

2015 Financial Integrity and Accountability Report

1. Introduction

Thank you for participating in the State of RI Financial Integrity Act Survey for 2015. Please note that your submission is due by December 11, 2015.

Completion of this survey ensures your compliance with RI General Law, Title 35, Chapters 14 and 20, and the Department of Administration Office of Accounts and Control Policy/ Procedure Number A-39.

Copies of all completed surveys will be forwarded to the Governor, the Director of Administration, the Legislature, the Office of the Auditor General, and the State Library in accordance with State Law.

Please note that all questions in this survey, along with the answers provided, must be reviewed and approved by the Director of the Department/Agency prior to submission. A follow up email will be sent to the Director of the Department/Agency confirming the Director's review and approval of the survey.

The survey should take approximately 1 1/2 hours to complete. You have the ability to save your work in progress at any time and to resume the survey at your convenience.

Many of the questions require the use of your professional judgment to answer. Your honest objective answers are very much appreciated.

Should you have any questions with regard to the survey, please contact Michael Sprague, Deputy Chief, Bureau of Audits, at email address mike.sprague@audits.ri.gov. Thank you.

2015 Financial Integrity and Accountability Report

2. General Information

The survey begins with the gathering of general information about you and your Department/Agency (Entity).

Please enter the following information:

1. Name of Department/Agency (Entity):

University of Rhode Island

2. Name of Preparer:

Christina L. Valentino

3. Title of Preparer:

Vice President for Administration and Finance

4. Phone Number of Preparer:

401-874-2433

5. Email address of Preparer:

clvalentino@uri.edu

6. Address of Preparer:

108 Carlotti Administration Building, 75 Lower College Road, Kingston, RI 02881

7. Director of the Entity:

David M. Dooley, President

8. Email address of the Director:

davedooley@uri.edu

2015 Financial Integrity and Accountability Report

3. Strategic Information

The following questions focus on the strategic risks of the entity. A strategic plan is a forward looking plan that aims to map out the means to achieve longer term goals and to plan a response to unforeseen problems and opportunities.

9. Does the entity have a written strategic plan that guides employees on what the entity is working to achieve?

- yes
- no
- other

Please specify

The Office of the Provost works collaboratively with the University Deans and the Faculty Senate to promote high standards and a culture of achievement among students, staff, and faculty through implementation of URI's Academic Plan, Charting Our Path to the Future, its Strategic Vision, and the University's Mission. More information can be found on the website <http://web.uri.edu/academic-planning/college-department-and-division-plans/>.

10. If the entity has a written strategic plan, when was it last updated?

- within the last year
- within the last 3 years
- within the last 5 years
- within the last 10 years
- not applicable

Please use the space below to provide any additional information relevant to this question.

The various strategic plans per Q9 are updated regularly.

11. How is the strategic plan communicated within the organization? Select all that apply.

- quarterly or annual entity wide meetings
- written communication
- e-mail
- posted on agency web site or internal intranet
- no formal communication
- not applicable

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

12. Does the department's strategic plan have quantifiable goals to determine success?

- yes
- no
- not applicable

Please use the space below to provide any additional information relevant to this question.

13. Does the department have performance measures for programs it administers?

- yes for all programs
- yes for more than half of programs
- yes for less than half of programs
- no

Please use the space below to provide any additional information relevant to this question.

14. Does the department use performance-based data, or other measures to compare it's actual performance, with programmatic goals and objectives? If yes, how often is this done?

- more than once a month
- every 1-3 months
- every 3-6 months
- every 6-12 months
- less than once per year
- not applicable

Please use the space below to provide any additional information relevant to this question.

15. Is the entity responsible for meeting the immediate needs of the public or its constituents in an emergency situation such as a security threat or natural disaster?

- yes
- no

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

16. Does the entity have an emergency preparedness plan in the event of catastrophe (e.g. fire, flood, hurricane, blizzard, pandemic illness)?

- yes
- no

Please use the space below to provide any additional information relevant to this question.

17. If the entity has an emergency preparedness plan, when was the last time this plan was used in an exercise or actual emergency?

- within the last year
- within the last two years
- within the last five years
- longer than five years ago
- we have never used the plan
- we do not have a plan

Please use the space below to provide any additional information relevant to this question.

The University provides ongoing training to all members of the community - students, faculty, staff and visitors, and utilizes drills and table top exercises to test simulated emergency situations on a regular basis.

18. If the entity has an emergency preparedness plan, when was it last updated?

- within the last year
- within the last 3 years
- within the last 5 years
- within the last 10 years
- not applicable

Please use the space below to provide any additional information relevant to this question.

19. If the entity has an emergency preparedness plan, how is it communicated within the organization? Select all that apply.

- quarterly or annual entity-wide meetings
- written communication
- e-mail
- posted on agency web site or internal intranet
- no formal communication
- entity does not have an emergency preparedness plan

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

20. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk?

yes

no

Please use the space below to provide any additional information relevant to this question.

21. Has inadequate/outdated technology affected the entity's progress toward meeting its objectives?

yes

no

Please use the space below to provide any additional information relevant to this question.

The University wrestles with the costs and potential impacts of technologies like new student information systems, on-line courses, and high performance research computing as well as constraints due to interdependence upon external systems of which the University has no control. Keeping up with technology is key to the University's mission in all areas including, but not limited to, education, communication and business processes, and as such, prioritizes Information Technology in a resource constrained reality, continuing to recruit the best students, faculty, and staff.

22. Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives?

yes

no

Please use the space below to provide any additional information relevant to this question.

Inadequate/outdated equipment affects safety, reliability and operational effectiveness. Updating equipment is crucial to meeting the University's objectives, with the decisions regarding replacement primarily prioritized based upon safety, efficiency, and when such equipment is determined to no longer be cost effective to maintain.

2015 Financial Integrity and Accountability Report

4. Operational Information

The following questions focus on the operational risks of the entity.

23. Has there been a change in the nature, size or structure, of the entity, within the last year?

- yes
- no

If you answered yes, please provide a brief explanation.

Within the last year the University has realized growth in the number of students enrolled, faculty employed and the net investment in capital assets. Major capital additions in fiscal 2015 included construction in progress for the Center for Chemical and Forensic Sciences.

24. Number of full time personnel on June 30, 2015:

- 1 - 5
- 6 - 10
- 11 - 15
- 16 - 30
- 31 - 50
- 51 - 100
- 101 - 175
- 176 - 250
- 251 - 749
- over 750

Please use the space below to provide any additional information relevant to this question.

25. Number of full time equivalent contract employees on June 30, 2015 (i.e., contracted through ADIL Business System or comparable company):

- none
- 1 - 5
- 6 - 10
- 11 - 15
- 16 - 30
- 31 - 50
- over 50

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

26. If the entity has policies and procedures manuals, when were they last updated?

- within the last year
- within the last 3 years
- within the last 5 years
- within the last 10 years
- never updated
- the entity does not have policies and procedures manuals

Please use the space below to provide any additional information relevant to this question.

University policies and procedures are continually reviewed and updated in accordance with Board regulations, union contractual changes, and State and Federal mandates.

27. If the entity has policies and procedures manuals, how often does the entity provide training on the policies and procedures to the staff? Select all that apply.

- at the time of hire
- annually
- as needed due to changes or additions
- the entity does not provide training on the policies and procedure manuals
- the entity does not have policies and procedures manuals

Please use the space below to provide any additional information relevant to this question.

28. Are policies and procedures (written or unwritten) designed to provide adequate segregation of duties or independent checks?

- yes
- no
- not sure

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

29. Is the internal control structure supervised and reviewed by management to determine if it is operating as intended?

- yes
- generally yes
- sometimes
- no
- not sure
- not applicable - entity does not have policies and procedures manuals

Please use the space below to provide any additional information relevant to this question.

30. Are there adequate systems of authorization and approval of transactions?

- yes
- generally yes
- no
- not sure

Please use the space below to provide any additional information relevant to this question.

31. Does the entity have adequate staffing in order to reasonably ensure all control activities are in place and operating as designed?

- yes
- generally yes
- no
- not sure

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

32. Estimate the number of financial transactions the entity processes on a monthly basis.

- less than 100
- 100 to 1,000
- 1,001 to 5,000
- 5,001 to 10,000
- 10,001 to 50,000
- 50,001 to 100,000
- 100,001 to 250,000
- greater than 250,000

Please use the space below to provide any additional information relevant to this question.

The offices of Purchasing, Accounts Payable, General Accounting, Grants and Contracts, Capital Projects, Travel, Purchase Card Program, Accounts Receivable, Budget, Sponsored and Cost Accounting, Payroll and Student Loans process thousands of transactions each year.

33. Is there timely (2-3 business days) and appropriate documentation and recording of financial transactions?

- yes
- generally yes
- no
- not sure

Please use the space below to provide any additional information relevant to this question.

34. Does management identify and analyze risks relating to change, such as new technology, new regulations, restructuring and rapid growth?

- yes
- no

If you answered yes, please provide a brief explanation.

Management at all levels meet on a regular basis to identify and analyze such risks and address appropriately.

2015 Financial Integrity and Accountability Report

35. Does the department have a process in place to identify new (or changed) laws, or statutory requirements that could affect its operations?

- yes
- no

If you answered yes, please provide a brief explanation.

Externally the Council on Post Secondary Education provides information concerning new (or changed) laws and statutory requirements that could impact the University's operations. Internally, the Department of External Relations and Communications major areas of focus include serving as a liaison to the Rhode Island General Assembly, the Board of Higher Education, and the Office of the Governor.

36. Are there new (within the last year) and significant legal, regulatory, or professional requirements of the entity that the entity may not be able to satisfy?

- yes
- no

If you answered yes, please provide a brief explanation.

37. Is the entity responsible for overseeing multiple year and varied federal award programs?

- yes
- no

If you answered yes, please provide a brief explanation.

The University is a publicly supported research institution, and as such, is responsible for overseeing multiple year and varied federal award programs.

38. Does the entity have written policies and procedures related to the administration of federal awards?

- yes
- no
- the entity is not responsible for the administration of federal award programs

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

39. Is there adequate management understanding of information technology?

- yes
- generally yes
- sometimes
- no
- not sure

Please use the space below to provide any additional information relevant to this question.

The growing complexity of Information Technology creates challenges to providing training quickly and thoroughly, but overall, management has a good understanding of technical changes. There are also challenges to adapting to new and expanding areas of technology, such as virtualization and big data.

40. Are controls in place to ensure information systems and data are protected from unauthorized access, theft, or malicious acts?

- yes
- no

If you answered yes, please provide a brief explanation.

The University fully understands that a fundamental goal of information security is to reduce adverse impacts on its resources to an acceptable level. Therefore, the University and its IT Security Council employs a "defense in depth methodology", an information assurance concept in which multiple layers of security controls (defense) are placed throughout an information technology (IT) system, to provide redundancy in the event a security control fails, thereby reducing risk. This defense in depth methodology includes the implementation of technical controls that form the foundation of the University's defense from unauthorized access, theft and malicious acts.

41. Does the entity interact with the public using the Internet? (i.e. accept payments, take applications, complaints)

- yes
- no

If you answered yes, please provide a brief explanation.

Online Admission applications and fee processing; camp and conference registrations; student bill payments; on-line courses, library services, E-campus functions (erg., requisitions, grades and registrations); communications, marketing and fundraising.

42. Other than services provided by the Division of Information Technology (DoIT), are any information technology related functions outsourced?

- yes
- no

If you answered yes, please provide a brief explanation.

Parking permit system, on-line admission applications, electronic tuition payments including credit card processing, 1098T reporting, electronic student refunds, task stream Eportfolio and assessment, event calendar, and email.

2015 Financial Integrity and Accountability Report

43. If the entity has outsourced information technology functions, how is the integrity of the data and processes maintained?

Contracts to outsource are made in strict compliance with the General Laws of the State of Rhode Island, Board of Governors for Higher Education Procurement Regulations and University policies. Additionally, all procurement contracts and agreements entered into by the University must first be reviewed by internal General Counsel to ensure legal sufficiency.

44. Do information systems' controls effectively prevent and/or detect missing, or invalid data?

yes

no

If you answered yes, please provide a brief explanation.

Oracle PeopleSoft Applications is the predominant information system utilized at the University providing access controls which include key preventative and detective controls to validate that only authorized people enter or modify data, automated controls which include preventive, detective and monitoring controls, and documented workflow. Additionally the University prioritizes the delivery of training and user support to all system users.

45. Do only authorized staff have information system override privileges?

yes

no

Please use the space below to provide any additional information relevant to this question.

46. Have deficiencies been detected in internal controls, by management, internal audit, the Office of the Auditor General, federal funding agencies, or other regulatory authorities, within the last year?

yes

no

not sure

If deficiencies in internal controls have been detected, please provide a brief description.

47. Does management promote the identification and discussion of potential and known problems with auditors and other evaluators?

yes

generally yes

sometimes

no

not sure

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

5. Financial Information

The following questions focus on the financial risks of the entity.

48. Did you request a supplemental budget this year?

- yes
- no
- not sure

If yes, please provide a brief description.

49. Evaluate the effectiveness of the budget process as a control mechanism.

- highly effective
- effective
- somewhat effective
- not effective
- not sure

Please use the space below to provide any additional information relevant to this question.

50. Are there disagreements between the Controller's/Budget Offices and the entity with regard to accounting, auditing and reporting matters?

- yes often
- occasionally
- seldom
- no

If "yes often", please provide detail of the types of disagreements that exist.

51. Have formal or informal restrictions been applied to the internal or external auditor to limit access to people and information?

- yes
- no
- not sure

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

52. Which answer best describes how the entity handles audit findings?

- audit findings are corrected within 6 months
- audit findings are prioritized by management and corrected when possible
- audit findings are generally not corrected
- the entity has not had audit findings

You may provide commentary here to clarify your answer.

53. Considering the past two years, please select the answer that best describes the entity's ability to meet its periodic reporting requirements.

- has met all reporting requirements
- generally meets all reporting requirements
- has been unable to meet some reporting requirements
- generally unable to meet its reporting requirements

Please use the space below to provide any additional information relevant to this question.

54. Did the entity complete the required Federal Funding Accountability and Transparency Act (FFATA) reporting within one month of issuing the sub-awards using federal funds?

- yes
- no
- no sub-awards issued using federal funds

Please use the space below to provide any additional information relevant to this question.

55. If applicable, what is the entity's bond/debt rating?

As of June 30, 2015, the University of Rhode Island general revenue bonds are rated by Moody's as Aa3 and Standard and Poor's rating services have given rates of A+

56. Is the entity's organizational structure appropriate for its size and responsibilities?

- yes
- generally yes
- not really
- no

Please provide a brief explanation if you answered that the entity's organizational structure is not, or not really, appropriate for its size and responsibilities

2015 Financial Integrity and Accountability Report

57. Has the entity failed to obtain or been forced to return federal funds due to staffing issues or any other reason?

yes

no

If yes, please estimate the amount of funds and the reason they were not obtained or returned.

58. How effective is the entity at tracking federal award revenue and federal award expenses?

highly effective

effective

somewhat effective

not effective

not applicable, the entity does not receive award revenue

Please use the space below to provide any additional information relevant to this question.

59. What tools does the agency use to track federal award revenue and federal award expenditures? Check all that apply.

grant management system

excel spreadsheets

other (specify below)

agency does not systematically track federal revenue and expenditures

If you selected "other" please use the space below to specify the system used.

60. Does the department document its review of federal funds sub-recipients?

yes

occasionally

generally no

no

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

61. Evaluate the risk of theft or misappropriation of assets by management or employees due to their access to cash or other assets.

- high risk
- moderate risk
- low risk
- little or no risk

Please use the space below to provide any additional information relevant to this question.

62. Are you aware of or do you suspect any theft, misappropriation or fraud to be currently occurring or have occurred during the last year within your entity?

- yes
- no

If yes, please elaborate

63. Are there adequate physical safeguards over cash, investments, inventory and fixed assets, of the entity?

- yes
- generally yes
- not in all instances
- no

Please use the space below to provide any additional information relevant to this question.

64. If the entity accepts payments from the public, please indicate which forms of payment are accepted. Select all that apply.

- cash
- personal/business check
- certified/bank check/money order
- credit/debit card
- ach/direct deposit/wire transfer
- entity does not accept payment from the public

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

65. Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose.

- highly effective
- effective
- adequate
- less than adequate
- poor

Please use the space below to provide any additional information relevant to this question.

66. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas)

- highly effective
- effective
- adequate
- less than adequate
- poor
- not sure

Please use the space below to provide any additional information relevant to this question.

67. Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures)

- highly effective
- effective
- adequate
- less than adequate
- poor
- not sure

Please use the space below to provide any additional information relevant to this question.

Authorized access procedures and password policies are continually being re-evaluated and improved as a consequence to the environment where new and sophisticated cyber security risks emerge.

2015 Financial Integrity and Accountability Report

68. Evaluate oversight of employee expenditures, such as travel and expense reimbursement.

- highly effective
- effective
- adequate
- less than adequate
- poor

If you answered "less than adequate" or "poor" please provide a brief explanation.

69. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement.

- highly effective
- effective
- adequate
- less than adequate
- poor

If you answered "less than adequate" or "poor" please provide a brief explanation.

70. Evaluate the entity's internal accounting and administrative controls.

- highly effective
- effective
- adequate
- less than adequate
- poor

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

6. Human Resource Management

The following questions focus on the risks related to Human Resources.

71. Have there been any significant changes in senior management or directors, within the last year?

- yes
- no

If yes, please provide a brief explanation

The hiring of the Executive Director of External Relations and Communications, whose major areas of focus include serving as the liaison from the University to the Rhode Island General Assembly, the Office of Higher Education, and the Office of the Governor and providing guidance and management for the University's efforts (in coordination with the Office of Higher Education and the Board of Education), for increasing state funding and the appropriate legislation for the University and higher education.

72. Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees?

- yes
- no

If "yes", how are they communicated?

Codes and other policies communicating ethical and moral behavioral standards are posted on multiple department websites including, but not limited to: Administration and Finance, Affirmative Action, Office of Community, Equity, and Diversity, Office of the Controller, Human Resource Administration, Internal Audit, and Research and Economic Development.

73. Is there an employee handbook that is readily accessible?

- yes
- no

Please use the space below to provide any additional information relevant to this question.

Employees are either covered by collective bargaining agreements or Board of Education personnel policies which can be found on the Human Resource Administration website <http://web.uri.edu/hr/unions/> and http://web.uri.edu/hr/policies_procs/ respectively.

74. When was the employee handbook last updated?

- within the last year
- within the last 3 years
- within the last 5 years
- within the last 10 years
- not applicable

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

75. When were job descriptions last updated?

- within the last year
- within the last 3 years
- within the last 5 years
- within the last 10 years
- not applicable

Please use the space below to provide any additional information relevant to this question.

Job descriptions are reviewed and revised continually as positions become vacant or the nature of the position changes.

76. Are there standardized hiring procedures and are they consistently applied?

- yes
- generally yes
- no

Please use the space below to provide any additional information relevant to this question.

Hiring procedures can be found on the Human Resource Administration website <http://web.uri.edu/hr/jobops/>

77. Are background checks conducted on potential hires?

- no
- yes

Please use the space below to provide any additional information relevant to this question.

The University has partnered with HireRight to conduct national pre-employment background screening for all new hires.

78. Does the entity have sufficient numbers of people with the requisite skills to achieve its organizational objectives?

- yes, sufficient
- yes, but barely sufficient
- no, not sufficient

Please provide support for your answer here

Budget reductions, retirements and staff turnovers often create challenges to achieving organizational goals. Recognizing the need to address this (and as part of the President's Transformational Goals and the University's Academic Plan 2010-2015) faculty hiring initiatives have emerged and are being implemented. The University believes that strategically investing in faculty in high-priority areas will provide the highest potential to forward the goals of the University, fulfilling our missions of teaching, research and service.

2015 Financial Integrity and Accountability Report

79. Does the agency have a succession plan in place for senior management and other key employees?

yes

no

Please use the space provided for optional commentary.

80. Does the entity have operations or individuals that have evidenced significant ethical shortfalls and the appropriate personnel actions have not been taken?

yes

no

not sure

If you answered yes, please provide a brief explanation.

81. Evaluate morale among senior management.

excellent

good

fair

low

Please use the space below to provide any additional information relevant to this question.

82. Evaluate morale among employees.

excellent

good

fair

low

Please use the space below to provide any additional information relevant to this question.

While a struggling economy and budget constraints present challenges that can affect staff and faculty morale, proactive work-life programs continue to be initiated and developed. The University strives to create a work culture that encourages work-life balance in today's workplace providing support in such areas including, but not limited to: caring for dependents, health and wellness, workplace flexibility, and paid and unpaid time off, understanding that the quality of life of our employees strongly enhances all aspects of our work and the academic core mission of the university.

2015 Financial Integrity and Accountability Report

83. Are there mandatory vacations for employees performing key control functions?

yes

no

Please use the space below to provide any additional information relevant to this question.

84. Does management utilize methods such as cross-training, strategic hiring practices, detailed procedure documentation, enhanced supervision, etc. to help mitigate the risk associated, with sudden, or significant changes in key personnel?

yes

no

Please use the space below to provide any additional information relevant to this question.

85. Is there a risk that the Finance function of the entity will fail to function as a control in the event that senior management seeks to override established controls or take overly aggressive financial reporting positions?

yes

no

Please use the space below to provide any additional information relevant to this question.

86. Is there any indication that unreliable or inaccurate estimates have been provided, or that management has been less than forthright?

yes

no

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

87. Evaluate management's past performance:

- long track record of meeting or exceeding strategic goals, as well as a positive history of reacting to changing conditions
- successful in meeting goals and objectives, appears to be in control of operations
- moderately successful in meeting goals and forecasts, occasional crisis management due to changing operating conditions
- often unable to meet goals, operational changes often create crisis situations for management
- rarely able to meet goals, constant management by crisis

Please use the space below to provide any additional information relevant to this question.

88. Evaluate management's experience and skill mix:

- experienced management team that has successfully managed through one or more business cycles
- management team of average experience that has successfully managed through one or more business cycles
- senior management team lacks experience in a key area
- senior management team lacks experience with common industry problems

Please use the space below to provide any additional information relevant to this question.

89. Evaluate management's depth:

- good management depth at key positions with full succession planning
- adequate management depth with all key positions covered by qualified individuals
- insufficient management depth with an active recruiting effort to fill positions
- insufficient management depth in key positions representing serious exposures

Please use the space below to provide any additional information relevant to this question.

The University is led by a strong, stable and dedicated senior leadership team with the right diversity of thought, experience and style resulting in the ability to tackle complex issues collaboratively and to ensure continuity.

2015 Financial Integrity and Accountability Report

7. Regulatory / Compliance

The following questions focus on the risks relative to regulatory and compliance issues.

90. Is there an oversight authority or board of directors to whom management is responsible?

yes

no

Please use the space below to provide any additional information relevant to this question.

The Council on Postsecondary Education and the Rhode Island Board of Education provide oversight authority.

91. If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management?

yes

no

question not applicable

Please use the space below to provide any additional information relevant to this question.

92. Have there been any changes in the entity's legal counsel during the past year?

yes

no

question not applicable

If you answered yes, please provide a brief explanation.

93. Is the entity currently under a regulatory or other supervisory order?

yes

no

If yes, please explain

As reported last year, the University continues under a "Consent Decree" agreement with the United States District Court on behalf of the US Environmental Protection Agency (the "EPA"), the US Justice Department, and the Rhode Island Department of Environmental Management (the "RIDEM") with regards to the West Kingston Town Dump/URI Disposal Area Superfund Site.

2015 Financial Integrity and Accountability Report

94. Are there any actual or pending inquiries, investigations, or actions by a regulatory agency, that would affect the entity's ability to operate?

yes

no

If yes, please provide a brief explanation

95. Does the entity have any specific anti-fraud policies?

yes

no

Please use the space below to provide any additional information relevant to this question.

The Ethics Hotline was implemented providing a universal reporting mechanism that uses best practices to help identify and resolve fraud, waste, abuse and compliance issues. Employees are covered under The Rhode Island Whistleblowers' Protection Act as described in RIGL 28-50-3, prohibiting retaliation against state employees for disclosing a violation or noncompliance with laws, rules, or regulations.

96. Does the entity have an internal audit function, other than the Bureau of Audits?

yes

no

Please use the space below to provide any additional information relevant to this question.

The Internal Audit Department coordinates and conducts internal audit activities in collaboration with the greater University community and in accordance with generally accepted auditing standards.

97. Does the entity work with client information, requiring security, privacy, and confidentiality?

yes

no

Please use the space below to provide any additional information relevant to this question.

98. Does the entity have a documented privacy and confidentiality policy?

yes

no

Please use the space below to provide any additional information relevant to this question.

The University is in compliance with the Public Records Act and all HIPAA and FERPA laws to protect the privacy of student information, health information, employee personal information and financial information.

2015 Financial Integrity and Accountability Report

99. Is the entity subject to debt covenant requirements?

yes

no

Please use the space below to provide any additional information relevant to this question.

The University has no independent bonding authority. All revenue bonds must be approved by and arranged through the Rhode Island Health and Education Building Corporation. Debt related to revenue bonds is reported on the University's financial statements. Debt related to general obligations bonds is reflected on the state of Rhode Island's financial statements. As of June 30, 2015, the University of Rhode Island general revenue bonds are rated by Moody's as Aa3 and Standard and Poor's rating services have given rates of A+.

100. If the entity is subject to debt covenant requirements, is the entity in compliance?

yes

no

not applicable

Please use the space below to provide any additional information relevant to this question.

101. Does the entity have policies/procedures for maintaining compliance with environmental laws?

yes

no

not applicable

Please use the space below to provide any additional information relevant to this question.

The Environmental Health and Safety (EHS) Office is responsible for the development and implementation of programs aimed at protecting the safety and well-being of the University community as well as maintaining compliance with Federal, state and local occupational safety and health and environmental regulations. See <http://web.uri.edu/ehs/> for more information.

102. Is the entity involved in the production or handling of hazardous substances (besides the office related items such as ink and toner cartridges)?

yes

no

If yes, please provide a brief explanation.

The Environmental Health and Safety Office manages the University's chemical safety, occupational safety, biosafety, industrial hygiene, and hazardous waste. Various hazardous waste can exist at both laboratory and institutional maintenance and operations areas. The goal of the Hazardous Waste Management program is to provide hazardous waste management, provide training to University staff, students, PI's and lab personnel, and to ensure regulatory compliance. Additionally the goal is to enhance sustainability by adopting pollution prevention and waste minimization strategies. See http://web.uri.edu/esh/hazardous_waste/ for additional information.

2015 Financial Integrity and Accountability Report

103. Does the entity conduct internal self-reviews with regard to compliance with laws and regulations?

- yes, often
- occasionally
- no

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

8. Governmental Service

This series of questions relate broadly to the services provided by the entity.

104. How well is the entity meeting the needs of its constituents?

- very well
- adequately well
- adequately well in most areas, though some need improvement.
- not very well

Please use the space below to provide any additional information relevant to this question.

105. Does the entity have a means of monitoring constituent satisfaction with its services?

- yes
- no

Please use the space below to provide any additional information relevant to this question.

The University effectively monitors constituent satisfaction by means of surveys, face-to-face interviews and focus groups.

106. Does the entity focus on improving accountability and transparency to the general public through the use of internet portals (ri.gov) or another means of information disbursement?

- yes
- generally yes
- no, this has not been an area of focus

Please use the space below to provide any additional information relevant to this question.

107. How is the entity working to improve government accessibility? Please check all that apply.

- physical relocation
- physical improvement to facilities
- change in hours
- improved phone service
- internet services
- improved customer service program

Please use the space below to provide any additional information relevant to this question.

2015 Financial Integrity and Accountability Report

9. Commentary

This section of the survey provides you with the opportunity to include commentary on other issues and concerns you may have with regard to the entity's ability to meet its goals and objectives.

108. Please use the space provided for additional commentary. In addition to commentary here you may include any documentation that you feel is relevant to your compliance with the FIA statute by sending the document to Mike Sprague at michael.sprague@audits.ri.gov. Any supplemental documentation you supply will be included as an addendum to this survey when the results are distributed to the required parties.

2015 Financial Integrity and Accountability Report

10. Completion / Conclusion

Please answer the final two questions with regard to this FIA survey.

109. Have you answered all questions to the best of your knowledge and belief?

yes

no

110. All questions included in this survey, along with all the corresponding answers as provided, have been reviewed and approved by the entity's Director?

yes

no

2015 Financial Integrity and Accountability Report

11. Completion and Submission

Copies of this survey, along with a two question survey to be completed by the entity's Director, will be distributed to the Director of Administration, the Auditor General, the Legislature, and the State Library in compliance with RI Statute, 35-14-6 (Public Finance, Financial Integrity and Accountability, Annual Report).

Thank you for taking the time to complete this survey. Your time and efforts are very much appreciated.

Submit by E-mail

If you experience problems with the "Submit by E-mail" button, please save the PDF file and e-mail it as an attachment to david.peterson@audits.ri.gov.

Print Form