

DRAFT

University of Connecticut & UConn Health
Joint Audit & Compliance Committee

Minutes of the Meeting of June 13, 2024

Virtual Meeting

ATTENDEES	
Committee Members	<u>Board of Trustees</u> Mark Boxer, Joshua Crow, Jeanine Gouin <u>UConn Health Board of Directors</u> Francis Archambault, Jr., Timothy Holt
Other Trustees	Daniel Toscano
University Staff	Andrew Agwunobi, Donald Babcock, Chad Bianchi, Josh Boggis, Elle Box, Kevin Chamberlin, Anne D'Alleva, Kimberly Fearney, Andrea Keilty, Margaret McCarthy, Rick McCarthy, Michael Mundrane, Claire Murray, Gregory Perrotti, Angelo Quaresima, Rachel Rubin, Janel Simpson, Scott Simpson, David Wallace, Michelle Williams
External Invitees	John Harrison

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

1. Executive Session

On a motion by Trustee Gouin, seconded by Director Archambault, 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, Crow, Gouin, and Holt.

Other Trustees: Toscano.

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University Staff: Agwunobi, Bianchi, Box, D'Alleva, Fearney, Keilty, M. McCarthy, Murray, Perrotti, Quaresima, Rubin, R. Simpson, J. Simpson, S., and Williams.

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

The Executive Session ended at 10:36 am, and the Committee returned to Open Session at 10:37 a.m.

2. Public Participation

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

3. Minutes of the March 7, 2024, meeting

On a motion by Director Archambault, seconded by Trustee Gouin, the Committee voted to unanimously approve the minutes of the March 7, 2024, meeting.

4. External Audit Activities

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

Associate Vice President of Pharmacy Chamberlin at UConn Health presented the Committee with an update on the Annual 340B Drug Pricing Program Audits for the period June 1, 2023 – November 30, 2023, for:

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

John Harrison from the Auditors of Public Accounts presented the State of Connecticut Single Audit Report for the Fiscal Year Ended June 30, 2023.

5. Significant Internal Audit Activities

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

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6. Compliance Activities

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

Ms. Fearney provided the Committee with the Office of University Compliance Charter for approval.

On a motion by Director Archambault, seconded by Trustee Gouin, the Committee voted to unanimously approve the Compliance Charter.

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

There was no Other Business.

9. Adjournment

On a motion by Director Archambault, seconded by Trustees Gouin, the Committee voted unanimously to adjourn the meeting. The Committee adjourned at 11:14 a.m.

Respectfully submitted,
Karen Violette