

University of Connecticut & UConn Health
Joint Audit & Compliance Committee
Minutes of the Meeting of December 21, 2023

Telephone Meeting

ATTENDEES	
Committee Members	<u>Board of Trustees</u> Mark Boxer, Joshua Crow, Andrea Dennis-LaVigne, Jeanine Gouin <u>UConn Health Board of Directors</u> Francis Archambault, Jr., Rick Carbray, Jr., Timothy Holt
Other Trustees	Daniel Toscano
University Staff	Christopher Bernard, Anne D’Alleva, Elle Box, Alex Del Campo, Kimberly Fearney, Nicole Gelston, Jeffrey Geoghegan, Kim Hill, Andrea Keilty, Bruce Liang, Peggy McCarthy, Radenka Maric, Rick McCarthy, Gilbert Milone, Michael Mundrane, Claire Murray, Gregory Perrotti, Angelo Quaresima, Rachel Rubin, Janel Simpson, Scott Simpson, David Wallace, and Michelle Williams
External Invitees	Katie Davis, Jamie Drozdowski, Darryn McGarvey, Shane Metzler, and Taylor Puuri

Vice-Chair Boxer convened the Committee at 10:00 a.m.

1. Executive Session

On a motion by Director Archambault Jr., seconded by Trustee Carbray, Jr., 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, Archambault, Jr., Carbray, Jr., Crow, Dennis-LaVigne, Gouin, and Holt.
Other Trustees: Toscano.

University Staff: Box, D’Alleva, Fearney, Gelston, Geoghegan, Hill, Keilty, Liang, McCarthy, P., Maric, Murray, Perrotti, Quaresima, Rubin, R. Simpson, J. Simpson, Williams.

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The following University staff were in attendance for part of the Executive session: Bernard, Del Campo, McCarthy, R., Milone, Mundrane, and Wallace.

The Executive Session ended at 10:37am, and the Committee returned to Open Session at 10:38 a.m.

2. Public Participation

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

3. Minutes of the September 21, 2023, Meeting

On a motion by Director Archambault, Jr., seconded by Trustee Dennis-LaVigne, the Committee voted to unanimously approve the minutes of the September 21, 2023, meeting.

4. External Audit Activities

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

Mr. Quaresima recommended that the Joint Audit and Compliance Committee (JACC) retroactively approve an extension of the appointment of James Moore & Co. to provide audit services for the fiscal years ended June 30, 2024, and 2025.

On a motion by Director Archambault, Jr., seconded by Director Carbray, Jr., the Committee voted to unanimously approve the extension of the appointment of James Moore & Co. as recommended.

Katie Davis and Shane Metzler from James Moore & Co (JMCO) presented their Independent Accountant's Report on Applying Agreed-Upon Procedures Performed on the Division of Athletics as Required by NCAA Bylaw 3.2.4.17.1 for Fiscal Year Ended June 30, 2023.

Darryn McGarvey and Taylor Puuri from CliftonLarsonAllen LLP (CLA) presented their Audits of Financial Statements for the Fiscal Year Ended June 30, 2023, of UConn Health's John Dempsey Hospital, UConn Medical Group & Finance Corporation.

Jamie Drozdowski from the Auditors of Public Accounts presented their Annual Comprehensive Financial Reports for UConn and UConn Health for the Year Ended June 30, 2023, as well as their UConn Health Departmental Audit for Fiscal Years Ended June 30, 2021, and 2022.

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.

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6. Compliance Activities

Associate Vice President and Chief Compliance Officer Fearney presented the Committee with an update on significant compliance activities, the University Compliance Data and Trends 2023 Annual Report, as well as several informational/educational items.

Ms. Fearney requested that the Joint Audit and Compliance Committee (JACC) approve the suspension of the Mandatory Workforce COVID-19 Vaccination Policy for the Storrs and Regional Campuses.

On a motion by Trustee Gouin, seconded by Director Archambault, Jr., the Committee voted to unanimously suspend the Mandatory Workforce COVID-19 Vaccination Policy for the Storrs & Regional Campuses.

Ms. Fearney shared an updated Healthcare Compliance & Privacy Dashboard that was provided to the committee with the JACC meeting materials. Ms. Fearney indicated questions should be directed to Chief Healthcare Compliance and Privacy Officer Box.

7. Information Technology Updates

Vice President and Chief Information Officer Mundrane 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

The Committee was provided with the JACC meeting schedule for calendar year 2024.

9. Adjournment

On a motion by Trustee Gouin, seconded by Director Archambault, Jr., the Committee voted unanimously to adjourn the meeting. The Committee adjourned at 11:22 a.m.

Respectfully submitted,
Karen Violette