

University of Connecticut & UConn Health
Joint Audit & Compliance Committee

Minutes of the Meeting of September 26, 2024

Virtual Meeting

ATTENDEES	
Committee Members	<u>Board of Trustees</u> Mark Boxer, Andrea Dennis-LaVigne, Jeanine Gouin, Daniel Toscano <u>UConn Health Board of Directors</u> Francis Archambault, Jr., Richard Carbray, Jr., Timothy Holt
University Staff	Donald Babcock, Chad Bianchi, Kimberly Fearney, Nicole Gelston, Jeffrey Geoghegan, Kim Hill, Philip Hunt, Andrea Keilty, Stacy Koehler, Peggy McCarthy, Rick McCarthy, Michael Mundrane, Claire Murray, Gregory Perrotti, Angelo Quaresima, Rachel Rubin, Janel Simpson, Scott Simpson, David Wallace, Michelle Williams

Vice-Chair Boxer convened the Committee at 11:05 a.m.

1. Executive Session

On a motion by Director Archambault, seconded by Trustee 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; 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, Dennis-LaVigne, Gouin, Holt, and Toscano.

University Staff: Bianchi, Fearney, Gelston, Geoghegan, Hill, Hunt, Keilty, Koehler, P. McCarthy, Murray, Perrotti, Quaresima, Rubin, J. Simpson, S. Simpson, and Williams.

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

The Executive Session ended at 11:46 a.m., and the Committee returned to open session at 11:47 a.m.

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2. Public Participation

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

3. Minutes of June 13, 2024, Meeting

On a motion by Director Archambault, seconded by Director Holt, the Committee voted to unanimously approve the minutes of the June 13, 2024, 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 requested that the JACC approve the extension of the appointment of CBIZ CPAs P.C. (formerly Mayer Hoffman McCann P.C.) to provide UConn 2000 audit services for the fiscal years ended June 30, 2024, and 2025.

On a motion by Trustee Toscano, seconded by Trustee Dennis-LaVigne, the Committee voted to approve the extension of the appointment of CBIZ to provide UConn 2000 audit services for the fiscal years ended June 30, 2024, and 2025.

5. Significant Internal Audit Activities

Mr. Quaresima provided an update on the status of internal audits. The Committee reviewed and accepted three audit reports. In addition, the Committee was provided with an update on the status of audit observations.

The Committee was provided with an updated Audit and Management Advisory Services organizational chart. The Committee welcomed Stacy Koehler to the Office of Audit & Management Advisory Services. Stacy was recently hired as the Storrs Audit Director.

Mr. Quaresima provided the committee with the draft FY25 Audit Plan for approval.

On a motion by Director Archambault, seconded by Trustee Dennis-LaVigne, the Committee voted to unanimously approve the draft FY25 Audit Plan.

6. Compliance Activities

Associate Vice President and Chief Compliance Officer Fearney presented the Committee with an update on significant compliance activities as well as several informational/educational items.

Ms. Fearney provided the Committee with the draft FY25 Compliance Plan for approval.

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On a motion by Trustee Dennis-LaVigne, seconded by Director Archambault, the Committee voted to unanimously approve the draft FY25 Compliance Plan.

7. Information Technology Updates

Vice President and Chief Information Officer Mundrane provided the Committee with 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 Trustee Gouin, seconded by Director Holt, the Committee voted unanimously to adjourn the meeting. The Committee adjourned at 11:58 a.m.

Respectfully submitted,
Karen Violette