

University of Connecticut & UConn Health
Joint Audit & Compliance Committee
Minutes of the Meeting of September 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 Committee Members	None
University Staff	Christopher Bernard, Elle Box, Anne D'Alleva, Kimberly Fearney, Nicole Gelston, Jeffrey Geoghegan, Kim Hill, Andrea Keilty, Bruce Liang, Peggy McCarthy, Radenka Maric, Rick McCarthy, Michael Mundrane, Claire Murray, Gregory Perrotti, Angelo Quaresima, Rachel Rubin, Janel Simpson, Scott Simpson, David Wallace, and Michelle Williams
External Invitees	John Harrison

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

1. Executive Session

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

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, McCarthy, R., 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 June 15, 2023, meeting

On a motion by Trustee Gouin, seconded by Trustee Dennis-LaVigne, the Committee voted to unanimously approve the minutes of the June 15, 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 also provided the committee with an update on the Annual 340B Drug Pricing Program Audit Close-out for the period June 1, 2022 – November 30, 2022, for:

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

John Harrison from the Auditors of Public Accounts presented the UConn Departmental Audit for Fiscal Years Ending June 30, 2019, 2020, and 2021.

5. Significant Internal Audit Activities

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

Mr. Quaresima provided the committee with the FY24 draft Audit Plan for approval.

On a motion Trustee Gouin, seconded by Director Archambault, the Committee voted to unanimously approve the Audit Plan for FY24.

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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, as well as several informational/educational items.

Ms. Fearney provided the committee with two items for approval, the FY24 draft Compliance Plan and the draft Charter for the UConn Compliance & Ethics Committee.

On a motion by Trustee Gouin, seconded by Director Archambault, the Committee voted to unanimously approve the Compliance Plan for FY24.

On a motion by Director Carbray, seconded by Trustee Gouin, the Committee voted unanimously to approve the UConn Compliance & Ethics Committee 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 and Chief Information Systems Security Officer Bernard 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 Boxer, seconded by Trustees Gouin, the Committee voted unanimously to adjourn the meeting. The Committee adjourned at 11:00 a.m.

Respectfully submitted,
Karen Violette