UCONN
UNIVERSITY OF CONNECTICUT

UCONN
HEALTH

JOINT AUDIT & COMPLIANCE COMMITTEE

MEETING

September 26, 2024

PUBLIC SESSION

Virtual Meeting

Public Streaming Link (with live captioning upon request): https://ait.uconn.edu/bot

(A recording of the meeting will be posted on the Board website https://boardoftrustees.uconn.edu/ within seven days of the meeting.)

THIS PAGE INTENTIONALLY LEFT BLANK

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting
September 26, 2024
Agenda

11:00 am – 11:30 am - Executive Session / 11:30 am – 12:00 pm - Public Session

Virtual Meeting

Public Streaming Link (with live captioning upon request): *https://ait.uconn.edu/bot*

(A recording of the meeting will be posted on the Board website https://boardoftrustees.uconn.edu/ within seven days of the meeting.)

Topic	Proposed Action	Attachment
Executive Session Anticipated	Review	None
1. **GENERAL**		
• Public Comment*		None
• Minutes of the June 13, 2024, Meeting	Approval	1.1
2. **EXTERNAL AUDIT ACTIVITIES**		
• Status of External Audit Engagements	Update	2.1
• CBIZ CPAs P.C. (formerly Mayer Hoffman McCann P.C.) – Approval to Extend the Appointment of CBIZ for FYE 24 & 25 – UConn 2000 Projects	Approval	2.2
3. **SIGNIFICANT INTERNAL AUDIT ACTIVITIES**		
• Status of Audit Assignments	Update	3.1
• Status of Audit Observations	Update	3.2
• Draft FY 2025 Audit Plan	Approval	3.3
• AMAS Organizational Chart/Staffing Update	Update	3.4
4. **COMPLIANCE ACTIVITIES**		
• Significant Compliance Activities	Update	4.1
• Draft FY 2025 Compliance Plan	Approval	4.2
• Informational/Educational Items	Informational	4.3
5. **INFORMATION TECHNOLOGY**		
• UConn	Update	5.1
• UConn Health	Update	5.2
6. **OTHER BUSINESS**		
7. **ADJOURNMENT**		

PLEASE NOTE: If you are an individual with a disability and require accommodations, please e-mail the Board of Trustees Office at boardoftrustees@uconn.edu prior to the meeting.

* Individuals who wish to speak during the Public Participation portion of the Thursday, September 26, meeting must do so 24 hours in advance of the meeting's start time (i.e., 10:00 a.m. on Wednesday, September 25) by emailing BoardCommittees@uconn.edu. Speaking requests must include a name, telephone number, topic, and affiliation with the University (i.e., student, employee, member of the public). The Committee may limit the entirety of public comments to a maximum of 30 minutes. As an alternative, individuals may submit written comments to the Committee via email (BoardCommittees@uconn.edu), and all comments will be transmitted to the Committee.

THIS PAGE INTENTIONALLY LEFT BLANK

ATTACHMENT 1.1

ATTACHMENT 1.1

<p style="text-align:center; color:red">DRAFT</p>

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.

University of Connecticut & UConn Health
Joint Audit & Compliance Committee
Minutes of the Meeting of June 13, 2024
Virtual Meeting

University Staff: Maric, 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.

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

THIS PAGE INTENTIONALLY LEFT BLANK

ATTACHMENT 2.1

ATTACHMENT 2.1

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting

September 26, 2024

Status of External Audit Engagements

Auditor	Area	Scope	Current Status of Audit	Recent Report Issued	Recent Report – Recommendations & Areas for Improvement		
					Total	No Further Action / Implemented	Open
Clifton Larson Allen LLP	UConn Health	Audits of Financial Statements for UConn Health's John Dempsey Hospital, University Medical Group, & Finance Corporation	FY 24 Underway	FY 23 Issued 11/21/23	2	0	2
James Moore & Co	UConn Athletics	NCAA agreed upon procedures performed on all revenues, expenses, and capital expenditures for the Athletics Program	FY 24 Underway	FY 23 Issued 12/4/23	No Recommendations Reported		
CBIZ CPAs P.C. (formerly Mayer Hoffman McCann P.C.)	UConn & UConn Health	Annual agreed upon procedures on UConn 2000 Infrastructure Program as required by Section 10a-109z of the Connecticut General Statues (CGS)	FY 24 No Activity	FY 23 Issued 2/15/24	1	0	1
Pharmacy Consultants, Inc. (DBA 340B Compliance Partners)	UConn Health	Mock audits of UConn Health's 340B Drug Pricing Program covered entities required by Health Resources and Services Administration	CY 24 No Activity	CY 23 Issued 2/24, 2/24 & 2/24	10	9	1
State Auditors	UConn & UConn Health	Annual audit of Federal Funds required under the Federal Single Audit Act (SWSA)	FY 24 Underway	FY 23 Issued 3/27/24	0	0	0
State Auditors	UConn	Annual audit of financial statements included in the Annual Comprehensive Financial Report (ACFR)	FY 24 Underway	FY 23 Issued 12/8/23	No Recommendations Reported		
State Auditors	UConn Health	Annual audit of financial statements included in the Annual Comprehensive Financial Report (ACFR)	FY 24 Underway	FY 23 Issued 12/8/23	No Recommendations Reported		
State Auditors	UConn	Departmental Statutory Required Audit (CGS Sec 2-90)	FYs 22 & 23 Underway	FYs 19, 20 & 21 Issued 8/15/23	22	6	16
State Auditors	UConn Health	Departmental Statutory Required Audit (CGS Sec 2-90)	FYs 23 & 24 Underway	FYs 21 & 22 Issued 11/9/23	12	0	12

THIS PAGE INTENTIONALLY LEFT BLANK

ATTACHMENT 2.2

ATTACHMENT 2.2

UCONN
UCONN HEALTH

TO: Members of the Joint Audit and Compliance Committee

FROM: Angelo Quaresima
            Associate Vice President and Chief Audit Executive

DATE: September 26, 2024

SUBJECT: Approval to Extend the Appointment of CBIZ CPAs P.C. – UConn 2000 Agreed
            Upon Procedures

RECOMMENDATION

It is recommended that the Joint Audit and Compliance Committee (JACC) approve an extension
of the appointment of CBIZ CPAs P.C. (formerly Mayer Hoffman McCann P.C.) to provide
audits services of the UConn 2000 projects as required per section 10a-109z of the Connecticut
General Statutes for the fiscal years ended June 30, 2024 and 2025. The proposed fee for each
fiscal year is $117,935 and $121,540, respectively.

BACKGROUND

Section 10a-109z requires that "*The Board of Trustees for The University of Connecticut shall
select and appoint independent auditors, as defined in subdivision (7) of section 4-230, to
annually conduct an audit of any project of UConn 2000, as defined in subdivision (25) of
section 10a-109c. Such audit shall review invoices, expenditures, cost allocations and other
appropriate documentation in order to reconcile project costs and verify conformance with
project budgets, cost allocation agreements and applicable contracts. The Board of Trustees for
The University of Connecticut shall ensure that the auditors have unfettered access to any
documentation the auditors need to review any such project. The auditors appointed pursuant to
this section may serve in such capacity for five consecutive years and shall not be reappointed at
the expiration of such period. Any such auditor appointed pursuant to this section shall not
perform any nonaudit services for the university during such period. The auditors shall report
annually to the General Assembly on their findings from the audits conducted pursuant to this
section.*"

On December 9, 2021, the JACC approved a 3-year contract with Mayer Hoffman McCann P.C.
to provide audit services for the years ended June 30, 2021, 2022 and 2023. In accordance with
the terms of the contract, the University may elect to extend the audit services for years ending
June 30, 2024 and 2025.

Audit and Management Advisory Services seeks JACC approval of this engagement.

THIS PAGE INTENTIONALLY LEFT BLANK

ATTACHMENT 3.1

ATTACHMENT 3.1

University of Connecticut & UConn Health
Joint Audit & Compliance Committee
September 26, 2024

Office of Audit and Management Advisory Services
Status of Audit Assignments
As of August 31, 2024

Audit Project	Campus	Current Status	Anticipated JACC Meeting			
			Sep 2024	Dec 2024	Mar 2025	Jun 2025
Cardiology	UH	Report	▬			
Concur Travel	UC	Report	▬			
Medicare Bad Debt Claims	UH	Report	▬			
Clinical Engineering - Equipment Management	UH	Fieldwork		▬		
Concur Travel - Athletics	UC	Fieldwork		▬		
Decentralized IT General Controls – Clinical Laboratory	UH	Fieldwork		▬		
Human Subject Incentive Payments	UC	Fieldwork		▬		
Medical Device Security	UH	Fieldwork		▬		
New England Sickle Cell Institute	UH	Fieldwork		▬		
Non Student Receipts & Receivables	UC	Fieldwork		▬		
Vendor Management - HuskyBuy	UC	Fieldwork		▬		
Faculty Consulting FY24	UC/UH	Planning			▬	
UConn Special Payroll	UC	Planning			▬	
UConn Health Special Payroll	UH	Planning			▬	

Special Projects/Consulting	Campus	Current Status	
		In Progress	Project Final
Centers for Clean Energy Engineering	UC		▬
Women's, Gender, and Sexuality Studies Travel Review	UC		▬

THIS PAGE INTENTIONALLY LEFT BLANK
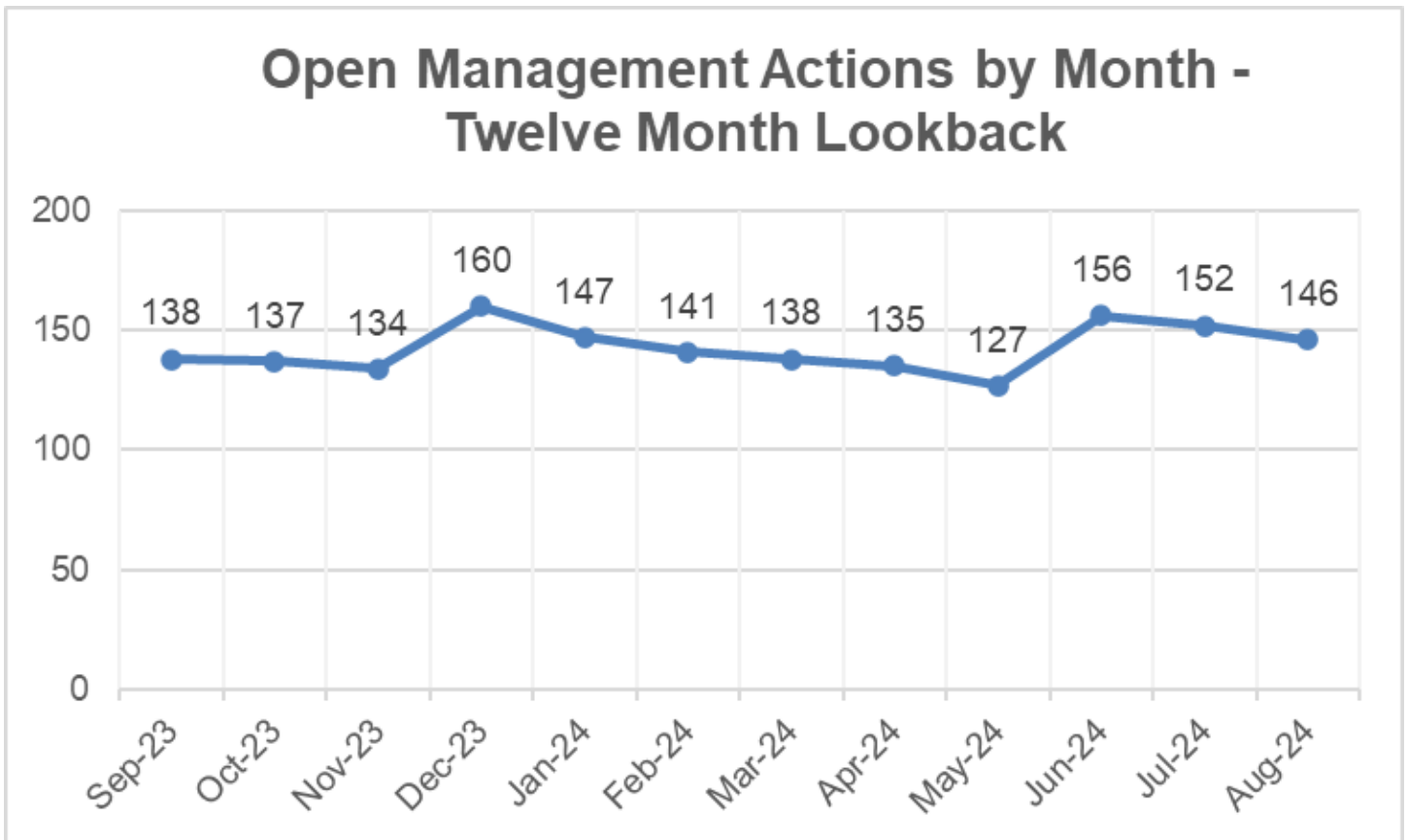
ATTACHMENT 3.2

ATTACHMENT 3.2

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting
September 26, 2024

Status of Audit Observations
Aging of Overdue Management Actions by Functional Area Based on Original Due Date
As of August 31, 2024

Functional Area	Not Due			0-3 Mos			3-6 Mos			6-12 Mos			1-2 Yrs			2-3 Yrs			> 3 Yrs			Total
	L	M	H	L	M	H	L	M	H	L	M	H	L	M	H	L	M	H	L	M	H	
UConn:																						
UC College of Liberal Arts and Sciences														6	2							8
UC Controller	1	2																1				4
UC Facilities Operations																				7		7
UC Human Resources																	2			1		3
UC Information Technology Services		3	18		2	7	2							2								34
UC Office of Global Affairs														1								1
UC Office of the Provost	2	1		1																		4
UC Research Compliance Services																2			1			3
UC School of Business								1			1											2
UConn Total	3	6	18	1	2	7	2	1			1			9	2	2	2	1	1	8		66
UConn Health:																						
UC Office of Institutional Equity																			1	1		2
UCH CEO and EVP for Health Affairs																				2		2
UCH CFO														3								3
UCH Controller																	1			1		2
UCH Human Resources																	2					2
UCH Information Technology Services										3	3			2	2	1	1	2	6	5		25
UCH JDH Administration					3					2	1		3	2						3		14
UCH JDH and UMG Revenue Cycle Management	1	3		1	8			2			2									2		19
UCH JDH Inpatient Care				1																		1
UCH JDH Quality and Patient Services		1		1																1		3
UCH School of Dental Medicine																2	2					4
UCH School of Medicine																	2					2
UConn Medical Group													1									1
UConn Health Total	1	4		3	11			2		2	6	3	4	7	2		2	1	9	18	5	80
UConn & UConn Health Total	4	10	18	4	13	7		4	1	2	6	4	4	16	4	2	4	2	10	26	5	146

Note: The net number of management open actions increased by 19 from 127 to 146 from the prior reported quarter.

Status of Audit Observations
Aging of Overdue Management Actions by Finding Category Based on Original Due Date
As of August 31, 2024

Finding Category	Not Due L	Not Due M	Not Due H	0-3 Mos L	0-3 Mos M	0-3 Mos H	3-6 Mos L	3-6 Mos M	3-6 Mos H	6-12 Mos L	6-12 Mos M	6-12 Mos H	1-2 Yrs L	1-2 Yrs M	1-2 Yrs H	2-3 Yrs L	2-3 Yrs M	2-3 Yrs H	> 3 Yrs L	> 3 Yrs M	> 3 Yrs H	Total
UConn:																						
Business Process Improvement	2	1															1			1		5
Documentation	1				1		1							1								4
Governance														1								1
Policy		1		1										1		1	1			1		6
Regulatory Compliance																1		1	1			3
Security		2	18			5		1	1			1		4	2					6		40
Segregation of Duties					1																	1
Technology		2												1								3
Training														1								1
Use of Resources						2																2
UConn Total	3	6	18	1	2	7	2	1				1		9	2	2	2	1	1	8		66
UConn Health:																						
Business Process Improvement		2			1								3	2					2	1		11
Documentation	1				1						1		1	1		3						8
Management Oversight				1	4					1	1			1						1		9
Monitoring				1	2			2				1		1						4		11
Policy		1									1					4	3					9
Regulatory Compliance				1	2						2			1						1		7
Security											1	2			2		1	1		4	2	13
Technology														1						2	3	6
Training		1			1					1												3
Use of Resources																	1			2		3
UConn Health Total	1	4		3	11			2		2	6	3	4	7	2		2	1	9	18	5	80
UConn & UConn Health Total	4	10	18	4	13	7		4	1	2	6	4	4	16	4	2	4	2	10	26	5	146

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting
September 26, 2024

Status of Audit Observations
Trend Analysis of Monthly Balances of Open Management Actions
As of August 31, 2024

Open Management Actions by Month - Twelve Month Lookback

Month	Value
Sep-23	138
Oct-23	137
Nov-23	134
Dec-23	160
Jan-24	147
Feb-24	141
Mar-24	138
Apr-24	135
May-24	127
Jun-24	156
Jul-24	152
Aug-24	146

Analysis:

The effective collaboration between UConn and UConn Health and AMAS reflects a continued commitment to resolving outstanding open actions, as depicted in the downward trend in the above line graph minus the upticks for new required management actions.

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting
September 26, 2024

Status of Audit Observations
Management Actions Closed By Functional Areas And Risk Level
For the Period May 21, 2024 to August 31, 2024

Functional Area	Implemented			Recommendation Moved to / Included in Another Audit			Total
	L	M	H	L	M	H	
UConn:							
UC Budget	2	1					
UConn Total	2	1					3
UConn Health:							
UC Office of Institutional Equity	1						1
UCH Information Technology Services		2					2
UCH JDH Administration	1	2					3
UCH JDH and UMG Revenue Cycle Management		1					1
UCH JDH Inpatient Care		1					1
UConn Medical Group		2					2
UConn Health Total	2	8					10
UConn & UConn Health Total	4	9					13

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting
September 26, 2024

Status of Audit Observations
Risk Level Descriptions

The description of the risk levels identified in this report is based on the following methodology. Observations are ranked based on an analysis of the likelihood and impact of a control or process failure. Considerable professional judgment is used to determine the risk ratings. Accordingly, others could evaluate the results differently and draw different conclusions. The risk levels provide information about the condition of risks and internal controls at one point in time. Future changes in environmental factors and personnel actions may significantly impact the risk ratings.

Low	Observation has a low probability of occurring. Preventive controls do not exist but detection and mitigating controls exist. Minimal exposure that will not typically lead to a material error and corrective action may lead to improvements in efficiencies and effectiveness. The issues identified may include: • Noncompliance with internal policies • Lack of internal policy that is not mandated by federal and state requirements • Minimal financial losses • Minor operational issues
Moderate	Observation is likely to occur or has occurred. Preventive and detection controls do not exist but mitigating controls exist. Exposure that requires priority attention because the observation has or may result in: • More than minimal financial losses or fraud or theft of resources • Noncompliance with laws and regulations or accreditation standards • Ineffective internal policy or practice • Reputation damage • Negative impact to audit area under review, which includes continuity, security and privacy issues • Safety and health concerns
High	Observation has a high probability of occurring or has occurred at a high rate. Preventive, detection and mitigating controls do not exist. High impact exposure that requires immediate attention because the observation has or may result in: • Substantial financial losses or fraud or theft of resources • Noncompliance with significant laws and regulations • Serious reputation damage • Negative impact to systemwide operations, which includes continuity, security and privacy issues • Significant safety and health concerns

THIS PAGE INTENTIONALLY LEFT BLANK

ATTACHMENT 3.3

ATTACHMENT 3.3

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting

Office of Audit and Management Advisory Services
FY 2025 Audit Plan

TITLE	AREA / SCOPE	STATUS	LOCATION
CLINICAL			
New England Sickle Cell Institute	Evaluate clinical operations of the New England Sickle Cell Institute to confirm that services are provided, documented, and billed in accordance with governmental regulations, payer requirements and internal policies and procedures, with complete, accurate and timely charges, payments and contractual adjustments processed in Epic.	In Process	UConn Health
Interventional Radiology	Assess whether interventional radiology services are ordered, provided, and documented in accordance with governmental regulations, payer requirements and internal policies and procedures, with complete, accurate and timely charges, payments and contractual adjustments processed in Epic.	Carryforward	UConn Health
Student Health and Wellness Counseling and Mental Health	Assess whether services are ordered, provided, documented, and billed in compliance with governmental regulations, payer requirements and the associated charges are complete, accurate and timely.	Carryforward	UConn
UConn Health Surgery Center	Assess whether surgical procedures performed at the UConn Health Surgery Center are provided, documented, and billed in accordance with governmental regulations, payer requirements and internal policies and procedures, with complete, accurate and timely charges, payments and contractual adjustments processed in Epic.	Carryforward	UConn Health
Nephrology	Assess whether services provided by the Nephrology team are documented and billed in accordance with governmental regulations, payer requirements, contractual terms and conditions and internal policies and procedures, with complete, accurate and timely charges, payments and contractual adjustments posted in Epic.	New	UConn Health
Wound Care and Hyperbaric Medicine	Assess whether services performed at the Wound Care and Hyperbaric Medicine treatment center are provided, documented, and billed in accordance with governmental regulations, payer requirements, contractual terms and conditions and internal policies and procedures, with complete, accurate and timely charges, payments and adjustments posted in Epic.	New	UConn Health
FINANCIAL & OPERATIONAL			
Clinical Engineering – Equipment Management	Assess whether clinical equipment is replaced at the end of its useful life, recorded, and tracked in inventory, and inspected and maintained in accordance with UConn Health policy and manufacturer's specifications.	In Process	UConn Health
Concur Travel - Athletics	Review and evaluate Concur travel procedures and controls surrounding Athletics team travel planning, approvals, and use of travel cards to assess compliance with UConn policies and NCAA rules.	In Process	UConn

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting

Office of Audit and Management Advisory Services
FY 2025 Audit Plan

TITLE	AREA / SCOPE	STATUS	LOCATION
Human Subject Incentive Payments	Determine whether human subject incentive payments are made in compliance with relevant UConn policies and procedures and governmental regulations; and assess the effectiveness of internal controls designed to process incentive payments, with a focus on ClinCard payments.	In Process	UConn
Non-Student Receipts & Receivables	Assess internal controls surrounding UConn departments that directly invoice, receive, and process payments for services, programs, and other revenue producing activities; and determine compliance with UConn policies and procedures and applicable governmental regulations.	In Process	UConn
Special Payroll	Assess compliance with CGS Sec 10a-20 and 10a-108 and UConn/UConn Health Special Payroll policies. Determine if controls are operating effectively over the following process: identification, determination and approval of eligible positions and related terms, and monitoring for compliance with terms of the positions (e.g., project based, seasonal, durational, temporary need, non-Union, non-benefits eligible).	In Process	UConn & UConn Health
Vendor Management – Husky Buy	Assess the effectiveness of the vendor management policies and procedures implemented in HuskyBuy including duplicate vendors, payment terms/discounts and debarment verification procedures.	In Process	UConn
Client Revenue Contracts	Review and assess effectiveness of contract management and controls designed within Epic to bill and collect receivables from clients for contractual services provided by UConn Health.	Carryforward	UConn Health
Compensatory Time	Review and evaluate internal controls over UConn compensatory time approval and documentation practices; and assess compliance with bargaining agreement contractual terms and institutional policies.	Carryforward	UConn
Concur Purchasing Card (PCard)	Assess effectiveness of Pcard internal controls for compliance with UConn policies, including card issuance and deactivation, card limits and restrictions, and recordkeeping.	Carryforward	UConn
Indirect Cost Recovery Revenues from Grants	Analyze the basis of the revenue generated from and the uses and oversight of Indirect Cost Recovery funds posted to unrestricted accounts (4-ledger accounts), as well as compliance with UConn/UConn Health policies.	Carryforward	UConn & UConn Health
Specialty Pharmacy	Review and assess UConn Health Specialty Pharmacy business operations and billing practices, including related controls designed to comply with applicable federal and state regulations and internal policies and procedures.	Carryforward	UConn Health
Technology Commercialization Costs and Revenue Assessment	Assess operating procedures for reporting royalty revenue and reconciling royalty revenue to cash receipts. Analyze patent costs and number of patents filed to identify potential cost savings associated with filing internally to reduce expenditures associated with outside legal firm.	Carryforward	UConn & UConn Health

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting

Office of Audit and Management Advisory Services
FY 2025 Audit Plan

TITLE	AREA / SCOPE	STATUS	LOCATION
Time and Effort Reporting	Review and assess UConn and UConn Health sponsored award effort reporting processes for compliance with federal requirements under 2 CFR Part 200 and institutional policies; and evaluate the effectiveness of related controls designed within institutional reporting systems.	Carryforward	UConn & UConn Health
Athletics: Facility Operations and Rentals Revenue	Evaluate internal controls surrounding Athletics facility operations and associated revenue producing activities; and assess compliance with UConn policies and procedures and applicable governmental regulations.	New	UConn
Building Access	Review and assess UConn/UConn Health policies and procedures for granting, monitoring, and revoking building access; and evaluate the adequacy of associated controls.	New	UConn & UConn Health
Dining Services: Cash Handling	Evaluate the internal controls over Dining Services cash operations; and assess compliance with UConn policies and procedures and applicable governmental regulations.	New	UConn
Faculty Workloads	Evaluate the effectiveness of controls over faculty workload assignments, including the processes of assignment development, documentation, approval, and monitoring. Assess compliance with minimum workload requirements, UConn policies, guidelines, and applicable collective bargaining agreements.	New	UConn
Fleet Vehicles	Assess the use and maintenance of UConn fleet vehicles for compliance with UConn policies; and evaluate the effectiveness of associated internal controls. Identify potential cost savings and operational efficiencies.	New	UConn
Human Subject Incentive Payments	Determine whether human subject incentive payments are made in compliance with relevant UConn Health policies and procedures and governmental regulations; and assess the effectiveness of internal controls designed to process incentive payments.	New	UConn Health
Parking Services: Business Operations	Assess the efficiency and effectiveness of Parking Services operations; and evaluate the adequacy of internal controls in place to prevent financial loss and ensure compliance with UConn policies and procedures and applicable governmental regulations.	New	UConn
Patient Access Operations	Evaluate the efficiency and accuracy of appointment scheduling, registration and prior authorization, including an assessment of the related controls designed to comply with applicable federal and state regulations and internal policies and procedures.	New	UConn Health
Patient Account Credit Balances	Assess processes and controls for reviewing patient account credit balances in Epic to timely and accurately identify and process refunds in accordance with federal and state regulations and internal policies and procedures.	New	UConn Health

TITLE	AREA / SCOPE	STATUS	LOCATION
Physician Workloads	Evaluate the effectiveness of controls over physician workload assignments; and assess compliance with minimum workloads requirements, UConn Health internal policies, guidelines, and metrics. Verify physician incentive payments are made in accordance with UConn Health policies and applicable collective bargaining unit agreements.	New	UConn Health
School of Dental Medicine Third Party Insurance Reimbursements	Evaluate whether charges for dental services billed in axiUm are captured and reimbursed in accordance with the terms of payer contracts.	New	UConn Health
INFORMATION TECHNOLOGY			
Decentralized IT General Controls – Clinical Laboratory	Assess compliance with UConn Health IT policies, regulatory requirements, and industry standards. The scope of this audit will focus on IT general controls, including access controls, change management, systems monitoring, and disaster recovery for the Clinical Laboratory.	In Process	UConn Health
Medical Device Security	Evaluate the effectiveness of cybersecurity controls for medical devices that store, process, or transmit Protected Health Information (PHI), as well as compliance with UConn Health IT policies, Health Insurance Portability and Accountability Act (HIPAA), and Food and Drug Administration requirements and guidance.	In Process	UConn Health
Athletics IT General Controls	Assess IT general controls, including areas such as compliance with University IT policies, regulatory requirements, and industry standards for systems and applications managed by Athletics. The review will include an evaluation of key controls addressing the overall security of sensitive information, including data related to student athletes and other individuals that interact with Athletics such as donors.	Carryforward	UConn
axiUm Application Controls	Assess axiUm application controls utilized to protect the confidentiality, integrity and availability of PHI and financial data, in addition to compliance with UConn Health IT policies and regulatory requirements such as the HIPAA Security Rule.	Carryforward	UConn Health
Legal Files Application Controls	Assess Legal Files application controls utilized to protect the confidentiality, integrity and availability of sensitive data as well as compliance with University IT policies and industry standards for application security.	Carryforward	UConn
Artificial Intelligence (AI) Governance	Assess AI strategy and policies regarding the governance, use and security of commercial and open-source AI tools used for various business use cases.	New	UConn & UConn Health

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting

Office of Audit and Management Advisory Services
FY 2025 Audit Plan

TITLE	AREA / SCOPE	STATUS	LOCATION
Microsoft Office 365 Security and Configuration	Assess the implementation of Microsoft Office 365 in accordance with vendor recommendations and industry best practices for the secure configuration of the platform. Areas of focus may include controls for accounts and authentication, application permissions, data management, email security, auditing, and storage.	New	UConn Health
Vulnerability & Patch Management	Evaluate the effectiveness of control processes for identifying, acquiring, installing, and verifying patches for infrastructure-related systems such as operating systems and server software.	New	UConn Health
COMPLIANCE			
International Disclosures in Research	Assess current policies and procedures related to defining, preventing, and detecting unallowable foreign influences on faculty and intellectual property, including examining current process for reviewing contracts prior to UConn and UConn Health commitment.	Carryforward	UConn & UConn Health
Faculty Consulting FY24	Evaluate the effectiveness of the established faculty consulting activity approval and oversight procedures and compliance with state regulations and University Faculty Consulting policies and procedures for fiscal year 2024	Mandatory	UConn & UConn Health
University of Connecticut Foundation FY24	Examine fiscal year 2024 Foundation gifts and disbursements for compliance with UConn and Foundation policies; and determine compliance with Connecticut General Statutes Section 4-37(e) et seq.	Mandatory	UConn & UConn Health
OTHER			
	Risk Assessment	Ongoing	UConn & UConn Health
	Follow-up Audit Activities	Ongoing	UConn & UConn Health
	Contingencies/Special Projects/Investigations/Consulting	Ongoing	UConn & UConn Health

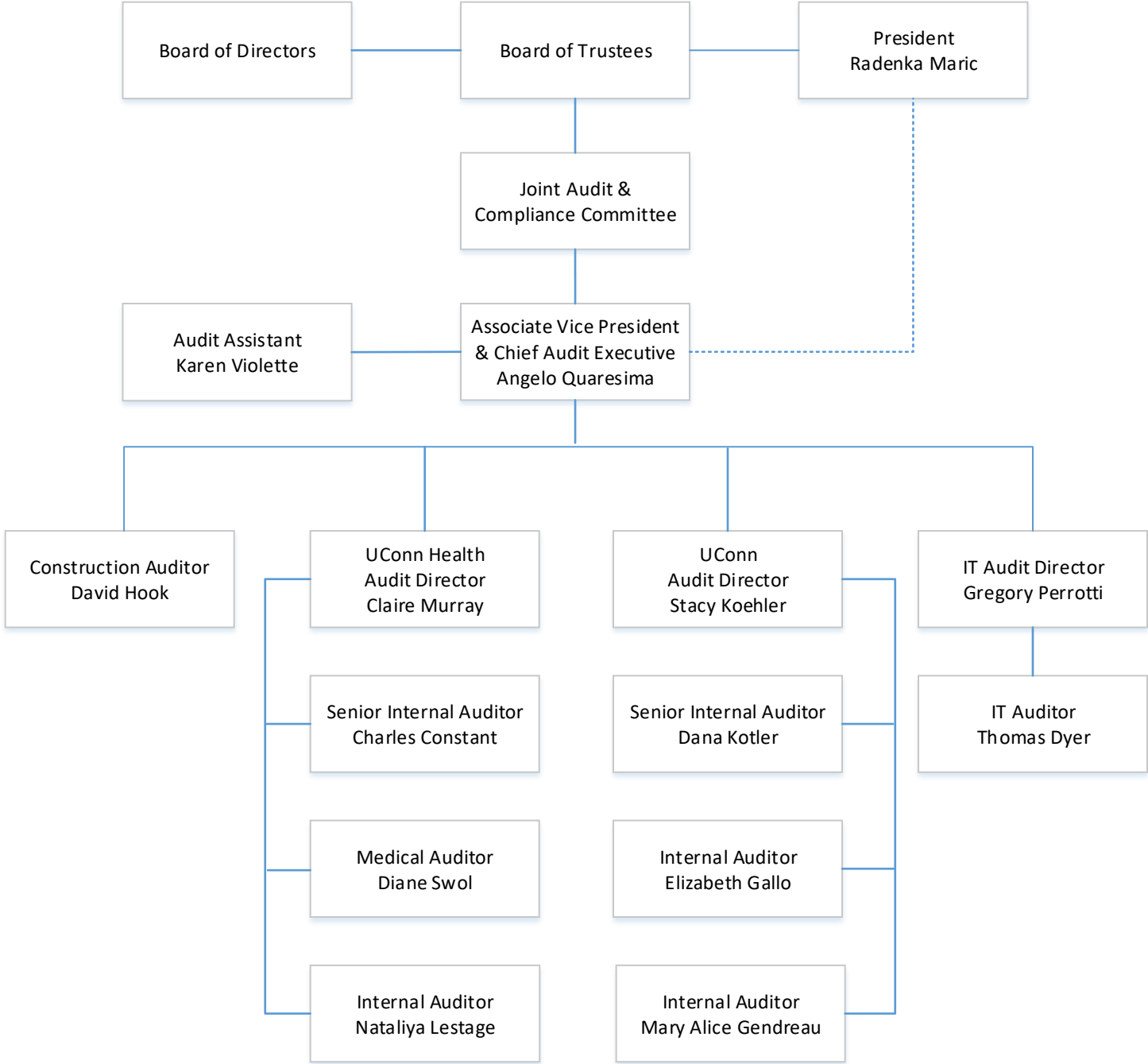Presented for approval by the Joint Audit & Compliance Committee at their September 26, 2024 Meeting

THIS PAGE INTENTIONALLY LEFT BLANK

ATTACHMENT 3.4

ATTACHMENT 3.4

Office of Audit and Management Advisory Services - 06/28/24

```
┌──────────────────┐      ┌──────────────────┐      ┌──────────────────┐
│ Board of Directors│─────│ Board of Trustees │─────│     President     │
└──────────────────┘      └──────────────────┘      │  Radenka Maric    │
                                   │                 └──────────────────┘
                          ┌──────────────────┐
                          │   Joint Audit &   │
                          │ Compliance Committee│
                          └──────────────────┘
                                   │
┌──────────────────┐      ┌──────────────────┐
│  Audit Assistant  │─────│ Associate Vice President│
│  Karen Violette   │      │ & Chief Audit Executive │
└──────────────────┘      │  Angelo Quaresima  │
                          └──────────────────┘
```

Construction Auditor David Hook	UConn Health Audit Director Claire Murray	UConn Audit Director Stacy Koehler	IT Audit Director Gregory Perrotti
	Senior Internal Auditor Charles Constant	Senior Internal Auditor Dana Kotler	IT Auditor Thomas Dyer
	Medical Auditor Diane Swol	Internal Auditor Elizabeth Gallo	
	Internal Auditor Nataliya Lestage	Internal Auditor Mary Alice Gendreau	

THIS PAGE INTENTIONALLY LEFT BLANK

ATTACHMENT 4.1

ATTACHMENT 4.1

7 Elements of an Effective Compliance Program

| 1 – Standards of Conduct, Policies, Procedures | 2 – Leadership and Authority | 3 – Education and Development | 4 – Monitoring and Auditing | 5 – Reporting and Investigations | 6 – Response and Prevention | 7 – Accountability and Incentives |

Significant Compliance Activities – Office of University Compliance (OUC)	Program Element
To date, OUC has received 113 reported concerns in 2024. The current number of reports reflect a 14% increase from 2023.	4, 5, 6, 7
The 2024-2025 Annual University Compliance and Ethics Training for Graduate Assistants launched in September and includes information on the University's Code of Conduct, the University's Guide to the State Code of Ethics, UConn's FERPA policy, Export Control Regulations, and Creating Accessible Digital Content.	1, 3, 6
Educational email campaigns (16) were developed and disseminated to the UConn and UConn Health communities on topics such as privacy best practices with SharePoint, fiscal responsibility, and policy updates. See attachment for a sampling of materials.	1, 3, 6
OUC developed new resource guides on: developing/revising policies, creating accessible digital content, and disclosing outside activity based on professional experience.	1, 3, 6
OUC coordinated the University's privacy responsibilities in response to a data security incident caused by a malicious actor which affected over 100 individuals.	5, 6, 7
OUC presented at UConn's Regional Campus Family Orientation for parents/families on the Family Educational Rights and Privacy Act (FERPA).	3, 6
OUC worked with ITS to recommend and implement a number of enhancements to the FERPA Designee Pin Page.	1, 4, 6
OUC developed and launched a two-part 3.5 hour compliance certificate program for managers and supervisors, *Leading with Integrity.* The program was piloted at the Stamford Campus in August.	1, 2, 3, 6, 7
University Compliance continues to engage in monitoring the implementation of various initiatives and programs that were impacted by the 2024 legislative session to ensure the institution is responsive and in compliance with new and/or revised Connecticut laws.	2, 4, 6

Joint Audit and Compliance Committee
Significant Compliance Activities
June—September 2024

7 Elements of an Effective Compliance Program

1 – Standards of Conduct, Policies, Procedures	2 – Leadership and Authority	3 – Education and Development	4 – Monitoring and Auditing	5 – Reporting and Investigations	6 – Response and Prevention	7 – Accountability and Incentives

Significant Compliance Activities – Office of University Compliance (OUC)	Program Element
Advanced Policy Manager User Training launched and will be ongoing for advanced users and manual owners.	●●
The Senior Policy Council (SPC) approved ten new or revised policies including the Compliance Training Policy, the Outdoor Amplified and Projected Sound Policy, and the Fitness for Duty Policy. SPC also decommissioned two policies on Graduate Fellowship Awards (consolidated into one) and the Division of Student Affairs Large, Outdoor, and/or Late Hours Event Policy.	●●●
OUC hosted a three-part webinar series on policy management which included information on drafting and revising policies and policy-writing best practices. 97% of attendees indicated they felt more knowledgeable after attending the sessions. 100% indicated they know who to contact if they have additional questions about policy.	●●
OUC collaborated with Financial Aid, BPIR, and the Provost's Office to monitor compliance with website requirements under the Higher Education and Reauthorization Act (HEOA) regulations and implemented corrections or enhancements.	●●

Additional Updates
On August 8th, 2024, the cesium-137 irradiator was successfully removed from the Pharmacy/Biology Building on the Storrs campus through the Cesium Irradiator Replacement Project offered by the Office of Radiological Security through the Department of Energy/National Nuclear Security Administration. Removal of the device mitigated security, liability, and terrorism risks to the University and partially-funded a replacement x-ray irradiator for the research community. The project was a collaborative effort carried out by OVPR, Facilities Operations, UCPD, UCFD, FMBIO, OEM, Animal Care Services, EHS Radiation Safety, CLAS Facility Services, and the PBB Building Manager.

ATTACHMENT 4.2

ATTACHMENT 4.2

The following Compliance Plan was developed after reviewing and considering trends in reports and investigations from FY 24; applicable compliance risk areas identified by the University Risk Management and Insurance Association; and recent and emerging regulatory issues as identified by the Higher Education Compliance Alliance. Each new Compliance Plan deliverable below is linked to one or more of the seven elements of an effective compliance program as established in the US Federal Sentencing Guidelines.

Seven Elements of an Effective Compliance Program

#	Element	#	Element
1	Standards of Conduct, Policies and Procedures	2	Leadership and Authority
3	Education and Development	4	Monitoring and Auditing
5	Reporting and Investigations	6	Response and Prevention
7	Accountability and Incentives		

Deliverables

Deliverable	Linked Elements
Provide continuing policy development guidance and education to policy owners.	1, 6, 3
Launch ongoing training and education regarding Policy Manager software for all UConn Health workforce members.	1, 3
Finalize common policy term definitions across UConn and UConn Health	1
Update Privacy-related policies, including University FERPA Policy, FERPA Annual Notice, Privacy Notices, and Red Flags Policy.	1, 6
Develop UConn policy inventory and share status reports with policy owners to support regular review of policies and accompanying procedures.	1, 6, 4, 7
Establish Annual Compliance Program Report to JACC to increase communication on key compliance accomplishments and goals.	2, 6, 4
Launch certificate program for managers and supervisors to enhance compliance understanding, support a culture of compliance, and identify and mitigate risks and compliance issues.	2, 6, 3, 7
Launch a university-wide compliance culture survey to provide the workforce with a mechanism to provide feedback on UConn's culture of compliance and identify opportunities for enhancement.	6, 4, 5
Collaborate with IT Security to review and evaluate the University's Incident Response Plan and develop systems for response and management of data subject rights consistent with GDPR and other applicable laws and regulations.	1, 6, 4
Lead working group of relevant stakeholders to develop and implement a University-wide Conflict of Interest and Conflict of Commitment Policy	1, 2, 6
Engage in monitoring efforts focused on third-party compliance.	4, 6
Implement compliance risk assessment process with the University Compliance and Ethics Committee.	2, 1, 4, 6
Review, update and coordinate existing investigation procedures to enhance efficiency and align with current allocated resources.	5, 6, 7
Reestablish Information Governance Committee to enhance the strategic management of University information and records, with a focus on supporting Privacy and Information Security initiatives.	2, 6, 4

Seven Elements of an Effective Compliance Program

1 Standards of Conduct, Policies and Procedures	**2** Leadership and Authority	**3** Education and Development	**4** Monitoring and Auditing
5 Reporting and Investigations	**6** Response and Prevention	**7** Accountability and Incentives	

Implement NIST Privacy Framework as risk-based customizable approach in the identification and management of privacy risks across the University.	○	○	
Develop process for identifying personal information collected and processed by the University, identifying applicable privacy laws and regulations, and conducting compliance gap analysis.	●	○	○
Implement updated process for review of privacy risks associated with third-party processing of University data including robust Privacy Impact Assessment.	●	○	○

ATTACHMENT 4.3

ATTACHMENT 4.3

HEALTHCARE COMPLIANCE & PRIVACY MATTERS

Reporting Compliance and Privacy Concerns/Incidents

Do you know what to do if you observe a possible compliance or privacy concern or incident? All UConn Health workforce members have a responsibility to report compliance and privacy concerns and in-cidents.

Read More

DID YOU KNOW?

UConn's Reportline is supported by a third-party vendor and is staffed by professionals. It is available to anyone through phone, by an online web form, or through the mobile website with discrete intake and anonymous reporting options 24 hours a day, 7 days per week.

Office of Healthcare Compliance & Privacy
263 Farmington Avenue, Farmington, CT 06030

Phone: 860.679.6060 Fax: 860.679.1016

UCONN HEALTH

HEALTHCARE COMPLIANCE & PRIVACY MATTERS

Welcome Back Melissa A. Walsh

The Office of Healthcare Compliance & Privacy (OHCP) is pleased to welcome Melissa A. Walsh back to our team.

Read More

DID YOU KNOW?

UConn Health now participates in the Signify Health Accountable Care Organization (ACO), which joins healthcare providers and organizations together to coordinate data-driven care for a shared population of patients with Medicare. This continuum of coordination results in improved quality of care and shared cost-savings among participant providers and organizations.

Office of Healthcare Compliance & Privacy
263 Farmington Avenue, Farmington, CT 06030

Phone: 860.679.6060 **Fax:** 860.679.1016

UCONN HEALTH

HEALTHCARE COMPLIANCE & PRIVACY MATTERS

Scam Alert

The healthcare industry continues to be targeted by numerous scams including fake fax and telephone requests.

Read More

Emailing Patient Information

HIPAA requires that we take reasonable steps when emailing patient information to protect against risk. The OHCP offers guidance to follow when emailing patient information.

DID YOU KNOW?

Currently, the U.S. Department of Health and Human Services Office for Civil Rights (OCR) is investigating 287 breaches of unsecured protected health information affecting 500 or more individuals from just this calendar year. Most of these breaches resulted from hacking/IT incidents affecting network servers and email. Keep an eye on cases currently under investigation by the OCR here.

Office of Healthcare Compliance & Privacy
263 Farmington Avenue, Farmington, CT 06030

Phone: 860.679.6060 Fax: 860.679.1016

UCONN HEALTH

HEALTHCARE COMPLIANCE & PRIVACY AND IT SECURITY MATTERS

How to Prevent a Phishing Attack

Because phishing scams target people, our workforce members are often the first and last line of defense against these attacks.

Read More

A Quick Way to Determine if an Email is Valid

Hover your cursor over a link to see the address. If it's different from the URL in the message, it's probably a phishing email. Look out for variations, such as *.com* and *.net*.

Office of Healthcare Compliance & Privacy
263 Farmington Avenue, Farmington, CT 06030

Phone: 860.679.6060 Fax: 860.679.1016

UCONN HEALTH

UCONN
UNIVERSITY COMPLIANCE

COMPLIANCE CHATTER

Summer Series

Providing compliance reminders and resources all summer!

This week's topic: Fiscal responsibility

As we start a new fiscal year this Compliance Chatter is designed to provide some key reminders about the responsible use of funds. Fiscal responsibility is all about carefully managing University funds. It means making smart financial decisions that support our commitment to excellence in education, research, and service.

Why Fiscal Responsibility Matters

Taking Care of Our Resources
UConn receives funding from several sources including the state, taxpayers, donors, and the

federal government. Getting that financial support, however, means we must spend it as it is intended and with great care. Mismanaging our finances could put UConn at risk of losing important funding.

Building Trust
When we handle money responsibly, it builds trust with everyone who supports UConn—students, families, donors, and taxpayers. It shows we're serious about making the most of every dollar.

Keeping UConn Strong
By being smart with money, we keep UConn strong for the long haul. This means we are better positioned to weather financial ups and downs so that we can continue to offer great opportunities for learning and research.

How You Can Be More Fiscally Responsible

Stick to Your Budget
Follow the budget guidelines for your department and keep an eye on spending to stay within your limits.

Find Ways to Save
Look for ways to cut costs without cutting corners. This could mean combining purchases, negotiating deals, or using resources more efficiently.

Ask, "Is it Necessary?"
Buy what you need to do your job. High-end furniture, office décor, or expensive office supplies are likely not necessary for our day-to-day work and should not be purchased with UConn funds. Employees are welcome to use personal funds to purchase things like decor or furnishings for offices - and to keep those personally purchased items after they leave UConn.

Use ProCards Responsibility
Having a ProCard makes purchasing certain things easier. However, it's important to remember that just because you have a ProCard on hand does not mean you can or should use it every time you come across something you want to buy. There are also specific rules as to what a ProCard can be used for.

Keep Fiscal Responsibility Top of Mind
Share ideas with your colleagues and supervisors on ways to improve processes to result in cost savings. Small changes can add up to big savings.

Use Proper Procurement Methods to Make Purchases
The University requires faculty, staff, and students to use the options in **University Business Services** (UBS) to make allowable purchases for official University use. Options available through UBS, and when they should be used, include:

Type	What Is It?	When Should I Use It?
HuskyBuy	An online portal that is an easy and preferred method of ordering both catalog and non-catalog products.	Purchase of goods and services, like business cards.

ProCard	UConn-issued credit card intended for low-dollar-value purchases.	Purchase of low-cost items or when the items cannot be purchased through HuskyBuy.
Travel Card	UConn-issued credit card intended for travel-related business expenses incurred while traveling on University business.	Purchase of travel-related expenses while traveling, like transportation or baggage fees.

Resources

More Compliance Clips and Chatters

University Business Services

INDIVIDUAL RESPONSIBILITY • INSTITUTIONAL SUCCESS

Report a Concern

in

Contact Us

Icons provided by flaticon.com

COMPLIANCE CHATTER

Summer Series

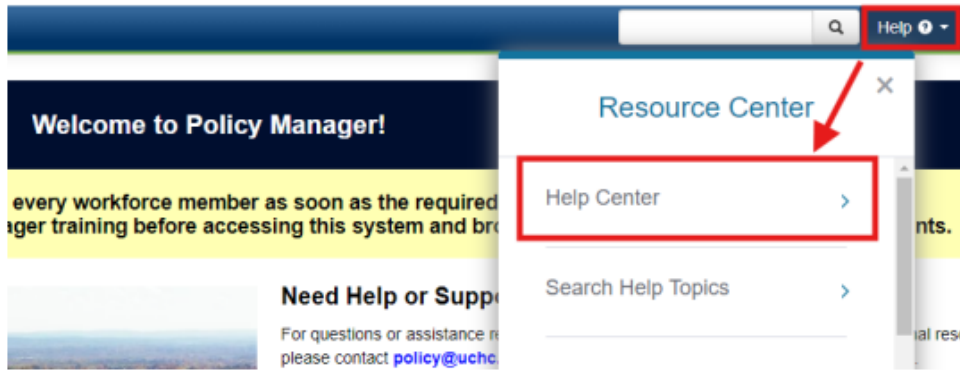**Providing compliance reminders and resources all summer!**

This week's topic: Finding what you need in Policy Manager

How do I find a document in Policy Manager if I don't know the exact title?

1. **Search using keywords**. These may be terms that appear in the document, or abbreviations, acronyms, common misspellings, and synonyms.

2. **Use the Advanced Search feature** and limit results by using filters.

3. **Favorite your frequently referenced documents** to find them quickly and refer to your recent documents page to see what you've previously viewed.

For step-by-step guides on these topics, visit the Help Center after logging into **Policy Manager.** If a document is difficult to find in Policy Manager, please **let the Policy team know**.

Welcome to Policy Manager!

every workforce member as soon as the required
ager training before accessing this system and bro... nts.

Help

Resource Center

×

Help Center >

Search Help Topics >

Need Help or Supp...

For questions or assistance r...
please contact **policy@uchc**...

ial reso

More Policy Manager Resources

View the Advanced Search Tip Sheet

Advanced Search Tip Sheet

How to Search	Description	Example
Search for Exact Word or Phrases	Enclose the term or phrase in quotation marks to find exact matches.	"infection prevention"
Search All Terms	Use "AND" (uppercase) between the terms to find documents containing all specified terms.	infection **AND** control
Search Any Terms	Use "OR" (uppercase) between terms to find documents containing any specified terms.	infection **OR** control **OR** prevention
Exclude a Term	Use "NOT" (uppercase) before the term to exclude documents containing that term.	infection **NOT** prevention
Combining Search Terms and Modifiers	Combine terms and modifiers (like AND, OR, NOT) within parentheses for a more complex search.	infection **AND** (prevention **OR** control)
Use Wildcard Search	Use an asterisk (*) at the beginning or end of a term to find all variations of that term. For example, *fection returns documents with "disinfection" and "re-infection".	fection*
Search for Similar Terms	Use the "~" symbol after the term or phrase to find similar terms. For example, infection~ returns documents with "infectious".	infection~

Revisit Introductory Policy Manager Training

Introduction to Policy Manager
UCONN
UNIVERSITY COMPLIANCE

Policy Manager Basic User Training Resource Guide

START COURSE

More Policy and Compliance Resources

Contact the Policy Team

Policy Manager Resources Manual

More Compliance Clips and Chatters

INDIVIDUAL RESPONSIBILITY • INSTITUTIONAL SUCCESS

Report a Concern

Contact Us

UCONN
UNIVERSITY COMPLIANCE

COMPLIANCE CHATTER

Privacy Edition

Providing privacy reminders and resources.

This week's topic: SharePoint

Ensure that you are safeguarding your department's sensitive information by checking the privacy settings on your team's **SharePoint site**. Checking that your SharePoint site is not publicly accessible protects confidential data and helps us stay compliant with important state and federal privacy regulations.

Please see the University **Data Classification Policy** for more information on Confidential, Protected, and Public Data.


How to Check Your Team's SharePoint Settings

To check and manage privacy settings in SharePoint, you need administrative access or at least permission to manage settings within the SharePoint site.

1. Navigate to **s.uconn.edu/sharepoint** and click on your site.
2. Select Settings (gear icon) and then Site Permissions.
3. Site permission levels are based on SharePoint permission groups. Members of a SharePoint permission group can either visit the site without editing it (Site visitors), edit the site (Site members), or have full control of the site (Site owners).

For more, visit **Microsoft Support** and the **UConn IT Knowledgebase.**

View the printable step-by-step guide with screenshots.
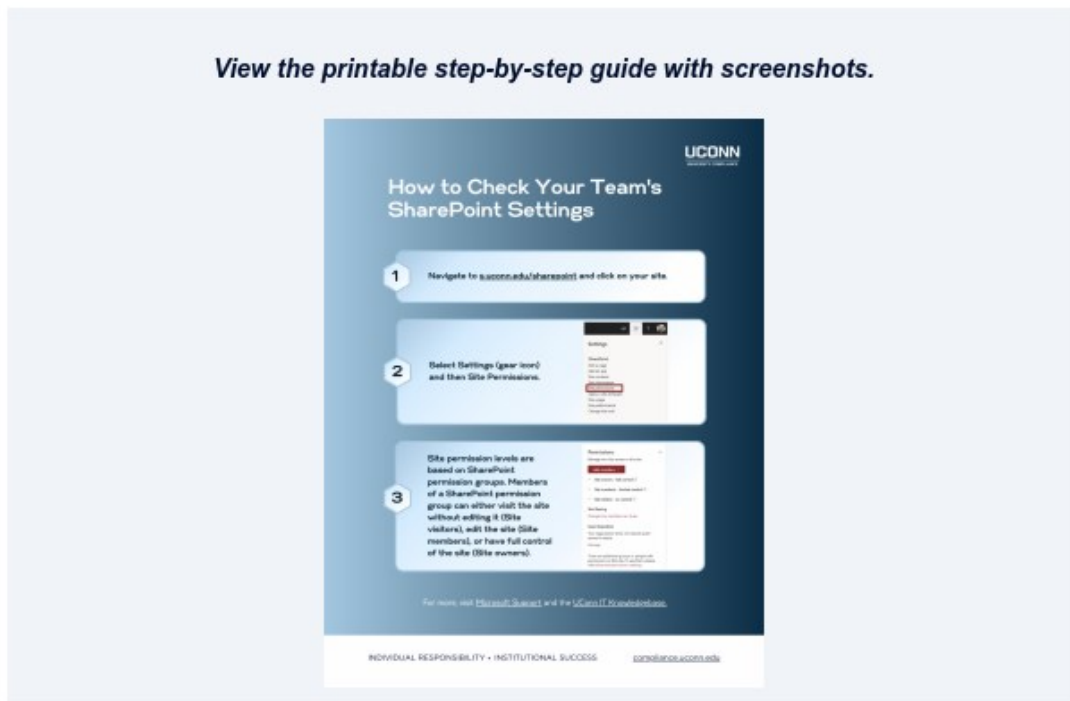
Best Practices for the Future

Regularly Review Permissions: Ensure only authorized personnel have access to sensitive information.

User Education: Promote data security awareness and best practices among your team.

Check with Your SharePoint Site Owner if You Have Questions: Remember that SharePoint sites are self-managed by departments/units.

Resources

More Compliance Clips and Chatters

Visit the Privacy Website

INDIVIDUAL RESPONSIBILITY • INSTITUTIONAL SUCCESS

Report a Concern   in   **Contact Us**

THIS PAGE INTENTIONALLY LEFT BLANK

ATTACHMENT 5.1

ATTACHMENT 5.1

University of Connecticut

Joint Audit & Compliance Committee Meeting

Public Session

September 26, 2024

UConn – Information Technology Services

Financials FY2025 Operating

State Appropriation and Tuition Budget and Forecasted Expenditures:

Budget	$43.4 M
Forecasted Personal Services and Fringe Benefits	$30.M
Forecasted Operating Expenses	$13.4M
Forecasted Carryforward	$ 0.0M

In FY2025, an additional operating budget of $1.4M was approved for Information Technology Services. This was offset by a rescission of $1.1M, resulting in a net $0.3M increase in the operating budget. The Collective Bargaining Increase amount of $1.1M was centrally funded.

Deferred maintenance funding, previously $1.7M per year, is no longer being provided. This represents a significant capital loss for ITS, which was previously used to manage the ongoing replacement for end-of-life servers and other critical equipment. The wired access layer refresh cabling project and ongoing replacement of wired and wireless equipment was funded at $5.0M.

Information Technology Staffing (as of 9/6/24)

- ITS has four new open positions.
- There have been four new hires since June 15, 2024.
- There has been one new Special Payroll hire since June 15, 2024
- Since June 15, 2024, there have been two separations.
- Since June 15, 2024, there have been no retirements.

Major Outages (as of 9/6/2024)

Outage Taxonomy	# of Issues	Systems Affected
Network Issue - Hardware	0	
Network Issue - Software	1	Manifested in numerous ways
Network Issue – Request Flood	0	
System Issue - Hardware	0	
System Issue - Software	0	
Third Party	1	touchnet

THIS PAGE INTENTIONALLY LEFT BLANK

ATTACHMENT 5.2

ATTACHMENT 5.2

Joint Audit & Compliance Committee: September 26, 2024

UConn Health Information Technology Services

Public Session Key Takeaways

- **Financials FY2024: $6,638 under budget for the Fiscal Year (FY) .**
- **Staffing:**
  - **4 open positions**
  - **0 new positions**
- **Completed 20 projects between June – August 2024 or roughly 7 per month which is slightly below our rolling monthly average of 9/month.**
- **Of the 6 active projects listed in the IT Infrastructure – Security Program that remain:**
  - **1 Project is in a Green status and on track**
  - **5 Projects are Yellow in a Watch status. These are related to our Network Refresh efforts and under a watch status due to supply chain delays and resource constraints. All equipment has been received and we are now in deployment activities and monitoring closely.**
- **One meeting of IT Governance occurred to approve and prioritize major projects.**
- **IT Applications focus:**
  - **Delivery on key projects including:**
    - **7 new EPIC Department builds (DEPs), including CT Wound Care, BMT Outpatient, and several moves.**
    - **Deployment/Upgrades:**
      - **Multi-version Banner Upgrade, ServiceNow ITSM, Connected Care for CT7, L&D, OB, GUIDE Dementia Program, Epic quarterly update to vNov23, several Lab analyzer Epic integrations, and 895 Epic printer transition from IP to DNS config.**
  - **Priority project work includes:**
    - **ServiceNow ITSM enhancements, ServiceNow Portfolio Mgmt implementation, Epic/Nuance Ambient Listening pilot (DAX), Hello World (Epic) SMS Texting, EpicCare Link Referrals, Alaris Infusion Pump Integration, Telesitter and Telestroke.**

University of Connecticut

Joint Audit & Compliance Committee Meeting

Public Session

September 26, 2024

UConn Health – Information Technology Services

Financials FY2024 Operating

State Appropriation and Tuition Budget and Forecasted Expenditures:

Budget	$14,369,073
Personal Services and Fringe Benefits	$8,943,413
Purchased Services	$5,050,961
FY24 Q4 Actual/Projected	$13,994,374/$14,369,073
Q4 Variance	$374,699 under budget
FY24 Variance	$6,638 under budget

Information Technology Staffing (as of 9/6/2024)

Open Positions, New Positions, Positions on Hold, Terminations, and the areas they represent.

1. Open Positions:
   a. 4 Open Technology Positions
2. New Positions:
   a. 0 new positions
3. Hold: none
4. Terminations: none

Outages (5/24/24- 8/30/24)

Outage	# of Issues	Duration	Systems Affected	Remediation
6/10/2024	1	2 hours	Network Outage Storrs Urgent Care and Clinic due to building power failure. All systems offline. Additional Switch card failed upon restart.	Upon power restoration, network switch rebooted with single supervisor card and replacement was installed when received.
7/18/24	1	7 hours	UConn Health Citrix Virtual Desktop Infrastructure (VDI) architecture failed due to drive issue. All VDI devices offline.	The VDI was enabled with generic login session enabling staff to gain access to systems until the failed drive was received and installed the following day.

Outage	#of issues	Duration	Systems Affected	Remediation
7/19/2024	1	1 Week	Global Crowdstrike issue impacting all UCH Windows servers and desktops just after midnight. 33% of servers and 27% end user devices (PC/Laptops) were impacted. Business operations continued with minimal interruption.	Coordinated priority system remediation/restoration began with majority of critical applications restored by 1100AM. Majority of End user devices were restored by hands on fix applied by IT Team. Sequence of restoration was based upon operational priorities over 4 days (2 were during weekend with most areas closed). Additionally, vendor change in software enabled some device to be restored by users repeatedly rebooting until the fix applied.