

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)**

**SUPPLEMENTAL INFORMATION AND
SINGLE AUDIT COMPLIANCE REPORTS**

YEAR ENDED JUNE 30, 2023



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(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
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**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**

Board of Trustees
University of Rhode Island
Kingston, Rhode Island

We have audited, in accordance with the 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 the business-type activities and the aggregate discretely presented component units of the University of Rhode Island (the University), as of and for the year ended June 30, 2023, 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 3, 2023. Our report includes a reference to other auditors who audited the financial statements of the University of Rhode Island Foundation & Alumni Engagement and University of Rhode Island Research Foundation, 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.

Report on 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) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions 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 or significant deficiencies may exist that were not identified.

Report on 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 financial statements. 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 entity’s internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



CliftonLarsonAllen LLP

Cranston, Rhode Island
October 3, 2023



**INDEPENDENT AUDITORS' REPORT ON COMPLIANCE FOR THE MAJOR
FEDERAL PROGRAM, REPORT ON INTERNAL CONTROL OVER COMPLIANCE,
AND REPORT ON THE SCHEDULE OF EXPENDITURES OF
FEDERAL AWARDS REQUIRED BY THE UNIFORM GUIDANCE**

Board of Trustees
University of Rhode Island
Kingston, Rhode Island

Report on Compliance for the Major Federal Program

Opinion on the Major Federal Program

We have audited the University of Rhode Island's (the University) compliance with the types of compliance requirements identified as subject to audit in the OMB *Compliance Supplement* that could have a direct and material effect on the University's major federal program for the year ended June 30, 2023. The University's major federal program is identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

In our opinion, the University complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on its major federal program for the year ended June 30, 2023.

Basis for Opinion on the Major Federal Program

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America (GAAS); 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* (Uniform Guidance). Our responsibilities under those standards and the Uniform Guidance are further described in the Auditors' Responsibilities for the Audit of Compliance section of our report.

We are required to be independent of the University and to meet our other ethical responsibilities, in accordance with relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion on compliance for the major federal program. Our audit does not provide a legal determination of the University's compliance with the compliance requirements referred to above.

Major Program and Low-Risk Auditee Determinations

As a component unit of the state of Rhode Island (the State), the University's major federal program, the dollar threshold used to determine type A and type B programs, and the determination if the State qualifies as a low-risk auditee is established at the State level by the Office of the Auditor General.

Responsibilities of Management for Compliance

Management is responsible for compliance with the requirements referred to above and for the design, implementation, and maintenance of effective internal control over compliance with the requirements of laws, statutes, regulations, rules, and provisions of contracts or grant agreements applicable to the University's federal programs.

Auditors' Responsibilities for the Audit of Compliance

Our objectives are to obtain reasonable assurance about whether material noncompliance with the compliance requirements referred to above occurred, whether due to fraud or error, and express an opinion on the University's compliance based on our audit. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS, *Government Auditing Standards*, and the Uniform Guidance will always detect material noncompliance when it exists. The risk of not detecting material noncompliance resulting from fraud is higher than for that resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Noncompliance with the compliance requirements referred to above is considered material if there is a substantial likelihood that, individually or in the aggregate, it would influence the judgment made by a reasonable user of the report on compliance about the University's compliance with the requirements of the major federal program as a whole.

In performing an audit in accordance with GAAS, *Government Auditing Standards*, and the Uniform Guidance, we:

- exercise professional judgment and maintain professional skepticism throughout the audit.
- identify and assess the risks of material noncompliance, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the University's compliance with the compliance requirements referred to above and performing such other procedures as we considered necessary in the circumstances.
- obtain an understanding of the University's internal control over compliance relevant to the audit in order to design audit procedures that are appropriate in the circumstances 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 the University's internal control over compliance. Accordingly, no such opinion is expressed.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and any significant deficiencies and material weaknesses in internal control over compliance that we identified during the audit.

Other Matters

The results of our auditing procedures disclosed an instance of noncompliance, which is required to be reported in accordance with the Uniform Guidance and which is described in the accompanying schedule of findings and questioned costs as item 2023-001. Our opinion on the major federal program is not modified with respect to this matter.

Government Auditing Standards requires the auditor to perform limited procedures on the University's response to the noncompliance findings identified in our compliance audit described in the accompanying schedule of findings and questioned costs. The University's response was not subjected to the other auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

Report on Internal Control Over Compliance

Our consideration of internal control over compliance was for the limited purpose described in the *Auditors' Responsibilities for the Audit of Compliance* section above and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies in internal control over compliance and therefore, material weaknesses or significant deficiencies may exist that were not identified. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, as discussed below, we did identify certain deficiencies in internal control over compliance that we consider to be significant deficiencies.

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 a 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. We consider the deficiency in internal control over compliance described in the accompanying schedule of findings and questioned costs as item 2023-001, to be a significant deficiency.

Our audit was not designed for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, no such opinion is expressed.

Government Auditing Standards requires the auditor to perform limited procedures on the University's response to the internal control over compliance findings identified in our audit described in the accompanying schedule of findings and questioned costs. The University's response was not subjected to the other auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

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.

Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the financial statements of the business-type activities and the aggregate discretely presented component units of the University as of and for the year ended June 30, 2023, and the related notes to the financial statements, which collectively comprise the University's basic financial statements. We have issued our report thereon, dated October 3, 2023, which contained unmodified opinions on those financial statements. Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the basic financial statements. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by the Uniform Guidance and is not a required part of the basic financial statements. 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 basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic 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.



CliftonLarsonAllen LLP

Cranston, Rhode Island
February 9, 2024

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
YEAR ENDED JUNE 30, 2023**

Student Financial Assistance Cluster: U.S. Department of Education	Federal Grantor Program Title	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
	Federal Supplemental Educational Opportunity Grants	84.007				\$ 1,010,003	\$ 1,010,003	-
	Federal Work Study Program	84.033				990,704	990,704	-
	Federal Perkins Loan Program (Beginning of Year)	84.038				1,592,095	1,592,095	-
	Federal Perkins Loan Program (Current Year Expenditures)	84.038				17,088,244	17,088,244	-
	Federal Pell Grant Program	84.063				81,978,092	81,978,092	-
	Federal Direct Student Loans	84.288				30,176	30,176	-
	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	84.379						-
	Total U.S. Department of Education, Student Financial Assistance					102,609,314	102,609,314	-
	U.S. Department of Health and Human Services							
	Health Professions Student Loans, Including Primary Care Loans, Loans for Disadvantaged Student (Beginning of Year)	93.342				2,049,650	-	-
	Health Professions Student Loans, Including Primary Care Loans, Loans for Disadvantaged Student (Current Year Expenditure)	93.342				274,100	2,323,750	-
	Nursing Student Loans (Beginning of Year)	93.364				1,744,915	-	-
	Nursing Student Loans (Current Year Expenditures)	93.364				231,400	1,976,315	-
	Total U.S. Department of Education, Student Financial Assistance					4,300,065	4,300,065	-
	Total Student Financial Assistance Cluster					106,909,379	106,909,379	-
Research and Development Cluster:								
U.S. Department of Agriculture:								
Direct Awards:								
	Agricultural Research-Basic and Applied Research	10.001				144,709	144,709	-
	Plant and Animal Disease, Pest Control, and Animal Care	10.025				335,481	335,481	-
	Wetlands Reserve Program	10.072				59,495	59,495	-
	Specialty Crop Block Grant Program-Farm Bill	10.170				115,207	115,207	79,617
	Acid Access Development Program	10.174				285,026	285,026	-
	Grants for Agricultural Research, Special Research Grants	10.200				78,854	78,854	-
	Mohr-Nixon Cooperative Forestry Research Program	10.202				145,466	145,466	-
	Payments to Agricultural Experiment Stations Under the Hatch Act	10.203				1,721,996	1,721,996	-
	Animal Health And Disease Research	10.207				33,375	33,375	-
	Higher Education - Multicultural Scholars Grant Program	10.220				42,707	42,707	-
	Organic Agriculture Research and Extension Initiative	10.307				22,551	22,551	12,313
	Agriculture and Food Research Initiative (AFRI)	10.310				937,262	937,262	-
	Food Safety Outreach Competitive Grants Program	10.328				30,711	30,711	-
	Crop Protection and Pest Management Competitive Grants Program	10.329				85,586	85,586	-
	Cooperative Extension Service	10.333				6,233	6,233	-
	Urban, Indoor, and Other Emerging Agricultural Production Research, Education, and Extension Initiative	10.500				1,337,535	1,337,535	-
	Expanded Food and Nutrition Education Program	10.514				71,940	71,940	-
	Renewable Resources Extension Act and National Focus Fund Projects	10.515				17,842	17,842	-
	Forest Health Protection	10.680				3,306	3,306	104,105
	Soil and Water Conservation	10.902				268,017	268,017	-
	Soil Survey	10.903				134,625	134,625	5,401
	Environmental Quality Incentives Program	10.912				57,918	57,918	-
	Technical Agricultural Assistance	10.960				258,883	258,883	-

See accompanying Notes to Schedule of Expenditures of Federal Awards.

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (CONTINUED)
YEAR ENDED JUNE 30, 2023**

Federal Grantor Program Title	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
Research and Development Cluster (Continued):							
U.S. Department of Agriculture (Continued):							
Pass-through Awards:							
RI University of Rhode Island Vaccine Education Project	10.RD	EXCL-2021-2086	Extension Foundation	EXCL-2021-2086	3,047	\$ -	-
FORESTRY SUPPORT TO NRCS	10.RD	RRCD-McWilliams 100219	RI Resources Conservation & Development	RRCD-McWilliams 100219	18,620	21,666	-
Agricultural Research-Basic and Applied Research	10.001		Bigelow Laboratory for Ocean Sciences	489044E	63,562	63,562	-
Plant and Animal Disease, Pest Control, and Animal Care	10.025		University of Connecticut STORRS	495113	3,103	3,103	-
Specialty Crop Block Grant Program-Farm Bill	10.170		RI Dept. of Environ. Management	376366	3,090	3,090	-
Grants for Agricultural Research, Special Research Grants	10.200		University of Maryland	123476-2520211	16	-	66,192
Grants for Agricultural Research, Special Research Grants	10.200		University of Maryland	91285-2511204	86,959	-	10,905
Grants for Agricultural Research, Special Research Grants	10.200		University of Maryland	91285-2511208	14,542	-	-
Grants for Agricultural Research, Special Research Grants	10.200		Roger Williams University	SG-2234715-UR	11,224	113,041	-
Sustainable Agriculture Research and Education	10.215		University of Vermont	ONE22-283-AWD000000495	2,758	-	-
Sustainable Agriculture Research and Education	10.215		University of Vermont	LINE15-381-133243	54,758	-	-
Sustainable Agriculture Research and Education	10.215		University of Vermont	LINE23-464-AWD0001024	1,697	-	-
Sustainable Agriculture Research and Education	10.215		University of Vermont	ONE21-390-AWD00000495	4,892	-	-
Sustainable Agriculture Research and Education	10.215		University of Vermont	ONE21-390-35383	11,313	-	-
Sustainable Agriculture Research and Education	10.215		University of Vermont	SNE20-012-RI-3-4268	23,531	98,950	-
Higher Education - Institution Challenge Grants Program	10.217		Johnson & Wales University	01-480406-001	5,621	5,621	-
Integrated Programs	10.303		West Virginia University	18-726-URI	51,977	51,977	-
Homeland Security Agricultural	10.304		Michigan State University	RC112910N	5,810	-	-
Specialty Crop Research Initiative	10.309		University of Maine	UMS1426	18,088	23,908	-
Agriculture and Food Research Initiative (AFRI)	10.310		Pennsylvania State University State	S000323-USDA	26,315	26,315	-
Agriculture and Food Research Initiative (AFRI)	10.310		Purdue University	18032	14,155	-	-
Food Safety Outreach Competitive Grants Program	10.329		University of Connecticut STORRS	420026	43,275	57,430	-
Crop Protection and Pest Management Competitive Grants Program	10.351		University of Nebraska	25-6331-0412-003	25,677	25,677	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program	10.561		RI Dept. of Human Services	86935-22422	2,756	2,756	-
Cooperative Forestry Assistance	10.664		RI Dept. of Human Services	395369	169,441	178,620	-
			RI Dept. of Environ. Management	322283	28,241	28,241	-
				3754278			
					6,866,992	6,866,992	270,733
Total U.S. Department of Agriculture							
U.S. Department of Commerce:							
Direct Awards:							
Economic Development Technical Assistance	11.303				200,496	200,496	-
Anadromous Fish Conservancy Act Program	11.405				2,190,886	2,190,886	1,306,636
Sea Grant Support	11.417				3,523,085	3,523,085	634,024
Climate and Atmospheric Research	11.431				324,628	324,628	74,602
National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	11.432				16,455,499	16,455,499	14,722,129
Marine Fisheries Initiative	11.433				78,895	78,895	16,268
Congressionally Identified Awards	11.469				111,220	111,220	-
Center for Sponsored Coastal Ocean Research Coastal Ocean Program	11.478				680,341	680,341	135,576
Pass-through Awards:							
United States East Coast Tsunami Hazard Program (F72)	11.RD	NA22NWS4670017-SURI	Northeast States Emergency Consortium	NA22NWS4670017-SURI	9,972	9,972	-
Ocean Exploration	11.011		Smithsonian Institution	NA21ONRO11020211	25,377	25,377	-
Integrated Ocean Observing Systems (IOOS)	11.012		University of Delaware	UDR000081	64,066	157,327	-
Integrated Ocean Observing Systems (IOOS)	11.012		NEPACCOOS	NZ1AO13607	73,241	-	-
Economic Adjustment Assistance	11.307		401 Tech Bridge	ED21HD1307045	42,059	-	-
Economic Adjustment Assistance	11.307		401 Tech Bridge	2022-02	14,106	-	-
Economic Adjustment Assistance	11.307		401 Tech Bridge	2022-03	16,192	72,359	-

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (CONTINUED)
YEAR ENDED JUNE 30, 2023**

Federal Grantor Program Title	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
Research and Development Cluster (Continued):							
U.S. Department of Commerce (Continued):							
Pass-through Awards (Continued):							
Sea Grant Support	11.417		University of Connecticut STORRS	164276790	\$ 12,696	\$ -	\$ -
Sea Grant Support	11.417		University of Connecticut STORRS	368948	56,663	-	-
Sea Grant Support	11.417		University of Connecticut STORRS	364363	14,277	-	-
Sea Grant Support	11.417		University of Maine	UOMaine_Sockling_113022	4,894	88,530	-
Coastal Zone Management Estuarine Research Reserves	11.420		RI Dept. of Environ. Management	NATNOS200117	2,538	2,538	-
Climate and Atmospheric Research	11.431		RI Natural History Survey	2019-1	22,480	-	-
National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	11.432		Northeast States Emergency Consortium	NAX1NW5467007-SURI	106,277	-	-
National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	11.432		Woods Hole Oceanographic Institution	A101446	26,720	132,897	-
Office for Coastal Management	11.473		National Fish and Wildlife Foundation	0318.20.069217	52,768	52,768	-
Atlantic Coastal Fisheries Cooperative Management Act	11.474		Rutgers University	1194043	183,263	183,263	-
Total U.S. Department of Commerce					24,312,661	24,312,661	16,889,435
U.S. Department of Defense:							
Direct Awards:							
Basic and Applied Scientific Research	12.300		CHEROKEE NATION TECHNOLOGY SOLUTIONS	15705-0040001	79,093	-	-
Scientific Research - Combating Weapons of Mass Destruction	12.351		TRITON Systems, Inc.	TS1-5075-22-20209379	19,512	98,605	-
Milit. Military Medical Research and Development	12.420		City of Newport, RI	001	97,077	97,077	-
Basic Scientific Research	12.431		University of Connecticut STORRS	150275136	338,001	338,001	-
The Language Flagship Grants to Institutions of Higher Education	12.550		Navatek	00-K493-90000	1,028,206	-	-
Basic, Applied, and Advanced Research in Science and Engineering	12.630		University of Connecticut Avery Point	157335162	5,855	-	-
Air Force Defense Research Sciences Program	12.800		University of Connecticut Avery Point	158002343	40,008	-	-
Pass-through Awards:							
CNTS/IDIQ for Critical Research	12.RD	15705-0040/001	CHEROKEE NATION TECHNOLOGY SOLUTIONS	15705-0040001	79,093	-	-
Navy SBIR Phase I Topic N221-053 entitled "Multi-Aperture Vector Sensor Vertical Array Processing Enhancements to Reduce Operator Workload"	12.RD	TS1-5075-22-20209379	TRITON Systems, Inc.	TS1-5075-22-20209379	19,512	98,605	-
Community Economic Adjustment Assistance for Responding to Threats to the Resilience of a Military Installation	12.003		City of Newport, RI	001	97,077	97,077	-
National Defense Education Program	12.006		University of Connecticut STORRS	150275136	338,001	338,001	-
Basic and Applied Scientific Research	12.300		Navatek	00-K493-90000	1,028,206	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	157335162	5,855	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	158002343	40,008	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	157507720	30,948	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	157334323	54,258	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	157336841	139,559	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	157333334	205,382	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	157330959	170,414	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	158005075	135,030	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	157505062	21,042	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	157992003	137,656	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	157996663	70,918	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	158098449	29,769	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	158004200	28,087	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	158006049	41,056	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	158548422	133,280	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	159503051	45,560	-	-
Basic and Applied Scientific Research	12.300		University of Connecticut Avery Point	15951462	59,542	-	-

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (CONTINUED)
YEAR ENDED JUNE 30, 2023**

Federal Grantor Program Title	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
Research and Development Cluster (Continued):							
U.S. Department of Defense (Continued):							
Pass-through Awards (Continued):							
Basic and Applied Scientific Research	12,300		HighRI Optics, Inc.	2021 UPI	\$ 7,657	\$ -	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	365364	247	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	365373	4,327	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	365376	7,024	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	365381	3,459	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	365382	177,142	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	365388	183,003	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	388683	2,156	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	389994	24,092	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	390719	21,530	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	405249	82,450	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	405447	5,104	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	419209	124,065	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	419210	137,823	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	419212	45,749	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	419214	2,917	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	419215	41,910	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	419221	132,195	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	419224	88,883	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	422919	148,811	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	422920	86,437	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	422921	69,054	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	422924	(1,864)	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	422925	4,106	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	422926	40,071	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	422928	6,035	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	422930	2,723	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	422931	61,264	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	423318	13,005	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	426742	67,377	-	-
Basic and Applied Scientific Research	12,300		University of Commedical STORRS	161260754	28,287	-	-
Basic and Applied Scientific Research	12,300		Goetz Composites	N66804-18-9-0001	6,415	-	-
Basic and Applied Scientific Research	12,300		University of North Carolina-CH	5120732	18,595	-	-
Basic and Applied Scientific Research	12,300		Physical Science, Inc.	SC-8003-001	177,193	-	-
Basic and Applied Scientific Research	12,300		Woods Hole Oceanographic Institution	A101543	16,975	4,215,597	-
Basic and Applied Scientific Research	12,300		The Research Foundation for SUNY	1156130-85693	11,503	-	-
Basic and Applied Scientific Research	12,420		Princeton University	SUB0000514	12,289	-	-
Basic and Applied Scientific Research	12,431		Princeton University	W15QKN-22-P-0046	2,810	15,099	-
Basic and Applied Scientific Research	12,431		Division by Zero Labs	BOR21-JUR1-19-SSC-PO3	101,600	101,600	-
Basic and Applied Scientific Research	12,550		Institute for International Education	1913	60,383	-	-
Basic and Applied Scientific Research	12,800		Brown University	Kunal_RICC_083022	3,829	64,222	-
Basic and Applied Scientific Research	12,800		RI Commerce Corp				
Total U.S. Department of Defense					11,810,520	11,810,520	410,803

See accompanying Notes to Schedule of Expenditures of Federal Awards.

**UNIVERSITY OF RHODE ISLAND
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SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (CONTINUED)
YEAR ENDED JUNE 30, 2023**

Research and Development Cluster (Continued):	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
U.S. Department of Interior:							
Direct Awards:							
Science and Technology Projects Related to Coal Mining and Reclamation	15.255				\$	\$	75,000
Bureau of Ocean Energy Management (BOEM) Environmental Studies (ESP)	15.423				221,982	221,982	44,514
SECURE Water Act-Research Agreements	15.560				14,406	14,406	-
North American Wetlands Conservation Fund	15.623				50,747	50,747	-
Coastal	15.630				61,285	61,285	-
National Wildlife Refuge System Enhancements	15.654				37,887	37,887	-
Hurricane Sandy Disaster Relief Activities-FWS	15.677				3,745	3,745	-
Cooperative Ecosystem Studies Units	15.678				637	637	-
Assistance to State Water Resources Research Institutes	15.805				106,708	106,708	-
Water Resources Research Aquatic Invasive Species Competitive Grants Program	15.808				144,147	144,147	-
National Cooperative Geologic Mapping	15.810				54,026	54,026	-
Cooperative Research and Training Programs- Resources of the National Park System	15.945				250,384	250,384	24,939
Pass-through Awards:							
CI - StateView Program Development and Operations for the State of Rhode Island	15.RD	AV18-RI-01	America/View	AV18-RI-01	19,657	-	-
Block Island Structural Monitoring Program	15.RD	CRMC_DOL_Baxter_2019	RI Coastal Res Mgt Council	CRMC_DOL_Baxter_2019	19,382	39,239	-
Experienced Services	15.019		RI Coastal Res Mgt Council	140E0122C0004	409,949	409,949	346,389
Bureau of Ocean Energy Management (BOEM) Environmental Studies Program (ESP)	15.423		HDR / e2M	1000300001036	6,329	-	-
Bureau of Ocean Energy Management (BOEM) Environmental Studies Program (ESP)	15.423		University of Alaska	UA22-0040	128,788	135,117	-
Fish and Wildlife Management Assistance	15.608		RI Dept of Environ Management	3692226	19,791	19,791	-
Wildlife Restoration and Basic Hunter Education	15.628		RI Dept of Environ Management	3607500	60,186	60,186	-
Multistate Conservation Grant	15.630		Wildlife Management Institute	CA-DESMILLER12018	1,680	1,680	-
Coastal	15.630		RI Dept of Environ Management	GSA_00076	92,846	-	-
Coastal	15.630		RI Dept of Environ Management	FS0184M-Geevy	6,540	-	-
State Wildlife Grants	15.634		RI Dept of Environ Management	3872635	3,627	103,013	-
State Wildlife Grants	15.634		RI Dept of Environ Management	3366685	51,538	-	-
State Wildlife Grants	15.634		RI Dept of Environ Management	4,781	-	-	-
State Wildlife Grants	15.634		RI Dept of Environ Management	3666336	2,009	-	-
State Wildlife Grants	15.634		RI Dept of Environ Management	3071997	7,999	66,627	-
Research Grants (Generic)	15.650		RI Dept of Environ Management	3746461	1,765	-	-
Research Grants (Generic)	15.650		HDR / e2M	1000300002152	151,508	153,273	-
Natural Resource Stewardship	15.944		RI Dept of Environ Management	3665779	38,106	38,106	-
			New Mexico Dept of Game & Fish	516100-0000077633	-	-	-
Total U.S. Department of Interior					2,095,028	2,095,028	480,842

See accompanying Notes to Schedule of Expenditures of Federal Awards.

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SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (CONTINUED)
YEAR ENDED JUNE 30, 2023**

Federal Grantor Program Title	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
Research and Development Cluster (Continued):							
U.S. Department of Justice:							
Pass-through Awards:							
Law Enforcement Assistance Narcotics and Dangerous Drugs Technical Laboratory Publications	16.003		RI Department of Public Safety	2020ACEF-007	\$ 3,500	\$ 3,500	-
Paul Coverdell Forensic Sciences Improvement Grant Program	16.742		RI Department of Public Safety	FY21.FSIA-01	89,000	89,000	-
Second Chance Act Reentry Initiative	16.812		Building Futures	FAN-167270	300	300	-
Total U.S. Department of Justice					92,800	92,800	-
U.S. Department of Transportation:							
Pass-through Awards:							
Highway Planning and Construction	20.205		Rhode Island Division of Planning	3393404	76,000	76,000	-
University Transportation Centers Program	20.701		University of Maine	UMS-1185	269,647	269,647	14,951
Pipeline Safety Research, Competitive Academic Agreement Program (CAAP)	20.724		Brown University	00002280	1,471	1,471	-
Total U.S. Department of Transportation					347,118	347,118	14,951
National Aeronautics and Space Administration:							
Direct Awards:							
Pass-through Awards:							
Aeronautics	43.001				214,777	214,777	-
Science	43.001		University of Florida	SUB00003622	61,385	-	-
Science	43.001		Fairall Institute	020-241-LURI	9,506	-	-
Science	43.001		University of Maine	UMS 1296	5,533	-	-
Science	43.001		Science Applications International Corp.	DP	55,857	132,281	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00001501	116,570	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00001799	20,347	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00001823	3,982	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00001859	(1,462)	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00001860	6,671	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00001896	2,377	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00002084	22,334	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00002086	10,622	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00002094	25,328	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00023107	31,524	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00002119	10,638	-	-
Office of Stem Engagement (OSTEM)	43.008		Brown University	00002158	167,523	416,854	-
Total National Aeronautics and Space Administration					763,912	763,912	-
National Endowment of the Humanities:							
Direct Awards:							
Promotion of the Humanities Public Programs	45.164				5,348	5,348	-
Total National Endowment of the Humanities					5,348	5,348	-
National Science Foundation:							
Direct Awards:							
Engineering Grants	47.041				1,125,283	1,125,283	44,848
Mathematical and Physical Sciences	47.049				339,960	339,960	1,100
Geosciences	47.050				8,300,240	8,300,240	190,668
Computer and Information Science and Engineering	47.070				576,216	576,216	12,995
Biological Sciences	47.074				985,010	985,010	66,118
Social, Behavioral, and Economic Sciences	47.075				37,462	37,462	-
Education and Human Resources	47.076				1,628,388	1,628,388	-
Polar Programs	47.078				175,304	175,304	-
Office of Integrated Activities	47.083				1,010,286	1,010,286	538,329

See accompanying Notes to Schedule of Expenditures of Federal Awards.

**UNIVERSITY OF RHODE ISLAND
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SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (CONTINUED)
YEAR ENDED JUNE 30, 2023**

Federal Grantor Program Title	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
Research and Development Cluster (Continued):							
National Science Foundation (Continued):							
Pass-through Awards:							
Engineering Grants	47.041		Florida International University	00510	\$	12,411	\$
RCRVZ Phase III - Ship Construction	47.050		Oregon State University	IGS11227782		50,802	-
Geosciences	47.050		Princeton University	SUB0000525		124,828	-
Geosciences	47.050		Columbia University	32C(G0009393-04)		8,694	-
Geosciences	47.050		Columbia University	32D(G0009393-4)		39,888	-
Geosciences	47.050		Columbia University	32E(G0009393-4)		22,854	-
Geosciences	47.050		Woods Hole Oceanographic Institution	82423600		238	-
Computer and Information Science and Engineering	47.050		Woods Hole Oceanographic Institution	85586600		449,230	696,494
Biological Sciences	47.070		Yale University	GR109699CON-80002382		49,133	49,133
Biological Sciences	47.074		Baruch College	CM0008210		19,996	19,996
Education and Human Resources	47.076		University of Connecticut	147203923		58,623	58,623
Office of International Science and Engineering	47.079		The University of Texas at Austin	UTAUS-SUB0000011		21,660	21,660
Office of Integrative Activities	47.083		University of California Santa Barbara	RK2235		67,045	-
Office of Integrative Activities	47.083		Dartmouth College	R1302		295,382	-
Office of Integrative Activities	47.083		University of Southern California	66919743		(1,491)	-
Office of Integrative Activities	47.083		Edinburgh Napier University	2234741		9,589	370,494
NSF Technology, Innovation, and Partnerships	47.084		University of California Santa Barbara	KK2313		111,998	111,998
Total National Science Foundation					15,518,966	15,518,966	854,068
Small Business Administration:							
Direct Awards:							
Small Business Development Centers	59.037				739,821	739,821	-
Total Small Business Administration					739,821	739,821	-
Department of Veterans Affairs:							
Direct Awards:							
Quantifying Bone and Skin Movement in the Residual Limb-Socket Interface of Individuals with Transfemoral Amputation Using Dynamic Stereo X-ray	64 RD	VA New York Harbor Health			8,628	8,628	-
VA IPA Agreement	64 RD	VA IPA Agreement-Ruben			12,726	12,726	-
Total Department of Veterans Affairs					21,352	21,352	-
Environmental Protection Agency:							
Direct Awards:							
Environmental Education Grants	66.951				28,111	28,111	8,419
Pass-through Awards:							
Southeast New England Coastal Watershed Restoration	66.129		Restore America's Estuaries	SNEPWG18-6-JRI	105,531	-	-
Southeast New England Coastal Watershed Restoration	66.129		Town of Charlestown	56,000,C210,000	19,922	-	-
Southeast New England Coastal Watershed Restoration	66.129		University of Maine	SNEP1,036	22,664	147,917	-
Long Island Sound Program	66.437		New England Interstate Water Pollution	LI004-00668-034-003	16,349	16,349	-
National Estuary Program	66.456		Boston University	4500094631	6,075	6,075	-
Capitalization Grants for Drinking Water - State Revolving Funds	66.468		RI Dept of Health	3655689-1	177,980	177,980	-
Office of Research and Development Consolidated Research/Training/Fellowships	66.511		Iowa State University	026713B	32,352	32,352	-
Research, Development, Monitoring, Public Education, Outreach, Training, Demonstrations, and Studies	66.716		Extension Foundation	Alm_Extension_123122	12,164	12,164	-
Total Environmental Protection Agency					420,948	420,948	8,419

See accompanying Notes to Schedule of Expenditures of Federal Awards.

**UNIVERSITY OF RHODE ISLAND
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YEAR ENDED JUNE 30, 2023**

Research and Development Cluster (Continued):	Federal Grantor Program Title	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
U.S. Department of Energy:						\$	\$	\$
Direct Awards:								
Pass-through Awards:								
	Office of Science Financial Assistance Program	81,049				679,550	679,550	215,289
	Physical-Based Digital Twins for Optimal Asset Management	81, RD	103701-00001(EST0001)	Tufts University	103701-00001(EST0001)	17,270	-	-
	Geotechnical Research for the Development of the HAGIS Anchoring System	81, RD	TSI-2576-19-109766	Triton Systems, Inc.	TSI-4695-20-20203103	10,066	-	-
	Geotechnical Support for Prototype Development of the Triton Anchor System	81, RD	TSI-2576-19-109766	Triton Systems, Inc.	TSI-2576-19-109766	18,376	-	-
	Transformation of Sorghum for the University of California, Berkeley	81, RD	7458216	Lawrence Berkeley Nat Laboratory	7458216	5,463	-	-
	Synthesis, Screening and Characterization of Novel Electrolyte for Low Temperature Lithium-Ion Batteries	81, RD	378690	Brookhaven National Laboratories	378690	236,077	237,882	-
	Office of Science Financial Assistance Program	81,049		Deep Reach Technologies	T2022-URI-004	124,333	-	-
	Office of Science Financial Assistance Program	81,049		Donald Danforth Plant Science Center	23021-R	306,079	-	-
	Office of Science Financial Assistance Program	81,049		Donald Danforth Plant Science Center	23217-R	32,633	-	-
	Office of Science Financial Assistance Program	81,049		Pennsylvania State University	5027-URI-DOE-1090	121,689	-	-
	Office of Science Financial Assistance Program	81,049		University of Georgia	SUB00001808	64	-	-
	Office of Science Financial Assistance Program	81,049		University of Georgia	SUB00002708	59,131	-	-
	Office of Science Financial Assistance Program	81,049		Rhode Island College	80000918-01A	36,613	680,751	-
	Renewable Energy Research and Development	81,087		Biodiversity Research Institute	DE-BE0010287	4,860	4,860	-
	Total U.S. Department of Energy					1,653,043	1,653,043	215,289
U.S. Department of Education:								
Direct Awards:								
Pass-through Awards:								
	Office of Postsecondary Education	84,116				1,199,999	1,199,999	-
	Ready-to-Learn Television	84,295		Public Broadcasting Service	URISweetman	4,095	4,095	-
	Education Research, Development and Dissemination	84,305		University of Wisconsin, Madison	184	35,864	35,864	-
	Statewide Longitudinal Data Systems	84,372		RI Department of Education	3692169	395,791	395,791	-
	Governor's Emergency Education Relief Fund	84,425C		RI Office of Postsecondary Commissioner	URIECCCE	585	585	-
	Total U.S. Department of Education					1,636,335	1,636,335	-
U.S. Election Assistance Commission								
Direct Awards:								
	Help America Vote Act Requirements Payments	90,401				264,271	264,271	-
	Total U.S. Election Assistance Commission					264,271	264,271	-
U.S. Department of Health and Human Services:								
Direct Awards:								
	CDC Evaluation of Commercially Available Natural Product-Based Acaricides for Suppression of Host-Seeking Nymphal Ixodes Scapularis Ticks	93, RD	75030118C05160			40,236	40,236	-
	Food and Drug Administration Research	93, 103				136,429	136,429	-
	Environmental Health	93, 113				256,417	256,417	-
	Oral Diseases and Disorders Research	93, 121				400,934	400,934	103,415
	NIEHS Superfund Hazardous Substances Basic Research and Education	93, 143				1,537,307	1,537,307	485,608
	Human Genome Research	93, 172				89,936	89,936	-
	Research on Healthcare Costs, Quality and Outcomes	93,226				478,734	478,734	37,537
	Substance Abuse and Mental Health Services Projects of Regional and National Significance	93,243				202,910	202,910	147,065
	Advanced Nursing Education Workforce Grant Program	93,247				668,444	668,444	178,387
	Alcohol Research Programs	93,273				933,807	933,807	28,798
	Drug Abuse and Addiction Research Programs	93,279				830,597	830,597	386,751
	Discovery and Applied Research for Technological Innovations to Improve Human Health	93,286				38	38	-
	Emerging Infections Programs	93,317				77,111	77,111	60,924

See accompanying Notes to Schedule of Expenditures of Federal Awards.

**UNIVERSITY OF RHODE ISLAND
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YEAR ENDED JUNE 30, 2023**

Federal Grantor Program Title	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
Research and Development Cluster (Continued):							
U.S. Department of Health and Human Services (Continued):							
Direct Awards (Continued):							
Research Infrastructure Programs	93.351				\$ 55,260	\$ 55,260	\$ -
Nursing Research	93.361				312,986	312,986	20,293
Cancer Biology Research	93.366				243,712	243,712	-
Developmental Disabilities Basic Support and Advocacy Grants	93.830				464,276	464,276	448,969
Cardiovascular Diseases Research	93.837				364,105	364,105	23,001
Lung Diseases Research	93.838				714,502	714,502	417,034
Blood Diseases and Resources Research	93.839				323,188	323,188	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853				1,379,226	1,379,226	225,443
Allergy and Infectious Diseases Research	93.855				2,810,298	2,810,298	1,321,913
Biomedical Research and Research Training	93.859				5,454,218	5,454,218	2,376,049
Child Health and Human Development Extramural Research	93.865				313,140	313,140	-
Aging Research	93.866				771,046	771,046	203,981
Geriatric Education Centers	93.969				832,619	832,619	150,005
Pass-through Awards:							
Special Programs for the Aging, Title III, Part B, Grants for Supportive Services and Senior Centers	93.044		State of Rhode Island Office of Health	3770557	193,970	193,970	-
Prevention of Disease, Disability, and Death by Infectious Diseases	93.084		UMASS/ Amherst	23-017116-000, 017116-0066	377,730	377,730	-
Food and Drug Administration Research	93.103		RI Department of Environ Management	3746324	46,355	46,355	-
Area Health Education Centers	93.107		Brown University	00001125	1,589	-	-
Area Health Education Centers	93.107		Brown University	00002183	92,046	93,945	-
Research and Training in Complementary and Integrative Health	93.213		Butler Hospital	5001651URI	8,187	8,187	-
Mental Health Research Grants	93.242		University of Missouri, Columbia	C00078940-2	57,208	57,208	-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		RI Dept of Behavioral Healthcare, Develop	3656112	13,986	-	-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		RI Dept of Behavioral Healthcare, Develop	3628972	169,302	-	-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		RI Dept of Behavioral Healthcare, Develop	3631646	102,722	-	-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		Newport County CHHC, Inc	MCA_NHP_LURL_2	86,731	-	-
Drug Abuse and Addiction Research Programs	93.279		MCA_CCA_URI	Community Care Alliance	355,968	740,796	28,706
Drug Abuse and Addiction Research Programs	93.279		Brown University	0001483	277,762	-	-
Drug Abuse and Addiction Research Programs	93.279		Oregon Health & Science University	101948_URI	223,258	-	-
Drug Abuse and Addiction Research Programs	93.279		Oregon Health & Science University	1016803_URI	62,145	-	-
Drug Abuse and Addiction Research Programs	93.279		University of Oregon	217300C	4,807	-	-
Drug Abuse and Addiction Research Programs	93.279		The Brigham and Women's Hospital, Inc.	126966	93,315	-	-
Drug Abuse and Addiction Research Programs	93.279		Brandeis	GR403963_URI	19,126	-	-
Drug Abuse and Addiction Research Programs	93.310		Butler Hospital	5001781URI	15,262	695,676	-
Drug Abuse and Addiction Research Programs	93.361		Brown University	00001759	19,544	19,544	-
Trans-NIH Research Support	93.434		UMass Medical School	SUB00000152	69,794	69,794	-
Child Care and Development Block Grant	93.575		RI Dept of Ed, Els and Sec Ed	2725-22102-210	110,454	110,454	-
Every Student Succeeds Act/Preschool Development Grants	93.747		RI Assoc for the Educa of Young Children	3669269	219,080	219,080	-
Child Care and Development Block Grant	93.829		Disabled Persons Protection Commission	Venkatasubramanian, MDPPC	56,931	56,931	-
Elder Abuse Prevention Interventions Program	93.837		Thrive Behavioral Health, Inc.	CCBHC-URI	70	70	-
Cardiovascular Diseases Research	93.838		University of California, Los Angells	031690-01-URI	101,919	101,919	-
Lung Diseases Research	93.846		Ocean State Research Institute, Inc.	122208	4,685	4,685	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846		Massachusetts General Hospital	236365	26,611	26,611	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		John Hopkins University	2005136518	69,461	-	-

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SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (CONTINUED)
YEAR ENDED JUNE 30, 2023**

Federal Grantor Program Title	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
Research and Development Cluster (Continued):							
U.S. Department of Health and Human Services (Continued):							
Pass-through Awards (Continued):							
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		Northwestern University	60054064	181,432	\$ -	\$ -
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		Regeneron, Inc.	Regeneron, Inc.	91,180	342,073	-
Allergy and Infectious Diseases Research	93.855		Utespan	7017137700	19,743	-	-
Allergy and Infectious Diseases Research	93.855		The Children's Hospital Corporation	GEHF0002235707	10,692	-	-
Allergy and Infectious Diseases Research	93.859		Columbia University	8(GG014746-23)	64,347	94,182	-
Biomedical Research and Research Training	93.859		Brown University	00001920	14,471	-	-
Biomedical Research and Research Training	93.859		Brown University	00001921	24,124	-	-
Biomedical Research and Research Training	93.859		Brown University	00001926	24,529	-	-
Biomedical Research and Research Training	93.859		Brown University	00001928	48,083	-	-
Biomedical Research and Research Training	93.859		Brown University	00001939	152,105	-	-
Biomedical Research and Research Training	93.859		Brown University	00002238	21,643	-	-
Biomedical Research and Research Training	93.859		Brown University	00002246	6,168	-	-
Biomedical Research and Research Training	93.859		Brown University	Advance-CTR Pilot Project	13,585	-	-
Biomedical Research and Research Training	93.859		Brown University	Advance-CTR Pilot Project	19,650	-	-
Biomedical Research and Research Training	93.859		Brown University	Advance-CTR	24,986	-	-
Biomedical Research and Research Training	93.859		Ocean State Research Institute, Inc.	312240	(82)	-	-
Biomedical Research and Research Training	93.859		Ocean State Research Institute, Inc.	312240-SMCOBA-Pilot	31,247	-	-
Biomedical Research and Research Training	93.859		Ocean State Research Institute, Inc.	312240-RCCOB-Pilot	37,499	-	-
Biomedical Research and Research Training	93.859		Ocean State Research Institute, Inc.	GR108643CON-80002175)	212,149	-	-
Biomedical Research and Research Training	93.859		Yale University	7139198DSL	2,372	-	-
Biomedical Research and Research Training	93.859		Lifespan	IG64-14CON7	31,697	-	-
Biomedical Research and Research Training	93.859		RI Dept of Labor & Training	7137984NHV	147,633	-	-
Biomedical Research and Research Training	93.859		Rhode Island Hospital	7147123	118,691	-	-
Biomedical Research and Research Training	93.859		The Miriam Hospital	747123KLL	8,955	954,698	-
Biomedical Research and Research Training	93.859		The Miriam Hospital	714623A	13,370	13,370	-
Biomedical Research and Research Training	93.865		Florida State University	R00002706	311,733	-	-
Child Health and Human Development/Extramural Research	93.866		The Research Foundation for SUNY	82900	17,230	328,963	-
Aging Research	93.958		University of Michigan	SUBK00018419	267,449	-	13,480
Block Grants for Community Mental Health Services	93.958		Newport County CHMC, Inc.	MCA_NMH_URL3	78,263	-	-
Block Grants for Community Mental Health Services	93.958		Newport County CHMC, Inc.	CCBHC-IA	109,196	454,908	-
Block Grants for Community Mental Health Services	93.959		RI Dept of Behavioral Healthcare, Develop	3777758	1,589	-	-
Block Grants for Prevention and Treatment of Substance Abuse	93.959		RI Dept of Behavioral Healthcare, Develop	3740165	98,745	-	-
Block Grants for Prevention and Treatment of Substance Abuse	93.959		RI Dept of Behavioral Healthcare, Develop	3526599	118,291	218,605	-
Block Grants for Prevention and Treatment of Substance Abuse	93.969		RI Dept of Behavioral Healthcare, Develop	3775988	7,601	7,601	-
PPHF Geriatric Education Centers	93.969		Bay State Medical Center	FED712-19163-A3	8,025	8,025	-
International Research and Research Training	93.989		University of California at Davis	A20-0501-S001	24,876,950	24,876,950	6,564,614
Total U.S. Department of Health and Human Services							
Direct Awards:							
U.S. Department of Homeland Security:							
Creating Courageous Communities: Developing a Statewide Learning Community in Media Literacy to Counter Extremist Violence							
Support of ARA Explosive Detection	97.RD	EMW-2022-GR-00055	Applied Research Associates	S-539-G-40001-0-0-URI	279,411	279,411	-
Support of ARA Explosive Detection	97.RD	S-539-G-40001-0-0-URI	Northwestern University	565201-7850	(13)	-	-
Support of ARA Explosive Detection	97.RD	565201-7850	Northwestern University	565201-7850	315,726	-	-
Support of ARA Explosive Detection	97.047	565270-7850	Northwestern University	565270-7850	41,950	357,963	-
Centers for Homeland Security	97.061		RI Emergency Management Agency	PDWC-PL-01-RR-2019-001	12,893	12,893	-
Centers for Homeland Security	97.061		University of North Carolina - CH	5101662	292,093	-	-
Centers for Homeland Security	97.061		University of North Carolina - CH	5119463	267,515	-	-
Centers for Homeland Security	97.061		Northwestern University	SUB 505245-78658	297,600	857,208	-
Total U.S. Department of Homeland Security							
						1,507,175	1,507,175

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (CONTINUED)
YEAR ENDED JUNE 30, 2023**

Federal Grantor Program Title	Federal Assistance Listing Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Pass-Through to Subrecipients
Research and Development Cluster (Continued):							
U.S. Agency for International Development:							
Direct Awards:							
Pass-through Awards:							
USAID Foreign Assistance for Programs Overseas	98.001				\$ 7,949,087	\$ 7,949,087	\$ 3,254,561
USAD Foreign Assistance for Programs Overseas	98.001		Mississippi State University	19300.312455.04	479,241	-	-
USAD Foreign Assistance for Programs Overseas	98.001		Mississippi State University	193900.312455.04E	9,427	-	-
USAD Foreign Assistance for Programs Overseas	98.001		Mississippi State University	193900.312455.04D	31,217	-	-
USAD Foreign Assistance for Programs Overseas	98.001		International Union for Conservation	IUCN-Ricco06102019	30,627	-	-
USAD Foreign Assistance for Programs Overseas	98.001		PACT	261-009519	475,242	-	-
USAD Foreign Assistance for Programs Overseas	98.001		PACT	265-011929	145,561	-	-
USAD Foreign Assistance for Programs Overseas	98.001		The Energy and Resource Institute	Boring_Energy&Res Institu	1,919	1,173,234	-
Total U.S. Agency for International Development					9,122,321	9,122,321	3,254,561
Total Research and Development Cluster					102,055,541	102,055,541	28,981,705
Other Federal Programs :							
U.S. Department of Homeland Security:							
Direct Awards:							
Federal Emergency Management Agency (FEMA) - Disaster Grants - Public Assistance	97.036				6,922,636	6,922,636	-
Total Other Federal Programs					6,922,636	6,922,636	-
Total Federal Expenditures					\$ 215,887,556	\$ 215,887,556	\$ 28,981,705

See accompanying Notes to Schedule of Expenditures of Federal Awards.

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
YEAR ENDED JUNE 30, 2023**

NOTE 1 BASIS OF PRESENTATION

The accompanying schedule of expenditures of federal awards (the Schedule) includes the federal award activity of the University of Rhode Island (the University) under programs of the federal government for the year ended June 30, 2023. The information in this Schedule is presented in accordance with the requirements of 2 CFR 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, wherein certain types of expenditures are not allowable or are limited as to reimbursement. Negative amounts shown on the Schedule represent adjustments or credits made in the normal course of business to amounts reported as expenditures in prior years.

NOTE 3 INDIRECT COST RATE

The University elected not to use the 10% de minimis indirect cost rate 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, 2023 consists of:

Assistance Listing Number	Program Name	Outstanding Balance at June 30, 2023	Administrative Costs
84.038	Federal Perkins Loans	\$ 1,053,784	\$ -
93.342	Health Professions Student Loans **	2,104,110	-
93.364	Nursing Student Loans	1,743,461	-

** - Including Primary Care Loans

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
YEAR ENDED JUNE 30, 2023**

NOTE 4 FEDERAL STUDENT LOAN PROGRAMS (CONTINUED)

Direct Student Loan Program

The University disbursed \$81,978,092 of loans under the Federal Direct Student Loan program, which include Stafford Subsidized and Unsubsidized loans and Parent Plus loans. The University is not 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 basic financial statements.

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
YEAR ENDED JUNE 30, 2023**

Section I – Summary of Auditors’ Results

Financial Statements

1. Type of auditors’ report issued: Unmodified
2. Internal control over financial reporting:
- Material weakness(es) identified? _____ yes X no
 - Significant deficiency(ies) identified? _____ yes X no
3. Noncompliance material to financial statements noted? _____ yes X no

Federal Awards

1. Internal control over major federal program:
- Material weakness(es) identified? _____ yes X no
 - Significant deficiency(ies) identified? X yes _____ no
2. Type of auditors’ report issued on compliance for major federal programs: Unmodified
3. Any audit findings disclosed that are required to be reported in accordance with 2 CFR 200.516(a)? X yes _____ no

Identification of Major Federal Programs

Federal Assistance Listing Number	Name of Federal Program or Cluster
84.007	Student Financial Assistance Cluster: Federal Supplemental Educational Opportunity Grants
84.033	Federal Work-Study Program
84.038	Federal Perkins Loan Program
84.063	Federal Pell Grant Program
84.268	Federal Direct Student Loans
84.379	Teacher Education Assistance for College and Higher Education Grants
93.342	Health Professions Student Loans
93.364	Nursing Student Loans

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
SCHEDULE OF FINDINGS AND QUESTIONED COSTS (CONTINUED)
YEAR ENDED JUNE 30, 2023**

Section I – Summary of Auditors’ Results (Continued)

Dollar threshold used to distinguish between
Type A and Type B programs: \$ 20,800,000

Auditee qualified as low-risk auditee? Not Applicable – Determined at the State Level

Section II – Financial Statement Findings

Our audit did not disclose any matters required to be reported in accordance with *Government Auditing Standards*.

Section III – Findings and Questioned Costs – Major Federal Programs

2023 – 001: Special Tests and Provisions: Gramm-Leach-Bliley Act

Federal Agency: U.S. Department of Education

Federal Program Name: Student Financial Assistance Cluster

Assistance Listing Number: 84.007 (Federal Supplemental Educational Opportunity Grants Program), 84.033 (Federal Work Study Program), 84.038 (Federal Perkins Loan Program), 84.063 (Federal Pell Grant Program), 84.268 (Federal Direct Student Loans Program), 84.379 (Teacher Education Assistance for College and Higher Education Grants), 93.342 (Health Professions Student Loans), 93.364 (Nursing Student Loans)

Federal Award Identification Number and Year: N/A; 2022-2023

Award Period: July 1, 2022 – June 30, 2023

Type of Finding:

- Significant Deficiency in Internal Control over Compliance
- Other Matters

Criteria or specific requirement: The Gramm-Leach-Bliley Act (GLBA) (Public Law 106-102) requires financial institutions to explain their information-sharing practices to their customers and to safeguard sensitive data. (16 CFR 314) The Federal Trade Commission considers Title IV-eligible institutions that participate in Title IV Educational Assistance Programs as “financial institutions” and subject to the Gramm-Leach-Bliley Act (16 CFR 313.3(k)(2)(vi). Entities must establish and maintain effective internal control over federal awards (2 CFR 200.303).

Condition: Institutions are required to develop, implement, and maintain a comprehensive information security program that is written in one or more readily accessible parts. GLBA requires the information security program to have defined elements as defined at 16 CFR 314.4. During audit testing, it was noted the University did not have all the required elements.

Questioned costs: None

**UNIVERSITY OF RHODE ISLAND
(A COMPONENT UNIT OF THE STATE OF RHODE ISLAND)
SCHEDULE OF FINDINGS AND QUESTIONED COSTS (CONTINUED)
YEAR ENDED JUNE 30, 2023**

Section III – Findings and Questioned Costs – Major Federal Programs (Continued)

Context: During our testing of the University’s compliance with GLBA, we noted the following:

- The University has a draft written information security plan titled 2.01 URI Information Security Program that is currently in draft form and has not been approved and formally implemented.

Cause: Policies and controls did not ensure the draft comprehensive information security program was finalized and implemented on a timely basis.

Effect: The University did not have a written final approved information security program in compliance with GLBA in place as of June 30, 2023.

Repeat Finding: No

Recommendation: We recommend that the University approve and formally implement its information security program.

Views of responsible officials: There is no disagreement with the audit finding.

Findings Required to be Reported by *Government Auditing Standards*

University of Rhode Island respectfully submits the following summary schedule of prior audit findings for the year ended June 30, 2023.

Audit period: July 1, 2022 – June 30, 2023

The findings from the prior audit's schedule of findings and questioned costs are discussed below. The findings are numbered consistently with the numbers assigned in the prior year.

FINDING—FEDERAL AWARD PROGRAMS AUDIT

2022 – 001

Type of Finding: Other Matters and Significant Deficiency in Internal Control over Compliance

Condition: The University did not include information regarding the number of students at the institution that are eligible to receive Emergency Financial Aid Grants. Institutions receiving funds under the Higher Education Emergency Relief Fund (HEERF) are required to submit a report to the secretary, at such time in such a manner as the secretary may require. Quarterly public reporting is required to report items noted in the Federal Register, Volume 85, No. 169 and Volume 86, No. 91 – Department of Education, Notice of Public Posting Requirement of Grant Information for HEERF. A required element is that the estimated total number of students at the institution that are eligible to receive Emergency Financial Aid Grants to Students under the CARES (a)(1) subprogram and the CRRSAA and ARP (a)(1) subprograms. The University is required to establish and maintain effective internal control over the Federal award that provides reasonable assurance that the University is managing the Federal award in compliance with Federal statutes. (2 CFR subsection 200.303).

Status: Resolved in the current year

United States Department of Education

The University of Rhode Island (the University) respectfully submits the following corrective action plan for the year ended June 30, 2023.

Audit period: July 1, 2022 – June 30, 2023

The finding from the schedule of findings and questioned costs is discussed below. The finding is numbered consistently with the number assigned in the schedule.

FINDINGS—FEDERAL AWARD PROGRAMS AUDITS

United States Department of Education

2023-001 Student Financial Assistance Cluster – Assistance Listing Number: 84.007, 84.003, 84.038, 84.063, 84.268, 84.379 and 93.364

Recommendation: We recommend that the University should establish an Information Security Policy to state the overall approach to information security. Organizations should create an information security policy that provides the guidance required to comply and address regulatory requirements.

Explanation of disagreement with audit finding: There is no disagreement with the audit finding.

Action taken in response to finding: See corrective action plan below.

Name(s) of the contact person(s) responsible for corrective action:

Gabriele Fariello, Interim Chief Information Officer

Michael Kahlfayan, Chief Information Security Officer

Planned completion date for corrective action plan: December 6, 2023

Corrective Action Plan:

The University has enacted an Information Security Policy, "URI Information Technology Standard", which was issued on December 6, 2023. This standard defines the minimum information security requirements for the University of Rhode Island. The full standard can be found at the following URL:

<https://uri0.sharepoint.com/sites/URIInformationTechnologyServicesCommunication/SitePages/ITS-Security.aspx?ga=1>.