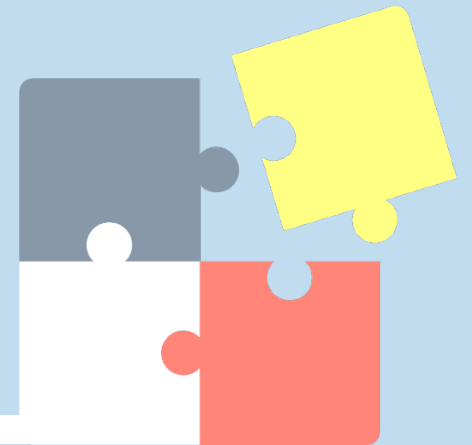


REORGANIZATION OF
**THE OFFICE OF AUDIT,
COMPLIANCE & ETHICS (OACE)**



What it was?

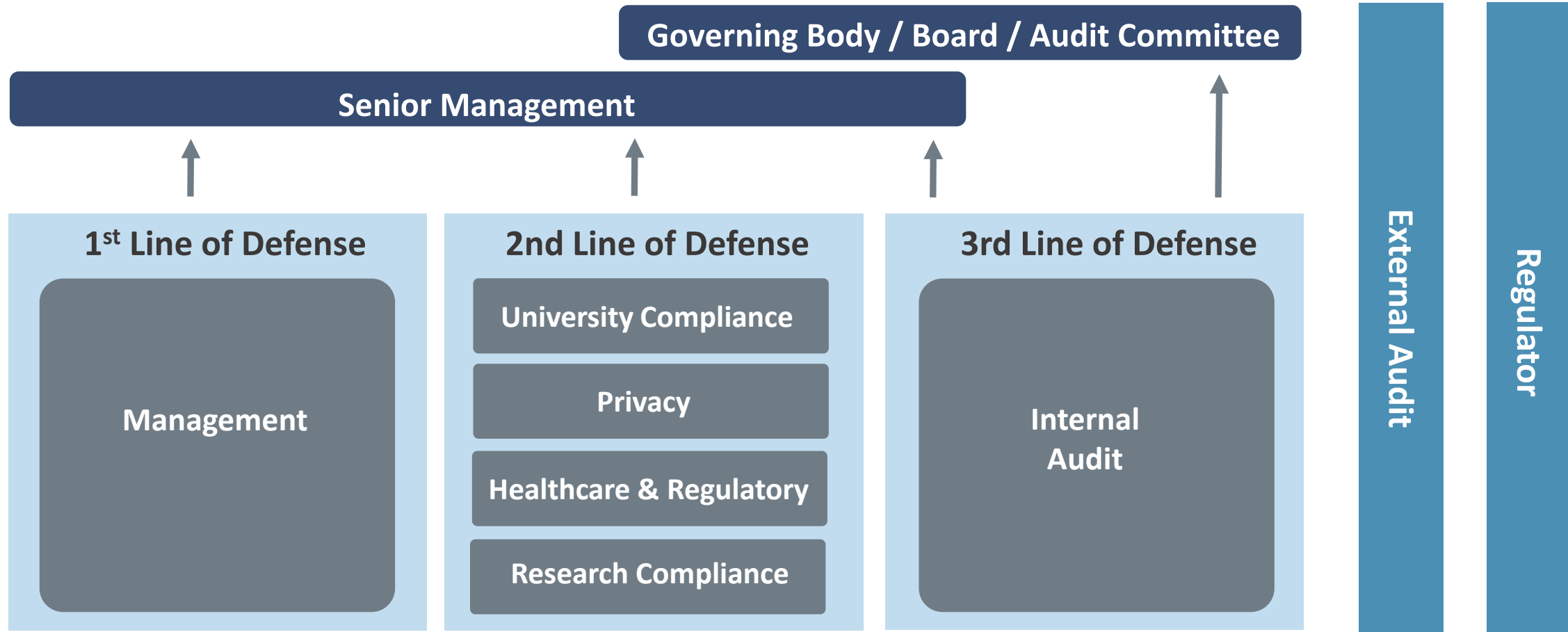


- ▶ Reported functionally to Chair of JACC and administratively to the President's Office
- ▶ Audit function oversaw efforts to identify institutional risks, perform audits, and provide independent, objective, assurance and consulting services
- ▶ Compliance function oversaw Privacy, Policy Management, Minor Protection, as well as Clinical Compliance & Privacy at UConn Health
- ▶ Separate Ethics Liaisons at UConn & UConn Health
- ▶ Separate management of Reportline & investigations



ABOUT THE REORGANIZATION

The Three Lines of Defense Model in Effective Risk Management and Control



Effective risk management requires the coordination of activities between the various lines of defense.

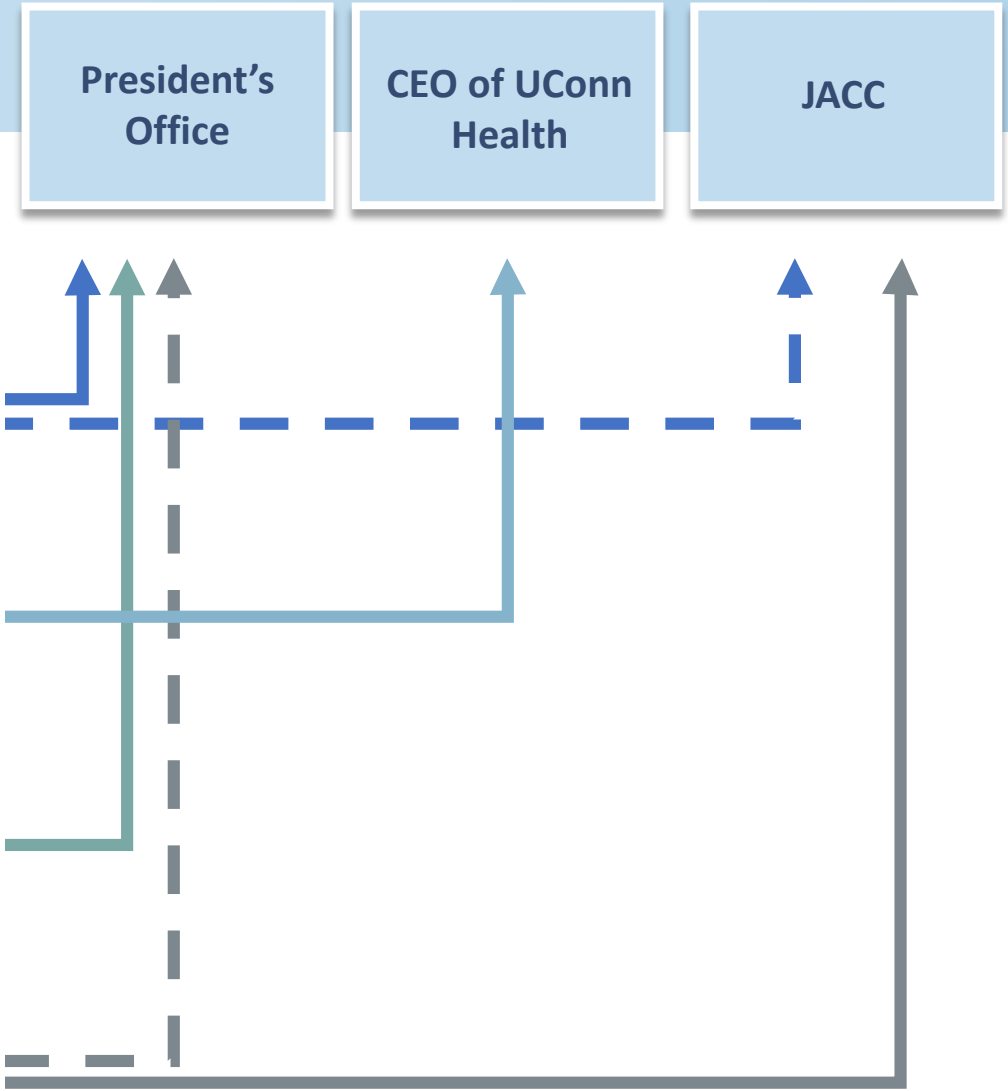


ABOUT THE REORGANIZATION

What's Changed?

OACE

Office of University Compliance	
Kimberly Fearney Interim Chief Compliance Officer	860-486-6195 (UConn) 860-679-1802 (UConn Health)
Office of Healthcare and Regulatory Compliance	
Debra Abromaitis Interim Compliance Officer	860-679-7015
Office of Privacy Protection & Management	
Rachel Rudnick Chief Privacy Officer	860-486-5256 (UConn) 860-679-7334 (UConn Health)
Office of Audit & Management Advisory Services	
Cheryl Chiaputti Chief Audit Executive	860-486-2749 (UConn) 860-679-4735 (UConn Health)



ABOUT THE REORGANIZATION

Office of University Compliance

- ▶ Promotes a University-wide culture of compliance and ethics
- ▶ Provides educational training & resources, assists decentralized compliance areas with monitoring efforts
- ▶ Manages confidential Reportline
- ▶ Ensures coordination & consistency among individual compliance units

Office of Healthcare and Regulatory Compliance

- ▶ Serves as a central resource for healthcare regulatory compliance preparedness reporting and response
- ▶ Provides enterprise risk management assessments, guidance and monitoring & offers healthcare compliance education & training to the healthcare domain

Office of Privacy Protection & Management

- ▶ Serves as a central resource for privacy matters University-wide
- ▶ Advises & assists regarding the proper access, use, management, protection & disclosure of confidential information via education, outreach & guidance
- ▶ Monitors compliance and investigates privacy concerns
- ▶ Manages response to data incidents (e.g. breaches) and identity theft concerns

Office of Audit and Management Advisory Services

- ▶ Provides independent objective assurance & consulting services designed to add value & improve operations
- ▶ Enhances & protects organizational value by providing risk-based assessments, advice & insight
- ▶ Helps the University accomplish its objectives by bringing a systematic, disciplined approach to evaluate & improve the effectiveness of governance, risk management & control processes

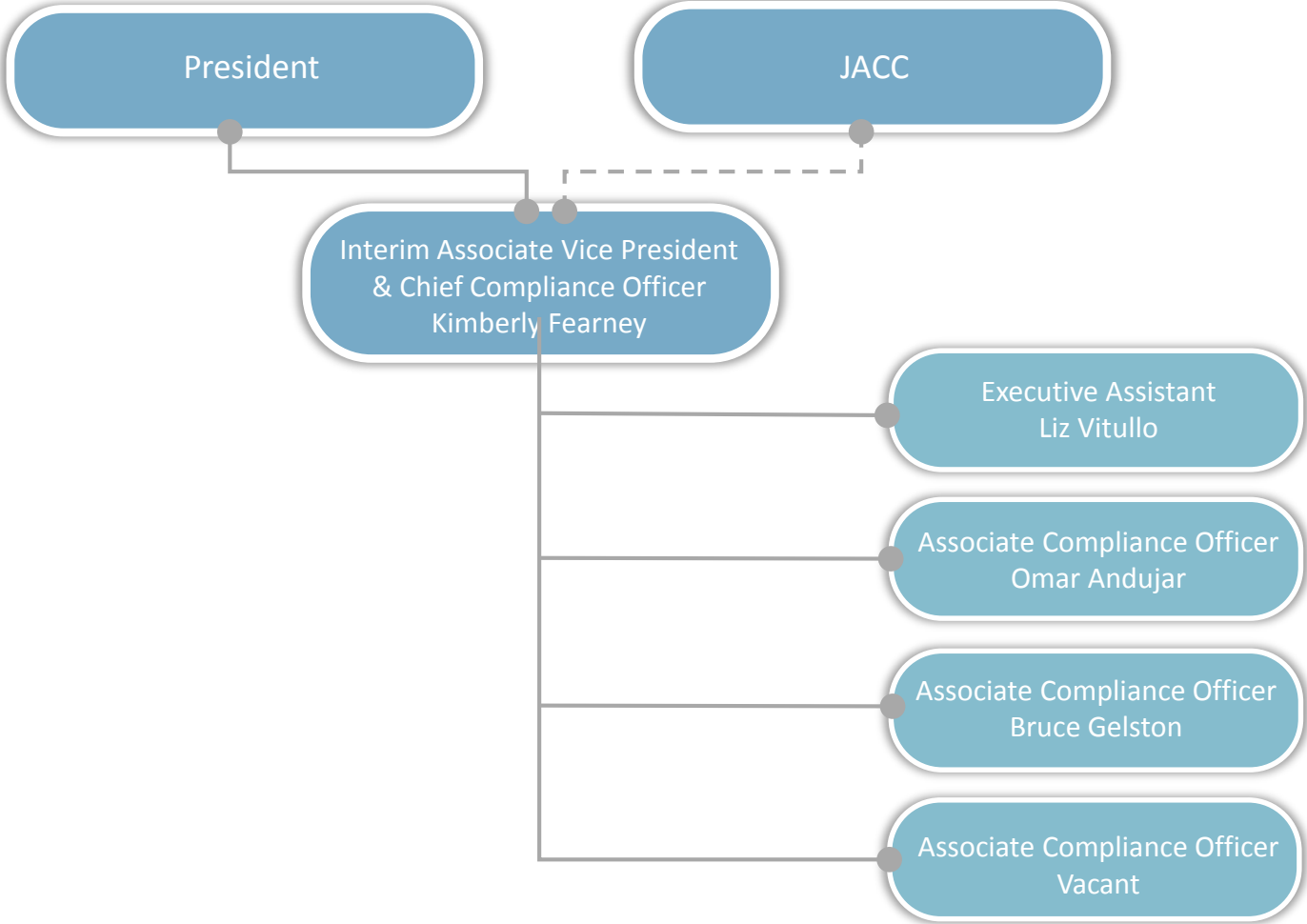


What we do?

- ▶ Responsible for institution-wide operation of the compliance and ethics program
- ▶ Includes role of Ethics Liaison
- Promotes the University's
- ▶ Commitment to Compliance & Ethics
- ▶ Manages the anonymous REPORTLINE
- ▶ Provides updates to the Joint Audit and Compliance Committee
- ▶ Manages Compliance Committees
- ▶ Responsible for annual compliance training
- ▶ Monitors key compliance areas
- ▶ Supports University-wide compliance initiatives



OFFICE OF UNIVERSITY COMPLIANCE



<https://compliance.uconn.edu/>



OFFICE OF HEALTHCARE AND REGULATORY COMPLIANCE

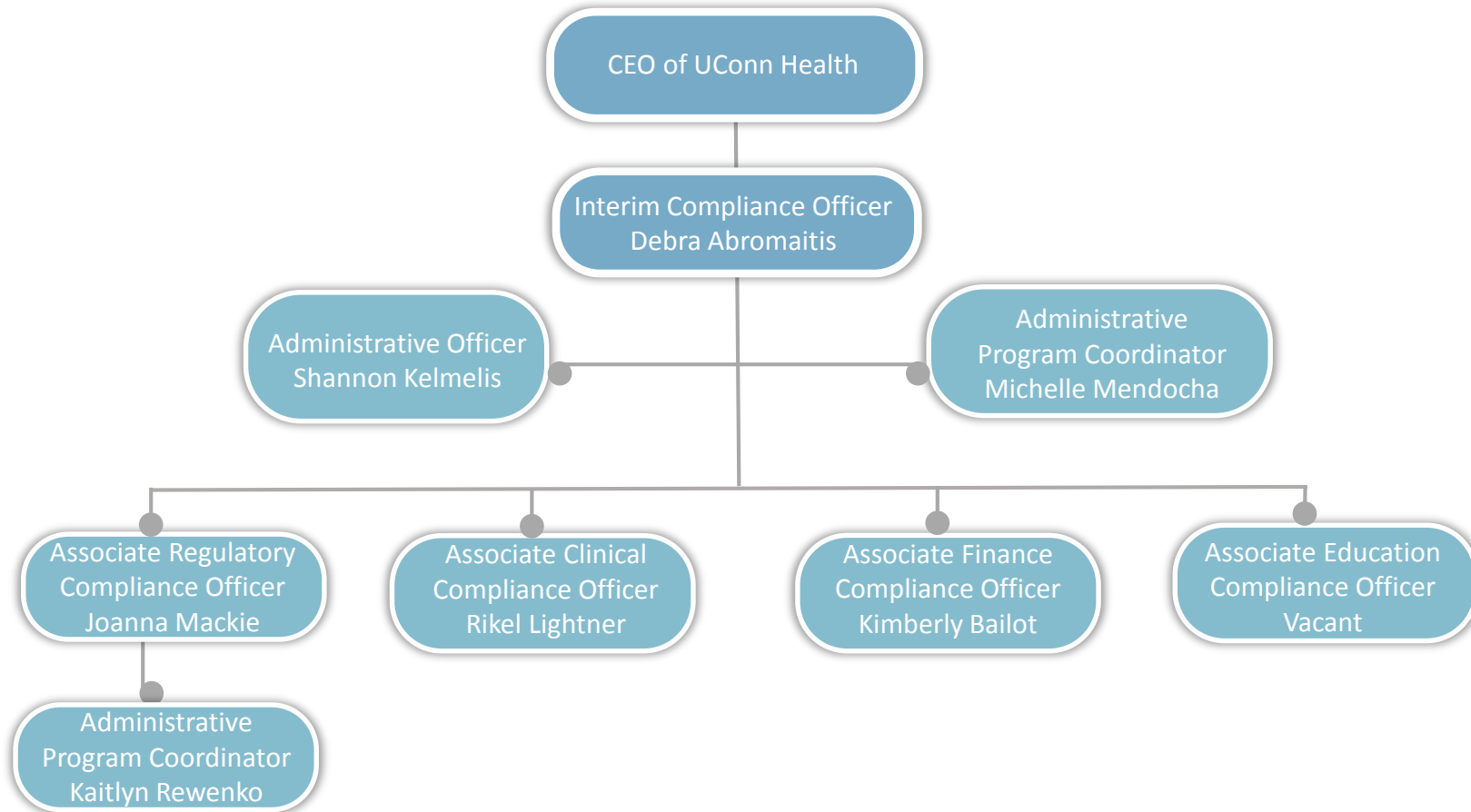
What we do?

- ▶ Investigates healthcare concerns
- ▶ Proactively provides enterprise risk management assessments, advice and monitoring
- ▶ Provides healthcare and regulatory new employee orientation and annual compliance training
- ▶ Guides healthcare operational practices and assists with decision making
- ▶ Works with healthcare program design and modifications
- ▶ Works with physicians to establish relationships educating and monitoring physician billing requirements
- ▶ Collaborates with management on compliance with changing laws, regulations and statutes
- ▶ Prepares healthcare areas for regulatory surveys
- ▶ Coordinates healthcare regulatory surveys
- ▶ Coordinates, implements and monitors action plans after regulatory surveys
- ▶ Reports adverse events
- ▶ Provides updates to UConn Health Senior Team
- ▶ Chairs/member on appropriate committees to support Healthcare and Regulatory Compliance

<https://health.uconn.edu/healthcare-regulatory-compliance/>



OFFICE OF HEALTHCARE AND REGULATORY COMPLIANCE



<https://health.uconn.edu/healthcare-regulatory-compliance/>

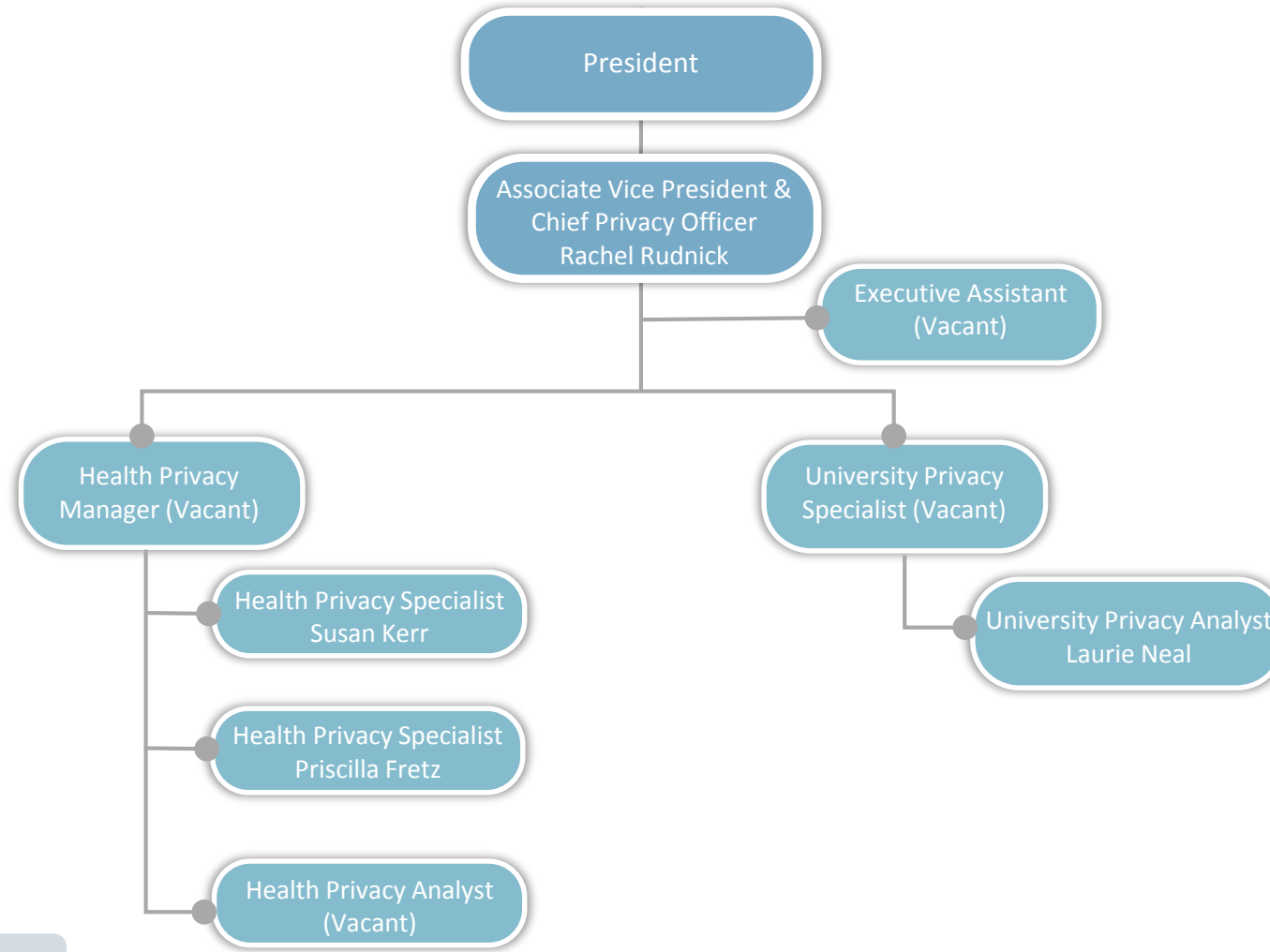


What we do?

- ▶ Responsible for integrated, University-wide Privacy program
- ▶ Conducts investigations into privacy concerns, identity theft, data compromises and inappropriate access to confidential and protected information
- ▶ Collaborates with information technology, clinical and operational areas to promote “Privacy By Design” approach towards management of confidential and protected data
- ▶ Promotes the University’s commitment to protect privacy rights of patients, students, employees, research subjects, and other constituents through education, outreach and advice
- ▶ Conducts periodic monitoring and reviews of privacy obligations and access to confidential and protected data
- ▶ Coordinates management of, and response to, data incidents including breaches
- ▶ Chairs/serves as member on appropriate campus-specific and University-wide committees



OFFICE OF PRIVACY PROTECTION & MANAGEMENT



<https://privacy.uconn.edu/>



What we do?

The scope of audit activities encompasses all controls, reports and operations and the evaluation of a broad range of objectives including:

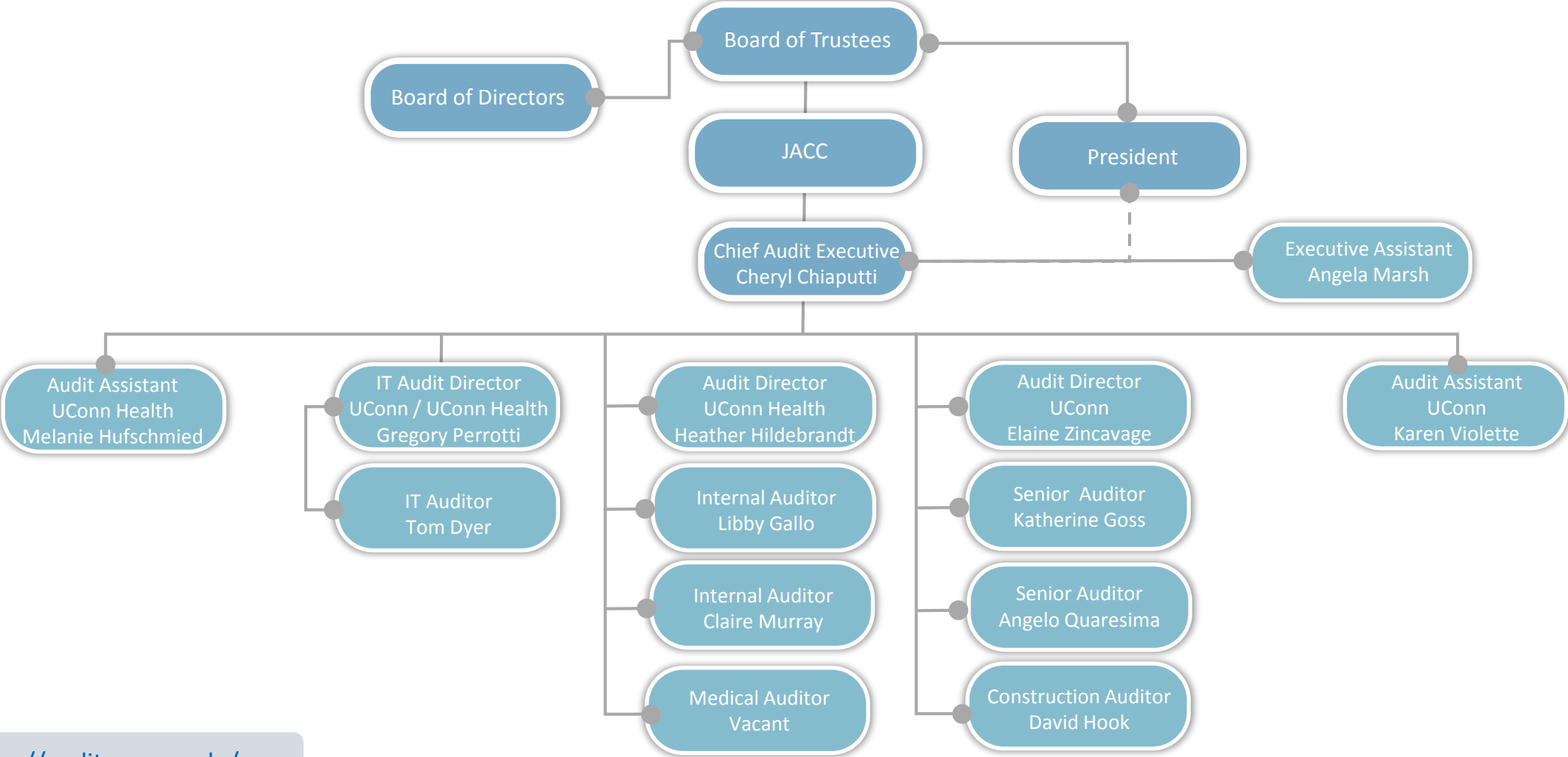
- ▶ Efficiencies and effectiveness of operations
- ▶ Safeguarding of assets
- ▶ Compliance with laws, regulations, policies, procedures and contracts
- ▶ Effectiveness of risk management and control framework and processes

How we do it?

- ▶ Performs risk based financial, operational, compliance and IT audits – results are formally communicated to the JACC
- ▶ Acts as liaison to external auditors including the state auditors
- ▶ Performs investigations related to suspected fraud and fiscal irregularities - results may be communicated to the JACC and other external entities
- ▶ Performs consulting services including advisory and related activities in order to mitigate risk and improve business operations – results may be communicated to the JACC



OFFICE OF AUDIT AND MANAGEMENT ADVISORY SERVICES



<https://audit.uconn.edu/>

