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Hannah Bachert '23
Student Representative

The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee Meeting Tuesday, January 31, 2023 • 3:30 p.m. EST

The University of Rhode Island
The Alumni Center – Beagle Board Room
73 Upper College Road, Kingston, RI 02881

OFFICIAL MINUTES

Committee Vice Chair Matthew Lenz welcomed everyone to the January 31, 2023, meeting of the Institutional Risk and Compliance Committee. He conducted a roll call attendance and confirmed that a quorum of members was present. Vice Chair Lenz called the meeting to order at 3:35 p.m.

The URI Board of Trustees Institutional Risk and Compliance Committee members in attendance:

- Ms. Karina Montilla Edmonds, Committee Chair (voting) (remote) (joined at 3:45 p.m.)
- Mr. Matthew Lenz, Committee Vice Chair (voting) (remote)
- Mr. Roby Luna (voting) (remote)
- Mr. Michael McNally (voting) (remote)
- Mr. David Caprio, RI Council on Postsecondary Education (ex officio, non-voting) (remote)
- President Marc Parlange (ex officio, non-voting) (remote)

The URI Board of Trustees Institutional Risk and Compliance Committee members not in attendance:

- Mr. Richard Humphrey (voting)
- Ms. Hannah Bachert (non-voting)

Members of the President's Leadership Council in attendance:

- Ms. Abby Benson, Senior Advisor to the President and Chief of Staff (remote)
- Ms. Alyssa Boss, General Counsel (remote)
- Ms. Anne Marie Coleman, Assistant Vice President for Human Resources (remote)

"The University of Rhode Island occupies the traditional stomping ground of the Narragansett Nation and the Niantic People. We honor and respect the enduring and continuing relationship between the Indigenous people and this land by teaching and learning more about their history and present-day communities, and by becoming stewards of the land we, too, inhabit."

URI Board of Trustees Institutional Risk and Compliance Committee Meeting
January 31, 2023

- Ms. Ellen Reynolds, Interim Vice President, Student Affairs (remote)
- Ms. Abigail Rider, Vice President for Administration and Finance (in person)
- Dr. Barbara Wolfe, Provost and Executive Vice President for Academic Affairs (remote)

The URI staff members in attendance:

- Ms. Patricia Correia, Executive Assistant, Division of Research and Economic Development (in person)
- Ms. Michelle Curreri, Secretary, Board of Trustees (in person)
- Ms. Kara Larsen, Assistant Vice President, Enterprise Risk Management (in person)
- Dr. Daniel Moos, Assistant to the Vice President for Administration & Finance (in person)
- Dr. Ted Myatt, Associate Vice President for Research Administration (in person)
- Ms. Lindsey Nottage, Director Enterprise Compliance, Compliance Office, Enterprise Risk Management (in person)
- Ms. Lynn Owens, Associate Secretary, Board of Trustees (in person)

Vice Chair Lenz acknowledged that the University of Rhode Island occupies the traditional homeland of the Narragansett Nation and the Niantic People.

1. APPROVAL OF THE MINUTES

a. Minutes of the September 16, 2022 Joint Meeting of the Finance and Facilities and Institutional Risk and Compliance Committees. [Enclosure 1.a.](#)

Committee Vice Chair Lenz called for a motion that the Institutional Risk and Compliance Committee of the URI Board of Trustees approve the minutes of the September 16, 2022 Joint Meeting of the Finance and Facilities and Institutional Risk and Compliance Committees.

On a motion duly made by Michael McNally and seconded by Roby Luna, it was

VOTED:	THAT	The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee approve the minutes of the September 16, 2022 Joint Meeting of the Finance and Facilities and Institutional Risk and Compliance Committees.
	VOTE:	3 members voted in the affirmative and 0 members voted in the negative.
	YEAS:	Matthew Lenz, Roby Luna, Michael McNally
	NAYS:	0

ABSTAINS: 0

Committee Chair Karina Montilla Edmonds was not present for the vote.

b. Minutes of the October 18, 2022 Joint Meeting of the Finance and Facilities and Institutional Risk and Compliance Committees. [Enclosure 1.b.](#)

Committee Vice Chair Lenz called for a motion that the Institutional Risk and Compliance Committee of the URI Board of Trustees approve the minutes of the October 18, 2022 Joint Meeting of the Finance and Facilities and Institutional Risk and Compliance Committees.

On a motion duly made by Roby Luna and seconded by Michael McNally, it was

VOTED: THAT The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee approve the minutes of the October 18, Joint Meeting of the Finance and Facilities and Institutional Risk and Compliance Committees.

VOTE: 3 members voted in the affirmative and 0 members voted in the negative.

YEAS: Matthew Lenz, Roby Luna, Michael McNally

NAYS: 0

ABSTAINS: 0

Committee Chair Karina Montilla Edmonds was not present for the vote.

2. DISCUSSION ITEMS

a. New Title IX Regulations Anticipated [Enclosure 2.a.](#)
- Kara Larsen, Assistant Vice President, Enterprise Risk Management

Ms. Kara Larsen, Assistant Vice President, Enterprise Risk Management and Title IX Coordinator, Division of Administration and Finance reviewed the anticipated new Title IX Regulations. The presentation can be found [here](#). The Department of Education issued new proposed Title IX Regulations on June 23, 2022. The final regulations are expected to be issued in May 2023 and will be effective in August 2023. Ms. Larsen explained that some of the major changes include more broadened definitions to the topics of sex discrimination, sex-based harassment, hostile environment, sexual assault, dating violence, domestic violence, and stalking, and quid pro-quo harassment. The

proposed regulations also expand the geographic jurisdiction of Title IX and permit complaints to be filed after a student is no longer enrolled. In addition, the proposed regulations also expand the University's responsibilities with respect to pregnant or parenting students and employees.

Ms. Larsen further explained that, as a result of the Title IX regulation changes, it will be a legal and federal requirement for all employees to receive the appropriate training. Additionally, the scope of responsibility and the added volume of work will increase significantly for the Title IX Coordinator. The implementation time for these changes is expected to be very short.

b. Review of Insurance Market [Enclosure 2.b.](#)

- Kara Larsen, Assistant Vice President, Enterprise Risk Management

Ms. Kara Larsen provided an overview of the insurance market and the University's insurance portfolio, which includes various types of insurance coverage. In addition to traditional insurance for general liability, property and auto to name a few, there are specialized insurances for areas such as athletics, travel abroad by students and faculty, and activities taking place in Fiji and the Philippines. Currently, the insurance market is tight across all sectors with no relief in premiums and deductibles. Underwriters remain very cautious and risk averse. Liability and property insurance costs have increased as well as cybersecurity insurance. The full presentation can be found [here](#).

c. Compliance Calendar [Enclosure 2.c.](#)

- Kara Larsen, Assistant Vice President, Enterprise Risk Management

Ms. Kara Larsen reviewed the 2023 compliance calendar found [here](#) and the University's reporting obligations by agency. The compliance office is monitoring where the University has legal obligations to report.

d. Review Compliance with Standards Governing the Conduct of Research Misconduct [Enclosure 2.d.](#)

- Ted A. Myatt, Associate Vice President, Research Administration

Dr. Ted Myatt, Associate Vice President for Research Administration, Division of Research and Economic Development reviewed the policy on research misconduct. This policy was chosen to review because it had recent updates in the last six months. The policy has been in place since 1995 and in its current format since 2005. Dr. Myatt explained that the policy discusses allegations of research misconduct, which is narrowly defined as fabrication, falsification, or plagiarism. The policy describes the process for review of those allegations. Some of the allegations received do not fit that definition and are handled outside of this policy. There are two steps to the process, including an initial inquiry and forming an inquiry committee that is usually comprised of faculty. If the allegation has some substance, then it is moved to a more formal investigation.

Dr. Myatt further explained that there are annual reporting requirements which show the allegations that have made it to the investigation stage. There may be specific reporting requirements based on specific sponsors. A grant sponsor, such as the National Science Foundation (NSF), may have their own reporting requirements to the NSF. The changes made over the past six months were clarifying the personnel to meet this regulation. There are a variety of ways to report allegations, including the ethics hotline, in person at the Office of Research Integrity, and directly to a federal sponsor. Updates to the policy include union representation for respondents and whistleblower protections. A current issue is how to train and educate the broader community, including graduate students in the responsible conduct of research. An additional training responsibility will include faculty and that will be implemented in July 2023. The full policy can be found [here](#).

e. Review of the URI Board of Trustees Policy on Approval and Execution of Contracts and Other Binding Documents. [Enclosure 2.e.](#)

- Kara Larsen, Assistant Vice President, Enterprise Risk Management
- Dan Moos, Assistant to the Vice President, Administration and Finance

Dr. Dan Moos, Assistant to the Vice President for Administration and Finance, provided a review of the URI Board of Trustees Policy on Approval and Execution of Contracts and Other Binding Documents. The policy can be found [here](#). Dr. Moos explained that he and Ms. Lauren Jensen, Associate General Counsel, created this draft policy. The policy has had a thorough vetting throughout the University and has been vetted numerous times by the President's Executive Council and the Administrative Policy Committee. The policy is needed to address two components: 1. The current signature authority is set up by name and not by position/title so it will not require an update every time there is a change in personnel.; and 2. Centralizing policy on review and approval of contracts (the policy addresses this concern). This policy pertains to binding the University to third parties and does not pertain to internal transactions.

Committee Vice Chair Lenz asked if this policy is based on best practices from other universities. Dr. Moos replied that he and Ms. Jensen reviewed policies at several other institutions.

3. ADJOURN

Committee Chair Lenz called for a motion to adjourn the meeting of the Institutional Risk and Compliance Committee.

On a motion duly made by Roby Luna and seconded by Michael McNally, it was

URI Board of Trustees Institutional Risk and Compliance Committee Meeting
January 31, 2023

VOTED: THAT The University of Rhode Island Board of Trustees
Institutional Risk and Compliance Committee adjourn the
meeting January 31, 2023.

VOTE: 4 members voted in the affirmative and 0 members voted in
the negative.

YEAS: Karina Montilla Edmonds, Matthew Lenz, Roby Luna,
Michael McNally

NAYS: 0

ABSTAINS: 0

The meeting adjourned at 4:40 p.m.

**The next URI Board of Trustees Institutional Risk and Compliance Committee meeting is
tentatively scheduled for April 2023.**

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