

University of Connecticut & UConn Health
Joint Audit & Compliance Committee
Minutes of the Meeting of March 23, 2023

Telephone Meeting

| ATTENDEES | |
|-------------------|---|
| Committee Members | <u>Board of Trustees</u> Mark Boxer, Joshua Crow, Andrea Dennis-LaVigne <u>UConn Health Board of Directors</u> Timothy Holt |
| University Staff | Christopher Bernard, Elle Box, Sarah Croucher, Anne D’Alleva, Kimberly Fearney, Nicole Gelston, Jeffrey Geoghegan, Michael Gilbert, Lori-Anne Hansen, Andrea Keilty, Gladis Kersaint, Dennis Leber, Bruce Liang, Rick McCarthy, Michael Mundrane, Suzanne Onorato, Gregory Perrotti, Angelo Quaresima, Carla Rash, Rachel Rubin, Janel Simpson, Scott Simpson, Eric Soares, Michelle Williams |
| External Invitees | Jamie Drozdowski, John Harrison, Diane Morrison, Patrick Quinn, and Brian Sullivan |

Vice-Chair Boxer convened the Committee at 10:05 a.m.

1. Executive Session

On a motion by Trustee Dennis-LaVigne, seconded by Trustee Crow, 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, Crow, Dennis-LaVigne, and Holt.

University Staff: Box, Fearney, Gelston, Geoghegan, Hansen, Keilty, Perrotti, Quaresima, Rubin, J. Simpson, S. Simpson, and Williams.

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

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The Executive Session ended at 10:39 a.m., and the Committee returned to Open Session at 10:40 a.m.

2. Public Participation

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

3. Minutes of the December 16, 2022, meeting

On a motion by Trustee Crow, seconded by Trustee Dennis-LaVigne, the Committee voted to unanimously approve the minutes of the December 16, 2022, 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 Comprehensive Financial Reports for the year ended June 30, 2022.

Brian Sullivan from Mayer Hoffman McCann P.C. presented the FY22 UConn 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. He also provided an update on the status of internal audit findings.

6. Compliance Activities

Associate Vice President and Chief Compliance Officer Fearney provided the Committee with an update on significant compliance activities.

Chief Healthcare Compliance & Privacy Officer Box presented the Healthcare Compliance & Privacy - Annual Board Education Review.

The Committee was provided with the Healthcare Compliance & Privacy Committee Charter for approval.

On a motion by Director Holt, seconded by Trustee Crow, the Committee voted to unanimously approve the Healthcare Compliance & Privacy Committee Charter.

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.

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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 Director Holt, the Committee voted unanimously to adjourn the meeting. The Committee adjourned at 11:12 a.m.

Respectfully submitted,
Karen Violette