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The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee Meeting

Thursday January 14, 2021 at 9:45 a.m.

Pursuant to Governor Raimondo's Executive Order, this meeting was held virtually using the WebEx platform (Board only) and Facebook Livestream (public viewing)

MINUTES

Chair Roby Luna welcomed all members of the committee and asked for a roll call. Noting that a quorum was present, Chair Luna called the meeting to order at 9:47 a.m.

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

- Mr. Roby Luna, Chair
- Mr. Richard Humphrey (joined at 10:25 a.m.)
- Mr. David J. Martirano
- Ms. Susan Petrovas
- Ms. Jay Placencia

Other URI Board of Trustees voting members in attendance:

- Mr. Michael McNally, Vice Chair, Board of Trustees

The URI Board of Trustees ex-officio Committee members in attendance:

- Mr. Tim DelGiudice

The University of Rhode Island Senior Leadership in attendance:

- Ms. Anne Marie Coleman, Assistant Vice President for Human Resources
- Ms. Michelle Curreri, Chief of Staff and Board Secretary

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- Mr. Peter Harrington, Interim General Counsel
- 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:

- Mr. Stephen Baker, Director of Public Safety
- Ms. Kara Larsen, Assistant Vice President for Enterprise Risk Management
- Mr. Ross Levine, URI Export Controls Officer
- Dr. Daniel Moos, Assistant to the Vice President for Administration and Finance
- Dr. Theodore Myatt, Associate Vice President for Research Administration

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 January 14, 2021.

On a motion duly made by David Martirano and seconded by Jay Placencia, it was

VOTED: THAT The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee accept the Agenda for the meeting of January 14, 2021.

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

YEAS: Roby Luna, David Martirano, Susan Petrovas, and Jay Placencia

NAYS: 0

ABSTAINS: 0

Richard Humphrey was not present for the vote.

2. APPROVAL OF THE MINUTES

Minutes of the October 23, 2020 Meeting

Chair Luna called for a motion to approve the Minutes for the meeting of October 23, 2020.

On a motion duly made by Jay Placencia and seconded by David Martirano, it was

VOTED: THAT The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee approve the Minutes for the meeting of October 23, 2020.

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

YEAS: Roby Luna, David Martirano, Susan Petrovas, and Jay Placencia

NAYS: 0

ABSTAINS: 0

Richard Humphrey was absent for the vote.

3. DISCUSSION ITEMS

a. Compliance Calendar – Review of the University’s annual compliance reporting obligations and their timing.

Vice President Abigail Rider introduced Kara Larsen, Assistant Vice President for Enterprise Risk Management, who presented information on compliance reporting at the University, including a draft compliance calendar. Ms. Larsen noted the importance between required compliance reporting and informational reporting, noting that her focus in the presentation was on required reporting. Ms. Larsen’s presentation can be found [here](#): Ms. Larsen noted that she will update the committee at future meetings as the compliance report develops and as the committee’s agenda allows.

b. Presentation of the annual Clery Report on Crime

Chair Luna introduced Mr. Stephen Baker, Director of Public Safety and Chief of Police at URI, who provided a summary of the current Clery Report. Chief Baker’s report included an overview of Clery reporting, information on jurisdictional definitions for the report, definitions of Clery crimes, and data on mandated reporting for the current year. Chief Baker’s presentation can be found [here](#). Chief Baker also noted that the report includes data on Fire Safety as well as appropriate University policies and procedures. Answering questions, Chief Baker noted that the current-year drop in reportable offenses has likely come from stricter enforcement within Housing and Residential Life; that offenses occurring in off-campus housing are not reported in the Clery report, though URI Police coordinates with local police on offenses involving off-campus students; and that URI Police is currently operating with a slightly reduced staff (28), partially due to COVID concerns, two officers in the Police Academy, and the natural turnover of a small university department. Chair Luna thanked Chief Baker for his service.

c. Export Controls Overview for the Institutional Risk and Compliance Committee

Chair Luna introduced Mr. Ross Levine, the University’s Export Control Officer, for a discussion of Export Controls. Mr. Levine’s presentation can be found [here](#). Mr. Levine provided background information on Export Controls at the University, including controlling regulations and statutes, internal controls and reporting hierarchies, the role of the Empowered Official (Export Control Officer), and other functional compliance activities. In addition, Mr. Levine provided a summary of the Government Accountability Office (GAO) May 2020 report to Congress on University-specific export control issues, noting that Appendix III of this report provides excellent guidance for additionally strengthening export control activities at the University. Vice President Peter Snyder thanked Mr. Levine for his report.

d. Management of Research-Related Conflicts of Interest & Public-Private Partnership Act (RI Ethics Code)

Chair Luna introduced Dr. Peter Snyder, Vice President for Research and Economic Development. Vice President Snyder discussed public private partnership (PPP) activities at the University, noting that the University is controlled by the Rhode Island Public-Private Partnership Act. Dr. Ted Myatt, Associate Vice President for Research Administration, provided an overview of the RI PPP Act including discussions of conflicts of interest, specifically with reference to federal and state regulations, the University Conflict of Interest in Research policy, and required disclosures. Dr. Myatt's presentation can be found [here](#).

e. Computer System Security Overview

Chair Luna introduced Dr. Karlis Kaugars, Chief Information Officer for the University. Dr. Kaugars presented an overview of IT services at the University, including an overview of risk and general strategies for mitigating those risks. Dr. Kaugars discussed two primary risk areas: 1) Disclosure/theft of confidential data (personal, health, etc.), noting that direct costs associated with a significant data breach could be significant and in extreme cases could even exceed our \$5M cyber liability insurance policy limit; and 2) theft of research data, where costs are much more difficult to quantify. Dr. Kaugars also discussed controlling regulations and statutes, including HIPAA, FERPA, NIST 800-171, PCIS, FTC Red Flag Rules, GDPR, etc. Dr. Kaugars noted that the University has an excellent IT security team that has recently doubled in size and received improvements in funding. Dr. Kaugars also discussed the University's defense practices that include a hierarchy of protections from the network service providers through individual computing endpoints on campus.

f. Policy on University Technology and Sponsored Non-Immigrant Aliens

Chair Luna introduced Vice President Snyder, who recommended that in the interests of time this item be moved to the end of the meeting or to a following meeting. Attorney Harrington noted that there is no need for a committee vote on this change. At the conclusion of Item 4a. below, the Committee determined by a simple poll to move this item to the next meeting.

4. ACTION ITEMS

a. Review of the request for exemption under the Public-Private Partnership Act and recommendation to the Board of Trustees

Vice President Snyder introduced Dr. Ted Myatt to provide a discussion of the current recommendation for an exemption from the Rhode Island Ethics Code under the RI PPP Act. Dr. Myatt discussed the details of the request for the exemption. Documents regarding this request can be found [here](#). The reason for this request is the existence of a possible conflict of interest that must be managed by the University's Conflict of Interest Management Committee to minimize risks. Dr. Myatt noted that the research under discussion has not yet begun pending committee and Board of Trustees approval. Vice President Snyder discussed broadly how conflicts of interest are managed at the University, noting the objectivity of the Conflict of Interest Management Committee, and that the overall goal of management is not to eliminate conflict of interest at the University but to manage it effectively in order to better translate intellectual property at the University for greater public good.

Chair Luna called for a motion that the Institutional Risk and Compliance Committee of the URI Board of Trustees recommend that the Board of Trustees approve the request for exemption under the Public-Private Partnership Act as recommended and presented.

On a motion duly made by Susan Petrovas and seconded by David Martirano, it was

VOTED: THAT The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee recommend to the Board of Trustees that it approve the request for exemption under the Public-Private Partnership Act and recommendation to the Board of Trustees

VOTE: 5 members voted in the affirmative and 0 members voted in the negative.

YEAS: Richard Humphrey, Roby Luna, David Martirano, Susan Petrovas and Jay Placencia

NAYS: 0

ABSTAINS: 0

5. ADJOURN

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

On a motion duly made by Chair Luna and seconded by Susan Petrovas, it was

VOTED: THAT The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee adjourn the meeting January 14, 2021.

VOTE: 5 members voted in the affirmative and 0 members voted in the negative.

YEAS: Richard Humphrey, Roby Luna, David Martirano, Susan Petrovas, and Jay Placencia

NAYS: 0

ABSTAINS: 0

The meeting adjourned at 11:15 a.m.

UPCOMING MEETING

The next meeting of The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee is scheduled for April 22, 2021.