee Nayden and seconded by Trustee Cantor, the meeting was adjourned at 11:06 a.m.

Respectfully submitted,

Angela Marsh

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