

Joint Audit & Compliance Committee

Minutes of February 11, 2014

TRUSTEES/DIRECTORS

PRESENT: F. Archambault, S. Cantor, R. Carbray, D. Nayden and C. Shivery

STAFF PRESENT:

N. Adams, J. Biancamano, C. Bianchi, J. Blumenthal, E. Bolt, J. Carroll, J. Carroll, W. Chase, C. Chiaputti, A. Diamond, C. Eaton, K. Fearney, K. Gafford, J. Geoghegan, B. Gore, C. Gray, R. Gray, E. Hanycky, A. Harnisch, H. Hildebrandt, M. Jednak, W. Kleinman, M. Larson, A. Marsh, I. Mauriello, C. Mitchell, J. McDonnell, M. Mundrane, R. Orr, B. Patel, J. Pufahl, J. Rasimas, S. Reis, R. Rubin, G. Slupecki, J. Small, J. Sullivan, L. Teal, J. Vigneault, K. Violette, E. Vitullo, N. Wallach, S. Wetstone, M. Williams and E. Zincavage

The meeting of the Joint Audit and Compliance Committee (JACC) was called to order at 10:04 a.m. 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, D. Nayden and C. Shivery; OACE Staff members – N. Adams, C. Chiaputti, K. Fearney, C. Gray, H. Hildebrandt, A. Marsh, I. Mauriello, K. Violette, L. Vitullo, and E. Zincavage; Senior Staff – J. Blumenthal, K. Gafford, R. Gray, R. Orr, S. Reis and R. Rubin; Portions of Executive Session were also attended by – J. Carroll, W. Chase, J. Geoghegan, M. Mundrane, J. Pufahl, and J. Vigneault

The Executive Session ended at 10:45 a.m. and the JACC returned to open session at 10:47 a.m.

There were no public comments.

TAB I - Minutes of Prior JACC Meeting

ON A MOTION made by Trustee Nayden and seconded by Trustee Carbray, the minutes of the December 3, 2013 meeting were approved.

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TAB 2 - Storrs & UConn Health Significant Compliance Activities

C. Chiaputti notified the committee that Athletics would not be presenting at this meeting as scheduled. This presentation will be rescheduled for May 2014 meeting.

OACE provided the JACC with the Compliance Plans for both Storrs and UConn Health. **ON A MOTION** made by Trustee Nayden and seconded by Trustee Cantor, these Compliance Plans were approved.

K. Fearney and I. Mauriello updated the committee on significant compliance activities. K. Fearney shared 2013 detailed charts for Storrs, Regional Campuses. I. Mauriello updated the committee with additional information to her written report. There were five UConn Health breaches reported to the Office for Civil Rights in 2013. She also reported compliance stats for 2013 mandatory training: 99.3% for UConn Health's 2013 HIPAA Privacy and Security and 97.1% for annual compliance training.

J. McDonnell, UConn Health Compliance Specialist, presented the committee with an overview regarding the Documentation and Coding Program.

TAB 3 - ICD-10 Transition

As of October 1, 2014 the ICD-9 code sets used to report medical diagnoses and inpatient procedures will be replaced by ICD-10 code sets. C. Mitchell updated the committee on the transition to ICD-10.

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 five audits, one special project and had fourteen audits ongoing during this reporting period.

The JACC accepted five audits this period as follows:

- Conflicts of Interest in Research
- Federal Grants – Travel Expenditures
- UConn Foundation – FY13
- Charge Capture Non-Next Gen Practices
- ARRA Quarterly Review – 4th Quarter Ending 12/31/13

C. Chiaputti noted that this will be the final ARRA Quarterly Review. Federal regulations have been repealed

OACE provided the JACC with Revised Audit Plans for both Storrs and UConn Health for review and approval. **ON A MOTION** made by Trustee Nayden and seconded by Director Shivery, these revised Audit Plans were approved.

May 20, 2014

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Auditors of Public Accounts

Auditors of Public Accounts, J. Carroll, J. Rasimas and G. Slupecki, presented the University of Connecticut and the University of Connecticut Health Center Audited Financial Statements for the Fiscal Year Ended June 30, 2013.

TAB 5 - External Engagements

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

TAB 6 – Informational / Educational Items

The committee was provided with:

- Compliance Newsletters – UConn Health & Storrs
- JACC Agenda Forecast

There was no further business.

ON A MOTION made by Trustee Nayden and seconded by Director Archambault, the meeting was adjourned at 11:29 a.m.

Respectfully submitted,

Angela Marsh

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May 20, 2014