UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

INDEPENDENT AUDITORS' REPORTS AS REQUIRED BY THE UNIFORM GUIDANCE AND GOVERNMENT AUDITING STANDARDS AND RELATED INFORMATION

JUNE 30, 2016
UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Independent Auditors' Reports as Required by the Uniform Guidance and
Government Auditing Standards and Related Information

June 30, 2016

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To the Board of Education
State of Rhode Island and Providence Plantations
Providence, Rhode Island

Report on Compliance for Each Major Federal Program

We have audited University of Rhode Island’s (the "University") compliance with the types of compliance requirements described in the OMB Compliance Supplement that could have a direct and material effect on each of the University’s major federal programs for the year ended June 30, 2016. The University’s major federal programs are identified in the summary of auditors’ results section of the accompanying schedule of findings and questioned costs.

Management’s Responsibility

Management is responsible for compliance with the requirements of laws, regulations, contracts, and grants applicable to its federal programs.

Auditors’ Responsibility

Our responsibility is to express an opinion on compliance for each of the University’s major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (the “Uniform Guidance”). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the University’s compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.
We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of the University’s compliance.

**Opinion on Each Major Federal Program**

In our opinion, the University complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2016.

**Other Matters**

The results of our auditing procedures disclosed instances of noncompliance, which are required to be reported in accordance with the Uniform Guidance and which are described in the accompanying schedule of findings and questioned costs as Finding 2016-001, 2016-002 and 2016-003. Our opinion on each major federal program is not modified with respect to these matters.

The University’s responses to the noncompliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The University’s responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

**Report on Internal Control over Compliance**

Management of the University is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the University’s internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the University’s internal control over compliance.

*A deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.
Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses; however, material weaknesses may exist that have not been identified.

We identified deficiencies in internal control over compliance, as described in the accompanying schedule of findings and questioned costs as Finding 2016-001, 2016-002 and 2016-003 that we consider to be significant deficiencies.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Schedule of Expenditures of Federal Awards

We have audited the financial statements of the University, as of and for the year ended June 30, 2016. We issued our report thereon dated October 6, 2016, which contained an unmodified opinion on those financial statements. Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by the Uniform Guidance. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the basic financial statements as a whole.

O’Connor and Drew, P.C.

Certified Public Accountants
Braintree, Massachusetts

November 30, 2016
(except for the Schedule of Expenditures of Federal Awards, for which the date is October 6, 2016)
INDEPENDENT AUDITORS’ REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

To the Board of Education  
State of Rhode Island and Providence Plantations  
Providence, Rhode Island

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States, the financial statements of University of Rhode Island (the “University”), which comprise the statement of net position as of June 30, 2016, the related statements of revenues, expenses and changes in net position and cash flows for the year then ended, and the related notes to the financial statements, which collectively comprise the University’s basic financial statements and have issued our report thereon dated October 6, 2016.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the University’s internal control over financial reporting (“internal control”) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University’s internal control. Accordingly, we do not express an opinion on the effectiveness of the University’s internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity’s financial statements will not be prevented, or detected and corrected on a timely basis. A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.
Compliance and Other Matters
As part of obtaining reasonable assurance about whether the University’s financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under Government Auditing Standards.

Purpose of this Report
The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the University’s internal control or on compliance. This report is an integral part of an audit performed in accordance with Government Auditing Standards in considering the University’s internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

O’Connor and Drew, P.C.

Certified Public Accountants
Braintree, Massachusetts

October 6, 2016
SCHEDULE OF EXPENDITURES
OF FEDERAL AWARDS
### UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

**Schedule of Expenditures of Federal Awards**

**Year Ended June 30, 2016**

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Identification Number</th>
<th>Additional Award</th>
<th>Federal Expenditures</th>
<th>Passed Through to Subrecipients</th>
</tr>
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<tbody>
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</tbody>
</table>

#### STUDENT FINANCIAL ASSISTANCE CLUSTER

**U.S. Department of Education:**

**Direct Awards:**

- Federal Supplemental Educational Opportunity Grant 84.007 $1,254,719 $1,254,719 -
- Federal Work-Study Program 84.033 926,903 926,903 -
- Federal Perkins Loan Program (beginning of year) 84.038 9,204,331 9,204,331 -
- Federal Perkins Loan Program (current year expenditures) 84.038 1,426,908 1,426,908 -
- Federal Pell Grant Program 84.063 15,910,635 15,910,635 -
- Federal Direct Student Loans 84.268 98,230,481 98,230,481 -
- Teacher Education Assistance for College and Higher Education (TEACH) Grants 84.379 8,000 8,000 -

Total 126,961,977 126,961,977 -

**U.S. Department of Health and Human Services:**

**Direct Awards:**

- Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Student (beginning of year) 93.342 1,968,517 1,968,517 -
- Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Student (current year expenditures) 93.342 200,900 200,900 -
- Nursing Student Loans (beginning of year) 93.364 1,682,034 1,682,034 -
- Nursing Student Loans (current year expenditures) 93.342 274,737 274,737 -

Total 4,126,188 4,126,188 -

**Total Student Financial Assistance Cluster** 131,088,165 131,088,165 -

#### RESEARCH AND DEVELOPMENT CLUSTER

**U.S. Department of Agriculture:**

**Direct Awards:**

- Northeast Climate Hub 10.RD G24493093001 10,120 10,120 -
- Farm Bill Producer Education 10.RD 58-0510-4-035 N 9,289 9,289 -
- Biological Control of Mile-a-Minute 10.RD 16-8244-0694-CA 4,400 4,400 -
- Plant and Animal Disease, Pest Control, and Animal Care 10.025 173,331 173,331 -
- Grants for Agricultural Research, Special Research Grants 10.200 (1,107) (1,107) -
- Agricultural Research-Basic and Applied Research 10.203 2,135,302 2,135,302 -
- Agricultural and Rural Economic Research, CAs and Collaborations 10.250 10,561 -
- Intergal Programs 10.255 10,561 -
- Agriculture and Food Research Initiative (AFRI) 10.310 231,317 231,317 61,924 -
- Crop Protection and Pest Management Competitive Grants Program 10.329 129,603 129,603 -
- Crop Insurance Education in Targeted States 10.458 204,110 204,110 -
- Cooperative Extension Service 10.500 1,455,636 1,455,636 -
- Forest Health Protection 10.640 31,018 31,018 -
- Soil Survey 10.903 30,881 30,881 -
- Environmental Quality Incentives Program 10.912 59,980 59,980 -
- Regional Conservation Partnership Program 10.922 28,802 28,802 -
- Technical Agricultural Assistance 10.960 467,385 467,385 -

Pass-through Awards:

- Plant and Animal Disease, Pest Control, and Animal Care 10.025 University of Connecticut, Storrs 83414 2,422 -
- Plant and Animal Disease, Pest Control, and Animal Care 10.025 University of Connecticut, Storrs 111905 1,818 4,240 -
- Specialty Crop Block Grant Program-Farm Bill 10.170 Rhode Island Department of Environmental Management Contract 0 10,122 10,122 -
- Specialty Crop Block Grant Program-Farm Bill 10.170 Rhode Island Department of Environmental Management Contract 0 10,122 10,122 -
- Specialty Crop Block Grant Program-Farm Bill 10.170 Rhode Island Department of Environmental Management Contract 0 10,122 10,122 -
- Special Crop Grant Program-Farm Bill 10.170 Rhode Island Department of Environmental Management Contract 0 10,122 10,122 -
- Grants for Agricultural Research, Special Research Grants 10.200 University of Maryland Z55100 50,922 22,107 -
- Grants for Agricultural Research, Special Research Grants 10.200 University of Maryland 74988-25600905 14,363 -
- Grants for Agricultural Research, Special Research Grants 10.200 Cornell University 74988-25510156 32,933 99,392 -
- Sustainable Agriculture Research and Education 10.215 University of Vermont G061-071-27606 9,399 -
- Sustainable Agriculture Research and Education 10.215 University of Vermont SNE14-12-29001 (1,122) -
- Sustainable Agriculture Research and Education 10.215 University of Vermont SNE15-33-29994 21,506 706 -
- Sustainable Agriculture Research and Education 10.215 University of Vermont SNE15-33-29994 21,506 35,393 -

**The accompanying notes are an integral part of this schedule.**
The accompanying notes are an integral part of this schedule.
# Schedule of Expenditures of Federal Awards - Continued

## Year Ended June 30, 2016

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Additional Award Identification Number</th>
<th>Pass-Through Entity</th>
<th>Pass-Through Entity Award Number</th>
<th>Federal Expenditures</th>
<th>Total by Program</th>
<th>Passed Through to Subrecipients</th>
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<tbody>
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<tr>
<td>11.472</td>
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<td>Fisheries Specialist</td>
<td>NONE</td>
<td>$ 5,095</td>
<td>$ 5,095</td>
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<td>3,443,236</td>
<td>3,443,236</td>
<td>452,837</td>
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</tbody>
</table>

## U.S. Department of Commerce - Continued:

### Pass-through Awards - Continued:

- **Hurricane Sandy Community Block Grant Disaster Recovery (CDBG-DR)**
  - Short Period, Anelastic and Anisotropic, Waveform-based
  - Collaborative Research and Development
  - Basic and Applied Scientific Research
  - Basic Scientific Research
  - Basic, Applied, and Advanced Research in Science and Engineering
  - Air Force Defense Research School Program
  - Research and Technological Development

### Direct Awards:

- **Pass-through Awards**
  - The Language Flagship Grants to Institutions of Higher Education
  - The Language Flagship Grants to Institutions of Higher Education
  - Air Force Defense Research School Program
  - Air Force Defense Research School Program
  - Air Force Defense Research School Program
  - Air Force Defense Research School Program
  - Air Force Defense Research School Program
  - Research and Technological Development

### U.S. Department of Defense:

- **Collaborative Research and Development**
- **Basic and Applied Scientific Research**
- **Basic Scientific Research**
- **Pass-through Awards**
- **Basic, Applied, and Advanced Research in Science and Engineering**
- **Air Force Defense Research School Program**
- **Research and Technological Development**

## UNIVERSE OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

The accompanying notes are an integral part of this schedule.

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## UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

### Schedule of Expenditures of Federal Awards - Continued

#### Year Ended June 30, 2016

<table>
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<tr>
<th>CFDA Number</th>
<th>Additional Award Identification Number</th>
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</tbody>
</table>

### RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED

#### U.S. Department of Interior:

**Direct Awards:**
- Assessment of Spawning Horseshoe Crabs
  - 15.RD P11AT40781 4,830$ 4,830$ - $-
- Hurricane Sandy Disaster Relief-Coastal Resiliency Grants
  - 15.133 548,756 548,756 50,791
- Bureau of Ocean Energy Management (BOEM) Environmental Studies Program (ESP)
  - 15.423 595,067 595,067 94,971
- Marine Minerals Activities-Hurricane Sandy
  - 15.424 150,087 150,087 -
- Sport Fish Restoration Program
  - 15.600 13,053 13,053 -
- Fish and Wildlife Management Assistance
  - 15.608 208,935 208,935 34,813
- Migratory Bird Monitoring, Assessment and Conservation
  - 15.655 14,263 14,263 -
- Assistance to State Water Resources Research Institutes
  - 15.805 73,834 73,834 -
- Earthquake Hazards Research and Monitoring Assistance
  - 15.807 94,006 94,006 -
- U.S. Geological Survey-Research and Data Collection
  - 15.808 111,108 111,108 -
- National Land Remote Sensing Education Outreach
  - 15.815 35,307 35,307 -
- Department of Interior National Park Service
  - 15.944 39,050 39,050 -
- Cooperative Research and Training Programs- Resources of the National Park System
  - 15.945 1,732,951 1,732,951 111,063

**Pass-through Awards:**
- Marine Arctic Ecosystem Study
  - 15.RD 14403-37126 Stantec Consulting Services Inc. 14403-37126 2,120 2,120 -
- Pilot Study: Biological and Fishery Characteristics of the Jonah Crab (Cancer borealis)
  - 15.RD 3459057 3459057 405 695 -
- Bureau of Ocean Energy Management (BOEM) Environmental Studies Program (ESP)
  - 15.423 The University of Texas at Austin UTA11-000876 25,118 25,118 -
- Coastal Impact Assistance Program
  - 15.805 State of Rhode Island #3455785 20,397 20,397 -
- National Land Remote Sensing Education Outreach
  - 15.815 AmericaView AV14-R101 24,651 24,651 -

**Total U.S. Department of Interior:**
- 4,391,670 4,391,670 291,638

#### U.S. Department of Justice:

**Direct Awards:**
- Juvenile Justice & Delinquency Prevention
  - 16.540 85,120 85,120 -
- National Institute of Justice Research, Evaluation, and Development Project Grants
  - 16.560 37,551 37,551 -

**Pass-through Awards:**
- Edward Byrne Memorial Justice Assistance Grant Program
  - 16.738 Rhode Island Department of Public Safety FY14-FSIA-01 8,893 -
- Edward Byrne Memorial Justice Assistance Grant Program
  - 16.738 Rhode Island Department of Public Safety Subgrant 15-501-JAG 16,589 25,932 -
- Edward Byrne Memorial Justice Assistance Grant Program
  - 16.738 Rhode Island Department of Public Safety 13455785 20,397 20,397 -
- National Land Remote Sensing Education Outreach and Research
  - 15.815 Rhode Island Department of Public Safety 13455785 20,397 20,397 -

**Total U.S. Department of Justice:**
- 159,417 159,417 -

#### U.S. Department of Labor:

**Pass-through Awards:**
- WIA/WIOA Pilots, Demonstrations, and Research Projects
  - 17.261 Rhode Island Department of Labor & Training WB-26511-14-60-A-44 84,531 -
- WIA/WIOA Pilots, Demonstrations, and Research Projects
  - 17.261 Rhode Island Department of Labor & Training URI/Bodah 9,304 9,304 -

**Total U.S. Department of Labor:**
- 93,835 93,835 -

#### U.S. Department of State:

**Direct Awards:**
- Public Diplomacy Programs for Afghanistan and Pakistan
  - 19.501 98,146 98,146 -

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*The accompanying notes are an integral part of this schedule.*

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## Schedule of Expenditures of Federal Awards - Continued

### Year Ended June 30, 2016

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Additional Award Identification Number</th>
<th>Pass-Through Entity</th>
<th>Award Number</th>
<th>Federal Expenditures</th>
<th>Total by Program</th>
<th>Passed Through to Subrecipients</th>
</tr>
</thead>
<tbody>
<tr>
<td>19.401</td>
<td>Institute for International Education ECA/A/S/S-13-05</td>
<td>$ 46,076</td>
<td>$ 46,076</td>
<td>$ 23,984</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20.200</td>
<td>Rhode Island Department of Transportation SPR-234-2363</td>
<td>19,407</td>
<td>19,407</td>
<td>-</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20.205</td>
<td>Rhode Island Department of Transportation 2015-GU-001</td>
<td>100,968</td>
<td>100,968</td>
<td>-</td>
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<tr>
<td>20.703</td>
<td>Rhode Island Emergency Management Agency 120-06-2013 SHSP/CERT</td>
<td>11,976</td>
<td>11,976</td>
<td>-</td>
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</table>

Total U.S. Department of Transportation: 132,351

<table>
<thead>
<tr>
<th>Pass-through Awards:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Highway Research and Development Program</td>
</tr>
<tr>
<td>Highway Planning and Construction</td>
</tr>
<tr>
<td>Interagency Hazardous Material</td>
</tr>
<tr>
<td>Total U.S. Department of Transportation</td>
</tr>
</tbody>
</table>

Total National Aeronautics and Space Administration: 556,045

<table>
<thead>
<tr>
<th>Direct Awards:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decision Support System for Monitoring, Reporting and Forecasting Ecological Conditions of the Appalachian National Scenic Trail</td>
</tr>
<tr>
<td>Total National Aeronautics and Space Administration</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Pass-through Awards:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aerospace Education Services Program</td>
</tr>
<tr>
<td>Brown University</td>
</tr>
<tr>
<td>Woods Hole Oceanographic Institution</td>
</tr>
<tr>
<td>West Virginia University</td>
</tr>
<tr>
<td>Woods Hole Group, Inc.</td>
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<tr>
<td>Brown University</td>
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<td>Brown University</td>
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<tr>
<td>Brown University</td>
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<tr>
<td>Brown University</td>
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<tr>
<td>Total Institute of Museum and Library Science</td>
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</table>

<table>
<thead>
<tr>
<th>Direct Awards:</th>
</tr>
</thead>
<tbody>
<tr>
<td>National Leadership Grants</td>
</tr>
<tr>
<td>Providence Public Library LG-07-13-0318-13</td>
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<tr>
<td>Total Institute of Museum and Library Science</td>
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<thead>
<tr>
<th>National Science Foundation:</th>
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<tbody>
<tr>
<td>Graduate Research Fellowship</td>
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<td>Graduate Research Fellowship</td>
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<td>Graduate Research Fellowship</td>
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<tr>
<td>Graduate Research Fellowship</td>
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<tr>
<td>Graduate Research Fellowship</td>
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<tr>
<td>Engineering Grants</td>
</tr>
<tr>
<td>Mathematical and Physical Sciences</td>
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<tr>
<td>Geosciences</td>
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<tr>
<td>Computer and Information Science and Engineering</td>
</tr>
<tr>
<td>Biological Sciences</td>
</tr>
<tr>
<td>Education and Human Resources</td>
</tr>
<tr>
<td>Polar Programs</td>
</tr>
<tr>
<td>International Science and Engineering (OISE)</td>
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</tbody>
</table>

The accompanying notes are an integral part of this schedule.
UNIVERSITY OF RHODE ISLAND  
(a Component Unit of the State of Rhode Island and Providence Plantations)  

Schedule of Expenditures of Federal Awards - Continued  

Year Ended June 30, 2016  

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Additional Award Identification Number</th>
<th>Pass-Through Entity</th>
<th>Federal Expenditures</th>
<th>Total by Program</th>
<th>Passed Through to Subrecipients</th>
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<tbody>
<tr>
<td>47.081</td>
<td></td>
<td></td>
<td>2,780,242</td>
<td>2,780,242</td>
<td>$1,239,839</td>
</tr>
</tbody>
</table>

**Pass-through Awards:**  

| Geosciences  | University of Southern California | 149704 | 197,629 | - | - |
| Geosciences  | University of Hawaii | MA140036 | 5,732 | - | - |
| Geosciences  | University of California | 51536013 | (2,065) | - | - |
| Geosciences  | Consortium for Ocean Leadership | T353A1 | 17,753 | - | - |
| Geosciences  | Lamont-Doherty Earth Observatory | PO#G10521 | 29,632 | - | - |
| Geosciences  | Woods Hole Oceanographic Institution | A101500 | 12,249 | 260,930 | - |

**Computer and Information Science and Engineering**  

| Geosciences  | University of Southern State University | S415-704-15-13 | 13,041 | 15,041 | - |
| Geosciences  | Yale University | C101D10896 | 159,124 | 159,124 | - |
| Geosciences  | University of Massachusetts, Amherst | 12-000782-D 90/P0000 | 104,869 | 104,869 | - |
| International Science and Engineering (OSISE)  | University of New Hampshire | 16-019 | 34,962 | 34,962 | - |
| Office of Experimental Program to Stimulate Competitive Research | Rhode Island Science and Technology Advisory Council | RI STAC 2015-15 | 9,494 | 9,494 | 6,141 |
| Office of Integrative Activities | University of Southern California | 66919743 | 42,728 | 42,728 | - |

**Total National Science Foundation**  

14,486,574  

**Securities and Exchange Commission:**  

| Direct Awards: | Academic Fellow, SEC Office of the Chief Accountant | 58.RD | IPA - Academic Fellow | 181,070 | 181,070 | - |

**Total Securities and Exchange Commission**  

181,070  

**Small Business Administration:**  

| Direct Awards: | Small Business Development Centers | 59.037 | | 552,502 | 552,502 | 109,591 |

**Total Small Business Administration**  

552,502  

**Environmental Protection Agency:**  

| Direct Awards: | Great Lakes Program | 66.469 | | 137,497 | 137,497 | - |

**Pass-through Awards:**  

| PCB Monitoring after Sediment Capping | Envision | 3334792 | 3334792 | 25,696 | 25,696 | - |
| Healthy Communities Grant Program | Rhode Island Department of Environmental Management | N/A | N/A | 3,167 | 3,167 | - |
| Water Pollution Control State, Interstate, and Tribal Program Support | Rhode Island Department of Transportation | AW233932492 | AW233932492 | 103,441 | 103,441 | 18,835 |
| Performance Partnership Grants | Rhode Island Department of Environmental Management | PO# 3341236 | PO# 3341236 | 47,611 | 47,611 | - |

**Total Environmental Protection Agency**  

429,638  

**U.S. Nuclear Regulatory Commission:**  

| Direct Awards: | U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program | 77.008 | | 51,232 | 51,232 | - |

**Total U.S. Nuclear Regulatory Commission**  

51,232  

**U.S. Department of Energy:**  

| Direct Awards: | Office of Science Financial Assistance Program | 81.049 | (7) | (7) | - |
| Conservation Resource & Development | 81.086 | 18,407 | 18,407 | - |
| Sustainable Energy Research and Development | 81.087 | 93,504 | 93,504 | - |
| Defense Nuclear Nonproliferation Research | 81.113 | 252,225 | 252,225 | - |

The accompanying notes are an integral part of this schedule.  

- 11 -
UNIVERSITY OF RHODE ISLAND  
(a Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Expenditures of Federal Awards - Continued

Year Ended June 30, 2016

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Additional Award Identification Number</th>
<th>Pass-Through Entity</th>
<th>Federal Expenditures</th>
<th>Total by Program</th>
<th>Passed Through to Subrecipients</th>
</tr>
</thead>
<tbody>
<tr>
<td>84.165</td>
<td>Sackett Street Schools PO 77800E 80106F 82</td>
<td>265</td>
<td>265</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>84.181</td>
<td>Rhode Island College 80000717-01B</td>
<td>126</td>
<td>126</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>84.324</td>
<td>University of Connecticut, Storrs FRS525880/PSA#7124</td>
<td>9,387</td>
<td>9,387</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>84.378</td>
<td>Rhode Island Department of Education Project Recruit &amp; Ed 140,394</td>
<td>140,394</td>
<td>140,394</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>84.379</td>
<td>Rhode Island Council on Postsecondary Education N/A</td>
<td>643</td>
<td>643</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>84.380</td>
<td>Rhode Island Department of Health 10,786</td>
<td>10,786</td>
<td>10,786</td>
<td>-</td>
<td></td>
</tr>
</tbody>
</table>

The accompanying notes are an integral part of this schedule.
## UNIVERSITY OF RHODE ISLAND (a Component Unit of the State of Rhode Island and Providence Plantations)

### Schedule of Expenditures of Federal Awards - Continued

**Year Ended June 30, 2016**

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Additional Award Identification Number</th>
<th>Pass-Through Entity</th>
<th>Award Number</th>
<th>Expenditures Program</th>
<th>Subrecipients</th>
</tr>
</thead>
<tbody>
<tr>
<td>93.226</td>
<td>34870</td>
<td>Boston University Medical Center</td>
<td>Agreement 34870</td>
<td>$11,756</td>
<td>$11,756</td>
</tr>
<tr>
<td>93.243</td>
<td>20110511.1</td>
<td>University of North Carolina, Greensboro</td>
<td>Community Care Alliance</td>
<td>NONE</td>
<td>19,471</td>
</tr>
<tr>
<td>93.243</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>AWD3407897</td>
<td>6,310</td>
<td>-</td>
</tr>
<tr>
<td>93.243</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>POSS432272</td>
<td>82,864</td>
<td>-</td>
</tr>
<tr>
<td>93.243</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>AWD3422801</td>
<td>176,543</td>
<td>32,221</td>
</tr>
<tr>
<td>93.243</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>1U79P020159-01</td>
<td>67,724</td>
<td>-</td>
</tr>
<tr>
<td>93.244</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>LARGE20159-01</td>
<td>137,398</td>
<td>-</td>
</tr>
<tr>
<td>93.243</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>LARGE20159-01</td>
<td>10,527</td>
<td>-</td>
</tr>
<tr>
<td>93.243</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>AWD3407897</td>
<td>6,310</td>
<td>-</td>
</tr>
<tr>
<td>93.243</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>AWD3422801</td>
<td>176,543</td>
<td>32,221</td>
</tr>
<tr>
<td>93.243</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>1U79P020159-01</td>
<td>67,724</td>
<td>-</td>
</tr>
<tr>
<td>93.243</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>LARGE20159-01</td>
<td>137,398</td>
<td>-</td>
</tr>
<tr>
<td>93.244</td>
<td>NONE</td>
<td>Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals</td>
<td>LARGE20159-01</td>
<td>10,527</td>
<td>-</td>
</tr>
</tbody>
</table>

The accompanying notes are an integral part of this schedule. - 13 -
## UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

### Schedule of Expenditures of Federal Awards - Continued

#### Year Ended June 30, 2016

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Additional Award Identification Number</th>
<th>Pass-Through Entity</th>
<th>Federal Award Number</th>
<th>Federal Expenditures</th>
<th>Total by Program</th>
<th>Passed Through to Subrecipients</th>
</tr>
</thead>
<tbody>
<tr>
<td>98.001</td>
<td>International Center for Living Aquatic Resources Management</td>
<td>NONE</td>
<td>880</td>
<td>880</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>98.001</td>
<td>PACT</td>
<td>P3249</td>
<td>669,502</td>
<td>669,502</td>
<td>46,762</td>
<td></td>
</tr>
<tr>
<td>98.001</td>
<td>WorldFish</td>
<td>MOUWF-412015</td>
<td>116,193</td>
<td>116,193</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>98.012</td>
<td>University of Todelo</td>
<td>F-2014-28</td>
<td>10,768</td>
<td>10,768</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Total Agency for International Development</td>
<td>7,364,173</td>
<td>7,364,173</td>
<td>2,827,576</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Research and Development Cluster</td>
<td>$65,044,899</td>
<td>$65,044,899</td>
<td>$12,659,954</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Expenditures of Federal Awards</td>
<td>$196,133,064</td>
<td>$196,133,064</td>
<td>$12,659,954</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The accompanying notes are an integral part of this schedule.
Note 1 - **Basis of Presentation**

The accompanying Schedule of Expenditures of Federal Awards (the “Schedule”) includes the federal award activity of University of Rhode Island (the “University”) under programs of the Federal Government for the year ended June 30, 2016. The information on this Schedule is prepared in accordance with the requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (“Uniform Guidance”). Because the Schedule presents only a selected portion of the operations of the University, it is not intended to and does not present the financial position, changes in net assets or cash flows of the University.

Note 2 - **Summary of Significant Accounting Policies**

Expenditures reported on the Schedule are reported on the accrual basis of accounting. Such expenditures are recognized following the cost principles contained in the Uniform Guidance.

Note 3 - **Indirect Cost Rate**

The University has elected not to use the 10-percent de minimis indirect cost rate as allowed under the Uniform Guidance.

Note 4 - **Federal Student Loan Programs**

*University Administered Loan Programs*

The federal student loan programs listed subsequently are administered directly by the University and balances and transactions relating to these programs are included in the University’s basic financial statements. Loans outstanding at the beginning of the year and loans made during the year are included in the federal expenditures presented in the Schedule. The balance of loans outstanding and administrative costs incurred at June 30, 2016 consists of:
Note 4 - **Federal Student Loan Programs - Continued**

**University Administered Loan Programs - Continued**

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Program Name</th>
<th>Outstanding Balance at June 30, 2016</th>
<th>Administrative Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>84.038</td>
<td>Federal Perkins Loan</td>
<td>$ 8,419,392</td>
<td>$ 1,003,353</td>
</tr>
<tr>
<td></td>
<td>Health Professions Student Loans,</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Including Primary Care Loans/Loans</td>
<td></td>
<td></td>
</tr>
<tr>
<td>93.342</td>
<td>for Disadvantaged Students</td>
<td>$ 1,832,156</td>
<td>$ -</td>
</tr>
<tr>
<td>93.364</td>
<td>Nursing Student Loans</td>
<td>$ 1,703,490</td>
<td>$ -</td>
</tr>
</tbody>
</table>

There was no federal capital contribution or match by the University during the current year.

**Direct Student Loan Program**

The University disbursed $98,230,481 of loans under the Federal Direct Student Loans program, which include Stafford Subsidized and Unsubsidized Loans and Parent Plus Loans. The University is only responsible for the performance of certain administrative duties and, accordingly, there are no significant continuing compliance requirements and these loans are not included in the University’s financial statements.
Section I – Summary of Auditors’ Results:

Financial Statements

Type of auditors’ report issued: Unmodified

Internal control over financial reporting:

- Material weaknesses identified? _____ yes  ____ no
- Significant deficiencies identified that are not considered to be material weaknesses? _____ yes  ____ no

Noncompliance material to the financial statements noted? _____ yes  ____ no

Federal Awards

Type of auditors’ report issued on compliance for major programs: Unmodified

Internal control over major programs:

- Material weaknesses identified? _____ yes  ____ no
- Significant deficiencies identified that are not considered to be material weaknesses? ____ yes  _____ no

Any audit findings disclosed that are required to be reported in accordance with the Uniform Guidance? ____ yes  _____ no
**Identification of Major Programs**

<table>
<thead>
<tr>
<th>Name of Federal Program or Cluster</th>
<th>CFDA Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Financial Assistance Cluster</td>
<td></td>
</tr>
<tr>
<td>Federal Supplemental Educational Opportunity Grant Program</td>
<td>84.007</td>
</tr>
<tr>
<td>Federal Work-Study Program</td>
<td>84.033</td>
</tr>
<tr>
<td>Federal Perkins Loan Program</td>
<td>84.038</td>
</tr>
<tr>
<td>Federal Pell Grant Program</td>
<td>84.063</td>
</tr>
<tr>
<td>Federal Direct Student Loans (Note 3)</td>
<td>84.268</td>
</tr>
<tr>
<td>Teacher Education Assistance for College and Higher Education (TEACH) Grants</td>
<td>84.379</td>
</tr>
<tr>
<td>Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Student</td>
<td>93.342</td>
</tr>
<tr>
<td>Nursing Student Loans</td>
<td>93.364</td>
</tr>
</tbody>
</table>

Dollar threshold used to distinguish between type A and type B programs: $13,500,000

Auditee qualified as a low-risk auditee?  

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>x</td>
<td>yes</td>
<td>no</td>
</tr>
</tbody>
</table>
UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Findings and Questioned Costs - Continued

Year Ended June 30, 2016

Section II – Financial Statement Findings:

None
Section III – Federal Award Findings and Questioned Costs:

Finding number: 2016-001  
Federal agency: U.S. Department of Education  
Programs: Student Financial Assistance Cluster  
CFDA #’s: 84.063, 84.268, 84.379  
Award year: 2016

Criteria
According to 34 CFR Section 685.309(b)(2):

A school shall, unless it expects to submit its next student status confirmation report to the Secretary within the next sixty days, notify the Secretary within thirty days if it discovers that a Direct Subsidized, Direct Unsubsidized, or Direct PLUS Loan has been made to or on behalf of a student who:

i. Enrolled at that school but has ceased to be enrolled on at least a half-time basis;

ii. Has been accepted for enrollment at that school but failed to enroll on at least a half-time basis for the period for which the loan was intended; or

iii. Has changed his or her permanent address.

The Dear Colleague Letter GEN-12-6 issued by ED on March 30, 2012 states that in addition to student loan borrowers, Enrollment Reporting files will include two additional groups of students: Pell Grant and Perkins Loan recipients.

Condition
The Federal government requires the University to report student enrollment changes to the National Student Loan Data System (“NSLDS”) within sixty days. Out of a sample of forty students with enrollment status changes, two student changes were not reported in a timely manner to the NSLDS and two student changes were not reported to the NSLDS at all. The two students were reported late to the NSLDS by 91 and 95 days.

Cause
The condition was caused by the following:

a. Management did not ensure that the proper reporting was made to the NSLDS for two students.

b. Another student was not reported as graduated to the NSLDS since they were previously reported as withdrawn in two consecutive reporting cycles. This combination of reporting statuses was not reported to the NSLDS by the National Student Clearinghouse.
c. Lastly, one student withdrew from the University through their academic administrator’s office; however, the withdrawal information was not communicated to the Financial Aid Office in a timely manner.

**Effect**
Withdrawal dates were not reported correctly and within the required timeframe, which may result in the students entering repayment status later than the required timeframe.

**Questioned Costs**
N/A

**Perspective**
Our sample was not, and was not intended to be, statistically valid. Of 40 students selected for testing, four students or 10% of our sample, were determined to have a status change not reported timely to the NSLDS.

**Identification as a Repeat Finding, if applicable**
See finding 2015-001 included in the summary schedule of prior year findings.

**Recommendation**
We recommend that the University review the systems in place that ensure all status changes are reported and reported timely to the NSLDS to be sure that they are operating effectively. The University should also consider issuing a reminder to the Deans that they need to submit withdrawal forms timely.

**Views of Responsible Officials**
The University agrees with the findings for graduation reporting. However, we do not agree with the late withdrawal reporting finding. The University’s Enrollment Services office (“Enrollment Services”) processed the withdrawal form immediately upon receipt from the academic department and sent the information to the National Student Clearinghouse. However, there was a delay from when the department signed the form to when it arrived in Enrollment Services. The discrepancy on the paper form from when the department signed the form to when it arrived in Enrollment Services should not result in finding as we will never be able to control when a department puts the form in the mail.

As an institution we historically have been and continue to be flexible in allowing students to complete their programs of study. This flexibility, while student friendly, does make complying with reporting requirements difficult at times. Policy and business process review and recommendations for change need to be balanced with the institution’s commitments to academic freedom and faculty-centered decision-making and shared governance.
Finding number: 2016-002
Federal agency: U.S. Department of Education
Programs: Student Financial Assistance Cluster
CFDA #s: 84,063
Award year: 2016

Criteria
34 CFR 690.83(b) states:

(1) An institution shall report to the Secretary any change in the amount of a grant for which a student qualifies, including any related Payment Data changes by submitting to the Secretary the student’s Payment Data that disclosed the bases and result of the change in award for each student. The institution shall submit the student’s Payment Data reporting any change to the Secretary by the reporting deadlines published by the Secretary in the Federal Register.

(2) An institution shall submit, in accordance with deadline dates established by the Secretary, through publication in the Federal Register, other reports and information the Secretary requires and shall comply with the procedures the Secretary finds necessary to ensure that the reports are correct.

The ED Federal Register (Vol. 77, No.126) states:

An institution is required to submit a disbursement record no later than 30 calendar days after the institution makes a disbursement or becomes aware of the need to make an adjustment to previously reported disbursement data.

Condition
Federal regulations require institutions to report to the Federal Government's Common Origination and Disbursement System (“COD”) payments to students for Federal Pell Grants within 15 days of disbursement to students.

Out of a sample of 40 students, the College reported the disbursement of Pell Grant funds for one student late. The disbursement was reported 6 days past the required reporting date.

Cause
This finding occurred because management did not ensure that the error reports from the COD were corrected timely.

Effect
The College is not in compliance with the COD reporting regulations.
Questioned Costs
N/A

Perspective
Our sample was not, and was not intended to be, statistically valid. Of 40 students selected for testing, one student’s Pell disbursement, or 2.5% of our sample, was not reported to the COD timely.

Identification as a Repeat Finding, if applicable
Not applicable

Recommendation
The University should create a process for review of the COD reports that check for any errors during the submission process in a time period that would allow for resubmission in time to meet the COD reporting deadline.

Views of Responsible Officials
The University has researched the student whose disbursement was late in being reported to the Federal government due to a rejection of the file at the COD. We agree that the reporting date to the COD was 6 days beyond the 15 day requirement.

In our view, it is prudent for our institution to implement an additional element to our compliance action plan to ensure that disbursements are reported within the required time frame.
UNIVERSITY OF RHODE ISLAND  
(a Component Unit of the State of Rhode Island and Providence Plantations)  

Schedule of Findings and Questioned Costs - Continued  

Year Ended June 30, 2016  

Finding number: 2016-003  
Federal agency: U.S. Department of Education  
Programs: Student Financial Assistance Cluster  
CFDA #’s: Multiple  
Award year: 2016  

Criteria  
34 CFR 668.165(a) states:  

(2) Except in the case of a post-withdrawal disbursement made in accordance with 34 CFR 668.22(a)(5), if an institution credits a student’s account at the institution with Direct Loan, Federal Perkins Loan, or TEACH Grant program funds, the institution must notify the student or parent of –  

i. The anticipated date and amount of the disbursement;  
ii. The student’s or parent’s right to cancel all or a portion of that loan, loan disbursement, TEACH Grant, or TEACH Grant disbursement and have the loan proceeds or TEACH Grant proceeds returned to the Secretary; and  
iii. The procedures and time by which the student or parent must notify the institution that he or she wishes to cancel the loan, loan disbursement, TEACH Grant, or TEACH Grant disbursement.  

(3) The institution must provide the notice described in paragraph (a)(2) of this section in writing –  

i. No earlier than 30 days before, and no later than 30 days after, crediting the student’s ledger account at the institution, if the institution obtains affirmative confirmation from the student under paragraph (a)(6)(i) of this section; or  
ii. No earlier than 30 days before, and not late than seven days after, crediting the student’s ledger account at the institution, if the institution does not obtain affirmative confirmation from the student under paragraph (a)(6)(i) of this section.  

Condition  
The University did not send notification of fall 2015 disbursements until June 2016.
Cause
An error occurred in the integrated student financial aid software that sends out notification emails for disbursements. According to University management, no student received a fall semester loan disbursement notification.

Effect
The College is not in compliance with notification requirements.

Questioned Costs
N/A

Perspective
Our sample was not, and was not intended to be, statistically valid. Of 40 students selected for testing, no students received distribution notifications timely for the fall semester.

Identification as a Repeat Finding, if applicable
Not applicable

Recommendation
The University should create a process to verify that email notifications have gone out before or after disbursement, and within the specified time period.

Views of Responsible Officials
The University has reviewed the dates of the notification of disbursement emails sent to students and agree with the finding.

The email notification system was designed to automatically send out emails to students upon disbursement of funds, yet this did not happen. Email notifications were sent out beyond the 30 day requirement once this error was discovered and the system was rebooted.
Finding number: 2015-001  
Federal agency: U.S. Department of Education  
Programs: Student Financial Assistance Cluster  
CFDA #’s: 84.063, 84.268, 84.379  
Award year: 2015

**Condition**
The Federal Government requires the University to report student enrollment changes to the National Student Loan Data System (“NSLDS”) within sixty days.

**Award Year 2015:**
Out of a sample of forty students with enrollment status changes, fifteen of the students’ changes were not reported in a timely manner to the NSLDS. For those students, the timeframe to report the status ranged from 10-38 days late. Four student status changes were not reported to the NSLDS at all.

**Award Year 2014:**
Out of a sample of forty students with enrollment status changes, three of the students’ changes were not reported in a timely manner to the NSLDS. For those three students, the timeframe to report the status ranged from 11-125 days late.

**Current Year Status:**
The University conducted a thorough review of its processes involving National Student Clearinghouse submissions. Several procedural changes have been instituted. The University has tightened its procedures concerning withdrawals, leaves of absences, and firm graduation dates.
UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Management’s Corrective Action Plan

Finding number: 2016-001
Federal agency: U.S. Department of Education
Programs: Student Financial Assistance Cluster
CFDA #’s: 84.063, 84.268, 84.379
Award year: 2016

Corrective Action Plan:
On October 27, 2016, the Office of Enrollment Services – Registrar area, completed a one day mandatory training for the academic colleges and the graduate school.

The timely processing of Leave of Absence, Withdrawals and Degree Conferrals / Program Completion were specific topics reviewed and discussed with the Academic Deans and their support staff. Training materials and deadlines were distributed and are available on a dedicated training and information site hosted on the University Learning Management system (SAKAI). All Academic Deans and their support staff have been provided training on how to access these documents. Also, beginning with the fall 2016 semester, specific reminders regarding Leave of Absence and Withdrawal deadlines will be sent to the academic colleges and graduate school at the beginning of each semester. Reminders regarding degree conferral will continue to be sent in late November early December for December graduation, April 1 for May graduation and July/August for August graduation.

Timeline for Implementation of Corrective Action Plan:
This training will continue to be done annually through monthly Enrollment Services Advisory Committee meetings and other training opportunities (all Academic Deans are members of this committee).

The confirmation by the Academic Deans of graduation lists with adherence to specific deadlines will continue to be a point of emphasis. Review and follow-up by Enrollment Services – Registrar area, staff will also be emphasized as a mechanism to proactively identify coding issues related to student degree completion with an expectation for direct and immediate follow-up with the respective Deans Office to rectify any discrepancies.

The institution will also continue to work with the National Student Clearinghouse to better understand reporting errors and the necessary business process and technical changes needed to reduce and/or eliminate late reporting issues.

Contact Person
Bonnie Saccucci, Senior Associate Director, Enrollment Services
Management’s Corrective Action Plan - Continued

Finding number: 2016-002
Federal agency: U.S. Department of Education
Programs: Student Financial Assistance Cluster
CFDA #’s: 84.063
Award year: 2016

Corrective Action Plan:
We have implemented an additional process to our action plan to ensure that we stay within a 15 day reporting window for disbursement of Pell Grants.

We have begun running an additional report via PeopleSoft which identifies, for our review, all disbursements that are rejected by the COD. We plan to continue to run this report weekly in addition to completing our monthly reconciliation process.

Timeline for Implementation of Corrective Action Plan:
Our corrective action has been implemented as of October 21, 2016.

Contact Person
Bonnie Saccucci, Senior Assoicate Director, Enrollment Services
UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Management’s Corrective Action Plan - Continued

Finding number: 2016-003
Federal agency: U.S. Department of Education
Programs: Student Financial Assistance Cluster
CFDA #’s: 84.268
Award year: 2016

Corrective Action Plan:
For the correction action plan, a random sample of disbursements will be selected each month and checked to confirm that an email was sent to each recipient within the required timeframe.

Timeline for Implementation of Corrective Action Plan:
This random sample procedure was implemented in May of 2016 and it will continue every month.

Contact Person
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