

MINUTES

University of Connecticut and UConn Health Joint Audit and Compliance Committee

September 25, 2025
Virtual Meeting

Committee Members	<u>Board of Trustees</u> Mark Boxer, Andrea Dennis-LaVigne, Daniel Toscano <u>UConn Health Board of Directors</u> Francis Archambault, Jr., Rick Carbray, Jr., Geoffrey Matous
University Staff	Radenka Maric, Andrew Agwunobi, Donald Babcock, Mark Buchanan, Anne D’Alleva, Michael Dwyer, Kimberly Fearney, Jeffrey Geoghegan, Kimberly Hill, Philip Hunt, Andrea Keilty, Stacy Koehler, Ted Laskaris, Peggy McCarthy, Rick McCarthy, Gregory Perrotti, Karen Preacher, Angelo Quaresima, Caryl Ryan, Janel Simpson, Scott Simpson, David Wallace, Michelle Williams, and Reka Wrynn

Vice-Chair Boxer convened the Committee at 10:01 a.m.

1. Executive Session

On a motion by Director Matous, seconded by Trustee Carbray, the Committee voted unanimously to go into the 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, and Matous.

University Staff: Maric, Agwunobi, D’Alleva, Fearney, Geoghegan, Hill, Hunt, Keilty, Koehler, Perrotti, Preacher, Quaresima, J. Simpson, S. Simpson, Williams, and Wrynn.

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

The Executive Session ended at 10:29 a.m., and the Committee returned to the Open Session at 10:30 a.m.

2. Public Participation

Dr. Mark Buchanan, Clinical Assistant Profession (volunteer), School of Medicine, raised concerns related to academic freedom and the denial of due process.

3. Minutes of June 26, 2025, Meeting

On a motion by Director Matous, seconded by Trustee Dennis-LaVigne, the Committee voted to unanimously approve the minutes of the June 26, 2025, Meeting.

4. External Audit Activities

Associate Vice President and Chief Audit Executive Quaresima provided an update on the status of external audit engagements and requested that the committee approve the appointment of Pharmacy Consultants, Inc., DBA 340B Compliance Partners, to Conduct Audits of UConn Health's 340B Drug Pricing Program.

On a motion by Director Archambault, seconded by Trustee Dennis-LaVigne, the Committee voted to unanimously approve the appointment of Pharmacy Consultants, Inc., DBA 340B Compliance Partners, to Conduct Audits of UConn Health's 340B Drug Pricing Program.

5. Significant Internal Audit Activities

Mr. Quaresima provided an update on the status of internal audits. The Committee reviewed and accepted three audit reports. The Committee was also updated on the status of internal audit observations as well as an updated AMAS Organizational Chart/Staffing.

Mr. Quaresima provided the committee with the draft FY26 Audit Plan for approval. On a motion by Director Archambault, seconded by Trustee Dennis-LaVigne, the Committee voted to unanimously approve the draft FY26 Audit Plan.

6. Compliance Activities

Associate Vice President and Chief Compliance Officer Fearney presented the Committee with an update on significant compliance activities, the Healthcare Compliance and Privacy Dashboard and provided several informational/educational items.

Ms. Fearney provided the Committee with the draft FY26 University Compliance Work Plan.

7. Information Technology Updates

Chief Information Officer R. McCarthy provided an update on UConn Health information technology activities.

Vice President and Chief Information Officer Laskaris provided an update on the UConn information technology activities.

University Director Babcock provided a presentation on Artificial Intelligence & Quantum Risk.

8. Other Business

There was no Other Business.

9. Adjournment

On a motion by Trustee Carbray, seconded by Trustee Toscano, the Committee voted unanimously to adjourn the meeting. The Committee adjourned at 11:22 a.m.

Respectfully submitted,
Karen Violette