

JACC Minutes – November 7, 2012

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

STAFF PRESENT:

N. Adams, C. Andrews, J. Biancamano, J. Blumenthal, T. Callahan, AnnMarie Capo, C. Chiaputti, T. Dyer, C. Eaton, K. Egeberg, K. Fearney, K. Gafford, J. Geoghegan, B. Gore, C. Gray, R. Gray, E. Hanycky, H. Hildebrandt, W. Kleinman, M. Larson, M. Laucks, W. Locust, A. Marsh, I. Mauriello, B. Patel, J. Rasimas, S. Reis, R. Rubin, S. Singha, J. Small, M. Summerer, L. Teal, R. Urban, K. Violette, L. Vitullo, M. Walker, N. Wallach, S. Wetstone, and E. Zincavage

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 1:02 pm by Trustee Nayden.

ON A MOTION made by Trustee Nayden and seconded by Director Shepperd, 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)(l)].

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) Audit [1-210(b)(4)]

Executive Session was attended by Joint Audit & Compliance Committee Members –P. Drotch, 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 – J. Blumenthal, K. Gafford, R. Gray, W. Kleinman, S. Reis, R. Rubin, and R. Urban; Portions of executive session were also attended by – C. Andrews, S. Armstrong, J. Biancamano, A. Capo, J. Geoghegan, M. Laucks, W. Locust, M. Lucas, M. Summerer and S. Wetstone.

The Executive Session ended at 1:46 p.m. and the JACC returned to open session at 1:49 p.m. There were no public comments.

TAB I - Minutes of Prior JACC Meeting

ON A MOTION made by Trustee Nayden and seconded by Trustee Shepperd, the minutes of the August 9, 2012 meeting were approved.

December 11, 2012

JACC Minutes – November 7, 2012

TAB 2 - Significant Compliance Activities

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

- Records Management Initiative Update
- Policy Update

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

- Department of Health and Human Services Office of Inspector General Work Plan
- ICD-10
- Overpayment Refund

N. Wallach, Director of Research Compliance, presented updates on Research Compliance activities at Storrs. Trustee Nayden also gave recognition to members participating on various committees across the university.

- Institutional Animal Care and Use Committee (IACUC)
- Institutional Review Board (IRB)
- Institutional Biosafety Committee (IBC)
- Stem Cell Research Oversight Committee (SCRO)

TAB 3 - Significant Audit Activities

C. Chiaputti provided the JACC with an update on the status of audit assignments. OACE completed eleven audits, four special projects and had an additional 23 audits ongoing during this reporting period. The twelve audits completed this period were:

- ARRA – Quarterly Review Ending 09/30/12
- Foundation – FY12
- Case Management
- Tuition Waivers
- Faculty Consulting – FY11
- Athletics NCAA Compliance Audit
- Charge Description Master (UMG)
- Next Gen (UMG EMR)
- ARRA CCM – (Cage Wash) – Update 3
- Renovations for New Faculty – Pharmacy Biology Building
- BioScience CT – Update 2

JACC Minutes – November 7, 2012

TAB 4 – External Engagement

C. Chiaputti provided the JACC with an update on all external audit projects. OACE recommended that the JACC approve the reappointment of the accounting firm of McGladrey & Pullen, LLP as independent auditors of UCONN 2000 expenditures for the 2012 fiscal year.

ON A MOTION made by Trustee Nayden and seconded by Director Shepperd the committee voted to reappointment McGladrey & Pullen, LLP.

TAB 5 – Executive Compliance Committee

A revised Executive Compliance Committee Charter (ECC) - Storrs was provided to the JACC for approval. **ON A MOTION** made by Director Shepperd and seconded by Trustee Drotch the revised ECC 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.

TAB 6 – Joint Audit and Compliance Committee 2013 Meeting Schedule

ON A MOTION made by Trustee Nayden and seconded by Director Shepperd the 2013 JACC Meeting Schedule was approved as follows:

- Wednesday, February 13, 2013, 10:00-12:00 – Rome Commons Ballroom
- Wednesday, May 8, 2013, 10:00-12:00 – Rome Commons Ballroom
- Wednesday, August 28, 2013, 10:00-12:00 – Rome Commons Ballroom
- Wednesday, October 30, 2013, 10:00-12:00 – Rome Commons Ballroom

Tab 7- Freeh Report Summary

At the request of the JACC members, M. Walker provided a summary of the Freeh Report Evaluation – Executive Summary. He provided near and long term recommendations for the University to work in partnership with key constituents to review. In summary, M. Walker commented that we (University of Connecticut - UConn) is not Penn State, but we are, due to the public nature of the UConn campus, vulnerable to issues such as violent crime. Continued due diligence will help reduce but not eliminate the likelihood and impact of future negative events.

JACC Minutes – November 7, 2012

Tab 8 – Informational / Educational Items

The JACC was provided with copies of the following:

- Quarterly Newsletter for Summer 2012 – UCHC
- Records Retention Pamphlet
- 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 2:25 p.m.

Respectfully submitted,

Angela Marsh

Angela Marsh
Secretary to the Joint Audit & Compliance Committee

December 11, 2012