

**DRAFT**

**University of Connecticut & UConn Health  
Joint Audit & Compliance Committee  
Minutes of the Meeting of September 29, 2022  
Telephone Meeting**

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<b>Attendees</b>	
<u>Committee Members:</u>	
Board of Trustees:	Mark Boxer, Andrea Dennis-LaVigne
UConn Health Board of Directors	Francis Archambault, Jr., Richard Carbray, Jr., Timothy Holt
Other Trustees:	Daniel Toscano
University Staff:	Radenka Maric, Kimberly Bailot, Christopher Bernard, Lloyd Blanchard, Jeffrey Blumenthal, Elle Box, Kimberly Fearney, Nicole Gelston, Jeffrey Geoghegan, Sarah Ginnetti, Andrea Keilty, Dennis Leber, Bruce Liang, Kane Lynch, Peggy McCarthy, Rick McCarthy, Michael Mundrane, Gregory Perrotti, Angelo Quresima, Rachel Rubin, Caryl Ryan, Eric Schneider, Janel Simpson, Scott Simpson, Eric Soares, Juli Wade

Vice-Chair Boxer convened the Committee at 10:02 a.m.

1. Executive Session

On a motion by Trustee Dennis-LaVigne, seconded by Director Carbray, 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;
- C.G.S. 1-200(6)(B) – Records or the information contained therein pertaining to strategy and negotiations with respect to pending claims;
- 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, Dennis-LaVigne, and Holt.

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Other Trustees: Toscano.

University Staff: Maric, Blanchard, Blumenthal, Fearney, Gelston, Geoghegan, Keilty, Liang, P. McCarthy, Perrotti, Quaresima, Rubin, J. Simpson, and S. Simpson.

The following University staff were in attendance for part of Executive session: Bailot, Bernard, Box, Ginnetti, Leber, Lynch, R. McCarthy, Mundrane, Ryan, Soares, and Wade.

The Executive Session ended at 11:05 a.m., and the Committee returned to Open Session at 11:07 a.m.

2. Public Participation

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

3. Minutes of the June 23, 2022, meeting

On a motion by Director Archambault, seconded by Trustee Dennis-LaVigne, the Committee voted to unanimously approve the minutes of the June 23, 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 and noted the informational UConn Health 340B Program Independent Outside Audit Closeout Report.

5. Significant Internal Audit Activities

Mr. Quaresima provided an update on the status of internal audits. The Committee reviewed and accepted five audit reports. He also provided an update on the status of internal audit findings.

On a motion by Director Archambault, seconded by Trustee Dennis-LaVigne, the Committee voted to approve the Audit Plan for 2023.

6. Compliance Activities

On a motion by Director Carbray, seconded by Director Archambault, the Committee voted unanimously to approve the Compliance Plan for FY23.

Associate Vice President and Chief Compliance Officer Fearney introduced two new members of the University staff: Elle Box, Assistant Vice President for Health Care Compliance and Privacy, and Anita Sundara, Policy Software Manager.

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Ms. Fearney also provided an update on significant compliance activities.

Assistant Director of Athletics for Compliance Services Schneider provided the Committee with an update on Athletics Compliance.

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 technologies.

Vice-Chair Boxer introduced Rick McCarthy to the Committee as the new UConn Health Chief Information Officer.

Mr. McCarthy provided an update on UConn Health information technologies.

8. Other Business

No Other Business was presented to the Committee.

9. Adjournment

On a motion by Director Archambault, seconded by Trustee Dennis-LaVigne, the Committee voted unanimously to adjourn the meeting. The Committee adjourned at 11:32 a.m.

Respectfully submitted,  
*Karen Violette*