

Joint Audit & Compliance Committee

Minutes of December 3, 2013

TRUSTEES/DIRECTORS

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

STAFF PRESENT:

N. Adams, D. Angelucci, J. Biancamano, C. Bianchi, J. Blumenthal, E. Bolt, G. Bouquot, M. Brooder, A. Capo, J. Carroll, C. Chiaputti, D. Cogle, A. Cretors, L. Cruikshank, A. Diamond, A. Donahue, T. Dyer, C. Eaton, K. Fearney, K. Gafford, B. Gelston, J. Geoghegan, D. Gnodtke, B. Gore, C. Gray, R. Gray, E. Hanycky, R. Hoagland, M. Holz-Clause, M. Jednak, M. Larson, M. Lee, J. Main, A. Marsh, I. Mauriello, M. McKinley, T. Monahan, M. Mundrane, R. Orr, B. Patel, J. Pufahl, J. Rasimas, S. Reis, D. Romano-Connors, R. Rubin, J. Seemann, G. Slupecki, J. Small, J. Sullivan, L. Teal, K. Violette, E. Vitullo, D. Weiner, S. Wetstone, 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 Director 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)]
- 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. Archambault, S. Cantor, R. Carbray, T. Holt, T. Kruger and D. Nayden; OACE Staff members – N. Adams, C. Chiaputti, T. Dyer, K. Fearney, C. Gray, A. Marsh, I. Mauriello, K. Violette, L. Vitullo, and E. Zincavage; Senior Staff – J. Blumenthal, K. Gafford, R. Gray, M. Holz-Clause, R. Orr, S. Reis, R. Rubin, and J. Seeman; Portions of Executive Session were also attended by – J. Biancamano, A. Capo, J. Carroll, C. Eaton, J. Geoghegan, M. Lee, M. Mundrane, J. Pufahl, L. Teal and D. Weiner

The Executive Session ended at 2:00 p.m. and the JACC returned to open session at 2:05 pm.

There were no public comments.

TAB I - Minutes of Prior JACC Meeting

ON A MOTION made by Trustee Nayden and seconded by Trustee Cantor, the minutes of the September 10, 2013 meeting were approved.

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TAB 2 - Storrs & UCHC Significant Compliance Activities

I. Mauriello provided the JACC with an update on a breach evaluation that was completed prior to the time of this packet being printed. 164 patients were affected by improper access to their electronic records over a period of time. The breach was found as a result of the monitoring program done by the privacy office. Proper reporting and credit counseling is being done. All patients have been notified.

K. Fearney introduced newly appointed NCAA Compliance Director, A. Cretors, who gave highlights on NCAA activities at UConn.

TAB 3 - Significant Audit Activities

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

The JACC accepted nine audits this period as follows:

- Banner Post Implementation
- Daily Campus – FY12
- ARRA Quarterly Review 3rd Quarter Ending 9/30/13
- Stem Cell – FY13
- Revised – Technology Incubation Program (TIP)
- Lifetime Clinical Records (LCR)
- Change Order Monitoring
- ARRA – CCM Cage Wash (Update 6)
- Export Controls

Auditors of Public Accounts

State Auditors, J. Rasimas and G. Slupecki, presented the Auditors of Public Accounts Report – University of Connecticut Health Center for the Fiscal Years Ended June 30, 2011 and 2012.

The report can be found at:

http://cgs.ct.gov/apa/reports/University%20of%20Connecticut%20Health%20Center_20131016_FY2011,2012.pdf

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TAB 4 - 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 Carbray, the JACC approved the report of the Annual Agreed Upon Procedures to the Statements of Revenues and Expenses of the UConn Athletic Program conducted by BKD, presented by Mary McKinley.

Financial Statements for Fiscal Year 2013 for the University Medical Group (UMG), the John Dempsey Hospital (JDH) and Finance Corporation were presented by Marcum, M. Brooder, D. Angelucci and D. Cogle.

TAB 5 - JACC Meeting Dates for 2014

On A MOTION made by Trustee Nayden and seconded by Trustee Carbray, the 2014 JACC meeting dates were approved as follows:

- Tuesday, February 11, 2014, 10:00 am – Rome Commons Ballroom
- Tuesday, May 20, 2014, 10:00 am – Rome Commons Ballroom
- Tuesday, September 12, 2014, 10:00 am – Rome Commons Ballroom
- Tuesday, December 2, 2014, 10:00 am – Rome Commons Ballroom

TAB 6 – Informational / Educational Items

The committee was provided with the JACC Agenda Forecast.

Other Matters

At the request of R. Rubin in response to the TIP audit, the language in the TIP lease agreement should be reviewed and strengthened as appropriate to ensure the interests of the University are protected. The General Counsel's Office, R. Orr, and Office of Economical Development, Mary Holz-Clause, agreed to work on the recommendation.

There was no further business.

ON A MOTION made by Trustee Nayden and seconded by Director Holt, the meeting was adjourned at 2:51 p.m.

Respectfully submitted,

Angela Marsh

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