

# JACC Minutes – August 9, 2012

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

STAFF PRESENT: N. Adams, C. Andrews, H. Bray, N. Bull, J. Carroll, C. Chiaputti, M. Choi, C. Eaton, K. Egeberg, K. Fearney, P. Ferguson, K. Fox, J. Gaffney, K. Gafford, J. Geoghegan, B. Gore, C. Gray, R. Gray, S. Herbst, R. Hoagland, W. Kleinman, R. Krinsky Rudnick, A. Marsh, C. Malloy, M. Markowicz, D. Martel, I. Mauriello, T. Monahan, B. Patel, G. Plesko, J. Rasimas, S. Reis, R. Rubin, G. Slupecki, J. Small, M. Summerer, L. Teal, F. Torti, K. Violette, L. Vitullo, M. Walker, and E. Zincavage

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 1:05 pm 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 [1-210(b)(1)].

Executive Session was attended by Joint Audit & Compliance Committee Members – F. Archambault, F. Borges, T. Holt, T. Kruger, D. Nayden and W. Shepperd; OACE Staff members – N. Adams, C. Chiaputti, C. Gray, K. Fearney, A. Marsh, I. Mauriello, K. Violette, M. Walker and E. Zincavage; Senior Staff – M. Choi, K. Gafford, R. Gray, S. Herbst, W. Kleinman, R. Rubin, F. Torti and Attorney H. Bray; Portions of executive session were also attended by – K. Fox, G. Plesko, S. Reis, M. Summerer 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.

OACE revised the agenda that was originally mailed prior to the meeting to include a review of the University's Draft Travel Policies and Procedures.

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

**ON A MOTION** made by Trustee Nayden and seconded by Trustee Shepperd, the minutes of the June 7, 2012 meeting were approved.

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

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

- University-wide Conflicts of Interest / Commitment Policy and Commitment Committee
- FY 13 Draft Risk Assessment and Compliance Plans
- Staffing Update
- 2012 Annual Compliance Training

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

- Electronic Conflicts of Interest (Col) Disclosure - request for proposal process underway
- Special assist to UMG – Coding and Documentation Reviews of Physicians
- Policy on Patient Legal Representative for Health Care Decisions
- 2012 Compliance Training

D. Gibb, Director of the Human Subjects Protection Office (HSPO), presented the UCHC Human Subject - Research Compliance Monitoring Program. Note: the correct agenda item should have read as UCHC Institutional Review Board (IRB) Monitors.

- Full Random Audits: 4 conducted
- Close Monitoring Visits: 2 studies, 4 visits on two separate Principal Investigators (PI)
- IRB Mandated Actions:
  - 1) Pre-review of replacement study: 4 formal intensive sessions, numerous e-mail reviews of revised documents, additional assistance to CICATS regulatory analyst & CICATS administrator
  - 2) One New Study pre-review prior to submission
  - 3) Team Education on study conduct and IRB submissions for one study. Then confirmation of delegation & education log development for the next new study for this same PI.
  - 4) PI Education on study conduct (one PI-continuing review)
  - 5) Education Session for one PI on responsibilities & study oversight

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

The Committee asked M. Walker to review the Freeh Report and summarize his detailed analysis for the committee at the next JACC meeting.

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

- Connecticut Innovations Grant – Innovative Optical Diagnostic Tools for Fuel Cell Development and Operation
- Case Management
- ARRA Cage Wash – Update 2
- ARRA Quarterly Review (Q2) Ending June 30, 2012
- Kualu – Update 1
- Kualu – Update 2
- Faculty Consulting (07/01/10-12/31/10)
- Center for Entrepreneurship and Innovations (CEI)
- Bioscience CT Initiative – Update 1

The Committee deferred acceptance of the Case Management report pending additional review.

C. Chiaputti informed the committee that management continues to make progress on implementing corrective actions. OACE has defined its rating for audit findings on a High / Medium / Low scale. Findings will be assessed on a consistent basis. All outstanding audit findings have been reevaluated based on these rating definitions.

## **Tab 4 – FY13 Auditing and Compliance Plans (Storrs and UCHC)**

K. Fearney and I. Mauriello presented the University of Connecticut and University of Connecticut Health Centers Compliance Plans for FY13 to the JACC. There was an improper indentation of bulleted items on Page 2 of the Health Center Draft Compliance Plan, in the Regulatory Compliance section of the Plan under Implement Physician Sunshine Act requirements – 2014, the 2 indented bullets should not be indented but rather, should stand on their own.

C. Chiaputti presented the University of Connecticut and University of Connecticut Health Center's Audit Plans for FY 13 to the JACC for approval. **ON A MOTION** made by Trustee Nayden and seconded by Trustee Holt the FY 13 Audit Plans were approved.

## **Tab 5 – Auditors of Public Accounts**

J. Rasimas presented the Auditors' Report on the University of Connecticut for Fiscal Years Ended June 30, 2008 and 2009.

## **Tab 6 – External Engagement**

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

OACE recommended that the JACC approve the re-appointment of the accounting firm BKD to provide audit services for the National Collegiate Athletic Association (NCAA) Financial Reporting Requirements for the year ended June 30, 2012.

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**On A MOTION** made by Trustee Nayden and seconded by Trustee Archambault, the JACC approved the hiring of BKD for audit services for the year ended June 30, 2012.

## **Tab 7 – Joint Audit and Compliance Committee / Office of Audit, Compliance & Ethics**

A revised OACE Charter was provided to the JACC for approval. **ON A MOTION** made by Director Shepperd and seconded by Trustee Archambault the revised OACE Charter was approved.

The committee was also presented with the JACC Self Assessment – Action Plan for review. Five issues were identified from the Self Assessment completed earlier in the year to act on.

## **Travel & Entertainment (T&E) Policies and Procedures Manual**

C. Eaton presented an overview of the revised T&E Policies and Procedures manual, last revised in 2008. This comprehensive document was revised by a university committee comprised of various university constituents and reviewed by many impacted areas for critique.

**ON A MOTION** made by Trustee Archambault and seconded by Director Borges, the JACC accepted the T&E Policies and Procedures manual. These policies will be provided to the Board of Trustees for approval. The JACC recommends that future non-substantive changes be reviewed and approved by the Finance Committee.

## **Tab 8 – Informational / Educational Items**

The JACC was provided with copies of the following:

- Storrs quarterly newsletter
- “A Barrage of Regulations” Article  
(Copyright 2012 - Internal Auditor)
- JACC Agenda Forecast

There was no further business.

**ON A MOTION** made by Trustee Nayden and seconded by Director Borges, the meeting was adjourned at 2:45 p.m.

Respectfully submitted,

*Angela Marsh*

Angela Marsh  
Secretary to the Joint Audit & Compliance Committee

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