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Matthew Lenz '11

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Michael F. McNally '81, *Vice Chair*

Dr. Karina Montilla Edmonds '92

Cortney M. Nicolato '01

Vahid Ownjazayeri

Susan Petrovas '92

Yahaira "Jay" Placencia '01

Thomas Ryan '75

Armand E. Sabitoni '73

Ex Officio Members

Chair

*R.I. Council on Postsecondary
Education*

Barbara Cottam, *Chair*
R.I. Board of Education

Bethany D. Jenkins
Faculty Representative

Hannah Bachert '23
Student Representative

**The University of Rhode Island Board of Trustees
Institutional Risk and Compliance Committee Meeting
Tuesday, June 7, 2022 • 1:00 p.m. EDT**

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

OFFICIAL MINUTES

Committee Chair Roby Luna welcomed everyone to the June 7, 2022 meeting of the Institutional Risk and Compliance Committee. He conducted a roll call attendance and confirmed that a quorum of members was present. Chair Luna called the meeting to order at 1:02 p.m.

The Committee held a hybrid meeting. Committee members participated remotely and some URI staff members gathered in person. A recording of the meeting is available at: <https://web.uri.edu/trustees/meetings/>

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

- Mr. Roby Luna, Committee Chair (remote)
- Ms. Karina Montilla Edmonds, Committee Vice Chair (remote)
- Mr. Neil Kerwin (remote)
- Mr. Thomas Ryan (joined at 1:53 p.m., remote)
- Ms. Hannah Bachert, (ex officio, non-voting) (remote)
- Ms. Margo Cook, Board of Trustees Chair (ex officio, voting) (remote)
- Dr. Marc B. Parlange, President (ex officio, non-voting) (joined at 1:03 p.m., remote)

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

- Mr. Dennis Duffy, RI Council on Postsecondary Education (non-voting)
- Mr. Richard Humphrey (voting)
- Mr. Michael McNally, Vice Chair (ex officio, voting)

The URI President’s Leadership Council members in attendance:

- Dr. Laura Beauvais, Interim Provost and Vice President for Academic Affairs (remote)
- Ms. Abby Benson, Senior Advisor to the President and Chief of Staff (joined at 1:03 p.m., remote)
- Ms. Alyssa Boss, General Counsel (in person)
- Dr. Karlis Kaugars, Chief Information Officer (in person)
- Ms. Ellen Reynolds, Interim Vice President, Student Affairs (joined at 1:04 p.m., remote)
- Ms. Abigail Rider, Vice President, Administration & Finance (in person)

The URI staff members in attendance:

- Ms. Patricia Correia, Executive Assistant II, Division of Research and Economic Development (in person)
- Ms. Michelle Curreri, Secretary, Board of Trustees (in person)
- Ms. Kara Larsen, Assistant Vice President, Enterprise Risk Management (in person)
- Ms. Pamela McCarthy, Coordinator, Environmental Health & Safety (in person)
- Ms. Angela Miller, Assistant Vice President for Financial Operations and Controller (in person)
- Ms. Lynn Owens, Associate Secretary, Board of Trustees (in person)

Invited guests in attendance:

- Mr. Andrew Lee, CliftonLarsonAllen LLP (in person)
- Mr. Michael Johns, CliftonLarsonAllen LLP (remote)

Committee Chair Luna read into the record the University of Rhode Island Land Acknowledgement Statement:

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

1. ACCEPTANCE OF THE AGENDA

Committee 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 June 7, 2022.

On a motion duly made by Margo Cook and seconded by Neil Kerwin, it was

VOTED: THAT The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee accept the agenda for the meeting of June 7, 2022.

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

YEAS: Margo Cook, Neil Kerwin, Roby Luna, Karina Montilla Edmonds

NAYS: 0

ABSTAINS: 0

Committee member Thomas Ryan was not present for the vote.

2. APPROVAL OF THE MINUTES

a. Minutes of the April 21, 2022 Meeting of the Institutional Risk and Compliance Committee. [Enclosure 2.a.](#)

Committee Chair Luna called for a motion that the Institutional Risk and Compliance Committee of the URI Board of Trustees approve the minutes of the April 21, 2022 Meeting of the Institutional Risk and Compliance Committee.

On a motion duly made by Margo Cook and seconded by Neil Kerwin, it was

VOTED: THAT The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee approve the minutes of the April 21, 2022 Meeting of the Institutional Risk and Compliance Committee.

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

YEAS: Margo Cook, Neil Kerwin, Roby Luna, Karina Montilla Edmonds

NAYS: 0

ABSTAINS: 0

Committee member Thomas Ryan was not present for the vote.

3. DISCUSSION ITEMS

a. Introduction of the New External Auditors

Abigail Rider, Vice President, Administration & Finance, introduced the new external auditors CliftonLarsenAllen, LLP, and explained that they were chosen via a request for proposals in conjunction with the Council on Postsecondary Education, Rhode Island College, and the

Community College of Rhode Island. The request was made jointly because it made sense economically, and the set of services required to prepare audited financial statements for the state is the same for all three state institutions. Ms. Rider introduced Mr. Michael Johns and Mr. Andrew Lee from CliftonLarsonAllen, and Ms. Angela Miller, the new Assistant Vice President for Financial Operations and Controller at the University of Rhode Island. Mr. Johns provided an overview of CliftonLarsonAllen, a top ten U.S. accounting firm, and Mr. Lee reviewed the audit plan for the 2022 audit. The CliftonLarsonAllen presentation can be found [here](#).

Committee members inquired if there were any trends in auditing that they should be aware of with regard to the receipt of COVID relief funding. Mr. Lee replied there has been a shift from a single audit perspective. The state determines which major programs are tested and the auditors test for compliance. Committee members asked about the magnitude of funding universities have dedicated to cybersecurity over the last few years. Mr. Lee responded that although the amounts vary greatly from institution to institution, universities and colleges have put a lot of time and effort into cybersecurity, and there has been a material increase in cybersecurity spending in recent years.

b. Compliance Review: Environmental Health and Safety

Ms. Abigail Rider, Vice President, Administration & Finance, introduced the compliance review topic Environmental Health and Safety (EHS) as a major compliance unit at the University. Ms. Kara Larsen, Assistant Vice President, Enterprise Risk Management, proceeded to introduce Ms. Pam McCarthy, Coordinator, Environmental Health and Safety, and gave an overview of the department and the team members that report to Ms. McCarthy. Ms. Larsen reviewed the various programs and the scope of work. The areas of focus are hazardous waste, chemical safety, occupational safety, industrial hygiene, radiation safety and biosafety. Each program manages, inspects, and educates. A goal for all of the programs is to train and educate students and employees, and enhance sustainability. For example, the radiation safety program manages X-ray and laser programs, radioactive materials, and the shipment of radioactive materials. Additionally, the program oversees the set up of safe laboratories and management of inventory, as well as training and providing educational materials to those involved with the program. Ms. Larsen's presentation can be found [here](#).

Committee member Neil Kerwin asked about the schedule of inspections and the frequency of on-site inspections by agencies. Ms. McCarthy stated the Environmental Protection Agency (EPA) and the Rhode Island Department of Environmental Management (DEM) switch off every three years, and she expects the EPA to inspect sometime this year. Inspections last about one week and include inspecting labs, how waste is labeled and waste maintenance. Once the inspection is complete, the agency issues a full report. Kerwin also asked if there is a system in place to submit a complaint. Ms. Larsen responded there are a couple of pathways to submit a complaint including directly contacting the Environmental Health and Safety office or confidentially submitting a complaint via a toll-free hotline number or website.

c. Annual Review of the Institutional Risk and Compliance Committee Calendar

Committee Chair Luna reviewed the changes to the committee calendar found in [Enclosure 3.c](#). Committee members did not have any questions.

4. EXECUTIVE SESSION

Chair Luna called for a motion that the Executive Committee of the URI Board of Trustees enter into Executive Session for the following item:

- a. Discussion regarding the matter of security including, but not limited to, the deployment of security personnel or devices pursuant to R.I.G.L. §42-46-5(a)(3).**
- Abigail Rider, Vice President, Administration and Finance
 - Karlis Kaugars, Chief Information Officer

On a motion duly made by Karina Montilla Edmonds and seconded by Neil Kerwin, it was:

VOTED:	THAT	The URI Board of Trustees Executive Committee enter into Executive Session for:
		a. Discussion regarding the matter of security including, but not limited to, the deployment of security personnel or devices pursuant to R.I.G.L. §42-46-5(a)(3).
	VOTE:	5 members voted in the affirmative and 0 members voted in the negative.
	YEAS:	Margo Cook, Neil Kerwin, Roby Luna, Karina Montilla Edmonds, Thomas Ryan
	NAYS:	0
	ABSTAINS:	0

The Board entered into Executive Session at 1:54 p.m. Webex access was paused. Meeting participants who were not required to participate in the Executive Session left the Webex meeting and the meeting room.

The Board reconvened in Open Session at 2:14 p.m. Webex access resumed.

Chair Luna called for a motion that the Executive Committee of the University of Rhode Island Board of Trustees seal the minutes of the Executive Committee’s Executive Session that took place on June 7, 2022.

On a motion duly made by Margo Cook and seconded by Karina Montilla Edmonds, it was

VOTED:	THAT	The URI Board of Trustees Executive Committee
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seal the minutes of the Executive Committee's Executive Session that took place on June 7, 2022.

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

YEAS: Margo Cook, Neil Kerwin, Roby Luna, Karina Montilla Edmonds, Thomas Ryan.

NAYS: 0

ABSTAINS: 0

5. ADJOURN

Committee 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 Karina Montilla Edmonds, it was

VOTED: THAT The University of Rhode Island Board of Trustees Institutional Risk and Compliance Committee adjourn the meeting of June 7, 2022.

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

YEAS: Margo Cook, Neil Kerwin, Roby Luna, Karina Montilla Edmonds, Thomas Ryan.

NAYS: 0

ABSTAINS: 0

The meeting adjourned at 2:19 p.m.

UPCOMING MEETING

The next URI Board of Trustees Institutional Risk and Compliance Committee Meeting is scheduled for September 22, 2022.