

DRAFT MINUTES

University of Connecticut and UConn Health Joint Audit and Compliance Committee

December 11, 2025
Virtual Meeting

Committee Members	<u>Board of Trustees</u> George Barrios, Mark Boxer, Andrea Dennis-LaVigne, Daniel Toscano <u>UConn Health Board of Directors</u> Francis Archambault, Jr., Rick Carbray, Jr.
University Staff	Andrew Agwunobi, Pamir Alpay, Donald Babcock, Kimberly Fearney, Nicole Gelston, Jeffrey Geoghegan, Kimberly Hill, Philip Hunt, Andrea Keilty, Stacy Koehler, Ted Laskaris, Radenka Maric, Margaret McCarthy, Rick McCarthy, Gregory Perrotti, Karen Preacher, Angelo Quaresima, Janel Simpson, Scott Simpson, David Wallace, Reka Wrynn
External Invitees	Katie Davis, Jamie Drozdowski, Darryn McGarvey, Suzanne Peters, Taylor Puuri, Beth West

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

1. Executive Session

On a motion by Trustee Toscano, seconded by Trustee Dennis-LaVigne, 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:

University Staff: Agwunobi, Alpay, Babcock, Fearney, Gelston, Geoghegan, Hill, Hunt, Keilty, Koehler, Maric, M. McCarthy, Perrotti, Preacher, Quaresima, J. Simpson, S. Simpson, and Wrynn.

Committee members: Archambault Jr., Barrios, Boxer, Carbray Jr., Dennis-LaVigne, and Toscano.

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

The Executive Session ended at 10:47 a.m., and the Committee returned to the Open Session at 10:48 a.m.

2. Public Participation

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

3. Minutes of September 25, 2025, Meeting

On a motion by Director Carbray Jr., seconded by Trustee Dennis-LaVigne, the Committee voted to unanimously approve the minutes of the September 25, 2025, meeting.

4. External Audit Activities

Associate Vice President and Chief Audit Executive Quaresima provided an update on the status of external audit engagements.

Darryn McGarvey and Taylor Puuri of Clifton Larson Allen, LLP (CLA) presented their audits of UConn Health's John Dempsey Hospital, UConn Medical Group & Finance Corporation Financial Statements for Fiscal Year Ended June 30, 2025.

Katie Davis and Beth West of James Moore & Co (JMC) presented their Independent Accountants' Report on the Application of Agreed-Upon Procedures performed on the Athletics Program as required by the NCAA for Fiscal Year Ended June 30, 2025.

Jamie Drozdowski of the Auditors of Public Accounts presented the UConn and UConn Health Annual Comprehensive Financial Reports for Fiscal Year Ended June 30, 2025.

5. Significant Internal Audit Activities

Mr. Quaresima provided an update on the status of internal audits. The Committee reviewed and accepted four 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 Association of College and University Auditors Kick Starter – Time and Effort Reporting developed by AMAS for their information.

6. Compliance Activities

Suzanne Peters, University Director of Student Financial Aid Services, gave a presentation regarding Financial Aid Compliance and Impacts of Federal Spending Bill.

Associate Vice President and Chief Compliance Officer Fearney presented the Committee with an update on significant compliance activities, including the Office of University Compliance Annual Report and HealthCare Compliance & Privacy Dashboard, and provided several informational/educational items.

7. Information Technology Updates

UConn Interim Chief Information Officer Laskaris provided an update on UConn information technology activities.

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

8. Other Business

The JACC meeting schedule for the calendar year 2026 was provided to the Committee.

9. Adjournment

On a motion by Trustee Dennis-LaVigne, seconded by Director Carbray Jr., the Committee voted unanimously to adjourn the meeting. The Committee adjourned at 11:38 a.m.

Respectfully submitted,
Gregory Perrotti