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**The University of Rhode Island Board of Trustees  
Institutional Risk and Compliance Committee Meeting  
Thursday September 23, 2021 at 3:30 p.m., Lecture Hall 308  
Rhode Island Nursing Education Center  
350 Eddy Street, Providence, RI 02903**

**MINUTES**

Chair Luna welcomed all members of the Committee and asked for a roll call. Noting that a quorum of in person members was present, Chair Luna called the meeting to order at 3:32 p.m.

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

- Mr. Roby Luna, Committee Chair
- Mr. Neil Kerwin, Committee Member
- Mr. Tim DelGuidice, RI Council on Postsecondary Education Chair (ex officio)
- Mr. Michael McNally, Board of Trustees Vice Chair
- Dr. Marc B. Parlange, President (ex officio, non-voting)
- Mr. Christopher Bove, Committee Member (ex officio, non-voting)
- Ms. Karina Edmonds, Committee Vice Chair (Remote)

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

- Margo Cook, Board of Trustees Chair (ex officio)
- Richard Humphrey, Committee Member

The University of Rhode Island Senior Leadership in attendance:

- Ms. Alyssa Boss, General Counsel
- Ms. Anne Marie Coleman, Assistant Vice President for Human Resources
- Dr. Karlis Kaugars, Chief Information Officer
- Ms. Abigail Rider, Vice President for Administration and Finance
- Dr. Peter Snyder, Vice President for Research and Economic Development

The URI staff members in attendance:

- Ms. Patricia Correia, Executive Assistant II, Division of Research and Economic Development (remote)
- Ms. Kara Larsen, Assistant Vice President for Enterprise Risk Management
- Mr. Phil Teixeira, Lead Information Technologist, Office of the President and Provost (remote)

## 1. ACCEPTANCE OF THE AGENDA

Chair Luna called for a motion that The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee accept the agenda for the meeting of September 23, 2001.

On a motion duly made by Neil Kerwin and seconded by Michael McNally, it was

VOTED:	THAT	The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee accept the agenda for the meeting of September 23, 2021.
	VOTE:	4 members voted in the affirmative and 0 members voted in the negative.
	YEAS:	Karina Edmonds, Roby Luna, Neil Kerwin, Michael McNally
	NAYS:	0
	ABSTAINS:	0

## 2. APPROVAL OF THE MINUTES

### a. Minutes of the April 22, 2021 meeting ([Enclosure 2.a.](#))

Chair Luna called for a motion to approve the minutes for the meeting of April 22, 2021.

On a motion duly made by Neil Kerwin 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 for the meeting of April 22, 2021.
	VOTE:	4 members voted in the affirmative and 0 members voted in the negative.
	YEAS:	Karina Edmonds, Roby Luna, Neil Kerwin, Michael McNally.
	NAYS:	0

ABSTAINS: 0

### **3. DISCUSSION ITEMS**

#### **a. IT Risk Assessment – Risk Treatment Plan**

Vice President Abigail Rider introduced Ms. Kara Larsen, Assistant Vice President for Enterprise Risk Management, who presented to the Committee an update on IT Risk Assessment. Kara Larsen's presentation can be found [here](#). Ms. Larsen reminded the committee of the major themes of risk assessment, some of which include physical infrastructure, data security, managing a central and distributed resources model, and improving policies and procedures. The presentation also included an overview of risk categories and risk controls, and proposed treatment plans. Discussion included clarification that while all University assets with a value of \$5,000 or more are tagged, the University is creating an inventory of all personal computers even though they do not reach the \$5,000 inventory threshold because they can serve as an access point for malware and hackers if not properly configured and registered on the University Domain.

Chair Luna asked questions centered on staffing level requirements, specifically about what IT security and tools the University is using and the staffing needed to secure IT risk properly. Dr. Karlis Kaugars, Chief Information Officer, responded that IT staffing levels needed to meet technology needs and stated that URI uses a series of tools to keep information (such as user names, passwords and human resource information) secure. The University has an authentication system in place and a VPN two-factor authentication system for remote use. In order to gain access to human resource systems and financial systems, you have to be fully authenticated. Dr. Kaugars noted it is a challenge for higher education to balance IT security with the need for faculty and graduate student access for innovation opportunities. Chair Luna noted the importance of having the appropriate staffing levels to manage a robust infrastructure.

#### **b. Update on Sexual Violence Training**

Vice President Abigail Rider and Ms. Kara Larsen provided an update on sexual violence training at the University. Ms. Rider reminded the committee that a sexual misconduct policy was adopted during the summer of 2020 to conform to the new Title IV regulations. URI has a mandatory sexual violence training course for employees, faculty, and students. Ms. Larsen reported compliance with the training is high, noting that approximately 72% of the employees and 70% of the students have completed the online course. The current sexual misconduct policy is sound and no update is needed at this time; however, the procedures will be updated and modified regularly. Ms. Larsen indicated that the U.S. Department of Education intends to issue revised regulations in the spring of 2022. If and when that happens, it will likely require a change to the policy.

#### **c. External Auditor Competitive Procurement Process**

Vice President Abigail Rider reviewed the competitive procurement process and reminded the committee that the contract with the current external auditors, O'Connor & Drew, expired at the end of 2020, but was extended through 2021 and 2022 due to Covid. The contract will come up again at the end of fiscal year 2022 and will need to be competitively bid. It was agreed that the bid process should be a group effort with CCRI and RIC in order to obtain the best price. Three-

and five-year bids will be requested to see the pricing differences. Ms. Rider explained that the University has not had an internal auditor for roughly five years, because the State performs the internal audit function for the University. A compliance officer was recently hired, and that person can help with some functions that would ordinarily be done by an internal auditor.

#### **4. ADJOURN**

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

On a motion duly made by Neil Kerwin and seconded by Michael McNally, it was

VOTED:	THAT	The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee adjourn the meeting of September 23, 2021.
	VOTE:	4 members voted in the affirmative and 0 members voted in the negative.
	YEAS:	Karina Edmonds, Roby Luna, Neil Kerwin, Michael McNally.
	NAYS:	0
	ABSTAINS:	0

The meeting adjourned at 4:24 p.m.

#### **UPCOMING MEETING**

**The next meeting of The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee is scheduled for November 4, 2021.**