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*Student Representative*

## The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee Meeting Thursday April 22, 2021 at 10:45 a.m. EDT

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

### MINUTES

Chair 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 10:47 a.m.

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

- Mr. Richard Humphrey (joined at 11:21 a.m.)
- Mr. Roby Luna, Chair
- Mr. David J. Martirano, Vice Chair
- Mrs. Susan Petrovas
- Ms. Jay Placencia

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

- Ms. Margo Cook, Chair, URI Board of Trustees
- Mr. Tim DelGiudice, Chair, RI Council on Postsecondary Education
- Mr. Michael McNally, Vice Chair, URI Board of Trustees

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
- 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:

- Ms. Robin Cawley, Executive Assistant II, Office of the President
- Ms. Kara Larsen, Assistant Vice President for Enterprise Risk Management
- Ms. Cynthia Mace, University Controller
- Dr. Daniel Moos, Assistant to the Vice President for Administration and Finance

## 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 April 22, 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 April 22, 2021.

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

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

NAYS:         0

ABSTAINS:    0

Richard Humphrey was not present for the vote.

## 2. APPROVAL OF THE MINUTES

### a. Minutes of January 14, 2021 [Enclosure 2a](#)

Chair Luna called for a motion to approve the minutes 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 approve the minutes 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 J. Martirano, Susan Petrovas, and Jay Placencia.

NAYS: 0

ABSTAINS: 0

Richard Humphrey was not present for the vote.

### **3. DISCUSSION ITEMS**

#### **a. Research Grant Accounting Compliance Review**

Vice President Abigail Rider introduced Ms. Cynthia Mace, University Controller, who presented to the Committee on procedures, oversight, and audits relative to research purchasing. The presentation can be found [here](#). The presentation included discussions of federal revenue to the University, grants and revenue by listed awarding agency, and institutional audits including annual financial audit, Single Audit, and agency-specific audits, as well as the roles and responsibilities of the Vice President for Research and Economic Development and the Vice President for Administration and Finance relative to these agencies. Ms. Mace provided additional detail on the Single Audit as well as on the Coronavirus Aid, Relief, and Economic Security (CARES) Act and other higher education relief revenues.

#### **b. Policy on University Technology and Sponsored Non-Immigrant Aliens**

Vice President Snyder presented the policy on University Technology and Sponsored Non-Immigrant Aliens to the Committee as an informational item, noting that this University policy went into effect in December 2020. A copy of the policy can be found [here](#).

Chair Luna asked about restrictions to IT access for non-immigrant aliens; Vice President Snyder noted that they will have access similar to guest access. Chair Luna noted that the University makes a significant contribution to national defense and thanked Vice President Snyder for this work.

Ms. Placencia asked how the University is ensuring that the institution stays up to date and protected with reference to IT technology; Vice President Snyder noted that this is an ongoing concern across universities at the system-level. Vice President Snyder noted that as problems develop, the University works with its institutional partners, as well as several intelligence agencies that provide non-prescriptive guidance, to address problems collectively. Vice President Snyder also noted that the University will be hiring an attorney who will work part-time in Research and Economic Development to manage export control and attend to compliance; the University additionally has just hired a Director for Defense Sector Research and Development.

#### **c. IT Risk Assessment**

Abigail Rider presented Ms. Kara Larsen who provided a presentation to the Committee on a University IT Risk Assessment. This presentation can be found [here](#). This presentation included discussions of components of risk assessment generally as well as risk treatments, the process of risk assessment relative to IT, and general themes identified within the IT division through this assessment process.

Ms. Larsen discussed the challenges related to hacking, specifically data theft, ransom, and resources used by outside actors, noting that IT security must be nimble and flexible to protect the

different types of challenges and noting that security training to all members of the University community is important to IT security.

Vice President Rider also discussed current University efforts to maintain IT security.

Dr. Kaugars noted that the University has strong endpoint security as well as full-service cybersecurity training, including customizable training modules. He noted that compliance with this training is very high, particularly in the divisions of Research and Economic Development, Administration and Finance, and Student Affairs.

Ms. Larsen noted that a Risk Register is pending.

#### **d. Digital Identities Report**

Dr. Kaugars provided a discussion of digital identities at the University. This presentation can be found [here](#). Dr. Kaugars discussed the history of the consolidation of digital services identities including certain institutional outliers with continued local services, the distributed nature of work at URI, noting that the University needs to determine which services are most efficiently delivered centrally versus which services should remain distributed, and the independent management of certain IT systems locally at the University. Dr. Kaugars noted that policies are presently being developed to manage the risks associated with this dichotomy of services and identities.

The Committee discussed the range of work still needed to be done to address centralized services and single identities. Vice President Snyder noted that from a security perspective, the University should insist that all University business be completed through University resources and systems (email, etc.). Vice President Rider noted that much of the work here rests in change management as well as policy and technological change.

Dr. Kaugars discussed current IT security practices at the University, noting the challenges specific to protecting different types of local data.

The Committee briefly discussed a potential action item relative to the use of University email by members of the Board of Trustees.

#### **e. Annual Review of the Institutional Risk and Compliance Charter**

Chair Luna discussed the purpose of the annual review of the IRCC charter. The charter can be found [here](#).

Mr. McNally noted this is an annual review relative to completeness of the goals and objectives of the charter.

The Committee reviewed the charter. Chair Luna noted that the development of Enterprise Risk Management Department is good for the University and said that the Committee could benefit by a clarification of controls.

Vice President Snyder noted that there may be certain types of risk that do not fall under the purview of the Committee, using ethical concerns relative to the use of humans and animals in research as an example, and suggested a continued discussion on the clarification of the types of risk that fall to the Committee. Vice President Rider noted that compliance could fall to this committee, for example the general compliance of the Institutional Review Board (IRB), but not

the findings of that board, could be reported to this committee. Vice President Snyder noted that the scope of IRB is under federal purview and is to be independent from local administrative governing bodies, including this Board of Trustees.

#### 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 Susan Petrovas and seconded by David Martirano, it was

VOTED:	THAT	The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee adjourn the meeting April 22, 2021.
	VOTE:	5 members voted in the affirmative and 0 members voted in the negative.
	YEAS:	Richard Humphrey, Roby Luna, David J. Martirano, Susan Petrovas, and Jay Placencia
	NAYS:	0
	ABSTAINS:	0

The meeting adjourned at 12:07 p.m.

#### UPCOMING MEETING

**The next meeting of The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee is scheduled for June 24, 2021.**