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, 2018
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, 2018

CONTENTS


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 4-5

Schedule of Expenditures of Federal Awards 6-14

Notes to the Schedule of Expenditures of Federal Awards 15-16

Schedule of Findings and Questioned Costs 17-20

Required Auditee Information:

Management’s Summary Schedule of Prior Audit Finding 21
INDEPENDENT AUDITORS’ REPORT ON COMPLIANCE FOR EACH MAJOR FEDERAL PROGRAM; REPORT ON INTERNAL CONTROL OVER COMPLIANCE; AND REPORT ON THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS REQUIRED BY THE UNIFORM GUIDANCE

To the Board of Education of
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, 2018. 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, 2018.

**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.

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, 2018. We issued our report thereon dated September 30, 2018, 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 Dew, P.C.

Certified Public Accountants
Braintree, Massachusetts

November 30, 2018
(except for the Schedule of Expenditures of Federal Awards, for which the date is September 30, 2018)
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 of
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, 2018, the related statements of revenues and expenses, 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 of Rhode Island’s basic financial statements and have issued our report thereon dated September 30, 2018. We also performed the audit of the Alumni Association of the University of Rhode Island’s financial statements, as of and for the year ended June 30, 2018. Our report includes a reference to other auditors who audited the financial statements of the University of Rhode Island Foundation, Inc. and the University of Rhode Island Research Foundation, Inc. as described in our report on the University’s financial statements. This report does not include the results of the other auditors’ testing of internal control over financial reporting or compliance and other matters that are reported on separately by those auditors.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the University of Rhode Island’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 of Rhode Island’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 entity’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

November 30, 2018
SCHEDULE OF EXPENDITURES
OF FEDERAL AWARDS
The accompanying notes are an integral part of this schedule.

The accompanying notes are an integral part of this schedule.
RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED
U.S. Department of Agriculture - Continued:
Pass-through Awards - Continued:
- Sustainable Agricultural Research and Education
  - University of Vermont
    - SNE16-12-31864
      - $12,945
      - $14,121
      - -
- Integrated Programs
  - University of Connecticut
    - Submitted: 07/6428
      - 39,994
      - 39,994
      - -
- Integrated Programs
  - Cornell University
    - 80299-10775
      - 22,484
      - 22,484
      - -
- Organic Agriculture Research and Extension Initiative
  - West Virginia University
    - #12-638-URB10070435
      - 56,764
      - 56,764
      - -
- Agriculture and Food Research Initiative (AFRI)
  - North Carolina State University
    - 2015-0097-08
      - 6,960
      - -
  - University of Vermont
    - 289% SUB 11706
      - 2,276
      - -
  - Agriculture and Food Research Initiative (AFRI)
    - University of Washington
      - UWS10287
      - 45,415
      - -
  - Agriculture and Food Research Initiative (AFRI)
    - State University of New York
      - 358:1125195:71549
      - 48,644
      - 103,324
      - -
- Crop Protection and Pest Management Competitive Grants Program
  - University of Massachusetts, Amherst
    - 18-1010160A
      - 18,868
      - 18,868
      - -
- Cooperative Extension Service
  - National Crop Insurance Services
    - Risk Management
      - 108,333
      - 108,333
      - -
- Cooperative Extension Service
  - University of Connecticut
    - 99014
      - 4,911
      - -
- Cooperative Extension Service
  - Kansas State University
    - S1712.01
      - 14,535
      - -
  - Kansas State University
    - S1712.01-01
      - 6,047
      - 26,093
      - -
- State Administrative Matching Grants for the Supplemental Nutrition Assistance Program
  - Rhode Island Department of Human Services
    - 2477045-1
      - 9,308
      - -
  - Rhode Island Department of Human Services
    - 3544-09-1
      - 1,981
      - -
  - Rhode Island Department of Human Services
    - 1406794
      - 391,520
      - -
  - Rhode Island Department of Human Services
    - 1406914
      - 151,232
      - -
  - Rhode Island Department of Human Services
    - 3575600-01
      - 746,262
      - -
  - Rhode Island Department of Human Services
    - 3575615-1
      - 840,659
      - 1,641,252
      - -
- Regional Conservation Partnership Program
  - Connecticut Council on Soil & Water Conservation
    - 32,977
    - 32,977
    - -
  - Regional Conservation Partnership Program
    - Rhode Island Resource Conservation & Development
      - 23,018
      - 23,018
      - -
- Total U.S. Department of Agriculture
  - -
  - 7,513,833
  - 7,513,833
  - 85,466

U.S. Department of Commerce:
Direct Awards:
- PBO: Release Accessories for CBASS
  - EE-1338-16-SU-1184
    - 11.48
    - 1,068
    - -
- Partnership with URI Inner Space to Support Ocean Exploration 2015-2016 Season
  - WC13381750143
    - 11.48
    - 56,713
    - 57,781
    - 48,976
- Ocean Exploration
  - 11.011
    - 205,790
    - 205,790
    - -
- Sea Grant Support
  - 11.417
    - 2,784,217
    - 2,784,217
    - 474,069
- Fisheries Development and Utilization Research and Development Grants and
- Cooperative Agreements
  - 11.427
  - Climate and Atmospheric Research
  - 11.431
    - 89,519
    - 89,519
    - -
- Marine Fisheries Initiative
  - 11.433
    - 73,180
    - 73,180
    - 17,172
- Unallied Management Projects
  - 11.454
    - 6,862
    - 6,862
    - -
- Congestionally Identified Awards and Projects
  - 11.469
    - 3,359
    - 3,359
    - -
- Unallied Science Program
  - 11.472
    - 127,108
    - 127,108
    - -
- Science, Technology, Business and/or Education Outreach
  - 11.420
    - 3,119
    - 3,119
    - -

Pass-through Awards:
- Modeling Tsurami Inundation and Hazard for the US East Coast
  - 11.48
  - NOAA-0040/03
    - Eastern Research Group
      - NOA-A-0040/03
      - 38,309
      - 38,309
      - -
      - Industry Based Survey on Black Sea Bass Utilizing Ventless Traps
        - 11.48
        - Subcontract 2013-11-01
          - Subcontract 2013-11-01
          - 15,021
          - 53,608
          - -
- Ocean Exploration
  - 11.012
    - Northeastern Regional Association of Coastal Ocean Observing Systems
      - A002-003
      - 2,889
      - -
    - Northeastern Regional Association of Coastal Ocean Observing Systems
      - A008-003
      - 51,307
      - -
    - Rutgers University
      - A005-003
      - 17,455
      - -
    - Rutgers University
      - A1567678
      - (1,908)
      - 69,952
      - -
    - University of Puerto Rico Puertos Rico
      - 2016-1017-066
      - 11,652
      - -
- Multi-Mission Ocean Observing System
  - 11.417
    - Restore America's Estuaries
      - 2016-URI-01
      - 15,960
      - -
- Coastal Zone Management Administrative Awards
  - Rhode Island Coastal Resource Management Council
    - 2016-URI-01
      - 46,571
      - 62,531
      - 14,460
- Coastal Zone Management Environmental Research
  - Rhode Island Department of Environmental Management
    - NE5001070-0405-030
      - 7,897
      - 1,485
      - -
- Meteorology and Hydrology Modernization Development
  - University of Delaware
    - 44585
    - 57,093
    - -
  - University of Delaware
    - 47742
    - 24,581
    - 82,074
    - -
  - Cape Cod Commission
    - 75,369
    - -
- Northeastern Regional Association of Coastal Ocean Observing Systems
  - A007-003
    - 5,551
    - 80,851
    - -

Total U.S. Department of Commerce
- -
- 3,975,234
  - 3,975,234
  - 602,723

The accompanying notes are an integral part of this schedule.
## RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED

<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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<td>#3324473, FY14-FY18</td>
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<td>Regents of New Mexico State University</td>
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**U.S. Department of Housing and Urban Development:**

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<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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**U.S. Department of Interior:**

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**Additional Notes:**

- 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, 2018**

<table>
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<tr>
<th>CFDA Number</th>
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<th>Pass-Through Entity</th>
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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, 2018

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<th>Pass-Through Entity</th>
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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, 2018**

<table>
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<th>CFDA Number</th>
<th>Additional Award Identification Number</th>
<th>Pass-Through Entity</th>
<th>Pass-Through Entity Award Number</th>
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<th>Total by Program</th>
<th>Passed to Subrecipients</th>
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| **RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED**

National Science Foundation - Continued:

- **Pass-through Awards - Continued:**
  - **Geosciences**
    - 47.050  Research Foundation of CUNY  40F93-F  $9,866
  - **Geosciences**
    - 47.050  Woods Hole Oceanographic Institution  A101300  1,660
  - **Geosciences**
    - 47.050  Lamont-Doherty Earth Observatory  OCE-1450528  30,275
  - **Geosciences**
    - 47.050  Woods Hole Oceanographic Institution  POI-E17571  5,116
  - **Polar Programs**
    - 47.078  University of Connecticut Storrs  KFS#5628610, PO13627  88,132
  - **International Science and Engineering (OISE)**
    - 47.079  University of New Hampshire  16-019  404,611
  - **Office of Integrative Activities**
    - 47.083  University of Southern California  88919743  233,379

- **Total National Science Foundation**  16,942,499

Small Business Administration:

- **Direct Awards:**
  - Small Business Development Centers  59.037  666,484

- **Total Small Business Administration**  666,484

National Gallery of Art:

- **Pass-through Awards:**
  - Staff Development  63.558  Rhode Island Department of Human Services  3547495.1  2,599

- **Total National Gallery of Art**  2,599

Environmental Protection Agency:

- **Direct Awards:**

- **Pass-through Awards:**
  - Full-Scale Assessment of Non-proprietary Passive Nitrogen Removing Septic Systems  66.081  Barnstable County  00A00249  67,241
  - US EPA Region 1 Southeast New England Program for Coastal Watershed  66.081  Mass Audubon  00A00252  79,903
  - Charleston/Coastal Watershed Protection and Restoration Program  66.081  Town of Charleston  56.000.6200.000  225,219
  - National Clean Diesel Emissions Reduction Program  66.081  Rhode Island Department of Environmental Management  2017-01  50,250
  - Healthy Communities Grant Program  66.110  Rhode Island Department of Environmental Management  URI-0000185  56,639
  - Water Pollution Control State, Interstate, and Tribal Program Support  66.419  Rhode Island Department of Transportation  146,174
  - Capitalization Grants for Drinking Water- State Revolving Funds  66.468  Rhode Island Department of Environmental Management  3517086  160,807

- **Total Environmental Protection Agency**  644,744

U.S. Nuclear Regulatory Commission:

- **Direct Awards:**
  - U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program  77.008  32,677

- **Total U.S. Nuclear Regulatory Commission**  32,677

U.S. Department of Energy:

- **Direct Awards:**
  - Conservation Resource and Development  81.086  37,095

- **Pass-through Awards:**
  - Office of Science Financial Assistance Program  81.049  Brown University  0000475/P06 P276735  382,501
  - Office of Science Financial Assistance Program  81.049  Donald Danforth Plant Science Center  23021-R  74,572
  - Office of Science Financial Assistance Program  81.049  Pennsylvania State University  5027-URD-DOE-1000  103,752
  - Conservation Resource & Development  81.086  Cabinet  FS3-16-3-18  309
  - Conservation Resource & Development  81.086  Electric Power Coalition  URI/Lezlie  5,073

The accompanying notes are an integral part of this schedule.
### RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED

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

**Pass-through Awards:**
- Conservation Resource & Development

**Direct Awards:**
- Undergraduate International Studies and Foreign Language Programs

#### U.S. Department of Education:

**Pass-through Awards:**
- Special Education- Grants for Infants and Families
- Improving Teacher Quality State Grants
- Advanced Nursing Education Grant Program
- Occupational Safety and Health Program
- Alcohol Research Programs
- Drug Abuse and Addiction Research Programs
- Discovery and Applied Research for Technological Innovations to Improve Human Health
- Trans-NIH Research Support
- National Center for Research Resources

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

**Direct Awards:**
- Maternal and Child Health Federal Consolidated Programs
- Environmental Health

**Pass-through Awards - Continued:**
- National Significance
- Substance Abuse and Mental Health Services Projects of Regional and National Significance

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### Schedule of Expenditures of Federal Awards - Continued

#### Year Ended June 30, 2018

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<th>CFDA Number</th>
<th>Additional Award Identification Number</th>
<th>Pass-Through Entity</th>
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*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, 2018**

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

#### RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED

- **U.S. Department of Health and Human Services - Continued:**
  - **Pass-through Awards - Continued:**
    - Substance Abuse and Mental Health Services Projects of Regional and National Significance
      - 93.243 Rhode Island Department of Behavioral Healthcare, Development
        - Healthy Transitions
        - $131,547
        - $34,525
    - Substance Abuse and Mental Health Services Projects of Regional and National Significance
      - 93.243 Rhode Island Department of Behavioral Healthcare, Development
        - Local level evaluation
        - 102,864
        - -
    - Substance Abuse and Mental Health Services Projects of Regional and National Significance
      - 93.243 Rhode Island Department of Behavioral Healthcare, Development
        - PO 3502193
        - 147,348
        - 52,080
    - Substance Abuse and Mental Health Services Projects of Regional and National Significance
      - 93.243 Kent Center
        - URI/Stein
        - 7,087
        - -
    - Substance Abuse and Mental Health Services Projects of Regional and National Significance
      - 93.243 Community Care Alliance
        - URI/Stein
        - 21,804
        - 562,362
    - Drug Abuse and Addiction Research Programs
      - 93.279 Brown University
        - 1079
        - 902,388
        - -
    - Drug Abuse and Addiction Research Programs
      - 93.279 The Miriam Hospital
        - 714706LAL
        - 1,396
        - -
    - Drug Abuse and Addiction Research Programs
      - 93.279 Bay State Medical Center
        - 15,216
        - 55,359
        - 147,193
    - Nursing Research
      - 93.361 Yale University
        - M17A12609A(10935)
        - 109,794
        - 100,794
    - Cancer Research Manpower
      - 93.398 Brown University
        - 0000941
        - 11,433
        - 11,433
    - Temporary Assistance for Needy Families
      - 93.558 Rhode Island Department of Human Services
        - 3477045-1
        - 30,833
        - 30,833
    - Accountable Health Communities
      - 93.650 Care New England Health System
        - 100001-2
        - 48,661
        - 48,661
    - Child Lead Poisoning Prevention Surveillance financed in part by Prevention and Public Health (PPHF) Program
      - 93.735 Rhode Island Department of Health
        - RIDOH-Swinaild/2018
        - 431
        - 431
    - Medical Assistance Program
      - 93.778 State of Rhode Island
        - 3459930
        - 288,498
        - 288,498
        - 38,583
    - Medical Assistance Program
      - 93.778 Brown University
        - 0000729/PU-R-011995
        - 50,372
        - -
    - Cardiovascular Diseases Research
      - 93.837 Brown University
        - University of North Carolina - Chapel Hill
        - 0160678
        - 12,772
        - -
    - Cardiovascular Diseases Research
      - 93.837 Tufts University
        - SU166
        - 176
        - -
    - Cardiovascular Diseases Research
      - 93.837 Brown University
        - SUB Award: 0000729
        - 67,274
        - 130,802
    - Allergy, Immunology and Transplantation Research
      - 93.835 Harvard University
        - 114176-310213
        - 24,093
        - -
    - Allergy, Immunology and Transplantation Research
      - 93.835 University of California at Davis
        - SUB 201030542-03
        - 62,376
        - 87,069
    - Biomedical Research and Research Training
      - 93.859 Brown University
        - 00000918
        - 174,037
        - -
    - Biomedical Research and Research Training
      - 93.859 Brown University
        - 00001023
        - 154,665
        - -
    - Biomedical Research and Research Training
      - 93.859 Brown University
        - 00001044
        - 43,755
        - -
    - Biomedical Research and Research Training
      - 93.859 Brown University
        - 00001049
        - 21,232
        - -
    - Biomedical Research and Research Training
      - 93.859 Brown University
        - 00001050
        - 19,077
        - -
    - Biomedical Research and Research Training
      - 93.859 Brown University
        - 00001142
        - 155,260
        - -
    - Block Grants for Prevention and Treatment of Substance Abuse
      - 93.959 Yale University
        - M16A12388(A10553)
        - 216,741
        - 785,588
    - Aging Research
      - 93.866 Yale University
        - GR100954CON80000919
        - 132,867
        - 138,483
    - Research, Prevention, and Education Programs on Lyme Disease in the United States
      - 93.942 Western Connecticut State University
        - CDC2017A
        - 122,963
        - 122,963
    - Block Grants for Prevention and Treatment of Substance Abuse
      - 93.959 Rhode Island Department of Behavioral Healthcare, Development
        - 3526599
        - 142,100
        - 142,100
        - -
    - Total U.S. Department of Health and Human Services
      - -
      - -
      - -
      - 18,434,017
      - 18,434,017
      - 5,230,044
    - Corporation for National and Community Service:
      - Pass-through Awards:
        - AmeriCorps
          - 94.006 Jumpstart for Young Children, Inc.
          - 340200
          - 82,625
          - 82,625
          - -
      - Total Corporation for National and Community Service
        - 82,625
        - 82,625
        - -
    - U.S. Department of Homeland Security:
      - Direct Awards:
        - State and Local Homeland Security National Training Program
          - 97.025
          - 114,678
          - 114,678
          - 29,461
        - Pass-through Awards:
          - Centers for Homeland Security
            - 97.061 University of North Carolina - Chapel Hill
              - 5104662
              - 302,421
              - -
            - Centers for Homeland Security
              - Northeastern University
              - SUB 50505-78059
              - 635,230
              - 1,027,651
              - 172,848
        - Total U.S. Department of Homeland Security
          - 1,142,329
          - 1,142,329
          - 202,309
    - Agency for International Development:
      - Direct Awards:
        - USAID Foreign Assistance for Programs Overseas
          - 98.001
          - 7,397,876
          - 7,397,876
          - 1,862,724

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

### Year Ended June 30, 2018

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Additional Award Identification Number</th>
<th>Pass-Through Entity</th>
<th>Federal Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pass-through Awards:</td>
<td>Environment Sector Review</td>
<td>The Cadmus Group, Inc.</td>
<td>$66,757</td>
</tr>
<tr>
<td>USAID Foreign Assistance for Programs Overseas</td>
<td>USAID SHERA: Interdi</td>
<td>4,157</td>
<td>-</td>
</tr>
<tr>
<td>USAID Foreign Assistance for Programs Overseas</td>
<td>PACT</td>
<td>9,683</td>
<td>-</td>
</tr>
<tr>
<td>USAID Foreign Assistance for Programs Overseas</td>
<td>USAID 612-A-14-00004</td>
<td>590,129</td>
<td>649,517</td>
</tr>
</tbody>
</table>

**Total Agency for International Development** 8,114,151 8,114,151 1,878,301

**Total Research and Development Cluster** $40,400,691 $40,400,691 $11,029,286

**Total Expenditures of Federal Awards** $193,099,200 $193,099,200 $11,029,286

__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)

Notes to the Schedule of Expenditures of Federal Awards

Year Ended June 30, 2018

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, 2018. 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 position 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, 2018 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, 2018</th>
<th>Administrative Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>84.038</td>
<td>Federal Perkins Loan</td>
<td>$7,286,218</td>
<td>$</td>
</tr>
<tr>
<td></td>
<td>Health Professions Student Loans, Including Primary Care Loans/Loans</td>
<td></td>
<td></td>
</tr>
<tr>
<td>93.342</td>
<td>for Disadvantaged Students</td>
<td>$1,790,423</td>
<td>$</td>
</tr>
<tr>
<td>93.364</td>
<td>Nursing Student Loans</td>
<td>$1,613,860</td>
<td>$</td>
</tr>
</tbody>
</table>

**Direct Student Loan Program**

The University disbursed $90,335,716 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  __x__ no
• Significant deficiencies identified that are not considered to be material weaknesses?  _____ yes  __x__ no

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

Federal Awards

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

Internal control over major programs:

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

Any audit findings disclosed that are required to be reported in accordance with the Uniform Guidance?  _____ yes  __x__ 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>Research and Development Cluster</td>
<td>Various</td>
</tr>
</tbody>
</table>

Dollar threshold used to distinguish between type A and type B programs: $14,500,000

Auditee qualified as a low-risk auditee?  

[ ] yes  

[ ] no
Section II – Financial Statement Findings:

None
Section III – Federal Award Findings and Questioned Costs:

None
Management’s Summary Schedule of Prior Audit Finding

Year Ended June 30, 2018

Finding number: 2017-001
Federal agency: U.S. Department of Education
Programs: Student Financial Assistance Cluster
CFDA #’s: 84.063, 84.268
Award year: 2017

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 2017:
Out of a sample of sixty-one students with enrollment status changes, two students’ effective dates were reported incorrectly to NSLDS.

Current Year Status:
Corrective action was taken in the current year. The auditors’ test in this area resulted in no findings.