

Joint Audit & Compliance Committee

Minutes of February 10, 2015

TRUSTEES/DIRECTORS

PRESENT: F. Archambault, S. Cantor, R. Carbray, T. Holt, T. Kruger and D. Nayden

STAFF PRESENT:

N. Adams, A. Agwunobi, J. Biancamano, C. Bianchi, J. Blumenthal, W. Byerly, C. Chiaputti, A. Cretors, L. Cruickshank, P. DeMeo, A. Diamond, C. Eaton, K. Fearney, A. Fiorvanti, K. Gafford, D. Galloway, J. Geoghegan, B. Gore, C. Gray, E. Hanycky, H. Hildebrandt, M. Jednak, S. Jordan, M. Larson, A. Marsh, I. Mauriello, J. McDonell, M. Mundrane, L. Neal, R. Orr, J. Pufahl, S. Reis, R. Rubin, J. Seemann, K. Violette, E. Vitullo, N. Wallach, and E. Zincavage

STATE AUDITORS:

J. Carroll, N. Freitas, J. Rasimas, and G. Slupecki

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 8:30 a.m. by Trustee Nayden.

ON A MOTION made by Trustee Nayden and seconded by Director Archambault, THE JACC VOTED to amend the public session agenda order.

ON A MOTION made by Trustee Nayden and seconded by Director Holt, THE JACC VOTED to go into executive session to discuss:

- 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 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 pertaining to or communications privileged by the attorney-client relationship. [1-210(b)(10)]
- 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 of integrity of information technology systems.

Executive Session was attended by Joint Audit & Compliance Committee Members – F. Archambault, S. Cantor, R. Carbray, T. Holt, T. Kruger and D. Nayden; OACE Staff members – N. Adams, C. Chiaputti, P. DeMeo, K. Fearney, D. Galloway, C. Gray, H. Hildebrandt, A. Marsh, I. Mauriello, L. Neal, K. Violette, and E. Zincavage; Senior Staff – A. Agwunobi, J. Biancamano, K. Gafford, J. Geoghegan, R. Rubin, and J. Seemann; General Counsel: R. Orr; Asst. Attorney General: J. Blumenthal; Portions of Executive Session were also attended by – L. Cruickshank, M. Dess-Santoro, L. DiGrazia, C. Eaton, D. Glokey, B. Gore, S. Kernozicky, M. Larson, K. Larsen, M. Lucas, J. Main, K. Metcalf, M. Mundrane, J. Pufahl and P. Selleck.

The Executive Session ended at 9:30 a.m. and the JACC returned to open session at 9:32 a.m. There were no public comments.

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Tab 1 – Minutes of the Meeting

ON A MOTION made by Trustee Nayden and seconded by Trustee Cantor the minutes of the December 11, 2014 JACC meeting were approved.

TAB 2 – Storrs & UConn Health Significant Compliance Activities

K. Fearney and I. Mauriello updated the committee on significant compliance activities.

A. Cretors updated the committee on NCAA Compliance activities.

J. McDonnell updated the committee on the Documentation and Coding Program Annual Report regarding international standards that is managed by the Office of Audit Compliance and Ethics at UConn Health.

J. Geoghegan updated the committee on the ICD-10 implementation scheduled for October 1, 2015, and RAC settlement updates.

TAB 3 – Executive Compliance Committee Charter Revision - Storrs

D. Galloway presented the committee with a revision of the Executive Compliance Committee Charter. The new charter will restructure the committee and will focus on risks to Public Safety, Environmental Health and Safety, and Compliance.

ON A MOTION made by Trustee Nayden and seconded by Director Archambault, the revised Executive Risk Management and Compliance Committee Charter for Storrs was approved by the committee.

TAB 4 – Significant Audit Activities

C. Chiaputti provided the JACC with an update on the status of audit assignments (Storrs and UConn Health). OACE completed eight audits and had seven audits ongoing during this reporting period. OACE also was working on one special project.

The JACC accepted eight audits this period as follows:

- Stem Cell FY14,
- Husky One Card Office,
- Advanced Beneficiary Notices (ABNs),
- Avery Point IT,
- Pharmacy Charge Capture – UConn Medical Group (UMG),
- Pharmacy Charge Capture – John Dempsey Hospital (JDH), and
- NCAA Division I Certification – Football Bowl Subdivision.

The committee was provided with the status of OACE's follow-up activities.

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TAB 5 – Revised Audit Plans

ON A MOTION made by Trustee Cantor and seconded by Director Holt, the revised audit plans for Storrs and UConn Health were approved by the committee.

Tab 6 – Auditors of Public Accounts

Auditors of Public Accounts, J. Rasimas, J. Carroll, G. Slupecki, and N. Freitas, presented the committee with the findings of the University of Connecticut and University of Connecticut Health Center Audited Financial Statements for the year ended June 30, 2014.

Tab 7 – External Engagements

On A MOTION made by Trustee Nayden and seconded by Trustee Kruger, the JACC approved the hiring of Marcum, LLP, for Financial Statement Audits of the University of Connecticut Health Center – John Dempsey Hospital (JDH), Finance Corporation, and the University Medical Group (UMG),

Tab 8 – Informational / Educational Items

The committee was provided with the following:

- Current Issues in Compliance – December 2014.
- JACC Agenda Forecast.

There was no further business.

ON A MOTION made by Trustee Nayden and seconded by Trustee Kruger, the meeting was adjourned at 10:05 a.m.

Respectfully submitted,

Angela Marsh

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