

University of Connecticut & UConn Health  
Joint Audit & Compliance Committee  
**Minutes of the Meeting of June 15, 2023**

Telephone Meeting

ATTENDEES	
Committee Members	<u>Board of Trustees</u> Mark Boxer, Andrea Dennis-LaVigne, Jeanine Gouin  <u>UConn Health Board of Directors</u> Timothy Holt
Other Committee Members	<u>Board of Trustee Chair</u> Daniel Toscano
University Staff	Christopher Bernard, Elle Box, Kevin Chamberlin, Lisa Danville, Kimberly Fearney, Andrea Keilty, Dennis Leber, Steven Lepowsky, Bruce Liang, Peggy McCarthy, Rick McCarthy, Michael Mundrane, Gregory Perrotti, Angelo Quaresima, Rachel Rubin, Janel Simpson, Scott Simpson, Reka Wrynn
External Invitees	John Harrison

Vice-Chair Boxer convened the Committee at 10:11 a.m.

1. Executive Session

On a motion by Trustee Dennis-LaVigne, seconded by Director Holt, the Committee voted unanimously to go into Executive Session to discuss:

- C.G.S. 1-210(b)(1) – Preliminary drafts or notes that the public agency has determined that the public’s interest in withholding such documents clearly outweighs the public interest in disclosure; and
- C.G.S. 1-200(6)(B) – Records or the information contained therein pertaining to strategy and negotiations with respect to pending claims; and
- C.G.S. 1-210(b)(10) – Records, reports and statements privileged by the attorney-client relationship; and
- C.G.S. 1-210(b)(20) – Records of standards, procedures, processes, software, and codes not otherwise available to the public, the disclosure of which would compromise the security and integrity of an information technology system.

The entire Executive Session was attended by the following:

Committee members: Boxer, Dennis-LaVigne, Gouin, and Holt.

Other Trustees: Toscano.

University of Connecticut & UConn Health  
Joint Audit & Compliance Committee  
**Minutes of the Meeting of June 15, 2023**

Telephone Meeting

---

University Staff: Box, Fearney, Keilty, Liang, McCarthy, P., Perrotti, Quaresima, Rubin, R. Simpson, J. Simpson.

The following University staff were in attendance for part of the Executive session: Bernard, Leber, Lepowsky, McCarthy, R., Mundrane, and Wrynn.

The Executive Session ended at 10:55am, and the Committee returned to Open Session at 10:56 a.m.

2. Public Participation

No members of the public signed up to address the Committee.

3. Minutes of the March 23, 2023, meeting

On a motion by Trustee Gouin, seconded by Trustee Dennis-LaVigne, the Committee voted to unanimously approve the minutes of the March 23, 2023, meeting.

4. External Audit Activities

Interim Associate Vice President and Chief Audit Executive Quaresima provided an update on the status of external audit engagements.

John Harrison from the Auditors of Public Accounts presented the UConn and UConn Health Annual audit of Federal Funds required under the Federal Single Act for the year ended June 30, 2022.

The Associate Vice President and Chief Pharmacy Officer, Kevin Chamberlin provided a presentation on the Annual 340B Drug Pricing Program Audits for the period June 1, 2022 – November 30, 2022, for:

- John Dempsey Hospital
- Ryan White (Ryan White Part A)
- Hemophilia Treatment Center (HTC)

5. Significant Internal Audit Activities

Mr. Quaresima provided an update on the status of internal audits. The Committee reviewed and accepted three audit reports. The committee was updated on the status of internal audit findings.

Mr. Quaresima provided the committee with the current Audit & Management Advisory Services (AMAS) organizational chart. The committee was informed of the rehiring of AMAS IT Auditor, Thomas Dyer as well as the promotion of Claire Murray to Audit Director.

University of Connecticut & UConn Health  
Joint Audit & Compliance Committee  
**Minutes of the Meeting of June 15, 2023**

Telephone Meeting

---

6. Compliance Activities

Associate Vice President and Chief Compliance Officer Fearney provided the Committee with an update on significant compliance activities, as well as presentations on the Compliance Education and Awareness Annual report and the 2023 Reports and Investigations Data Summary.

7. Information Technology Updates

Vice President and Chief Information Officer Mundrane and Chief Information Systems Security Officer Bernard provided an update on the UConn information technology activities.

Chief Information Officer McCarthy provided an update on UConn Health information technology activities.

8. Other Business

No Other Business was presented to the Committee.

9. Adjournment

On a motion by Trustee Dennis-LaVigne, seconded by Trustees Gouin, the Committee voted unanimously to adjourn the meeting. The Committee adjourned at 11:21 a.m.

Respectfully submitted,

*Karen Violette*