

**UNIVERSITY OF RHODE ISLAND**  
(a Component Unit of the State of Rhode Island)

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

**JUNE 30, 2020**

**UNIVERSITY OF RHODE ISLAND**  
**(a Component Unit of the State of Rhode Island)**

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

**June 30, 2020**

**C O N T E N T S**

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<b>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</b>	1-3
<b>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 <i>Government Auditing Standards</i></b>	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	17-21
<b>Required Auditee Information:</b>	
Management's Summary Schedule of Prior Audit Finding	22
Management's Corrective Action Plan	23



## **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**

The Board of Trustees of  
The University of Rhode Island  
Kingston, 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, 2020. 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, 2020.

### **Other Matters**

The results of our auditing procedures disclosed instances of noncompliance, which are required to be reported in accordance with the Uniform Guidance and which are described in the accompanying schedule of findings and questioned costs as Finding 2020-001. Our opinion on each major federal program is not modified with respect to this matter.

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

### **Report on Internal Control over Compliance**

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

*A deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or 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.

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 and therefore, material weaknesses or significant deficiencies may exist that have not been identified. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, we did identify certain deficiencies in internal control over compliance, described in the accompanying schedule of findings and questioned costs as items Finding 2020-001 that we consider to be significant deficiencies.

The University's response to the internal control over compliance findings identified in our audit is described in the accompanying schedule of findings and questioned costs. The University's response was not subjected to the 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.

#### **Schedule of Expenditures of Federal Awards**

We have audited the financial statements of the University, as of and for the year ended June 30, 2020. We issued our report thereon dated September 30, 2020, 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.



**Certified Public Accountants  
Braintree, Massachusetts**

April 15, 2020

(except for the Schedule of Expenditures of Federal Awards, for which the date is September 30, 2020)



## **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***

The Board of Trustees of  
The University of Rhode Island  
Kingston, 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 the University of Rhode Island (the "University"), which comprise the statement of net position as of June 30, 2020, the related statements of revenues and expenses and changes in net position and cash flow 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, 2020. Our report includes a reference to other auditors who audited the financial statements of The University of Rhode Island Foundation & Alumni Engagement 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) as a basis for designing 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.

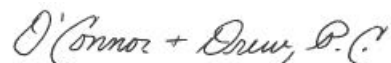
Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not 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 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.



**Certified Public Accountants  
Braintree, Massachusetts**

September 30, 2020

**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

**Year Ended June 30, 2020**

	CFDA Number	Additional Award Identification Number	Pass-Through Entity Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Passed Through to Subrecipients
<b>STUDENT FINANCIAL ASSISTANCE CLUSTER</b>							
<b>U.S. Department of Education:</b>							
<b>Direct Awards:</b>							
Federal Supplemental Educational Opportunity Grant	84.007				\$ 1,581,077	\$ 1,581,077	\$ -
Federal Work-Study Program	84.033				1,321,443	1,321,443	-
Federal Perkins Loan Program (beginning of year)	84.038				6,049,269	-	-
Federal Perkins Loan Program (current year expenditures)	84.038				-	6,049,269	-
Federal Pell Grant Program	84.063				17,420,396	17,420,396	-
Federal Direct Student Loans	84.268				83,399,490	83,399,490	-
Teacher Education Assistance for College and Higher Education (TEACH) Grants	84.379				3,764	3,764	-
					<u>109,775,439</u>	<u>109,775,439</u>	-
<b>U.S. Department of Health and Human Services:</b>							
<b>Direct Awards:</b>							
Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Student (beginning of year)	93.342				1,996,886	-	-
Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Student (current year expenditures)	93.342				483,700	2,480,586	-
Nursing Student Loans (beginning of year)	93.364				1,669,910	-	-
Nursing Student Loans (current year expenditures)	93.364				389,150	2,059,060	-
					<u>4,539,646</u>	<u>4,539,646</u>	-
Total Student Financial Assistance Cluster					<u>114,315,085</u>	<u>114,315,085</u>	-
<b>RESEARCH AND DEVELOPMENT CLUSTER</b>							
<b>U.S. Department of Agriculture:</b>							
<b>Direct Awards:</b>							
Agricultural Research-Basic and Applied Research	10.001				80,703	80,703	-
Plant and Animal Disease, Pest Control, and Animal Care	10.025				42,573	42,573	-
Specialty Crop Block Grant Program- Farm Bill	10.170				4,123	4,123	-
Acer Access Development Program	10.174				139,775	139,775	-
Grants for Agricultural Research, Special Research Grants	10.200				23,029	23,029	-
Payments to Agriculture Experiment Stations Under the Hatch Act	10.203				1,944,551	1,944,551	-
Animal Health And Disease Research	10.207				30,066	30,066	-
Agricultural and Rural Economic Research, CAs and Collaborations	10.250				40,934	40,934	36,161
Specialty Crop Research Initiative	10.309				20,569	20,569	-
Agriculture and Food Research Initiative (AFRI)	10.310				621,705	621,705	31,985
Crop Protection and Pest Management Competitive Grant Program	10.329				165,957	165,957	-
Cooperative Extension Service	10.500				1,095,834	1,095,834	-
Expanded Food and Nutrition Education Program	10.514				205,878	205,878	-
Renewable Resources Extension Act and National Focus Fund Projects	10.515				44,383	44,383	-
Soil and Water Conservation	10.902				37,611	37,611	27,157
Soil Survey	10.903				34,353	34,353	-
Environmental Quality Incentives Program	10.912				89,800	89,800	-
Regional Conservation Partnership Program	10.932				29,737	29,737	-
Technical Agricultural Assistance	10.960				138,357	138,357	-
<b>Pass-through Awards:</b>							
Forest and Agricultural Pest Outreach	10.RD	3644111		Rhode Island Department of Environment Management	3644111	11,985	-
Promotion of Saffron as an Extremely High Value Crop for Rhode Island Agriculture	10.RD	3664284		Rhode Island Department of Environment Management	3664284	5,722	-
Forestry Support to National Resources Conservation Service	10.RD	RIRCD McWilliams 100219		Rhode Island Resource Conservation and Development	RIRCD McWilliams 100219	61,433	79,140
Plant and Animal Disease, Pest Control, and Animal Care	10.025			Louisiana State University	76657	21,933	-
Plant and Animal Disease, Pest Control, and Animal Care	10.025			University of Connecticut - Storrs	356281	3,947	25,880
Federal-State Marketing Improvement Program	10.156			Rhode Island Department of Environmental Management	3557019	13,995	13,995
Grants for Agricultural Research, Special Research Grants	10.200			University of Maryland	56375	2,749	-
Sustainable Agricultural Research and Education	10.215			University of Vermont	LNE15-342-29994	29,825	4,041
Sustainable Agricultural Research and Education	10.215			University of Vermont	GNE19-192-33243	9,715	-
Sustainable Agricultural Research and Education	10.215			University of Vermont	SNE19-12-34268	15,393	-
Sustainable Agricultural Research and Education	10.215			University of Vermont	SNE18-12-33243	6,935	-
Sustainable Agricultural Research and Education	10.215			University of Vermont	LNE19-381-33243	22,008	83,876

The accompanying notes are an integral part of this schedule.

# UNIVERSITY OF RHODE ISLAND

## (a Component Unit of the State of Rhode Island)

### Schedule of Expenditures of Federal Awards - Continued

Year Ended June 30, 2020

	CFDA Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Passed Through to Subrecipients
<b>RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED</b>							
<b>U.S. Department of Agriculture - Continued:</b>							
<b>Pass-through Awards - Continued:</b>							
Integrated Programs	10.303		University of Connecticut Storrs	Subaward #76428	\$ 1,325		\$ -
Integrated Programs	10.303		West Virginia University	18-726-URI	27,685	29,010	-
Homeland Security Agricultural	10.304		Cornell University	80289-10775	23,404	23,404	-
Specialty Crop Research Initiative	10.309		Pennsylvania State University	5000323-USDA	1,847	1,847	-
Agriculture and Food Research Initiative (AFRI)	10.310		University of Washington	UWSC10287	60,074	60,074	-
National Food Safety Training , Education, Extension, Outreach, and Technical Assistance, Competitive Grants	10.328		University of Massachusetts, Amherst	18 10161A00	27,200	27,200	-
Crop Insurance Education in Targeted States	10.458		National Crop Insurance Services	Risk Management	16,588	16,588	-
Cooperative Extension Service	10.500		University of Connecticut Storrs	322723	18,822	-	-
Cooperative Extension Service	10.500		Auburn University	Putnam_ UnivAuburn	7,120	25,942	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program	10.561		Rhode Island Department of Human Services	3593369	1,456,852	-	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program	10.561		Rhode Island Department of Human Services	3605797	4,185	1,461,037	-
Regional Conservation Partnership Program	10.932		Connecticut Council on Soil & Water Conservation	08-URI-SH	20,213	-	-
Regional Conservation Partnership Program	10.932		Rhode Island Resource Conservation & Development	Forestry Assistance	3,620	23,833	-
Total U.S. Department of Agriculture					6,664,513	6,664,513	99,344
<b>U.S. Department of Commerce:</b>							
<b>Direct Awards:</b>							
Ocean Exploration	11.011				390,710	390,710	26,124
Sea Grant Support	11.417				2,485,515	2,485,515	355,221
Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program	11.427				235,787	235,787	55,121
National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	11.432				869,235	869,235	650,299
Marine Fisheries Initiative	11.433				90,410	90,410	47,835
Unallied Management Projects	11.454				8,344	8,344	-
<b>Pass-through Awards:</b>							
Stormtool Risk and Damage Assessment APP	11.RD	CACRMCGrill11-2018	Rhode Island Coastal Resource Management Council	CACRMCGrill11-2018	88,249		22,124
Fish Population Dynamics	11.RD	18-24	New England Fishery Management Council	18-24	11,051		-
United States East Coast Tsunami Hazard Mitigation Program	11.RD	NA18NWS4670073-SURI	Northeast States Emergency Consortium	NA18NWS4670073-SURI	18,487		-
Industry Based Survey on Black Sea Bass Utilizing Ventless Traps	11.RD	Subcontract 2013-11-01	Fisheries Specialists	Subcontract 2013-11-01	364	118,151	-
Ocean Exploration	11.011		Ocean Exploration Trust	60105	(184)	-	-
Ocean Exploration	11.011		Ocean Exploration Trust	2019-047	31,500	-	-
Ocean Exploration	11.011		Ocean Exploration Trust	60110-2	157,294	188,610	-
Integrated Ocean Observing Systems (IOOS)	11.012		Northeastern Regional Association of Coastal Ocean Observing Systems	A002-003	58,322	-	-
Integrated Ocean Observing Systems (IOOS)	11.012		Rutgers University	655453	16,254	74,576	-
Sea Grant Support	11.417		University of Connecticut STORRS	36463	15,160	-	-
Sea Grant Support	11.417		University of Connecticut STORRS	368948	9,640	24,800	-
Coastal Zone Management Administrative Awards	11.419		Restore America's Estuaries	2016-URI-01	3,995	-	-
Coastal Zone Management Administrative Awards	11.419		Rhode Island Coastal Resource Management Council	NA17NO54190172 NOAA	(193)	3,802	-
Coastal Zone Management Estuarine Research Reserves	11.420		Rhode Island Department of Environmental Management	NA17NOS4200117	1,280	1,280	-
Telescence- Enabled Exploration of Three National Marine Sanctuaries	11.429		Ocean Exploration Trust	2019-048	44,000	44,000	-
Climate and Atmospheric Research	11.431			2019-1	56,135	56,135	-
Meteorologic and Hydrologic Modernization Development	11.467		Northeast States Emergency Consortium	NA19NWS4670011-SUD	79,028	-	-
Meteorologic and Hydrologic Modernization Development	11.467		University of Delaware	47742	16,188	95,216	-
Office of Coastal Management	11.473		Cape Cod Commission	URI/Opaluch	(300)	(300)	-
Atlantic Coastal Fisheries Cooperative Management Act	11.474		Rutgers University	1194043	3,910	3,910	-
Measurement and Engineering Research and Standards	11.609		Enfield Department	Enfield Fire_Parent	1,873	1,873	-
Total U.S. Department of Commerce					4,692,054	4,692,054	1,156,724

# UNIVERSITY OF RHODE ISLAND

## (a Component Unit of the State of Rhode Island)

### Schedule of Expenditures of Federal Awards - Continued

Year Ended June 30, 2020

RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED	CFDA Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Passed Through to Subrecipients
<b>U.S. Department of Defense:</b>							
<b>Direct Awards:</b>							
Basic and Applied Scientific Research	12.300				\$ 2,545,843	\$ 2,545,843	\$ 174,867
Military Medical Research and Development	12.420				184,172	184,172	69,082
Basic Scientific Research	12.431				47,905	47,905	-
Basic, Applied, and Advanced Research in Science and Engineering	12.630				307,468	307,468	-
Air Force Defense Research Sciences Program	12.800				99,213	99,213	-
<b>Pass-through Awards:</b>							
National Institute for Undersea Vehicle Technology - Applied Computational Modeling	12.RD	347129	University of Connecticut	347129	129,895		-
CNTS IDIQ for Clinical Research	12.RD	15700-0040/001	Cherokee Nation Technology Solutions	15700-0040/001	46,758	176,653	-
Basic and Applied Scientific Research	12.300		Creare LLC	103289	67,864		-
Basic and Applied Scientific Research	12.300		Electro Standards Laboratories	FSElectro12019	16,167		-
Basic and Applied Scientific Research	12.300		McLaughlin Research Corporation	PO-19-0129	10,278		-
Basic and Applied Scientific Research	12.300		McLaughlin Research Corporation	PO-19-0854	31,340		-
Basic and Applied Scientific Research	12.300		Naval Undersea Warfare Center	N00174-19-1-0005	63,995		-
Basic and Applied Scientific Research	12.300		Undersea Technology Innovation Consortium	2018-475	56,146		-
Basic and Applied Scientific Research	12.300		TelAztec	N00178-17-C-1323	10,690		-
Basic and Applied Scientific Research	12.300		Physical Science Inc.	SC-8030-001	5,690		-
Basic and Applied Scientific Research	12.300		University of Massachusetts, Dartmouth	32953-VC-RB-110892	3,860		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	165273	181,432		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	347117	129,957		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	347119	87,329		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	347120	65,211		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	347122	75,666		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	347123	84,288		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	347124	152,283		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	347127	55,675		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	347128	72,651		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	347130	808		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	347131	10,741		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	386368	19,278		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	386373	12,215		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	386378	12,239		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	386380	8,289		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	386381	2,875		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	386382	8,242		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	386388	110,625		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	388687	6,202		-
Basic and Applied Scientific Research	12.300		University of Connecticut STORRS	389994	32,996	1,395,032	-
Military Medical Research and Development	12.420		The Research Foundation for SUNY	1156130-85693	28,043	28,043	-
Scientific Research- Combating Weapons of Mass Destruction	12.351		University of Rhode Island Research Foundation	URI#2019-0102	11,608		-
Scientific Research- Combating Weapons of Mass Destruction	12.351		Northeastern University	505187-78050	30,621	42,229	-
The Language Flagship Grants to Institutions of Higher Education	12.550		Institute for International Education	0054URI18-CHN280-P01	(235)		-
The Language Flagship Grants to Institutions of Higher Education	12.550		Institute for International Education	0054URI18	31,025		-
The Language Flagship Grants to Institutions of Higher Education	12.550		Institute for International Education	0054URI18SSC-280-PO4	(200)	30,590	-
Basic, Applied, and Advanced Research in Science and Engineering	12.630		Harvard University	124152-5105177	79,737	79,737	-
Air Force Defense Research Sciences Program	12.800		LiBama LLC	LiBama-Lucht2019	2,199		-
Air Force Defense Research Sciences Program	12.800		Electro Standards Laboratories	FSElectro12017	63,024		-
Air Force Defense Research Sciences Program	12.800		Strategic Environment Research and Development Program	W912HQ18C0057	26,186		12,870
Air Force Defense Research Sciences Program	12.800		Nautilus Defense LLC	AFX-20-URI1	16,637	108,046	-
Total U.S. Department of Defense					5,044,931	5,044,931	256,819
<b>U.S. Department of Housing and Urban Development:</b>							
<b>Pass-through Awards:</b>							
Hurricane Sandy Community Development Block Grant Disaster Recovery Grants (CDBG-DR)	14.269		Rhode Island Coastal Resources Management Council	3402481	88,770	88,770	-
Total U.S. Department of Housing and Urban Development					88,770	88,770	-

The accompanying notes are an integral part of this schedule.

# UNIVERSITY OF RHODE ISLAND

## (a Component Unit of the State of Rhode Island)

### Schedule of Expenditures of Federal Awards - Continued

Year Ended June 30, 2020

RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED	CFDA Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Passed Through to Subrecipients
<b>U.S. Department of Interior - Continued:</b>							
<b>Direct Awards:</b>							
Electromagnetic Field Impacts on American Eel Migration from Direct Current Cables	15.RD	140M0118C0001		140M0118C0001	\$ 367,547	\$ 367,547	\$ 27,981
BPA to Cover Overhead Costs of USGA Field Station at URI	15.RD	G17PA00033		G17PA00033	412	412	-
Bureau of Ocean Energy Management (BOEM) Renewable Energy	15.408				82,818	82,818	(270)
Bureau of Ocean Energy Management (BOEM) Environmental Studies (ESP)	15.423				37,616	37,616	10,311
Water Desalination Research and Development	15.506				65,040	65,040	21,255
Coastal	15.630				5,000	5,000	-
Migratory Bird Joint Ventures	15.637				58,590	58,590	-
Hurricane Sandy Disaster Relief Activities-FWS	15.677				18,763	18,763	-
Cooperative Ecosystem Studies Units	15.678				11,216	11,216	-
Assistance to State Water Resources Research Institutes	15.805				83,996	83,996	-
Earthquake Hazards Program Assistance	15.807				30,718	30,718	-
U.S. Geological Survey Research and Data Collection	15.808				(58)	(58)	-
Cooperative Research and Training Programs- Resources of the National Park System	15.945				310,289	310,289	-
<b>Pass-through Awards:</b>							
Underwater Acoustic Data Analysis and Measurements for the Block Island Wind Farm	15.RD	10000300000843	HDR / e2M	10000300000843	144,411		59,034
Passive Acoustic Monitoring in the Gulf of Mexico	15.RD	10003000000695	HDR / e2M	10003000000695	10,669		-
Real-Time Opportunity for Development of Environmental Observations (RODEO)	15.RD	10003000001414	HDR / e2M	10003000001414	129,093		27,273
CI- StateView Program Development and Operations for the State of Rhode Island	15.RD	AV18-RI-01	AmericaView	AV18-RI-01	24,018		-
Additional Model Testing of Cyclic Axial Loading on Piles for Jacket Foundations	15.RD	18-1076	Norwegian Geotechnical Institute	18-1076	49,956		-
Block Island Structural Monitoring Program	15.RD	CRMC_DOI_Baxter_2019	Rhode Island Coastal Reservation Management Council	CRMC_DOI_Baxter_2019	155,789		88,373
1814 Battle of Stonington Battlefield Protection Project	15.RD	Stonington-King07302019	The Stonington Historical Society	Stonington-King07302019	32,369	546,305	-
Bureau of Ocean Energy Management (BOEM) Environmental Studies Program (ESP)	15.423			1000300001127	14,513		-
Bureau of Ocean Energy Management (BOEM) Environmental Studies Program (ESP)	15.423			HDR / e2M	49,557	64,070	-
Multistate Conservation Grant	15.628		Rhode Island Department of Environmental Management	CA-DEMILLER112018	23,597	23,597	-
Wildlife Restoration and Basic Hunter Education	15.611		Rhode Island Department of Environmental Management	3393473	240,025		-
Wildlife Restoration and Basic Hunter Education	15.611		Rhode Island Department of Environmental Management	3393918	116,572		-
Wildlife Restoration and Basic Hunter Education	15.611		Rhode Island Department of Environmental Management	3394024	153,194		-
Wildlife Restoration and Basic Hunter Education	15.611		Rhode Island Department of Environmental Management	3607500	34,134		-
Wildlife Restoration and Basic Hunter Education	15.611		Rhode Island Department of Environmental Management	3394032	169,814		-
Wildlife Restoration and Basic Hunter Education	15.611		Rhode Island Department of Environmental Management	CI - Population Ecol	76,508	790,247	-
State Wildlife Grants	15.634		Rhode Island Department of Environmental Management	Collecting Fishers'	18,850		-
State Wildlife Grants	15.634		Rhode Island Department of Environmental Management	3380685	16,713		-
State Wildlife Grants	15.634		Rhode Island Department of Environmental Management	3459057	2,550	38,113	-
Coastal	15.630		Wildlife Management Institute	FS2018McGreevy	69,995		-
Coastal	15.630		Wildlife Management Institute	GSA 00076	49,570		-
Coastal	15.630		Rhode Island Department of Environmental Management	3672035	6,404	125,969	-
National Land Remote Sensing Education Outreach	15.875		HDR / e2M	1000300001232	59,176	59,176	-
Total U.S. Department of Interior					2,719,424	2,719,424	233,957
<b>U.S. Department of Justice:</b>							
<b>Pass-through Awards:</b>							
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560		Central Falls School Department	2014-CK-BX-002	13,417	13,417	-
Edward Byrne Memorial Assistance Grand Program/Edward	16.738		Rhode Island Department of Public Safety	17-701-JAG	17,793	17,793	-
Paul Coverdell Forensic Science Improvement Grant Program	16.742		Rhode Island Department of Public Safety	FY16-FSIA-01	48,678	48,678	-
Total U.S. Department of Justice					79,888	79,888	-
<b>U.S. Department of Labor:</b>							
<b>Pass-through Awards:</b>							
WIOA Pilots, Demonstrations, and Research Projects	17.261		Rhode Island Department of Labor and Training	3511564	830,573	830,573	-
Total U.S. Department of Labor					830,573	830,573	-

# UNIVERSITY OF RHODE ISLAND

## (a Component Unit of the State of Rhode Island)

### Schedule of Expenditures of Federal Awards - Continued

Year Ended June 30, 2020

	CFDA Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Passed Through to Subrecipients
<b>RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED</b>							
<b>U.S. Department of Transportation:</b>							
<b>Pass-through Awards:</b>							
University Transportation Center Regional One	20.RD	UMS-1185	University of Maine	UMS-1185	\$ 201,921	\$ 201,921	\$ -
Highway Planning and Construction	20.205		Cornell University	78666-10717	22,132		-
Highway Planning and Construction	20.205		Rhode Island Division of Planning	CI - FY2017 Sustaini	-	22,132	-
Total U.S. Department of Transportation					224,053	224,053	-
<b>National Aeronautics and Space Administration:</b>							
<b>Direct Awards:</b>							
Continued Mentoring of Junior Women in Physical Oceanography: link to NASA labs	43.000	AWD06788		AWD06788	13,632	13,632	-
Aeronautics	43.001				550,673	550,673	-
Education	43.008				17,161	17,161	-
<b>Pass-through Awards:</b>							
Assessing Ecosystem Vulnerability to Climate Change through Optics, Imagery and Models	43.RD	5710004170	Massachusetts Institute of Technology	5710004170	83,318		-
NASA Space Grant Fellowship- Jacob Strook	43.RD	00001492	Brown University	00001492	33,770		-
Development of a Space-Deployable Dual-Mode LiDAR for Planetary Seismology	43.RD	0001501	Brown University	0001501	40,049	157,137	-
Aeronautics	43.001		University of Colorado Boulder	1552614	75,608		-
Aeronautics	43.001		Earth and Science Research	2017-241-URI	5,947		-
Aeronautics	43.001		Woods Hole Group, Inc.	23156800 / A101249	34,810		-
Aeronautics	43.001		University of Washington	UWSC10146	52,550		-
Aeronautics	43.001		Skidmore College	32175-2	38,821	207,736	-
Education	43.008		Brown University	00001012	104,640		18,190
Education	43.008		Brown University	00001248	13,226		-
Education	43.008		Brown University	00001572	7,610	125,476	-
Total National Aeronautics and Space Administration					1,071,815	1,071,815	18,190
<b>National Endowment for the Humanities</b>							
<b>Pass-through Awards:</b>							
Promotion of the Humanities Federal/State Partnership	45.129		Rhode Island Council for the Humanities	2019MIN-ORG06	1,984	1,984	-
Total National Endowment for the Humanities					1,984	1,984	-
<b>National Science Foundation:</b>							
<b>Direct Awards:</b>							
Engineering Grants	47.041				1,063,250	1,063,250	-
Mathematical and Physical Sciences	47.049				331,254	331,254	-
Geosciences	47.050				7,536,309	7,536,309	645,053
Computer and Information Science and Engineering	47.070				669,642	669,642	1,147
Biological Sciences	47.074				990,862	990,862	199,499
Social, Behavioral, and Economic Sciences	47.075				64,345	64,345	-
Education and Human Resources	47.076				1,266,929	1,266,929	104,094
Polar Programs	47.078				29,966	29,966	-
Office of International Science and Engineering (OISE)	47.079				891,061	891,061	609,611
Office of Integrated Activities	47.083				3,759,795	3,759,795	1,152,296
<b>Pass-through Awards:</b>							
RRCV2 Phase III- Ship Construction	47.RD	IGAOSU2018	Oregon State University	IGAOSU2018	96,170	96,170	-
Engineering Grants	47.041		Arizona State University	asub00000339	20,546		-
Engineering Grants	47.041		University of Southern Mississippi	8006386-01.01 URI	47,148	67,694	-
Geosciences	47.050		Brown University	1141	9,744		-
Geosciences	47.050		Columbia University	32BGG009393	8,186		-
Geosciences	47.050		Joint Oceanographic Institution	T307A1 JOI/USSSP	532		-
Geosciences	47.050		Lamont-Doherty Earth Observatory	OCE 1450528	(34,900)		-
Geosciences	47.050		University of Washington	UWSC11189	37,914		-

The accompanying notes are an integral part of this schedule.

# UNIVERSITY OF RHODE ISLAND

## (a Component Unit of the State of Rhode Island)

### Schedule of Expenditures of Federal Awards - Continued

Year Ended June 30, 2020

RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED	CFDA Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Passed Through to Subrecipients
<b>National Science Foundation - Continued:</b>							
<b>Pass-through Awards - Continued:</b>							
Geosciences	47.050		Research Foundation of CUNY	40F93-F	\$ 161,448	\$ 182,924	\$ -
Biological Sciences	47.074		University of Arizona	466240	68,276		-
Biological Sciences	47.074		Washington State University Vancouver	Subaward138/022-G004142	4,620	72,896	-
Polar Programs	47.050		University of Connecticut STORRS	KFS#5628610, PO13627	63,646	63,646	-
Office of International Science and Engineering (OISE)	47.079		University of New Hampshire	16-019	470,666	470,666	-
Office of Integrative Activities	47.083		Dartmouth College	R1302	66,828		-
Office of Integrative Activities	47.083		University of Southern California	88919743	392,482	459,310	-
Total National Science Foundation					18,016,719	18,016,719	2,711,700
<b>Small Business Administration:</b>							
<b>Direct Awards:</b>							
Small Business Development Centers	59.037				733,335	733,335	-
Total Small Business Administration					733,335	733,335	-
<b>Environmental Protection Agency:</b>							
<b>Pass-through Awards:</b>							
Full-Scale Assessment of Non-proprietary Passive Nitrogen Removing Septic Systems and Passive Sample Uptake	66.RD	00A00249	Barnstable County	00A00249	25,092		-
Analysis of the Strength of the Predictive Relationship Between Organism Bioaccumulation and Passive Sample Uptake	66.RD	75K000011DB	General Dynamics Information Technology	75K000011DB	48,406		-
U.S. EPA Agency Region One Southeast New England Program for Coastal Watershed	66.RD	00A00252	Mass Audubon	00A00252	39,237		-
Charlestown Coastal Watershed Protection and Restoration Program	66.RD	56.000.6200.000	Town of Charlestown	56.000.6200.000	99,201	211,936	-
Southeast New England Coastal Watershed Restoration	66.129		Restore America's Estuaries	SNEPWG18-6-URI	164,322		24,363
Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative	66.436		Rural Community Assistance Partnership	83938801	9,845	9,845	-
National Estuary Program	66.456		New England Interstate Water Pollution	CE00A00366	(333)		-
National Estuary Program	66.456		New England Interstate Water Pollution	CE00A00004	12,685		10,148
National Estuary Program	66.456		New England Interstate Water Pollution	3642189	26,726	39,078	-
Southeast New England Coastal Watershed Restoration	66.129		University of Maine	SNEP1-06	10,669	174,991	-
Water Pollution Control State, Interstate, and Tribal Program Support	66.419		Rhode Island Department of Transportation	STP-SDRP(004)	91,202	91,202	20,961
Capitalization Grants for Drinking Water- State Revolving Funds	66.468		Rhode Island Department of Environmental Management	3517986	196,864	196,864	-
Performance Partnership Grants	66.605		Rhode Island Department of Environmental Management	3621994	19,736		-
Performance Partnership Grants	66.605		Rhode Island Department of Environmental Management	3644265	45,896	65,632	-
Research, Development, Monitoring, Public Education Outreach, Training, Demonstrations, and Studies	66.716		Extension Foundation	SA-2020-29	16,442		-
Research, Development, Monitoring, Public Education Outreach, Training, Demonstrations, and Studies	66.716		Extension Foundation	SA-Alm1-2019	18,800	35,242	-
Total Environmental Protection Agency					824,790	824,790	55,472
<b>U.S. Nuclear Regulatory Commission:</b>							
<b>Direct Awards:</b>							
U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program	77.008				17,500	17,500	-
Total U.S. Nuclear Regulatory Commission					17,500	17,500	-
<b>U.S. Department of Energy:</b>							
<b>Pass-through Awards:</b>							
Geotechnical Research for the Development of the HAGIS Anchoring System	81.RD	TSI-2576-19-109768	Triton Systems, Inc.	TSI-2576-19-109768	73,679		-
Development of Electrolytes for Use in LNM/LTO Batteries for 48 V Applications	81.RD	USABC-Gotion	Gotion	USABC-Gotion	318,944		-
Synthesis, Screening and Characterization of Novel Electrolyte for Low Temperature Lithium-ion Batteries	81.RD	378690	Brookhaven National Laboratories	378690	11,155		-
Transformation of Sorghum for the University of California, Berkeley	81.RD	7456216	Lawrence Berkeley Natl Laboratory	7456216	37,893	441,671	-
Office of Science Financial Assistance Program	81.049		Brown University	00000475/PO# P276735	119,625		-
Office of Science Financial Assistance Program	81.049		Donald Danforth Plant Science Center	23021-R	339,009		-
Office of Science Financial Assistance Program	81.049		Pennsylvania State University	5027-URI-DOE-1090	1,191		-
Office of Science Financial Assistance Program	81.049		Pennsylvania State University	5027-URI-DOE-1090	163,604		-
Office of Science Financial Assistance Program	81.049		University of Georgia	SUB00001808	45,320		-
Office of Science Financial Assistance Program	81.049		Rhode Island College	80000918-01A	140,345	809,094	-

The accompanying notes are an integral part of this schedule.

# UNIVERSITY OF RHODE ISLAND

## (a Component Unit of the State of Rhode Island)

### Schedule of Expenditures of Federal Awards - Continued

Year Ended June 30, 2020

	CFDA Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Passed Through to Subrecipients
<b>RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED</b>							
<b>U.S. Department of Energy - Continued:</b>							
<b>Pass-through Awards - Continued:</b>							
Los Alamos National Laboratory	81.140		Triad National Security, LLC	526876	\$ 16,574		\$ -
Los Alamos National Laboratory	81.140		Triad National Security, LLC	526766	5,771	22,345	-
Total U.S. Department of Energy					1,273,110	1,273,110	-
<b>U.S. Department of Education:</b>							
<b>Direct Awards:</b>							
Undergraduate International Studies and Foreign Language Programs	84.016				5,436	5,436	-
<b>Pass-through Awards:</b>							
Special Education- Grants for Infants and Families	84.181		Rhode Island Parent Information Network	51400	(167)		-
Special Education- Grants for Infants and Families	84.181		Rhode Island Parent Information Network	RIPIN_MCCurdy_2019	16,885	16,718	-
Career and Technical Education-- Basic Grants to States	84.048		Rhode Island Department of Education	3652100	50,000	50,000	-
Education Research, Development, and Dissemination	84.305		University of Wisconsin, Madison	184	13,978	13,978	-
Ready-To-Learn Television	84.295		PBS	URI/Sweetman	93,754	93,754	-
Total U.S. Department of Education					179,886	179,886	-
<b>U.S. Department of Health and Human Services:</b>							
<b>Direct Awards:</b>							
CDC Evaluation of Commercially Available Natural Product-Based Acarides	93.RD	75D30119C05160		75D30119C05160	48,034	48,034	-
Food and Drug Administration Research	93.103				141,528	141,528	-
Maternal and Child Health Federal Consolidated Programs	93.110				17,022	17,022	-
Environmental Health	93.113				661,771	661,771	94,265
Oral Diseases and Disorders Research	93.121				321,219	321,219	101,339
NIEHS Superfund Hazardous Substances Basic Research and Education	93.143				2,325,695	2,325,695	677,970
Human Genome Research	93.172				2,982	2,982	-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243				8,826	8,826	-
Advanced Nursing Education Workforce Grant Program	93.247				484,416	484,416	50,667
Occupational Safety and Health Program	93.262				218,761	218,761	58,088
Alcohol Research Programs	93.273				(2,409)	(2,409)	-
Drug Abuse and Addiction Research Programs	93.279				630,961	630,961	86,537
Nursing Research	93.361				344,638	344,638	33,024
Trans-National Institute of Health Research Support	93.310				46,707	46,707	-
Cancer Cause and Prevention Research	93.393				48,083	48,083	13,680
Developmental Disabilities Basic Support and Advocacy Grants	93.630				500,753	500,753	475,730
Allergy and Infectious Disease Research	93.855				2,261,345	2,261,345	1,029,929
Cancer Biology Research	93.396				463,915	463,915	-
Opioid STR	93.788				299,687	299,687	-
Cardiovascular Diseases Research	93.837				454,500	454,500	109,532
Blood Diseases and Resources Research	93.839				42,144	42,144	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853				1,719,526	1,719,526	341,988
Microbiology and Infectious Diseases Research	93.856				(10)	(10)	-
Biomedical Research and Research Training	93.859				4,364,536	4,364,536	2,077,797
Child Health and Human Development Extramural Research	93.865				162,305	162,305	-
Aging Research	93.866				319,656	319,656	-
Geriatric Education Centers	93.969				796,091	796,091	211,854
<b>Pass-through Awards:</b>							
Practical Approach for Attenuating PFAS Contaminated Landfill Leachate Using Peroxone Activate Persulfate (PAP)	93.RD	2R44ES028649-02-001	Western Connecticut State University	CDC2016A	548	548	-
URI Preschool Development Grant- Birth through Age Five	93.RD	3630396	Rhode Island Department of Human Services	3630396	194,969		-
South County Prevention Coalition	93.RD	StBlissmer_080819_	St. Thomas Episcopal Church	StBlissmer_080819_	2,505		-
Neutral Mechanisms of Protective Effects of Early Nutrition on the Development of Social-Emotional Difficulties among Children	93.RD	A20-0501-S001	University of California at Davis	A20-0501-S001	64,333	261,807	-
Environmental Public Health and Emergency Response	93.070		Rhode Island Department of Health	RIDOH-Swindal2018	19,331	19,331	-
Lifespan Respite Care Program	93.072		Rhode Island Department of Elderly Affairs	LRL10017-01-00	20,431	20,431	-
Food and Drug Administration Research	93.103		Rhode Island Department of Environmental Management	RIDEMU18FD005888	42,152		-
Food and Drug Administration Research	93.103		University of Connecticut, STORRS	362106	3,756	45,908	-
Area Health Education Centers	93.107		Brown University	1125	89,307	89,307	-

The accompanying notes are an integral part of this schedule.

# UNIVERSITY OF RHODE ISLAND

## (a Component Unit of the State of Rhode Island)

### Schedule of Expenditures of Federal Awards - Continued

Year Ended June 30, 2020

RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED	CFDA	Additional Award	Pass-Through Entity	Pass-Through Entity	Federal	Total by	Passed
U.S. Department of Health and Human Services - Continued:	Number	Identification Number		Award Number	Expenditures	Program	Through to
Pass-through Awards - Continued:							Subrecipients
Childhood Lead Poisoning Prevention Projects, State and Local Childhood Lead	93.197		Rhode Island Department of Health	RIDOHPeiron2019	\$ 32,459	\$ 32,459	\$ -
NIEHS Superfund Hazardous Substances Basic Research and Education	93.143		Brown University	00000846	25,261	25,261	-
Geriatric Education Centers	93.243		Rhode Island Department of Behavioral Healthcare, Development	1U79SP020159-01	68,839		-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		Rhode Island Department of Behavioral Healthcare, Development	3565112	138,242		24,277
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		Rhode Island Department of Behavioral Healthcare, Development	Healthy Transitions	79,124		36,314
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		Rhode Island Department of Behavioral Healthcare, Development	3626972	161,604		-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		Kent Center	URI/Stein	11,249		-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		Community Center Alliance	URI/Stein	11,249		-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		Rhode Island Department of Behavioral Healthcare, Development	3631046	86,590		-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243		Rhode Island Department of Behavioral Healthcare, Development	PO 3502193	159,862	716,759	40,217
Drug Abuse and Addiction Research Programs	93.279		Brown University	1079	12,125		-
Drug Abuse and Addiction Research Programs	93.279		Brown University	1483	65,890		-
Drug Abuse and Addiction Research Programs	93.279		The Miriam Hospital	7147060LAS	11,654		-
Drug Abuse and Addiction Research Programs	93.279		Bay State Medical Center	15-260	22,390		-
Drug Abuse and Addiction Research Programs	93.279		Bay State Medical Center	15-260	(5,538)		-
Drug Abuse and Addiction Research Programs	93.279		Rhode Island College	80000932-01A	21,413	127,934	-
Minority Health and Health Disparities Research	93.307		University of California Riverside	S-007798	6,891	6,891	-
Nursing Research	93.398		Yale University	M17A12609(A10935)	147,034	147,034	-
Cancer Research Manpower	93.558		Brown University	00000941	13,502	13,502	-
Elder Abuse Prevention Interventions Program	93.747		Disabled Persons Protection Commission	Venkatasubramanian_MDPPC	64,381	64,381	-
Accountable Health Communities	93.650		Care New England Health System	100001-2	20,268	20,268	-
Medical Assistance Program	93.778		State of Rhode Island	3491930	9,615	9,615	3,108
Medical Assistance Program	93.778		Rhode Island Department of Human Services	3605797	474	474	-
Section 233 Demonstration Programs to Improve Community Mental Health Services	93.829		Newport County CHMC, Inc	1H79SM081870-01	322,231	322,231	41,025
Cardiovascular Diseases Research	93.837		Brown University	00000729/PUR-0018995	9,534		-
Cardiovascular Diseases Research	93.837		Brown University	SUB AWARD# 00000729	(283)		-
Cardiovascular Diseases Research	93.837		University of California, Los Angeles	031690-01-URI	18,627	27,878	-
Lung Diseases Research	93.838		Ocean State Research Institute, Inc	122208	43,616	43,616	-
Allergy and Infectious Disease Research	93.855		University of California at Davis	SUB.201303042-03	6,178		-
Allergy and Infectious Disease Research	93.855		Columbia University	6(GG011896-65)	11,078		-
Allergy and Infectious Disease Research	93.855		Institut Pasteur de Tunis	Institut Pasteur de Tunis	(6,089)	11,167	-
Biomedical Research and Research Training	93.859		Brown University	00000938	171,933		-
Biomedical Research and Research Training	93.859		Brown University	00001023	93,676		-
Biomedical Research and Research Training	93.859		Brown University	0001098	20,646		-
Biomedical Research and Research Training	93.859		Brown University	00001441	24,933		-
Biomedical Research and Research Training	93.859		Brown University	0001480	8,737		-
Biomedical Research and Research Training	93.859		Brown University	00001142	75,784		-
Biomedical Research and Research Training	93.859		Brown University	00001396	103,991		-
Biomedical Research and Research Training	93.859		Yale University	M16A12388 (A10553)	102,744		-
Biomedical Research and Research Training	93.859		Yale University	GR108643(CON-80002175)	143,658		-
Biomedical Research and Research Training	93.859		Celdara Medical, LLC	CMCho2018	50,848		-
Biomedical Research and Research Training	93.859		Rhode Island Hospital	7137384NHW	5,719		-
Biomedical Research and Research Training	93.859		The Miriam Hospital	7147123KLL	(73)	802,596	-
Child Health and Human Development Extramural Research	93.865		Boston University	4500002896	128,194	128,194	-
Aging Research	93.866		Yale University	GR104571	789		-
Aging Research	93.866		Yale University	GR100954CON80000919	156,321		-
Aging Research	93.866		The Research Foundation for SUNY	82900	224,494		-
Aging Research	93.866		Rhode Island Hospital	701-7137507	77,060	458,664	-
Research, Prevention, and Education Programs on Lyme Disease in the United States	93.942		Western Connecticut State University	CDC2018A	41,568		-
Research, Prevention, and Education Programs on Lyme Disease in the United States	93.942		Western Connecticut State University	CDC2019A	68,494	110,062	-
Block Grants for Prevention and Treatment of Substance Abuse	93.959		Rhode Island Department of Behavioral Healthcare, Development	3526599	142,195	142,195	-

The accompanying notes are an integral part of this schedule.



# UNIVERSITY OF RHODE ISLAND

## (a Component Unit of the State of Rhode Island)

### Schedule of Expenditures of Federal Awards - Continued

#### Year Ended June 30, 2020

	CFDA Number	Additional Award Identification Number	Pass-Through Entity	Pass-Through Entity Award Number	Federal Expenditures	Total by Program	Passed Through to Subrecipients
<b>RESEARCH AND DEVELOPMENT CLUSTER - CONTINUED</b>							
<b>U.S. Department of Health and Human Services - Continued:</b>							
<b>Pass-through Awards - Continued:</b>							
Total U.S. Department of Health and Human Services					\$ 20,331,195	\$ 20,331,195	\$ 5,507,341
<b>U.S. Department of Homeland Security:</b>							
<b>Direct Awards:</b>							
Support for ARA Explosive Detection					51,175	51,175	-
<b>Pass-through Awards:</b>							
Centers for Homeland Security					425,692	-	-
Centers for Homeland Security					548,828	974,520	75,000
Total U.S. Department of Homeland Security					1,025,695	1,025,695	75,000
<b>Agency for International Development:</b>							
<b>Direct Awards:</b>							
USAID Foreign Assistance for Programs Overseas					6,321,111	6,321,111	2,337,587
<b>Pass-through Awards:</b>							
Secure Fish- Improved Nutrition Security in Kenya through Increased Access to Consumption of Coastal Marine Fish					11,080	11,080	-
USAID Foreign Assistance for Programs Overseas					238,586	-	-
USAID Foreign Assistance for Programs Overseas					120,898	-	-
USAID Foreign Assistance for Programs Overseas					591,952	-	-
USAID Foreign Assistance for Programs Overseas					6,049	-	-
USAID Foreign Assistance for Programs Overseas					152,390	1,109,875	-
Total Agency for International Development					7,442,066	7,442,066	2,337,587
Total Research and Development Cluster					\$ 71,262,301	\$ 71,262,301	\$ 12,452,134
<b>NON-CLUSTER</b>							
<b>U.S. Department of Education:</b>							
<b>Direct Awards:</b>							
Higher Education Emergency Relief Fund - Student					4,471,400	4,471,400	-
Total Non-Cluster					\$ 4,471,400	\$ 4,471,400	\$ -
<b>Total Expenditures of Federal Awards</b>					<b>\$ 190,048,786</b>	<b>\$ 190,048,786</b>	<b>\$ 12,452,134</b>

**UNIVERSITY OF RHODE ISLAND**  
**(a Component Unit of the State of Rhode Island)**

**Notes to the Schedule of Expenditures of Federal Awards**

**Year Ended June 30, 2020**

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, 2020. 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, 2020 consists of:

**UNIVERSITY OF RHODE ISLAND**  
**(a Component Unit of the State of Rhode Island)**

**Notes to the Schedule of Expenditures of Federal Awards - Continued**

**Year Ended June 30, 2020**

Note 4 - **Federal Student Loan Programs - Continued**

*University Administered Loan Programs - continued*

CFDA Number	Program Name	Outstanding Balance at June 30, 2020	Administrative Costs
84.038	Federal Perkins Loan	\$ 4,740,472	\$ -
93.342	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students	\$ 2,135,812	\$ -
93.364	Nursing Student Loans	\$ 1,720,298	\$ -

*Direct Student Loan Program*

The University disbursed \$83,399,490 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.

**UNIVERSITY OF RHODE ISLAND**  
**(a Component Unit of the State of Rhode Island)**

**Schedule of Findings and Questioned Costs**

**Year Ended June 30, 2020**

**Section I – Summary of Auditors’ Results:**

***Financial Statements***

Type of auditors’ report issued: Unmodified

Internal control over financial reporting:

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

Noncompliance material to the financial statements noted?  yes  no

***Federal Awards***

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

Internal control over major programs:

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

Any audit findings disclosed that are required to be reported in accordance with the Uniform Guidance?  yes  no

**UNIVERSITY OF RHODE ISLAND**  
**(a Component Unit of the State of Rhode Island)**

**Schedule of Findings and Questioned Costs - Continued**

**Year Ended June 30, 2020**

*Identification of Major Programs*

<b>Name of Federal Program or Cluster</b>	<b>CFDA Number</b>
Student Financial Assistance Cluster:	
Federal Supplemental Educational Opportunity Grant	<b>84.007</b>
Federal Work-Study Program	<b>84.033</b>
Federal Perkins Loan Program	<b>84.038</b>
Federal Pell Grant Program	<b>84.063</b>
Federal Direct Student Loans	<b>84.268</b>
Teacher Education Assistance for College and Higher Education (TEACH) Grants	
Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students	<b>93.342</b>
Nursing Student Loans	<b>93.364</b>
Non-Cluster:	
Higher Education Emergency Relief Fund - Student	<b>84.425E</b>

Dollar threshold used to distinguish between  
type A and type B programs:

\$18,224,374

Auditee qualified as a low-risk auditee?

\_\_\_ yes       X  no

**UNIVERSITY OF RHODE ISLAND**  
**(a Component Unit of the State of Rhode Island)**

**Schedule of Findings and Questioned Costs - Continued**

**Year Ended June 30, 2020**

**Section II – Financial Statement Findings:**

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, 2020**

**Section III – Federal Award Findings and Questioned Costs:**

**Finding number:** 2020-001  
**Federal agency:** U.S. Department of Education  
**Programs:** Federal Direct Student Loans  
**CFDA #:** 84.268  
**Award year:** 2020

***Criteria***

According to 34 CFR Section 668.165(a):

- (1) Before an institution disburses Title IV, HEA program funds for any award year, the institution must notify a student of the amount of funds that the student or his or her parent can expect to receive under each Title IV, HEA program, and how and when those funds will be disbursed. If those funds include Direct Loan program funds, the notice must indicate which funds are from subsidized loans, which are from unsubsidized loans, and which are from PLUS loans.
  
- (2) Except in the case of a post-withdrawal disbursement made in accordance with §668.22(a)(5), if an institution credits a student ledger account with Direct Loan, Federal Perkins Loan, or TEACH Grant program funds, the institution must notify the student or parent of –
  - (i) The anticipated date and amount of the disbursement;
  - (ii) The student's or parent's right to cancel all or a portion of that loan, loan disbursement, TEACH Grant, or TEACH Grant disbursement, and have the loan proceeds or TEACH Grant proceeds returned to the Secretary; and
  - (iii) The procedures and time by which the student or parent must notify the institution that he or she wishes to cancel the loan, loan disbursement, TEACH Grant, or TEACH Grant disbursement.
  
- (3) The institution must provide the notice described in paragraph (a)(2) of this section in writing –
  - (i) No earlier than 30 days before, and no later than 30 days after, crediting the student's ledger account at the institution, if the institution obtains affirmative confirmation from the student under paragraph (a)(6)(i) of this section; or
  - (ii) No earlier than 30 days before, and no later than seven days after, crediting the student's ledger account at the institution, if the institution does not obtain affirmative confirmation from the student under paragraph (a)(6)(i) of this section.

**UNIVERSITY OF RHODE ISLAND**  
**(a Component Unit of the State of Rhode Island)**

**Schedule of Findings and Questioned Costs - Continued**

**Year Ended June 30, 2020**

***Condition***

Federal regulations require the University to notify students, within the required timeframe, of credits to the student's account of any Direct Loan. During our testing, we noted one student, out of a sample of 40, who was not notified.

***Cause***

The cause was a technological error within the College's enterprise resources planning ("ERP") system. Upon disbursement to students, the ERP system was supposed to automatically send a notification to the students receiving Direct Loans within the required timeframe. Due to a glitch in the system, the notification was never sent after disbursement to the student.

***Effect***

The University was not in compliance with notification requirements.

***Questioned Costs***

Not applicable

***Perspective***

Our sample was not, and was not intended to be, statistically valid. Of the 40 students selected for testing, one student, or 2.5% of our sample, did not receive a disbursement notification.

***Identification as a Repeat Finding, if applicable***

Not applicable

***Recommendation***

The University should create a process to ensure that notifications go to all applicable students.

***View of Responsible Officials***

The University agrees with the finding.



**UNIVERSITY OF RHODE ISLAND**  
**(a Component Unit of the State of Rhode Island)**

**Management's Summary Schedule of Prior Audit Finding**

**Year Ended June 30, 2020**

**Section IV – Management's Summary Schedule of Prior Audit Findings:**

None.

## Management's Corrective Action Plan

Year Ended June 30, 2020

**Finding number:** 2020-001  
**Federal agency:** U.S. Department of Education  
**Programs:** Student Financial Assistance Cluster  
**CFDA #:** 84.268  
**Award year:** 2020

### *Corrective Action Plan:*

An internal investigation was conducted after the audit finding. It was discovered that the process developed to generate disbursement notifications was generating three emails for each award item (federal, institutional, state, private, etc.) disbursed to each student daily, resulting in thousands of emails being sent to the outgoing mail server and, consequently, creating the potential for a backlog and/or for it to be overloaded.

Code for the process was updated to:

- 1) select only those disbursements required by 34 CFR Section 668.165(a) to reduce the volume of unnecessary emails being generated, and
- 2) refine the SEND MAIL function to eliminate the redundancy in the email generation component of the process by sending one copy to the recipients' institutional email account and one copy to the Sending Account to for record-keeping purposes.

To ensure continued compliance, an internal auditing process was developed which involved creating two new database tables in the institution's SIS (Oracle PeopleSoft) to track outgoing mail messages and the success/failure of the outgoing email generation process. Tracking provides reporting of send-mail failures in addition to comparative counts of generated outgoing disbursement notification emails versus emails sent by the outgoing email server.

### *Timeline for Implementation of Corrective Action Plan:*

Effective immediately

### *Contact Person*

Bonnie Saccucci  
Director-Financial Aid