

DRAFT

University of Connecticut & UConn Health
Joint Audit & Compliance Committee
Minutes of the Meeting of March 7, 2024

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., Timothy Holt
Other Trustees	Daniel Toscano
University Staff	Radenka Maric, Donald Babcock, Anne D’Alleva, Elle Box, Kimberly Fearney, Nicole Gelston, Jeffrey Geoghegan, Kim Hill, Andrea Keilty, Bruce Liang, Margaret McCarthy, Rick McCarthy, Michael Mundrane, Claire Murray, Gregory Perrotti, Angelo Quaresima, Janel Simpson, Scott Simpson, David Wallace
External Invitees	Patrick Quinn, Brian Sullivan

Vice-Chair Boxer called the meeting to order at 10:00 a.m.

1. Executive Session

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

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

The following University staff were in attendance for part of the Executive session: Babcock, McCarthy, Mundrane, and Wallace.

The Executive Session ended at 10:41a.m., and the Committee returned to Open Session at 10:42 a.m.

2. Public Participation

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

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3. Minutes of the December 21, 2023, Meeting

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

Patrick Quinn and Brian Sullivan from Mayer Hoffman McCann P.C. presented their FY23 UConn 2000 Infrastructure Program Agreed Upon Procedures Report.

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 audit observations.

Mr. Quaresima informed the committee that AMAS recently hired two new Senior Internal Auditors to our staff. He introduced Charles Constant and Dana Kotler to the Committee. The Committee was provided with a copy of the AMAS revised organizational chart.

6. Compliance Activities

Associate Vice President and Chief Compliance Officer Fearney provided the committee with an update on significant compliance activities, as well as several informational/educational items for their review.

Chief Healthcare Compliance & Privacy Officer Box presented an update on the Healthcare Compliance & Privacy Dashboard.

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

No Other Business was presented to the Committee.

9. Adjournment

On a motion by Trustee Gouin, seconded by Director Archambault, the Committee voted unanimously to adjourn the meeting. The Committee adjourned at 11:02 a.m.

Respectfully submitted,

Karen Violette