

NOTICE OF PUBLIC MEETING

The Board of Trustees of the University of Oregon will hold a public meeting in the Giustina Ballroom of the Ford Alumni Center on the Eugene campus at the following times.

Monday, September 20, 2021, at 9:00 a.m. Pacific Time

Tuesday, September 21, 2021 at 9:30 a.m. Pacific Time

Subjects of the meeting will include standing reports; quarterly finance and treasury reports, including FY22 operating expenditure authorization; small changes to the board's delegation of authority policy; capital project approvals relating to the Knight Campus and Huestis Hall; and reports and discussions regarding fall resumption, DEI initiatives, student success, OPURP administration, the Knight Campus, and internal audit.

The meeting's agenda and materials are available at <https://trustees.uoregon.edu/upcoming-meetings>.

A livestream link will be available at: <https://trustees.uoregon.edu/meetings>. If telephone conference, sign language for the deaf or hard of hearing, or accessibility accommodations are required, contact trustees@uoregon.edu at least two business days in advance of the posted meeting time. Please specify the sign language preference if applicable.

Public Comment

To provide public comment during the meeting, please sign up by emailing trustees@uoregon.edu and include your name, affiliation with the university, and topic for discussion. Public comment guidelines are available [here](#).

Those wishing to provide comments in writing may do so via trustees@uoregon.edu. All written comments will be shared with members of the board, but to ensure comments are provided to trustees *in advance* of the meeting, they must be received by 5:00 p.m. Pacific Time on May 19, 2021.

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**Board of Trustees
Public Meeting
September 20-21, 2021**

**September 20, 2021 | 9:00 AM PST
Ford Alumni Center Ballroom | Eugene Campus**

Convene Public Meeting

- Call to order and verification of a quorum
- Approval of minutes from the May 2021 full board meeting and the August 11 and September 14 Executive and Audit Committee meetings

1. Standing Reports and Public Comment.

1.1 ASUO. Isaiah Boyd, ASUO President

1.2 University Senate. Spike Gildea, Professor of Linguistics and University Senate President

1.3 Public Comment (if requested): *To provide comment at the board meeting, email trustees@uoregon.edu with your name, affiliation to the UO, topic of discussion.*

--Officers of Administration Council

--Campus Labor Organizations

--Other Public Comment

1.4 Provost and President Reports. Patrick Phillips, Provost and Senior Vice President;
Michael Schill, President and Professor of Law

2. Fall Resumption. Patrick Phillips, Provost and Senior Vice President; Grant Schoonover, Senior Director for Undergraduate Academic Success; Kris Winter, Sr. Associate Vice President for Student Life.

Meeting recessed until approximately 1:30 p.m.*

**Time subject to change and will be announced at the time of recess.*

3. University Finances and Treasury. Jamie Moffitt, Vice President for Finance and Administration and CFO.

3.1 Quarterly Reports and Long-Term Projections.

3.2 FY22 Operating Expenditure Authorization (Action).

3.3 Oregon Public Universities Retirement Programs Administration Annual Report.

4. Knight Campus for Accelerating Impact. Bob Guldberg, Vice President and DeArmond Executive Director.

5. Capital Project Approvals (Actions). Michael Harwood, University Architect.

a. Knight Campus Phase II Preliminary Expenditures.

b. Huestis Hall.

Meeting recessed until 9:30 a.m. September 21, 2021.

6. **Student Success Initiatives.** Kimberly Johnson, Vice Provost for Undergraduate Education and Student Success.
7. **Institutional Diversity, Equity, and Inclusion Initiatives.** Patrick Phillips, Provost and Senior Vice President; Mark Schmelz, Chief Human Resources Officer; Yvette Alex-Assensoh, Vice President for Equity and Inclusion.
8. **Internal Audit.** Leah Ladley, Chief Auditor.
9. **Retention and Delegation of Authority Policy – Technical Changes (Action).** Angela Wilhelms, Secretary.

Meeting Adjourned

Agenda Item #1

Standing Reports & Public Comment

- ASUO President
- University Senate President
- Public Comment
- Provost's Report
- President's Report

There are no materials for this section of the agenda.

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Agenda Item #2

Fall Resumption

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Return to Campus

Board of Trustees Meeting Fall 2021



Patrick Phillips

Provost and Senior Vice President

Kris Winter

Associate Vice President

Division of Student Life

Grant Schoonover

Senior Director, Undergraduate Academic Success

Undergraduate Education and Student Success





CAMPUS OPERATIONS UPDATE



UNIVERSITY OF
OREGON

Challenges for Fall

Welcoming students home through in-person and remote connections

- Pandemic fatigue
- Anxiety levels
- Staffing issues
- Planning for students who get sick
- Communicating quick pivots



Non-academic Support

Supporting students in campus experience

- **Re-engagement:**
 - Get2Know UO
 - Special events and return of traditions
- Basic needs
- Crisis response
- Staff training re: support



Academic Challenges for Fall

Prioritizing student support to address anticipated student needs

- Foundational knowledge gaps, atrophied learning skills, and higher enrollment in remedial coursework
- Higher levels of anxiety and mental health challenges
- A college choice based on limited engagement with UO
- Limited returning student engagement in and out of the classroom



Academic Support

Supporting students academic and transition needs

- **Summer Bridge** to ease transition into college
- New residence hall **Academic Success Hub** and **peer academic coaching** program
- Expanded academic and co-curricular engagement through increased number of **First Year Interest Groups** and increased programming for **Academic Residential Research Initiatives**
- **(Re)orientation** through advising campaigns and **wrap around support**
- Implementation of **career assessment**, VitaNavis and **non-cognitive assessment**, ISSAQ System
- **Peer mentors** and **undergraduate research mentors**





Questions?

Agenda Item #3

Finance & Treasury

- 3.1 Quarterly Reports & Long-Term Projections**
- 3.2 FY22 Expenditure Authorization**
- 3.3 OPURP Annual Report**

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Agenda Item #3.1

Quarterly Reports & Long-Term Projections

Materials associated with the long-term projections discussion will be provided as supplements closer to or at the meeting to ensure that figures are as up-to-date as possible.



Finance Summary: Education and General Qtr4 FY2021

CFO's Key Takeaways

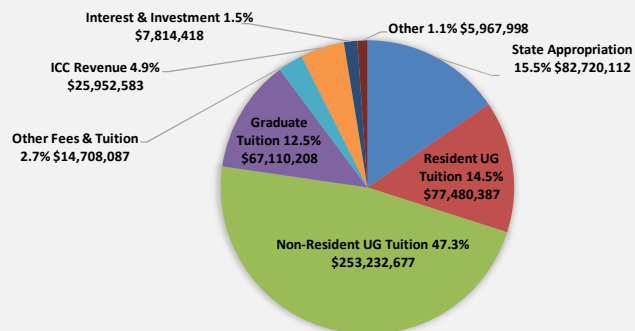
- COVID-19 pandemic dramatically affected FY21 E&G fund finances.
- Reduction in number of Fall 2020 first year, undergraduate students will affect E&G fund for the next 3 years.
- COVID-19 related one-time cost savings (e.g. hiring freeze, S&S reductions, workshare savings, etc.) offset revenue losses in E&G funds for FY21.
- Final E&G fund balance was \$59.1M vs Q3 projection of \$52.9M.

Education and General Fund Qtr4 - Projection Status

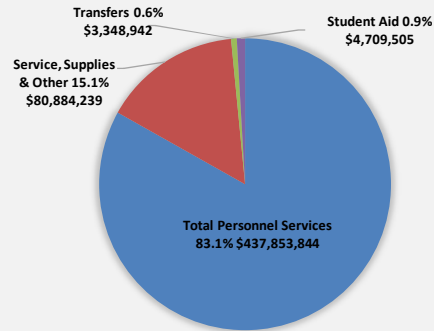
Category	FY21 Q3 Projection	FY21 YE Actuals	FY21 Actuals vs Q3 Proj.	Status	Notes
State Appropriation	\$82,243,619	\$82,720,112	100.6%	On Track	• In line with Q3 projection
Tuition and Fees	\$411,800,000	\$412,655,803	100.2%	On Track	• In line with Q3 projection
ICC Revenue	\$26,000,000	\$25,952,583	99.8%	On Track	• In line with Q3 projection
Other Revenue	\$1,300,000	\$2,051,191	157.8%	Up	• Insurance recoveries
Personnel Services	\$440,000,000	\$437,853,844	99.5%	Slightly Down	• Hiring freeze impacts
Service & Supplies	\$89,500,000	\$93,626,145	104.6%	Up	• IS and CPFM end-of-year HEERF cost reimbursements moved as transfers.

Education & General Funds - Total Dollars

FY21 E&G Q4 REVENUE ACTUALS

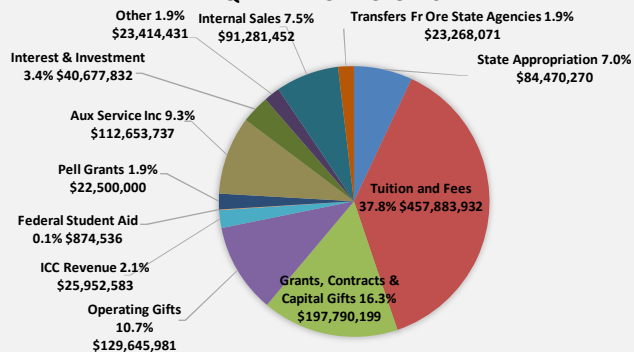


FY21 E&G Q4 EXPENSE ACTUALS

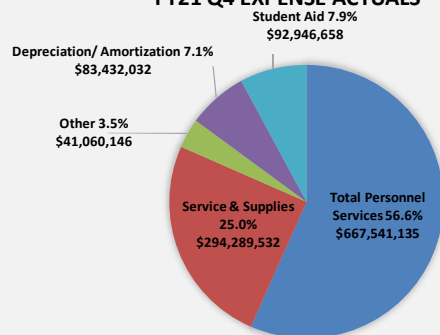


All Funds - Total Dollars

FY21 Q4 REVENUE ACTUALS



FY21 Q4 EXPENSE ACTUALS



Student Aid Expense does not include \$63M of fee remissions awarded to students. Remissions are booked as negative revenue.



UNIVERSITY OF OREGON

Financial Update

September 2021

Board of Trustees of the University of Oregon
Finance and Facilities Committee

Agenda

- Quarterly Financial Report
- Quarterly Treasury Report

Quarterly Financial Report – CFO Key Takeaways FY21 E&G Funds – Q4 Actuals

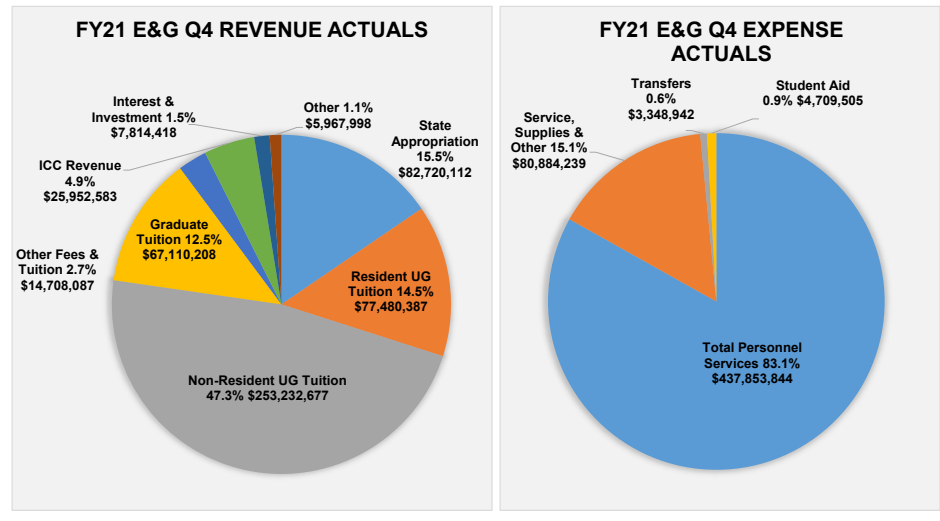
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- Final E&G fund balance was \$59.1M vs Q3 projection of \$52.9M.

Quarterly Financial Report - Dashboard

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Service & Supplies	\$89,500,000	\$93,626,145	104.6%	Up	• IS and CPFM end-of-year HEERF cost reimbursements moved as transfers.

Quarterly Financial Report – E&G Fund Revenue and Expense Breakdown



E&G Year End Summary Review of Revenue

	FY21 Initial Projection Q1	FY21 Updated Projection Q2	FY21 Updated Projection Q3	FY21 Actual Q4	FY21 Full Year Actual as % of Q1
State Appropriation	\$ 82,243,619	\$ 82,243,619	\$ 82,243,619	\$ 82,720,112	100.6%
Tuition and Fees	\$ 414,000,000	\$ 410,500,000	\$ 411,800,000	\$ 412,655,803	99.7%
Gifts Grants & Contracts	\$ 170,000	\$ 170,000	\$ 370,000	\$ 382,053	224.7%
ICC Revenue	\$ 26,650,000	\$ 26,000,000	\$ 26,000,000	\$ 25,952,583	97.4%
Federal Student Aid	\$ -	\$ -	\$ -	\$ -	-
Interest and Investment	\$ 7,600,000	\$ 7,600,000	\$ 7,400,000	\$ 7,814,418	102.8%
Internal Sales	\$ 1,100,000	\$ 900,000	\$ 700,000	\$ 695,105	63.2%
Sales & Services	\$ 3,100,000	\$ 2,400,000	\$ 2,800,000	\$ 2,839,650	91.6%
Other Revenues	\$ 2,500,000	\$ 2,500,000	\$ 1,300,000	\$ 2,051,191	82.0%
Transfers From Ore State Agencies	\$ -	\$ -	\$ -	\$ -	-
Total Revenue	\$ 537,363,619	\$ 532,313,619	\$ 532,613,619	\$ 535,110,914	99.6%


E&G Year End Summary Review of Expenses

		<i>FY21 Initial Projection Q1</i>	<i>FY21 Updated Projection Q2</i>	<i>FY21 Updated Projection Q3</i>	<i>FY21 Actual Q4</i>	<i>FY21 Full Year Actual as % of Q1</i>
Total Personnel Services	\$	445,000,000	\$ 441,000,000	\$ 440,000,000	\$ 437,853,844	98.4%
Service & Supplies	\$	94,000,000	\$ 89,000,000	\$ 89,500,000	\$ 93,626,145	99.6%
Merchandise-Resale/Redistribution	\$	2,000	\$ 4,000	\$ 4,000	\$ (1,258)	-62.9%
Internal Sales Reimbursements	\$	(16,500,000)	\$ (12,000,000)	\$ (12,000,000)	\$ (12,746,608)	77.3%
Indirect Costs	\$	100,000	\$ 20,000	\$ 20,000	\$ 5,959	6.0%
Depreciation/Amortization Expense	\$	-	\$ -	\$ -	\$ -	-
Student Aid	\$	5,100,000	\$ 4,600,000	\$ 4,600,000	\$ 4,709,505	92.3%
Total General Expense	\$	82,702,000	\$ 81,624,000	\$ 82,124,000	\$ 85,593,744	103.5%
Net Transfers Out(In)*	\$	8,000,000	\$ 8,000,000	\$ 8,000,000	\$ 3,348,942	41.9%
Total Expense	\$	535,702,000	\$ 530,624,000	\$ 530,124,000	\$ 526,796,531	98.3%
Net before CapEx	\$	1,661,619	\$ 1,689,619	\$ 2,489,619	\$ 8,314,383	500.4%
Beginning Fund Balance	\$	54,401,248	\$ 54,401,248	\$ 54,401,248	\$ 54,401,248	100.0%
Capital Expenditures**	\$	(5,000,000)	\$ (4,000,000)	\$ (4,000,000)	\$ (3,791,094)	75.8%
Net (from above)	\$	1,661,619	\$ 1,689,619	\$ 2,489,619	\$ 8,314,383	500.4%
Fund Additions/Deductions	\$	-	\$ -	\$ -	\$ (118,991)	-
Retirement Incentive Program One-time Expenses TBD			TBD	TBD	\$ (6,139,934)	
Federal COVID-19 Relief Funds TBD			TBD	TBD	\$ 6,458,995	
Ending Fund Balance	\$	51,062,867	\$ 52,090,867	\$ 52,890,867	\$ 59,124,607	115.8%

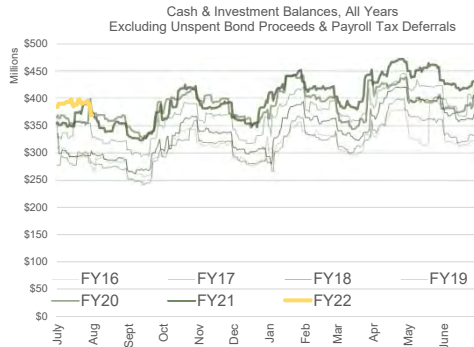
* - Net Transfers include transfers to Plant funds for capital construction projects and transfers to other funds for support

** - Capital Expenditures includes IS/Research computer servers and networks, library collections, vehicles and general equipment

Agenda

- Quarterly Financial Report
-  • Quarterly Treasury Report

Cash & Investment Balances



- Average balances for the fourth quarter, excluding bond proceeds and the payroll tax deferral, were approximately \$47 million more than the same quarter in FY20.
- The increased balance from the prior year is primarily due to increases in unrealized investment gains. Decreased cash balances were seen in auxiliary and plant funds.
- Estimated average accounting yield for the cash & investment pool was 1.46% for Q4 FY21 and 1.69% for Q4 FY20. Year-to-date average accounting yield was 1.51% in FY21, compared to 2.05% in FY20, primarily due to lower interest rates.
- The T3 portfolio returned 4.3% in Q4 FY21 compared to the stock/bond benchmark return of 5.2%. Fiscal year-to-date returns for the T3 portfolio totaled 27.5% compared to 22.2% in the stock/bond benchmark.

2021A Tax-Exempt Bonds

	30-Year AA MMD*	Yield to Call	Yield to Maturity
2015A	3.18%	3.18%	4.10%
2016A	2.62%	2.63%	3.84%
2018A	2.76%	2.96%	3.98%
2020A	1.75%	2.25%	3.65%
2021A	1.39%**	2.10%	2.90%

*As of the Friday prior to pricing the bonds as published by Morgan Stanley

**Published yields are 10-year yield-to-call, based on a 5% coupon. Decreasing the coupon increases the yield-to-call and reduces the yield-to-maturity.

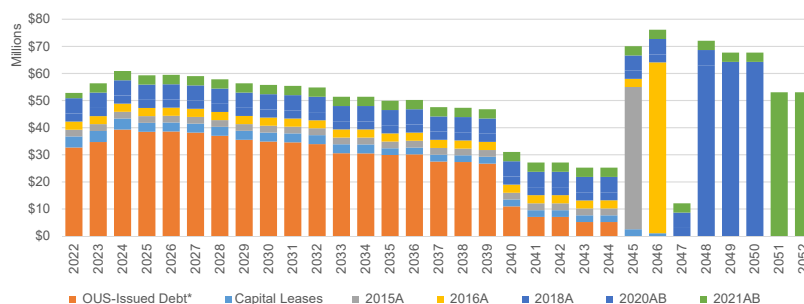
- \$80.7 million par, 3.50% coupon, 10-year par call.
- On August 12th, the 2021AB bonds were priced with a closing date of 9/8/2021. The bonds mature in 2052 with sinking fund payments due in 2051 and 2052.
- While pricing the tax-exempt bonds, investors were seeking higher yield-to-call, which presented the opportunity to use a lower coupon. While a lower coupon produces a higher yield-to-call, it reduces overall yield-to-maturity.

2021B Taxable Bonds

	30-Year US Treasury	Yield to Call	Yield to Maturity
2020B	1.78%	3.15%	3.15%
2021B	2.03%	3.00%	3.00%

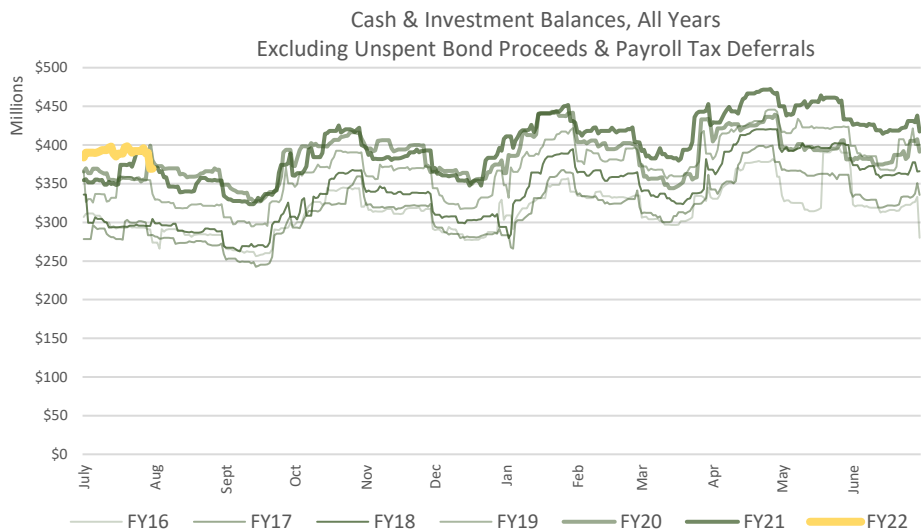
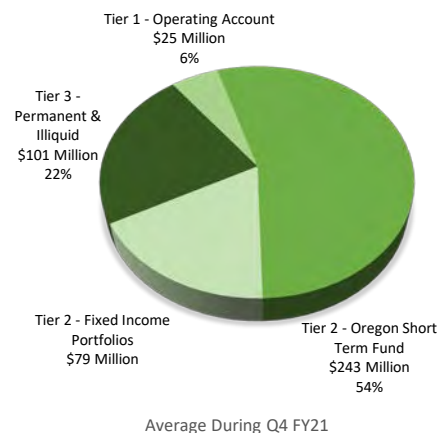
- Taxable bond issues maximize flexibility, giving us the ability to finance components of projects that are nonallowable for tax-exempt financing.
- \$20.1 million par, 10-year par call.
- The taxable bonds priced at the same time as the tax-exempt bonds and have the same closing date of 9/8/2021.
- Credit spreads were much larger in 2020 as markets were strained due the initial economic impacts and uncertainties of COVID-19.

Debt Service and Capital Lease Payments

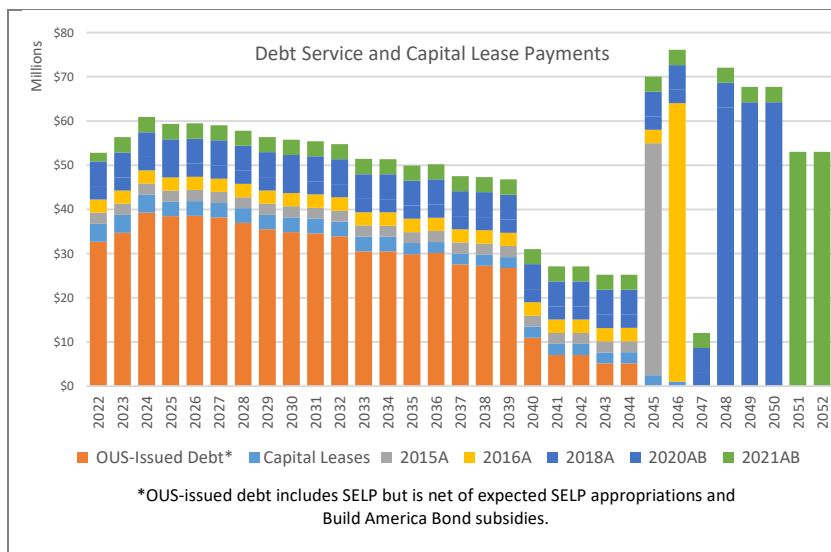


*OUS-issued debt includes SELP but is net of expected SELP appropriations and Build America Bond subsidies.

- The current principal balance of outstanding debt, including capital leases, is approximately \$898 million.
- Bond proceeds are loaned internally for capital projects. Borrowers are scheduled to repay their loans prior to the corresponding bullet payments due in 2045 and beyond to ensure that the Internal Bank will have sufficient cash for the bullets.

Cash & Investment Pool

 Cash & Investment Pool Allocation,
Excluding Unspent Bonds &
Payroll Tax Deferrals


- The cash & investment pool averaged \$448 million during Q4 FY21, excluding bond proceeds and the payroll tax deferral. Average balances for the quarter, excluding bond proceeds and the payroll tax deferral, were approximately \$47 million higher than the same quarter in FY20. The increased balance from the prior year is primarily due to increases in unrealized investment gains. Decreased cash balances were seen in auxiliary and plant funds.
- UO participated in the federal program to defer 2020 payroll tax deposits and has accumulated approximately \$15 million in cash balances (excluded from the charts above) that is due December 31, 2021 and December 31, 2022.
- At June 30, 2021, there were approximately \$75 million of unspent bond proceeds (average of \$80 million for the quarter), excluded from the charts above.
- Estimated average accounting yield for the cash & investment pool was 1.46% for Q4 FY21 and 1.69% for Q4 FY20. Year-to-date average accounting yield was 1.51% in FY21, compared to 2.05% in FY20, primarily due to lower interest rates.
- The T3 portfolio returned 4.3% in Q4 FY21 compared to the stock/bond benchmark return of 5.2%. Fiscal year-to-date returns for the T3 portfolio totaled 27.5% compared to 22.2% in the stock/bond benchmark.

Debt Activities

Significant Projects Funded Using Debt & Capital Leases
UO 2021AB

- Housing Trans. Ph 2 & 3
- Thermal Storage

UO 2020AB

- Housing Trans. Ph 1 & 2
- Millrace Parking Garage

UO 2018A

- Bean Hall
- Oregon Hall
- Health Center

UO 2016A

- Kalapuya Ilihi Hall
- Pacific Hall

UO 2015A

- Erb Memorial Union

Capital Leases

- White Stag (Portland)
- 1600 Millrace

OUS-Issued Debt

- Autzen Stadium
- Central Power Station
- Erb Memorial Union
- Family Housing Projects
- Ford Alumni Center
- Global Scholars Hall
- Knight Law Center
- Living Learning Center
- Parking Projects
- Student Rec Center
- Matthew Knight Arena
- Williams Bakery Land

- On August 12th the 2021AB bonds were priced with a closing date of 9/8/2021. The bonds mature in 2052 with sinking fund payments due in 2051 and 2052.
 - 2021A Bonds: Tax-exempt, \$80.7 million par, 3.50% coupon, 2.10% yield-to-call, 2.90% yield-to-maturity.
 - 2021B Bonds: Taxable, \$20.1 million par, 3.00% coupon and yield, 10-year par call.
- The current principal balance of outstanding debt, including capital leases, is approximately \$898 million.
- Bond proceeds are loaned internally for capital projects. Borrowers are scheduled to repay their loans prior to the corresponding bullet payments due in 2045 and beyond to ensure the Internal Bank will have sufficient cash for the bullets.

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T3 Portfolio

STRATEGY SUMMARY

The University of Oregon Board of Trustees has fiduciary responsibility for university fund management and has delegated oversight to the Treasurer's office. Funds are currently divided into three separate tranches with distinct purposes for each. The portion of funds deemed unnecessary for current needs and so available for riskier, long-term investment to earn a higher rate of return is designated Tier-3 (T3). The long-term objective is to try to generate at least a 4% real net return over rolling five-year periods using a prudent level of risk. It is understood that these funds will be subject to short-term market volatility and risk of loss in pursuit of long-term appreciation. The UO currently employs the UO Foundation, which is not charging a fee for its services, for management of its T3 Funds.

FUND RETURN SUMMARY

PORTFOLIO VALUE	\$100.1 MM
INVESTED CAPITAL	\$93.7 MM
CASH (FOR DIST. AND CALLS)	\$6.4 MM
DISTRIBUTIONS FYTD	\$2.2 MM

RELATIVE PERFORMANCE

	QTR	FYTD	1 YR	3 YR	5 YR	10 YR	ST. DEV.	SHARPE
T3	4.3%	27.5%	27.5%	14.8%	N/A	N/A	12.5%	1.1
60/40 STOCK/BOND BENCHMARK	5.2%	22.2%	22.2%	11.2%	10.1%	7.5%	9.5%	1.1
CPI-U + 4% BENCHMARK	3.6%	9.6%	9.6%	6.6%	6.5%	5.9%	N/A	N/A

PORTFOLIO COMMENTARY

The T3 returned 4.3% for the second quarter of 2021. In the same time period, the 60/40 equity/bond portfolio and CPI-U + 4% benchmark returned 5.2% and 3.6% respectively. During the quarter, global equity markets rallied with S&P 500 up 8.6%, MSCI ACWI (USD) up 7.4% and MSCI EM (USD) up 5.1%. After a bad first quarter, credit markets also rallied with Bloomberg Barclays US Agg up 1.8% for Q2 2021. Cyclical and value names were gaining in the early part of the quarter before reversing course towards the end. There were no changes in our manager lineup. All managers posted positive returns this quarter. The top performing managers were US large-cap core manager and international value manager. Our exposures and weights did not deviate significantly as compared to the last quarter as shown on page two.

T3 Portfolio



ESTIMATED PORTFOLIO DETAILS

POLICY WEIGHTS

	TARGET	RANGE	ACTUAL
EQUITY	70%	50-75%	75%
FIXED INCOME	30%	25-50%	25%

SECTOR — NET EXPOSURE

CONSUMER	20%
POWER	3%
FINANCIALS	10%
HEALTHCARE	6%
INDUSTRIALS	10%
INFOTECH & TELECOM	28%
REAL ESTATE	0%
SOVEREIGN DEBT	1%
OTHER	9%

COMMITMENT SCHEDULE

COMMITMENT	CAPITAL CALLED	DISTRIBUTIONS	MARKET VALUE
\$4,000,000	\$3,051,989	\$1,112,759	\$4,126,227

SECURITY TYPE — T3 PORTFOLIO

	LONG	SHORT	GROSS	NET
GLOBAL EQUITY	70%	-5%	75%	65%
LONG ONLY	41%	0%	41%	41%
LONG SHORT	29%	-5%	34%	24%
DEBT	22%	0%	22%	22%
SOVEREIGN	1%	0%	1%	1%
CORPORATE	21%	0%	21%	21%
TOTAL T3 PORTFOLIO	92%	-5%	97%	87%

GEOGRAPHY — NET EXPOSURE

UNITED STATES	47%
DEVELOPED, NON-US	28%
EMERGING MARKETS	11%
FRONTIER MARKETS	1%

MARKET CAP — NET EXPOSURE*

LARGE	32%
MID	17%
SMALL	15%

*Excludes debt

FY20 Actuals Quarter 4 Report

All Funds except Agency and Clearing

	Designated Ops									
	Education and General	and Service Center	Auxiliaries	Grant Funds	Restricted Gift Funds	Other Funds	Plant Funds	Internal Bank	Total	
State Appropriation	\$ 79,520,551	\$ 1,170,784	\$ 396,550	\$ 54,075	\$ -	\$ -	\$ -	\$ -	\$ 81,141,960	
Tuition and Fees	\$ 425,005,337	\$ 2,343,829	\$ 40,263,479	\$ -	\$ -	\$ -	\$ -	\$ 3,006,669	\$ 470,619,314	
Gifts Grants & Contracts	\$ 136,496	\$ 5,403,198	\$ 296,177	\$ 137,021,446	\$ 98,025,211	\$ -	\$ 372,641,532	\$ -	\$ 613,524,059	
ICC Revenue	\$ 25,087,226	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 25,087,226	
Federal Student Aid	\$ -	\$ -	\$ -	\$ 24,594,879	\$ -	\$ -	\$ -	\$ -	\$ 24,594,879	
Interest and Investment	\$ 7,124,366	\$ 12,776,445	\$ 101,704	\$ 1,651	\$ 2,343	\$ 449,897	\$ 860,954	\$ 10,006,794	\$ 31,324,153	
Internal Sales	\$ 2,084,941	\$ 52,165,528	\$ 23,088,903	\$ 40	\$ 6,000	\$ -	\$ -	\$ 35,840,165	\$ 113,185,577	
Sales & Services	\$ 4,005,521	\$ 11,025,310	\$ 159,762,254	\$ (3,620,318)	\$ -	\$ -	\$ 243,040	\$ -	\$ 171,415,808	
Other Revenues	\$ 2,506,221	\$ 895,509	\$ 3,655,368	\$ -	\$ -	\$ -	\$ 275,640	\$ -	\$ 7,332,738	
Transfers From Ore State Agencies	\$ -	\$ -	\$ 13,201	\$ 9,287,180	\$ -	\$ -	\$ 21,201,340	\$ -	\$ 30,501,721	
Total Revenue	\$ 545,470,658	\$ 85,780,602	\$ 227,577,636	\$ 167,338,953	\$ 98,033,554	\$ 449,897	\$ 395,222,505	\$ 48,853,628	\$ 1,568,727,434	
Salaries and Wages	\$ 264,475,179	\$ 23,582,178	\$ 60,501,185	\$ 42,087,370	\$ 18,922,158	\$ -	\$ 10,000	\$ 187,002	\$ 409,765,072	
OPE Health Benefits	\$ 158,282,422	\$ 19,272,251	\$ 34,329,615	\$ 23,390,481	\$ 9,251,608	\$ -	\$ 3,300	\$ 111,871	\$ 244,641,548	
OPE Retirement	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
OPE Other	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
OPE GTF Remissions	\$ 24,331,336	\$ 163,034	\$ 198,570	\$ 2,160,552	\$ 369,293	\$ -	\$ -	\$ -	\$ 27,222,785	
Total Personnel Services	\$ 447,088,937	\$ 43,017,463	\$ 95,029,369	\$ 67,638,403	\$ 28,543,059	\$ -	\$ 13,300	\$ 298,873	\$ 681,629,405	
Service & Supplies	\$ 108,458,297	\$ 17,615,751	\$ 98,798,325	\$ 29,656,339	\$ 18,543,146	\$ 11,396	\$ 8,558,657	\$ 33,550,560	\$ 315,192,470	
Merchandise-Resale/Redistribution	\$ 12,351	\$ 17,185,209	\$ 9,363,390	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 26,560,950	
Internal Sales Reimbursements	\$ (19,258,716)	\$ (2,000)	\$ (1,310,428)	\$ (21,800)	\$ -	\$ -	\$ (543,331)	\$ -	\$ (21,136,276)	
Indirect Costs	\$ 24,246	\$ 3,175,566	\$ 7,506,219	\$ 25,104,726	\$ -	\$ -	\$ -	\$ -	\$ 35,810,757	
Depreciation/Amortization Expense	\$ -	\$ 4,251,402	\$ 32,869,763	\$ -	\$ -	\$ -	\$ 33,221,350	\$ -	\$ 70,342,516	
Student Aid	\$ 5,515,265	\$ 2,784,161	\$ 2,183,558	\$ 42,807,766	\$ 33,789,032	\$ 2,082,044	\$ -	\$ -	\$ 89,161,827	
Total General Expense	\$ 94,751,443	\$ 45,010,089	\$ 149,410,826	\$ 97,547,032	\$ 52,332,178	\$ 2,093,440	\$ 41,236,676	\$ 33,550,560	\$ 515,932,244	
Net Transfers Out/(In)	\$ 7,007,520	\$ 593,902	\$ 1,216,522	\$ 333,114	\$ 732,048	\$ 549,333	\$ (12,264,226)	\$ 1,831,786	\$ -	
Total Expense	\$ 548,847,900	\$ 88,621,455	\$ 245,656,717	\$ 165,518,550	\$ 81,607,284	\$ 2,642,773	\$ 28,985,750	\$ 35,681,219	\$ 1,197,561,649	
Net before CapEx	\$ (3,377,242)	\$ (2,840,853)	\$ (18,079,081)	\$ 1,820,404	\$ 16,426,270	\$ (2,192,877)	\$ 366,236,755	\$ 13,172,409	\$ 371,165,785	
Beginning Fund Balance	\$ 63,821,674	\$ 59,940,817	\$ 319,242,597	\$ (1,217,227)	\$ 12,601,887	\$ 7,754,280	\$ 688,287,700	\$ 36,993,215	\$ 1,187,424,943	
Capital Expenditures	\$ (3,721,532)	\$ (1,073,488)	\$ (661,453)	\$ (1,448,244)	\$ (1,876,342)	\$ -	\$ (452,136,088)	\$ -	\$ (460,917,148)	
Net (from above)	\$ (3,377,242)	\$ (2,840,853)	\$ (18,079,081)	\$ 1,820,404	\$ 16,426,270	\$ (2,192,877)	\$ 366,236,755	\$ 13,172,409	\$ 371,165,785	
Fund Additions/Deductions*	\$ (70,749)	\$ 598,250	\$ 293,340,326	\$ -	\$ (135,380)	\$ -	\$ 168,461,602	\$ -	\$ 462,194,050	
Ending Fund Balance	\$ 56,652,151	\$ 56,624,726	\$ 593,842,389	\$ (845,068)	\$ 27,016,434	\$ 5,561,403	\$ 770,849,969	\$ 50,165,625	\$ 1,559,867,630	
Year-End Accounting Entries **	\$ (2,250,903)	\$ (181,947)	\$ (539,728)	\$ (291,587)	\$ (124,019)	\$ -	\$ -	\$ (2,588)	\$ (3,390,771)	
Net Capital Assets	\$ -	\$ 25,953,555	\$ 556,111,823	\$ -	\$ -	\$ -	\$ 685,489,231	\$ (1,389,750)	\$ 1,266,164,859	
Other Restricted Net Assets	\$ -	\$ -	\$ -	\$ (1,136,654)	\$ 26,892,415	\$ 5,561,403	\$ 73,338,513	\$ -	\$ 104,655,678	
Unrestricted Net Assets	\$ 54,401,248	\$ 30,489,225	\$ 37,190,838	\$ -	\$ -	\$ -	\$ 12,022,225	\$ 51,552,787	\$ 185,656,322	
Total Net Assets***	\$ 54,401,248	\$ 56,442,780	\$ 593,302,661	\$ (1,136,654)	\$ 26,892,415	\$ 5,561,403	\$ 770,849,969	\$ 50,163,036	\$ 1,556,476,859	

* - Due to Capital Improvements and Debt Accounting entries

** - Year-End Accounting - e.q. Allocate Pension Liability, Reclass Cash to Investments, Allocate Debt

*** - Year end reporting adj. made for recalculated FY20 compensated absences liability. Change made in Jan. 2021 and reflected going forward

FY21 Initial Projection - All Funds except Agency and Clearing

	Designated Ops and Service				Restricted Gift				Total
	Education and General	Center	Auxiliaries	Grant Funds	Funds	Other Funds	Plant Funds	Internal Bank	
State Appropriation	\$ 82,243,619	\$ 1,171,000	\$ 453,000	\$ 61,800	\$ -	\$ -	\$ -	\$ -	\$ 83,929,419
Tuition and Fees	\$ 414,000,000	\$ 835,000	\$ 44,371,000	\$ -	\$ -	\$ -	\$ -	\$ 3,000,000	\$ 462,206,000
Gifts Grants & Contracts	\$ 170,000	\$ 4,800,000	\$ -	\$ 139,900,000	\$ 125,250,000	\$ -	\$ 83,000,000		\$ 353,120,000
ICC Revenue	\$ 26,650,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -		\$ 26,650,000
Federal Student Aid	\$ -	\$ -	\$ -	\$ 24,572,000	\$ -	\$ -	\$ -		\$ 24,572,000
Interest and Investment	\$ 7,600,000	\$ 9,400,000	\$ 102,000	\$ 10,000	\$ 100,000	\$ 100,000	\$ 650,000	\$ 650,000	\$ 18,612,000
Internal Sales	\$ 1,100,000	\$ 52,800,000	\$ 22,170,000	\$ -	\$ 5,000	\$ -	\$ -	\$ 37,500,000	\$ 113,575,000
Sales & Services	\$ 3,100,000	\$ 10,000,000	\$ 106,088,000	\$ 106,000	\$ -	\$ -	\$ -	\$ -	\$ 119,294,000
Other Revenues	\$ 2,500,000	\$ 900,000	\$ 563,000	\$ -	\$ -	\$ -	\$ 100,000	\$ -	\$ 4,063,000
Transfers From Ore State Agencies	\$ -	\$ -	\$ -	\$ 9,600,000	\$ -	\$ -	\$ 13,750,000	\$ -	\$ 23,350,000
Total Revenue	\$ 537,363,619	\$ 79,906,000	\$ 173,747,000	\$ 174,249,800	\$ 125,355,000	\$ 100,000	\$ 97,500,000	\$ 41,150,000	\$ 1,229,371,419
Total Personnel Services	\$ 445,000,000	\$ 39,320,000	\$ 62,328,000	\$ 68,330,000	\$ 60,900,000	\$ -	\$ -	\$ 385,000	\$ 676,263,000
Service & Supplies	\$ 94,000,000	\$ 17,080,000	\$ 91,185,000	\$ 30,100,000	\$ 19,500,000	\$ -	\$ 8,000,000	\$ 32,800,000	\$ 292,665,000
Merchandise-Resale/Redistribution	\$ 2,000	\$ 15,500,000	\$ 9,196,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 24,698,000
Internal Sales Reimbursements	\$ (16,500,000)	\$ (10,000)	\$ (1,067,000)	\$ (25,000)	\$ -	\$ -	\$ -	\$ -	\$ (17,602,000)
Indirect Costs	\$ 100,000	\$ 3,000,000	\$ 6,904,000	\$ 26,650,000	\$ -	\$ -	\$ -	\$ -	\$ 36,654,000
Depreciation/Amortization Expense		\$ 4,160,000	\$ 41,253,000	\$ -	\$ -	\$ -	\$ 38,627,000	\$ -	\$ 84,040,000
Student Aid	\$ 5,100,000	\$ 2,150,000	\$ 1,861,000	\$ 43,450,000	\$ 34,650,000	\$ 30,000	\$ -	\$ -	\$ 87,241,000
Total General Expense	\$ 82,702,000	\$ 41,880,000	\$ 149,332,000	\$ 100,175,000	\$ 54,150,000	\$ 30,000	\$ 46,627,000	\$ 32,800,000	\$ 507,696,000
Net Transfers Out(In)	\$ 8,000,000	\$ 500,000	\$ 666,000	\$ 250,000	\$ 1,750,000	\$ -	\$ (13,166,000)	\$ 2,000,000	\$ -
Total Expense	\$ 535,702,000	\$ 81,700,000	\$ 212,326,000	\$ 168,755,000	\$ 116,800,000	\$ 30,000	\$ 33,461,000	\$ 35,185,000	\$ 1,183,959,000
Net before CapEx	\$ 1,661,619	\$ (1,794,000)	\$ (38,579,000)	\$ 5,494,800	\$ 8,555,000	\$ 70,000	\$ 64,039,000	\$ 5,965,000	\$ 45,412,419
Beginning Fund Balance	\$ 54,401,248	\$ 56,442,780	\$ 593,302,661	\$ (1,136,654)	\$ 26,892,415	\$ 5,561,403	\$ 770,849,969	\$ 50,163,036	\$ 1,556,476,859
Capital Expenditures	\$ (5,000,000)	\$ (750,000)	\$ (212,000)	\$ (2,600,000)	\$ (7,000,000)	\$ -	\$ (153,900,000)		\$ (169,462,000)
Net (from above)	\$ 1,661,619	\$ (1,794,000)	\$ (38,579,000)	\$ 5,494,800	\$ 8,555,000	\$ 70,000	\$ 64,039,000	\$ 5,965,000	\$ 45,412,419
Fund Additions/Deductions*	\$ -	\$ -	\$ 80,500,000	\$ -	\$ -	\$ -	\$ 81,400,000	\$ -	\$ 161,900,000
Ending Fund Balance	\$ 51,062,867	\$ 53,898,780	\$ 635,011,661	\$ 1,758,146	\$ 28,447,415	\$ 5,631,403	\$ 762,388,969	\$ 56,128,036	\$ 1,594,327,278
Year-End Accounting Entries **	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Net Capital Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Other Restricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Unrestricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Total Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

* - Due to Capital Improvements and Debt Accounting entries

** - Year-End Accounting - e.g. Allocate Pension Liability, Reclass Cash to Investments, Allocate Debt

FY21 Actuals Quarter 4 Report

All Funds except Agency and Clearing

	Designated									Total
	Education and General	Ops and Service Center	Auxiliaries	Grant Funds	Restricted Gift Funds			Plant Funds	Internal Bank	
State Appropriation	\$ 82,720,112	\$ 1,170,784	\$ 509,861	\$ 69,513	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 84,470,270
Tuition and Fees	\$ 412,655,803	\$ 1,033,188	\$ 41,172,364	\$ -	\$ -	\$ -	\$ -	\$ 3,022,576	\$ -	\$ 457,883,932
Gifts Grants & Contracts	\$ 382,053	\$ 3,588,242	\$ 543,572	\$ 168,363,005	\$ 129,645,981	\$ -	\$ 24,913,327	\$ -	\$ -	\$ 327,436,180
ICC Revenue	\$ 25,952,583	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 25,952,583
Federal Student Aid	\$ -	\$ -	\$ -	\$ 23,374,536	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 23,374,536
Interest and Investment	\$ 7,814,418	\$ 11,495,665	\$ 404,400	\$ 10,410	\$ 2,463	\$ 98,045	\$ 716,810	\$ 20,135,621	\$ -	\$ 40,677,832
Internal Sales	\$ 695,105	\$ 52,839,550	\$ 19,642,431	\$ -	\$ -	\$ -	\$ -	\$ 37,746,798	\$ -	\$ 110,923,883
Sales & Services	\$ 2,839,650	\$ 6,489,874	\$ 89,720,394	\$ 4,386,207	\$ -	\$ -	\$ 27,598	\$ -	\$ -	\$ 103,463,722
Other Revenues	\$ 2,051,191	\$ 633,490	\$ 3,290,912	\$ -	\$ -	\$ -	\$ 6,986,422	\$ -	\$ -	\$ 12,962,015
Transfers From Ore State Agencies	\$ -	\$ -	\$ -	\$ 9,587,573	\$ -	\$ -	\$ 13,680,498	\$ -	\$ -	\$ 23,268,071
Total Revenue	\$ 535,110,914	\$ 77,250,793	\$ 155,283,934	\$ 205,791,244	\$ 129,648,444	\$ 98,045	\$ 46,324,655	\$ 60,904,995	\$ -	\$ 1,210,413,024
Salaries and Wages	\$ 258,199,777	\$ 19,289,373	\$ 37,668,142	\$ 46,975,328	\$ 35,126,160	\$ -	\$ 10,000	\$ 222,655	\$ -	\$ 397,491,434
OPE Health Benefits	\$ 156,326,458	\$ 16,891,892	\$ 26,202,366	\$ 26,670,030	\$ 17,630,290	\$ -	\$ 3,100	\$ 134,476	\$ -	\$ 243,858,611
OPE Retirement	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
OPE Other	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
OPE GTF Remissions	\$ 23,327,609	\$ 72,746	\$ 63,206	\$ 2,247,753	\$ 479,776	\$ -	\$ -	\$ -	\$ -	\$ 26,191,090
Total Personnel Services	\$ 437,853,844	\$ 36,254,010	\$ 63,933,713	\$ 75,893,110	\$ 53,236,226	\$ -	\$ 13,100	\$ 357,131	\$ -	\$ 667,541,135
Service & Supplies	\$ 93,626,145	\$ 14,656,601	\$ 70,389,188	\$ 31,791,431	\$ 31,335,654	\$ (64,910)	\$ 7,226,059	\$ 45,329,364	\$ -	\$ 294,289,532
Merchandise-Resale/Redistribution	\$ (1,258)	\$ 16,381,333	\$ 5,090,387	\$ -	\$ 94	\$ -	\$ -	\$ -	\$ -	\$ 21,470,556
Internal Sales Reimbursements	\$ (12,746,608)	\$ (162,500)	\$ (624,135)	\$ (29,400)	\$ (14,895)	\$ -	\$ (203,510)	\$ -	\$ -	\$ (13,781,047)
Indirect Costs	\$ 5,959	\$ 2,554,247	\$ 4,691,866	\$ 26,118,564	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 33,370,637
Depreciation/Amortization Expense	\$ -	\$ 4,147,162	\$ 41,247,910	\$ -	\$ -	\$ -	\$ 38,036,959	\$ -	\$ -	\$ 83,432,032
Student Aid	\$ 4,709,505	\$ 1,482,163	\$ 1,716,181	\$ 50,847,289	\$ 34,119,363	\$ 72,157	\$ -	\$ -	\$ -	\$ 92,946,658
Total General Expense	\$ 85,593,744	\$ 39,059,006	\$ 122,511,398	\$ 108,727,884	\$ 65,440,215	\$ 7,247	\$ 45,059,508	\$ 45,329,364	\$ -	\$ 511,728,367
Net Transfers Out/(In)	\$ 3,348,942	\$ (780,253)	\$ (1,650,026)	\$ 3,820,305	\$ 3,244,491	\$ 125,116	\$ (11,248,076)	\$ 3,139,501	\$ -	\$ -
Total Expense	\$ 526,796,531	\$ 74,532,764	\$ 184,795,085	\$ 188,441,300	\$ 121,920,932	\$ 132,363	\$ 33,824,531	\$ 48,825,997	\$ -	\$ 1,179,269,502
Net before CapEx	\$ 8,314,383	\$ 2,718,029	\$ (29,511,150)	\$ 17,349,944	\$ 7,727,512	\$ (34,317)	\$ 12,500,124	\$ 12,078,998	\$ -	\$ 31,143,522
Beginning Fund Balance	\$ 54,401,248	\$ 56,442,780	\$ 593,302,661	\$ (1,136,654)	\$ 26,892,415	\$ 5,561,403	\$ 770,849,969	\$ 50,163,036	\$ -	\$ 1,556,476,859
Capital Expenditures	\$ (3,791,094)	\$ (196,299)	\$ (17,065)	\$ (4,840,426)	\$ (6,832,521)	\$ -	\$ (129,398,326)	\$ -	\$ -	\$ (145,075,730)
Net (from above)	\$ 8,314,383	\$ 2,718,029	\$ (29,511,150)	\$ 17,349,944	\$ 7,727,512	\$ (34,317)	\$ 12,500,124	\$ 12,078,998	\$ -	\$ 31,143,522
Fund Additions/Deductions*	\$ (118,991)	\$ (3,831,218)	\$ 41,152,706	\$ -	\$ -	\$ -	\$ 107,984,193	\$ -	\$ -	\$ 145,186,689
Retirement Incentive Program One-time Expenses	\$ (6,139,934)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Federal COVID-19 Relief Funds	\$ 6,458,995	\$ 980,000	\$ 4,970,543	\$ (12,409,538)	TBD	TBD	TBD	TBD	TBD	TBD
Ending Fund Balance	\$ 59,124,607	\$ 56,113,292	\$ 609,897,694	\$ (1,036,674)	\$ 27,787,406	\$ 5,527,086	\$ 761,935,960	\$ 62,242,034	\$ -	\$ 1,587,731,341
Year-End Accounting Entries **	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Net Capital Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Other Restricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Unrestricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Total Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

* - Due to Capital Improvements and Debt Accounting entries, Includes Elimination of State Paid Debt from UO Books

** - Year-End Accounting - e.q. Allocate Pension Liability, Reclass Cash to Investments, Allocate Debt

FY21 Education and General Fund - Year in Review

	FY21 Initial Projection Q1	FY21 Updated Projection Q2	FY21 Updated Projection Q3	FY21 Actual Q4	FY21 Full Year Actual as % of Q1
State Appropriation	\$ 82,243,619	\$ 82,243,619	\$ 82,243,619	\$ 82,720,112	100.6%
Tuition and Fees	\$ 414,000,000	\$ 410,500,000	\$ 411,800,000	\$ 412,655,803	99.7%
Gifts Grants & Contracts	\$ 170,000	\$ 170,000	\$ 370,000	\$ 382,053	224.7%
ICC Revenue	\$ 26,650,000	\$ 26,000,000	\$ 26,000,000	\$ 25,952,583	97.4%
Federal Student Aid	\$ -	\$ -	\$ -	\$ -	-
Interest and Investment	\$ 7,600,000	\$ 7,600,000	\$ 7,400,000	\$ 7,814,418	102.8%
Internal Sales	\$ 1,100,000	\$ 900,000	\$ 700,000	\$ 695,105	63.2%
Sales & Services	\$ 3,100,000	\$ 2,400,000	\$ 2,800,000	\$ 2,839,650	91.6%
Other Revenues	\$ 2,500,000	\$ 2,500,000	\$ 1,300,000	\$ 2,051,191	82.0%
Transfers From Ore State Agencies	\$ -	\$ -	\$ -	\$ -	-
Total Revenue	\$ 537,363,619	\$ 532,313,619	\$ 532,613,619	\$ 535,110,914	99.6%
Total Personnel Services	\$ 445,000,000	\$ 441,000,000	\$ 440,000,000	\$ 437,853,844	98.4%
Service & Supplies	\$ 94,000,000	\$ 89,000,000	\$ 89,500,000	\$ 93,626,145	99.6%
Merchandise-Resale/Redistribution	\$ 2,000	\$ 4,000	\$ 4,000	\$ (1,258)	-62.9%
Internal Sales Reimbursements	\$ (16,500,000)	\$ (12,000,000)	\$ (12,000,000)	\$ (12,746,608)	77.3%
Indirect Costs	\$ 100,000	\$ 20,000	\$ 20,000	\$ 5,959	6.0%
Depreciation/Amortization Expense	\$ -	\$ -	\$ -	\$ -	-
Student Aid	\$ 5,100,000	\$ 4,600,000	\$ 4,600,000	\$ 4,709,505	92.3%
Total General Expense	\$ 82,702,000	\$ 81,624,000	\$ 82,124,000	\$ 85,593,744	103.5%
Net Transfers Out(In)*	\$ 8,000,000	\$ 8,000,000	\$ 8,000,000	\$ 3,348,942	41.9%
Total Expense	\$ 535,702,000	\$ 530,624,000	\$ 530,124,000	\$ 526,796,531	98.3%
Net before CapEx	\$ 1,661,619	\$ 1,689,619	\$ 2,489,619	\$ 8,314,383	500.4%
Beginning Fund Balance	\$ 54,401,248	\$ 54,401,248	\$ 54,401,248	\$ 54,401,248	100.0%
Capital Expenditures**	\$ (5,000,000)	\$ (4,000,000)	\$ (4,000,000)	\$ (3,791,094)	75.8%
Net (from above)	\$ 1,661,619	\$ 1,689,619	\$ 2,489,619	\$ 8,314,383	500.4%
Fund Additions/Deductions	\$ -	\$ -	\$ -	\$ (118,991)	-
Retirement Incentive Program One-time Expenses	TBD	TBD	TBD	\$ (6,139,934)	
Federal COVID-19 Relief Funds	TBD	TBD	TBD	\$ 6,458,995	
Ending Fund Balance	\$ 51,062,867	\$ 52,090,867	\$ 52,890,867	\$ 59,124,607	115.8%

* - Net Transfers include transfers to Plant funds for capital construction projects and transfers to other funds for support

** - Capital Expenditures includes IS/Research computer servers and networks, library collections, vehicles and general equipment

FY21 Actuals Quarter 4 Report

	Education and General		Actual as % of Proj	FY20 Actual Q4	inc/(dec) from FY20
	FY21 Updated Projection Q3	FY21 Actual Q4			
State Appropriation	\$ 82,243,619	\$ 82,720,112	100.6%	\$ 79,520,551	4.0%
Tuition and Fees	\$ 411,800,000	\$ 412,655,803	100.2%	\$ 425,005,337	-2.9%
Gifts Grants & Contracts	\$ 370,000	\$ 382,053	103.3%	\$ 136,496	179.9%
ICC Revenue	\$ 26,000,000	\$ 25,952,583	99.8%	\$ 25,087,226	3.4%
Federal Student Aid	\$ -	\$ -	-	\$ -	-
Interest and Investment	\$ 7,400,000	\$ 7,814,418	105.6%	\$ 7,124,366	9.7%
Internal Sales	\$ 700,000	\$ 695,105	99.3%	\$ 2,084,941	-66.7%
Sales & Services	\$ 2,800,000	\$ 2,839,650	101.4%	\$ 4,005,521	-29.1%
Other Revenues	\$ 1,300,000	\$ 2,051,191	157.8%	\$ 2,506,221	-18.2%
Transfers From Ore State Agencies	\$ -	\$ -	-	\$ -	-
Total Revenue	\$ 532,613,619	\$ 535,110,914	100.5%	\$ 545,470,658	-1.9%
Total Personnel Services	\$ 440,000,000	\$ 437,853,844	99.5%	\$ 447,088,937	-2.1%
Service & Supplies	\$ 89,500,000	\$ 93,626,145	104.6%	\$ 108,458,297	-13.7%
Merchandise-Resale/Redistribution	\$ 4,000	\$ (1,258)	-31.5%	\$ 12,351	-110.2%
Internal Sales Reimbursements	\$ (12,000,000)	\$ (12,746,608)	106.2%	\$ (19,258,716)	-33.8%
Indirect Costs	\$ 20,000	\$ 5,959	29.8%	\$ 24,246	-75.4%
Depreciation/Amortization Expense	\$ -	\$ -	-	\$ -	-
Student Aid	\$ 4,600,000	\$ 4,709,505	102.4%	\$ 5,515,265	-14.6%
Total General Expense	\$ 82,124,000	\$ 85,593,744	104.2%	\$ 94,751,443	-9.7%
Net Transfers Out(In)	\$ 8,000,000	\$ 3,348,942	41.9%	\$ 7,007,520	-52.2%
Total Expense	\$ 530,124,000	\$ 526,796,531	99.4%	\$ 548,847,900	-4.0%
Net before CapEx	\$ 2,489,619	\$ 8,314,383	334.0%	\$ (3,377,242)	-346.2%
Beginning Fund Balance	\$ 54,401,248	\$ 54,401,248	100.0%	\$ 63,821,674	-14.8%
Capital Expenditures	\$ (4,000,000)	\$ (3,791,094)	94.8%	\$ (3,721,532)	1.9%
Net (from above)	\$ 2,489,619	\$ 8,314,383	334.0%	\$ (3,377,242)	-346.2%
Fund Additions/Deductions*	\$ -	\$ (118,991)	-	\$ (70,749)	68.2%
Retirement Incentive Program One-time Expenses	TBD	\$ (6,139,934)	TBD	TBD	TBD
Federal COVID-19 Relief Funds - Lost Tuition & Student Fee Refunds	TBD	\$ 6,458,995	TBD	TBD	TBD
Ending Fund Balance	\$ 52,890,867	\$ 59,124,607	111.8%	\$ 56,652,151	4.4%
Year-End Accounting Entries**	\$ -	\$ -	-	\$ (2,250,903)	-100.0%
Net Capital Assets	TBD	TBD	TBD	TBD	TBD
Other Restricted Net Assets	TBD	TBD	TBD	TBD	TBD
Unrestricted Net Assets	TBD	TBD	TBD	TBD	TBD
Total Net Assets	TBD	TBD	TBD	TBD	TBD

* - Due to Capital Improvements and Debt Accounting entries

** - Year-End Accounting - e.q. Allocate Pension Liability, Reclass Cash to Investments, Allocate Debt

FY21 Actuals Quarter 4 Report
Total All Fund Groups

Personnel Services	Total Dollars			Benefits as a % of Total Salary & Leave	
	FY2020	FY2021	Yr/Yr % Inc	FY2020	FY2021
Salary & Wages	\$309,835,830	\$294,521,542	-4.9%		
Other Payroll Expense(OPE) and Leave					
Personnel Leave	\$20,125,767	\$16,195,072	-19.5%	6.1%	5.2%
Medical Insurance	\$62,049,584	\$61,850,957	-0.3%	18.8%	19.9%
Retirement	\$65,989,657	\$63,846,413	-3.2%	20.0%	20.5%
Other OPE	\$23,517,244	\$22,593,314	-3.9%	7.1%	7.3%
Total OPE & Leave	\$171,682,252	\$164,485,756	-4.2%	52.0%	52.9%
*Total Personnel Services	\$481,518,082	\$459,007,297	-4.7%		

* Data excludes OPE GE Remissions (Tuition, Fees & Benefits), Benefit Compensation and Year end accruals/adjustments

Agenda Item #3.2

FY22 Operating Expenditure Authorization

The final FY22 operating expenditure authorization figure will be provided closer to the meeting date to ensure that it is based on the then-latest information and is as accurate as possible.



The Board of Trustees has the responsibility for approving a budget and related expenditure authorizations for each fiscal year. Normally this would occur at the Board's spring meeting to ensure authorizations are established before the beginning of the next fiscal year (FY), which is July 1 of each year.

In May 2021, the Board approved an operating expenditure authorization for FY2022 that was temporary in nature (simply a continuation of FY21 levels). The temporary authorization was necessary, as it typically is in odd-numbered calendar years, because certain key items were then unknown, primarily the state appropriation to the Public University Support Fund, rates for employee health insurance as set by the Public Employee Benefit Board, lingering financial impacts from the COVID-19 pandemic, and anticipated fall 2021 enrollment, and economic terms for new collective bargaining agreements which are in negotiation.

Most, albeit not all, of these items have since become known or been resolved, allowing the administration to provide a more accurate request for FY22 operating expenditures. The requested amount is blank in the resolution provided in the meeting packet in advance of the meeting. The requested amount will be provided prior to the meeting and meeting materials will be updated accordingly, but giving the finance and budget team a bit more time to analyze figures will result in a more timely and accurate recommendation.

Note: The resolution before the Board in September 2021 relates only to the operating expenditure authorization. In May 2021, the Board also approved a capital expenditure authorization. That authorization included projects planned or likely at the time of authorization and, as with prior years, the authorization will be augmented as necessary if additional expenditures in FY22 arise. For example, if a new project is approved and some portion of that project will have FY22 expenditures, then the resolution to approve the new project would increase the capital budget by a corresponding amount.

**Finance and Facilities Committee
Board of Trustees of the University of Oregon**

Resolution: FY22 Operating Expenditure Authorizations

WHEREAS, ORS 352.102(1) provides that, except as set forth within ORS 352.102, the Board of Trustees may authorize, establish, collect, manage, use in any manner and expend all revenue derived from tuition and mandatory enrollment fees;

WHEREAS, ORS 352.087(1)(a) provides that the Board of Trustees may acquire, receive, hold, keep, pledge, control, convey, manage, use, lend, expend and invest all moneys, appropriations, gifts, bequests, stock and revenue from any source;

WHEREAS, ORS 352.087(1)(i) provides that the Board of Trustees may, subject to limitations set forth in that section, spend all available moneys without appropriation or expenditure limitation approval from the Legislative Assembly;

WHEREAS, ORS 352.087(2) requires, and the Board of Trustees finds, that the budget of the University of Oregon shall be prepared in accordance with generally accepted accounting principles;

WHEREAS, 352.087(3) provides that the Board of Trustees may perform any other acts that in the judgment of the Board of Trustees are required, necessary or appropriate to accomplish the rights and responsibilities granted to the Board and the University by law; and,

WHEREAS, the Board of Trustees established a temporary operating expenditure authorization for fiscal year 2022 (FY22) in May 2021 and now intends to approve a final operating expenditure authorization for FY22.

NOW, THEREFORE, the Board of Trustees of the University of Oregon hereby authorizes an operating budget in the sum of \$____ for FY2022. During FY22, the Treasurer of the University may expend or authorize the expenditure of this sum plus three percent, subject to applicable law. In the event that such expenditure authority is insufficient, the Treasurer may seek additional expenditure authority from the Board of Trustees or its Executive and Audit Committee. This authorization supersedes the May 2021 temporary FY22 operating expenditure authorization approved by the Board of Trustees.

Vote recorded on the following page

Moved: _____ Seconded: _____

Record here if a vote is taken without calling roll: _____

Trustee	Vote	Trustee	Vote
Aaron		Lillis	
Boyle		Lo	
Evans Jackman		Madison	
Fick		Murray	
Holwerda		Seeley	
Hornecker		Ralph	
Kari		Worden	

Dated: _____ Recorded: _____

Agenda Item #3.3

OPURP Annual Report



UNIVERSITY OF OREGON

Retirement Plans Management Annual Report

September 2021

Jamie Moffitt, VPFA/CFO/Treasurer

Board of Trustees of the University of Oregon

Discussion Topics

- Overview of Managed Plans
- Current Plan Assets
- Structure of Plan Management & Oversight
- Continuous Improvement Activities

Retirement Plans Managed for all Seven Campuses

- ***Optional Retirement Plan (ORP)***
 - Defined Contribution Program
 - Alternative to PERS retirement program
 - Required contributions linked by statute to PERS
 - Four tiers of participants (FY21: tiers one/two: 32.30% contribution; tier three: 15.63%; tier four: 8.00% - 12.00%); post doc scholars: up to 4.00%
- ***Tax-Deferred Investment Plan: 403(b) Plan***
 - Voluntary retirement plan that employees can participate in in addition to PERS or ORP
- ***Legacy Retirement Plans***
 - 403(b) and 401(a) legacy plans put in place prior to the governance transition
 - New employees can not join these plans

Current Plan Assets

Vendor	Assets as of 12/31/2020	# of Participants	# of Investment Options*
Fidelity - ORP	\$317,802,672	2425	21; SDBA
Fidelity - TDI	\$341,680,600	4150	21; SDBA
TIAA - ORP	\$827,424,189	4117	27
TIAA - TDI	\$497,047,770	4215	27
TIAA - Legacy 401(a)	\$ 37,760,260	292	27
TIAA - Legacy 403(b)	\$ 45,284,517	324	27
AIG – ORP	\$ 211,289,905	859	22 mutual funds 61 annuity funds
AIG – TDI	\$118,743,175	1094	22 mutual funds 61 annuity funds
Discontinued 403(b) Plans	\$ 78,998,014	1145	Each TPA offers various mutual funds.
Total	\$2,476,031,102	18,621	

*Target Date funds counted as one fund. "SDBA" means self-directed brokerage account. Meeting Materials
September 2021 | 45 of 152

Plan Management & Oversight

- University of Oregon
 - Plan sponsor and fiduciary of the retirement plans
 - Retirement Plans Management Office: Director plus two employees
 - CFO, CHRO, General Counsel's office and outside legal counsel work closely with Director
- Retirement Plans Investment Committee
 - Comprised of faculty and staff from UO, Oregon State, OIT and University Shared Services Enterprise (USSE)
 - Monitors overall investment performance and makes decisions regarding available investments
 - Meets quarterly with RPM staff, each record keeper's relationship manager and an outside investment advisor.
- Retirement Plans Administration Committee
 - Comprised of benefit managers from all seven campuses and Payroll Director from USSE
 - Advises on common administrative issues
 - Meets at least quarterly

Continuous Improvement Activities

- Outside audit of plan operations
- Plan amendments to enable participants to take advantage of financial relief measures allowed under the Coronavirus Aid Relief and Economic Security (CARES) Act and the Setting Every Community Up for Retirement Security (SECURE) Act
- Forfeiture project to ensure that funds from employees that do not work a full five years are returned to institutions
- Beneficiary project to ensure that as many participants as possible have a beneficiary designation on file
- Electronic Signature for 403(b) enrollment
- Retirement Expos

September 2021

**Board of Trustees Annual Report on Retirement Plans Management
University of Oregon**

This memo provides an overview and update to the Board related to the structure and activities of the Oregon Public University Retirement Plans (OPURP). OPURP administers retirement plans that are separate from PERS and the Oregon Savings Growth Plan, which are retirement plans administered directly by the state. OPURP administers all of the other retirement plans for the seven Oregon public universities. These plans were administered by the OUS Chancellor's Office until 2014, when governance for the universities changed and the University of Oregon (UO) took on administration of the plans.

Executive Summary

The information below will provide an overview of the retirement plans administered by OPURP, including descriptions of the plans, the contribution levels and assets in each plan, OPURP's governance structure, and a summary of continuous improvement efforts to enhance plan administration and benefits to participants.

ORP contribution rates for employees in tiers one and two currently equal 32.30% of their salary, tier three contributions equal 15.63%, and tier four employees' contributions remain fixed at 8%, plus an additional match of up to 4%. Employees in the new post-doctoral tier are only eligible to receive a match of up to 4% of their salary.

OPURP's plans continue to grow. The plans now have 18,621 participants and current assets as of 12/31/2020 total almost \$2.5 billion.

Although there continues to be an increase in employee-initiated litigation against employer-operated retirement plans, the number of cases in higher education has gone down over the past two years. Furthermore, retirement plan litigation in the higher education sector has been strictly limited to private university plans which are subject to a separate body of federal law (the Employee Retirement Income Security Act or ERISA) governing private employee benefit plans.

Nevertheless, OPURP has remained focused on staying ahead of the curve in actively managing the plans to reduce employee fees, ensure appropriate performance of investment funds, and provide employees with additional information and resources to prepare for retirement.

Plans Currently Administered by OPURP

OPURP, through its Retirement Plans Management (RPM) office, operates the Optional Retirement Plan (ORP), the Tax-Deferred Investment 403(b) Plan (TDI), and the remaining assets of the Legacy Plans.

Optional Retirement Plan

The ORP is an optional alternative to the PERS retirement system. Unclassified academic and administrative employees have six months from their date of hire to elect to participate in the ORP in lieu of PERS. All contributions to the ORP are paid by the universities for the benefit of their employees.

Employees who participate in the ORP are assigned to one of four tiers depending on their date of hire or a post-doctoral scholar tier depending on their position. For employees in the ORP's first three tiers, the universities make contributions equal to the percentage of the employee's salary the universities would otherwise contribute to PERS if the employee participated in PERS. The universities' statutorily required ORP contribution rates for these employees increase and decrease depending on the contribution rates periodically announced by PERS. As a result, ORP contribution rates are variable for the employees assigned to the first three tiers of the ORP.

Beginning on July 1, 2021, employees assigned to tiers one and two receive contributions to the ORP equal to 26.30% of their salary, plus an additional 6% contribution to the ORP that is treated as an employee contribution. This amounts to contributions equal to 32.30% of their salary. Employees assigned to tier three of the ORP receive contributions to the ORP equal to 9.63% of their salary, plus an additional 6% contribution that is treated as an employee contribution. This amounts to contributions equal to 15.63% of their salary. These contribution rates could increase or decrease for the next biennium (July 1, 2023 through June 30, 2025) based on any potential changes to PERS contribution rates.

Employees assigned to the fourth and post-doctoral tiers of the ORP receive contributions equal to a fixed percentage of their compensation. Employees assigned to tier four, those hired on or after July 1, 2014, receive an amount equal to 8% of their salary, plus an additional amount that matches the employee's own elective contributions to the TDI up to a maximum of 4% of the employee's salary, giving employees a maximum contribution of 16% (12% ORP, 4% TDI) retirement savings. The matching contributions to the ORP are treated as employee contributions, and participants can always contribute more than 4% in the TDI account up to the Section 402(g) Internal Revenue Code annual limit.

Post-doctoral scholar employees hired on or after January 1, 2018 are assigned to a post-doctoral scholar tier of the ORP. They receive contributions to the ORP that matches the employee's own elective contributions to the TDI up to a maximum of 4% of the employee's salary. These contributions to the ORP are treated as employee contributions.

Contributions to the ORP vest on the same schedule regardless of the tier to which the employee belongs. The standard employer contributions have a five-year vesting period, and the amounts treated as employee contributions vest immediately upon contribution to the plan.

Tax-Deferred Investment 403(b) Plan

The TDI elective deferral retirement plan is a plan to which employees can contribute regardless of whether they participate in PERS or the ORP. Employees can choose an amount that their university employer will withhold from their paycheck on a pre-tax or after-tax (Roth) basis to contribute to the TDI. All contributions to the TDI are made from the employees' own money and are not paid by the universities.

Employees are eligible to contribute to the TDI immediately after they are hired. All contributions to the TDI vest immediately.

Legacy Plans

OPURP continues to administer the 403(b) and 401(a) Legacy Plan retirement accounts. Employees who joined the 401(a) Legacy Plan when they were hired are still allowed to receive contributions to this plan instead of the ORP, but no new employees may join the plan. The 403(b) Legacy Plan cannot receive any new contributions and new employees may not join the plan.

OPURP administers 14 retirement contracts that are related to the 403(b) Legacy Plan. These retirement contracts have been closed to contributions since 2007.

Current Plan Assets

Participants' retirement plans assets are invested through one of three investment companies: TIAA, Fidelity Investments, and AIG. These companies, referred to as recordkeepers, offer a list of funds in which plan participants may invest their retirement funds. They also offer investment counseling and advisory services to plan participants. Newly hired employees are allowed to invest through TIAA and Fidelity. New employees have not been permitted to invest through AIG since 2007.

Below is a breakdown of the assets invested and participants in the plans.

Vendor	Assets as of 12/31/2020	# of Participants	# of Investment Options*
Fidelity - ORP	\$317,802,672	2425	21; SDBA
Fidelity - TDI	\$341,680,600	4150	21; SDBA
TIAA - ORP	\$827,424,189	4117	27
TIAA - TDI	\$497,047,770	4215	27
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Discontinued 403(b) Plans	\$ 78,998,014	1145	Each TPA offers various mutual funds.
Total	\$2,476,031,102	18,621	

*Target Date funds counted as one fund. "SDBA" means self-directed brokerage account.

Each vendor for the plans offers a variety of investment funds, and to simplify investment management for participants, the ORP and TDI have the same fund line-ups. 403(b) retirement plans are currently only permitted to offer participants mutual fund and annuity investment options. TIAA and AIG offer annuities, but Fidelity does not.

OPURP Structure

UO has implemented best practices throughout its retirement plans management structure to ensure that the public universities' plans are operated with skill, care, and diligence.

OPURP Management

UO, through its Board of Trustees and employees, is the plan sponsor and fiduciary of the OPURP retirement plans. Gay Lynn Bath serves as the primary administrator of OPURP, the RPM office, and each of the retirement plans. Ms. Bath directs the plans' daily management, strategy, and initiatives in cooperation with the OPURP's Retirement Plans Committee and UO's executive leadership. As Director

of RPM, Ms. Bath manages a streamlined staff that includes a benefits coordinator and a part-time benefits analyst.

Ms. Bath serves under the executive management and direction of Jamie Moffitt, UO's vice president for Finance and Administration and CFO, and Mark Schmelz, UO's associate vice president and chief human resources officer. Due to the complex legal requirements associated with sponsoring and managing retirement plans, Ms. Bath works closely with Craig Ashford, UO's Associate General Counsel, and Iris Tilley, outside counsel from Barren Liebman in Portland.

Retirement Plans Committee

As a fiduciary steward responsible for the constant care of the retirement plans, UO has adopted best practices to manage the retirement plans' assets. This includes the formation of a Retirement Plans Committee that considers a wide range of administrative and investment matters for the plans. The Retirement Plans Committee is composed of two separate subcommittees: the Retirement Plans Investment Committee and the Retirement Plans Administration Committee.

Retirement Plans Investment Committee

The Retirement Plans Investment Committee is charged with making all decisions regarding investments available to OPURP plan participants. This includes monitoring overall investment performance and determining which investment options should be made available to employee plan participants. This committee is comprised of faculty and staff from UO, Oregon State University, the Oregon Institute of Technology, and the University Shared Services Enterprise (USSE).

The Investment Committee meets quarterly with the RPM staff, each recordkeeper's relationship manager, and a separate investment consulting firm, Callan, LLC, to review the plans' investments. The Investment Committee reviews the performance of investment funds offered by each recordkeeper to ensure the funds perform and operate within the Committee's previously adopted investment policy standards.

Retirement Plans Administration Committee

The Retirement Plans Administration Committee is charged with advising on common ministerial matters. This includes meeting quarterly to interpret the plan documents, determine the eligibility of potential participants, review RPM's management decisions and benefit determinations, and other matters. The Administration Committee is made up of benefit managers from the seven Oregon public universities, along with the director of payroll from USSE.

Improvements to Management and Oversight of Retirement Plans

OPURP continuously strives to make improvements to the plan and operational practices to implement the industry's evolving best practices and changes to law. This includes efforts to lower administration and investment fees, improve professional oversight, expand educational opportunities for participants, ensuring that participant account information is accurate and updated, and encouraging participants to save for a secure financial future. OPURP's efforts over the last year include the following items.

1. **Audit.** In accordance with industry best practice, OPURP requested that an outside auditing firm perform an audit of the plans' operations to ensure they were functioning and being administered appropriately. The audit focused specifically on the processes used for revenue share fees, participant fees, and unvested forfeitures. The auditor also reviewed payroll processes at the University of Oregon related to retirement contributions. Moss Adams was retained as the auditor to work with OPURP on this project which was completed in February 2021. The findings produced several different recommendations regarding plan oversight, plan eligibility and eligible compensation. The recommendations included activity reports, reconciliation reports and annual reviews of plan information. RPM is working with the UO Office of Internal Audit to ensure the recommendations are completed as noted in the audit.
2. **Plan Amendments.** RPM is working with UO counsel and outside counsel to finalize amendments to the ORP to confirm participants' eligibility to take advantage of financial relief measures allowed under the Coronavirus Aid Relief and Economic Security (CARES) Act and the Setting Every Community Up for Retirement Security (SECURE) Act. These measures, which RPM has already implemented, allowed plans sponsors to make the following changes to their plans:

SECURE ACT:

- Increase the required minimum distribution (RMD) age for retirement accounts to 72 (up from 70 ½)
- Permit parents to withdraw up to \$5,000 from retirement accounts penalty-free within a year of a birth or adoption for qualified expenses

CARES ACT:

Allowed temporary provisions due to COVID-19:

- Loans up to \$100,000
- Distributions up to \$100,000, no 10% penalty, can be paid back
- RMD requirement waived for 2020
- Deferment of current loan payments

In addition, RPM is preparing a plan amendment to the ORP to clearly state that police officers who are non-classified employees may choose to join the ORP in lieu of PERS.

3. **Forfeiture Project.** In 2019, RPM successfully completed a project to ensure that ORP participant accounts were not credited with funds in which the participants had not vested. This project resulted in funds being returned to the ORP forfeiture account. RPM determined that universities were not always entering employees' job termination dates at the time they leave their jobs. To ensure that money is not erroneously left in non-vested participant accounts going forward, RPM has instructed the universities to ensure that they enter employee termination dates in a timely manner.
4. **Beneficiary Project.** OPURP continues to work with TIAA, Fidelity, and AIG to notify participants who do not have a beneficiary designation on file. OPURP ensures that emails

are sent to participants to remind them to select an account beneficiary. Some participants have submitted a beneficiary designation form in response to these efforts, but many still have no designated beneficiary. If they don't, their accounts will be distributed pursuant to the Plans' default beneficiary rules. OPURP will continue encouraging participants to designate a beneficiary to ensure their accounts are distributed to their chosen heirs.

5. **Electronic Signature for 403(b) Enrollment.** In 2020, The UO Payroll Director and UO Information Services department were able to implement an electronic version of the 403(b) voluntary contribution form that allows participants to sign the form electronically, which has proven to be very successful.

This new electronic signature process allows participants to submit their forms while working remotely rather than printing the form and sending it or hand-delivering it to their payroll department as previously required. This new process has assisted the universities' large remote workforce during the COVID-19 pandemic. Furthermore, this process protects participants' sensitive data because it allows participants to submit a form with their Social Security number via a more secure method than email. This new form has worked out well, and OPURP will continue to use this feature in the future.

6. **Retirement Expos.** OPURP launched retirement expos for the universities starting in 2018. These information events include representatives from Fidelity, TIAA, PERS, OSGP, Social Security, and Medicare. The vendors and organizations hold workshops and host booths for employee questions. Due to the COVID-19 pandemic, these expos have been put on hold, but OPURP hopes to restart them again in 2022.

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Agenda Item #4

Knight Campus for Accelerating Scientific Impact

Knight Campus for Accelerating Scientific Impact

UO Board of Trustees Report, September 2021



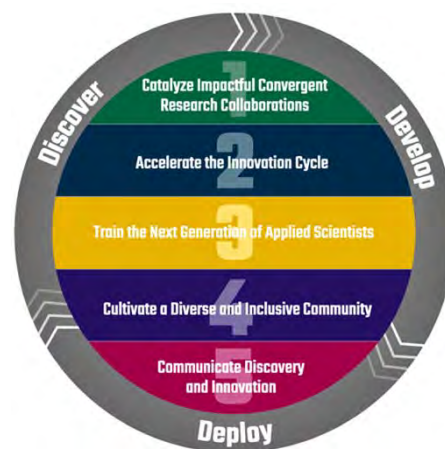
Mission and Vision

Science Advancing Society

The Knight Campus embodies a new paradigm for pioneering scientific inquiry that accelerates the cycle of translating scientific discoveries into societal impact.



<https://accelerate.uoregon.edu/strategic-plan>



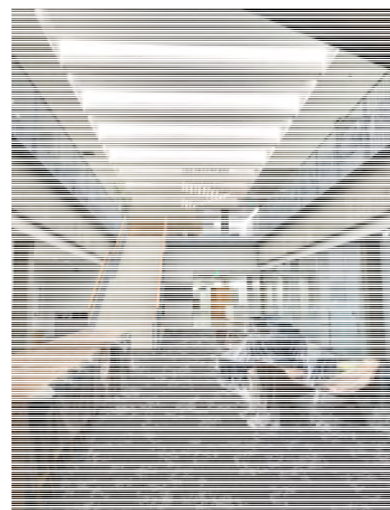
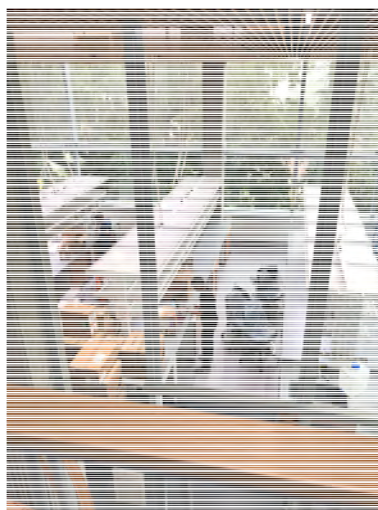
Laying the Foundation



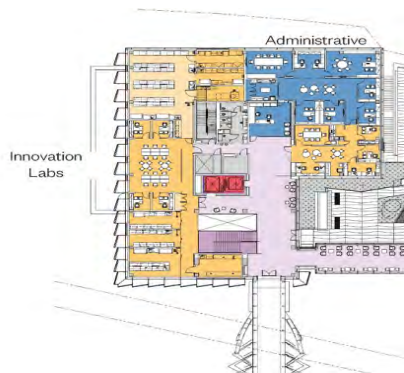
Phase 1 includes a 172,000 square-foot, five-story building with:

- World-class research laboratories
- Shared core facilities with highly sought-after equipment and tools for rapid prototyping
- Innovation center with leasable labs and offices
- Flexible pedagogical environments for applied science and engineering

September 2020 – Move In



November 2020 – Pivot to COVID Testing Lab



- The Knight Campus Innovation Center includes leasable wet lab, dry lab, and meeting rooms for both spin-in/spin-out leasing.
- In fall 2020, the whole space was temporarily leased to the COVID Monitoring and Assessment Program (MAP) – 20,000 samples/day capacity



December 2020 – Grand Opening

We celebrated the grand opening virtually, with a 30-minute documentary-style video and several panel discussions.

The virtual event drew many times that of a traditional in-person celebration and continues to be watched, with total views exceeding 4,500.

<https://accelerate.uoregon.edu/grand>



Knight Campus Faculty



Bala Ambati
Research Professor
Regenerative Medicine,
Ophthalmology,
Vision Research



Paul Dalton
Associate Professor
Biofabrication, 3D Printing,
Melt Electrowriting,
Neural Tissue Engineering



Felix Deku
Assistant Professor
Neuroengineering



Tim Gardner
Associate Professor
Neuroengineering, High
Resolution Brain Interfaces,
3D Printing Technologies



Marian Hettiaratchi
Assistant Professor
Biomedical Engineering,
Controlled Protein Delivery
Systems, Regenerative Medicine



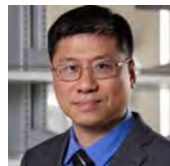
Parisa Hosseinzadeh
Assistant Professor
Protein Design, Computational
Biology, Biochemistry,
Peptide-Based Therapeutics



Gabriella Lindberg
Assistant Professor
Biofabrication, Bioinks,
Musculoskeletal 3D-models
and Organoids



Couroush Mehanian
Research Associate
Professor
AI for Medical Image Diagnosis
& Biomedical Decision Support



Keat Ghee Ong
Professor
Bioengineering, Biosensors,
Magneto-Elastic Materials,
Medical Devices



Calin Plesa
Assistant Professor
Synthetic Biology/Molecular
Engineering, Large-Scale
Gene Synthesis



Jonathan Reeder
Assistant Professor
Biomedical Engineering,
Shape-Memory Materials,
Flexible Electronics,
Human-Machine Interfaces

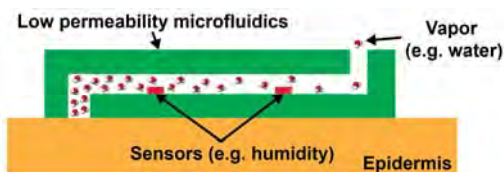


Nick Willett
Associate Professor
Biomedical Engineering,
Regenerative Medicine

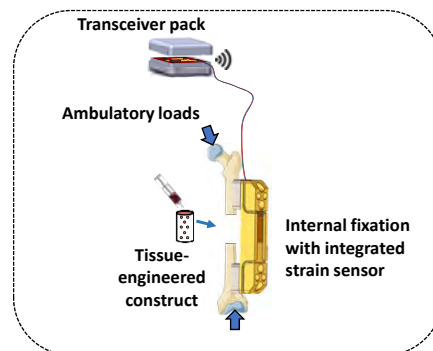


Wearable and Implantable Sensors for Health

Wearable microfluidic sensors enable capture, analysis of sweat



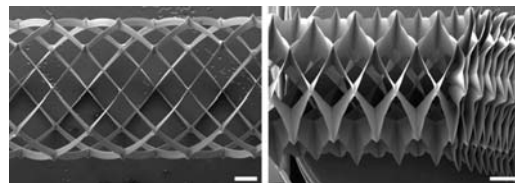
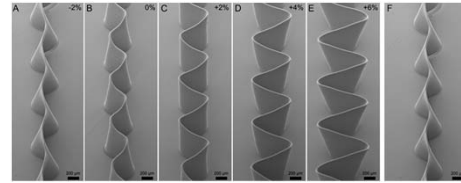
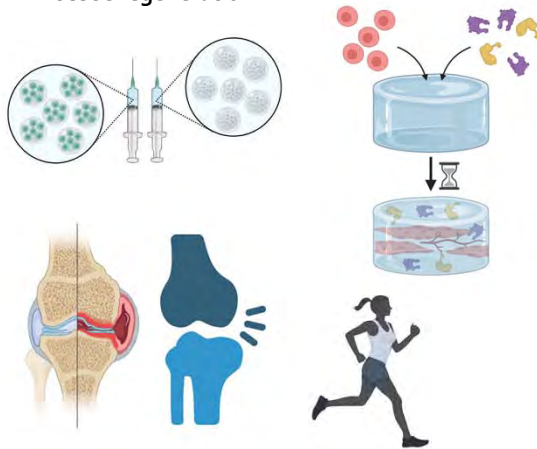
Implantable sensors provide real-time feedback for regenerative rehabilitation



Profs. Reeder, Plesa, Hosseinzadeh, and Ong

Biomaterials for Tissue Engineering and Regenerative Medicine

Novel biomaterials for drug delivery and tissue regeneration



New 3D printing technology called melt electro-writing that creates scaffolds for tissue engineering and regenerative medicine

July 2021 – Second Gift Announcement



The University of Oregon announced a second \$500 million gift from Penny and Phil Knight in July 2021.

The gift will fund the next phase of the new campus, enabling the UO to further expand bioengineering and applied scientific research and training with additional students, 14-16 faculty members — bringing the total to 30 — and a second 175,000 square-foot building.

In addition to funding design and construction, the gift will support faculty, academic and innovation programming, as well as support operations through an endowment.

<https://accelerate.uoregon.edu/celebration>

July 2021 – Multi-Institutional Award



In July 2021, the Joe and Clara Tsai Foundation announced a \$220 million gift over 10 years to initiate a partnership with Stanford University; Boston Children's, a Harvard Medical School Affiliate; the University of California San Diego; the Salk Institute for Biological Studies; and the University of Kansas.

Rather than study disease, alliance researchers will seek to understand peak physical performance—from the molecular level to the whole body—to advance human health and help us all lead healthier, more active lives.

The UO's role in the Wu Tsai Human Performance Alliance is based at the Knight Campus and funds research in multiple areas across the university, including the Bowerman Sports Science Center, Human Physiology, Biology, Sports Product Design, and Athletics.

Philanthropic Impact

Sustaining the Human Performance Alliance at Oregon



Alonso Cruz, Maybelle Clark McDonald Scholar, and mentor, Assistant Prof. Parisa Hosseinzadeh

Knight Campus Undergraduate Scholars:

"I've learned both lab skills as well as computational skills that will prepare me for my career in medical research. I leave the lab every single day feeling inspired and with a profound sense of purpose."

Knight Campus Undergraduate Scholars



- Immersive research experience for an undergraduate cohort for a full year in a Knight Campus-affiliated lab
- Career development programming runs throughout the year
- Program Sponsors: the Maybelle Clark Macdonald Fund, Dave and Nancy Petrone, the Clark Honors College, Thermo Fisher Scientific, Industrial Source, Inc., and Bob and Tina Guldberg

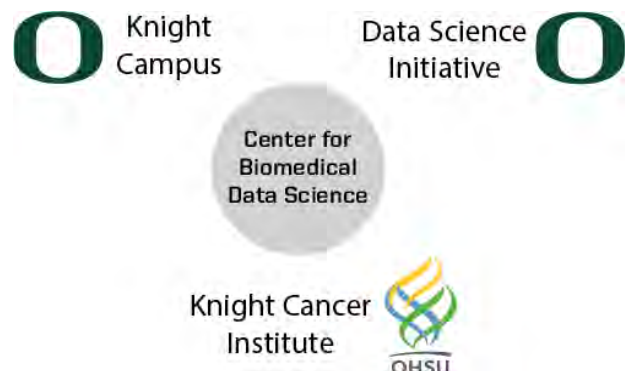
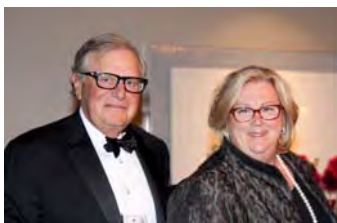
The program continues to grow: 2021 cohort has 12 scholars, 2020 cohort was nine, 2019 was the first year with six.



Partnership in Biomedical Data Science

In June 2019, UO and OHSU announced a **"Knight-to-Knight"** collaborative effort - the **Center for Biomedical Data Science (CBDS)**.

In **Summer 2021**, we launched a search for the UO Director of the CBDS with the expectation of a recruitment by Spring 2022.



Center for Translational Biomedical Research



First collaboration of its kind between the **Knight Campus** and **PeaceHealth** (established Fall 2020):

- Facilitates clinical need-based research collaborations = **helps translate discoveries from Knight Campus and UO to patients**
- Supports training for underrepresented post-doctoral scholars who work across Knight Campus faculty and affiliate labs and PeaceHealth clinics



Paul Dalton:
3D Printing for
Surgical Planning



Karen Guillemin and Judith Eisen:
Microbiome Effects on Visual and
Neural Development Disorders



Bob Guldberg:
Regenerative Strategies
for Osteoarthritis



Leslie Leve and Bill Cresko:
COVID-19 Testing and Prevention
in Latinx Communities



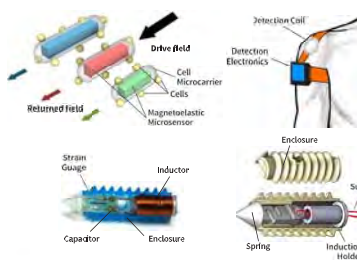
Knight Campus Innovations

The Knight Campus facilitates the translation of laboratory discoveries into societal impact through entrepreneurship education, programs, and incubator facilities. Start-up companies founded by faculty have already been launched to improve patient care with 3D-printed, patient-specific implants; orthopedic sensors that monitor healing; high-throughput medical testing; and novel therapies for vision complications. These are the first of many such start-ups that will be enabled by world-class research to create new technologies, therapies, and economic impact.

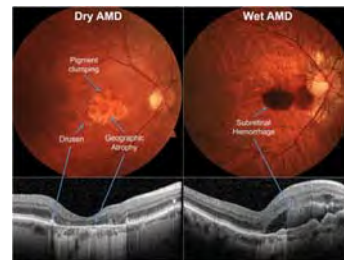
RESTOR3D, INC.



PENDERIA TECHNOLOGIES, INC.



DICERX



Profs. Guldberg, Ong, and Ambati

Knight Campus Graduate Internship Program



- 157 students enrolled in the 2021 KCGIP cohort
- 98% graduation rate
- 90% of alumni are employed within 3 months of graduation
- Average internship salary for the 2020 cohort of interns was \$60,000/year when annualized
- 61% of students in 2021 class traditionally underrepresented in STEM
- Currently 5 tracks with 6th track soft launch in 2022

UO/OSU Joint Bioengineering PhD Degree Program

- Officially approved **October 28, 2020**
- Only joint PhD program between UO & OSU –
First engineering PhD degree at UO!
- First cohort of 8 PhD students started in January, 2020;
second cohort of 12 joined us this month.
- PhD students receive training in career planning, science communications, ethics, innovation and entrepreneurship, and advanced coursework in bioengineering such as biomaterials, biosensors, synthetic biology, and protein engineering.



Cross-University Collaborations

UNIVERSITY OF
OREGON



Oregon State
University



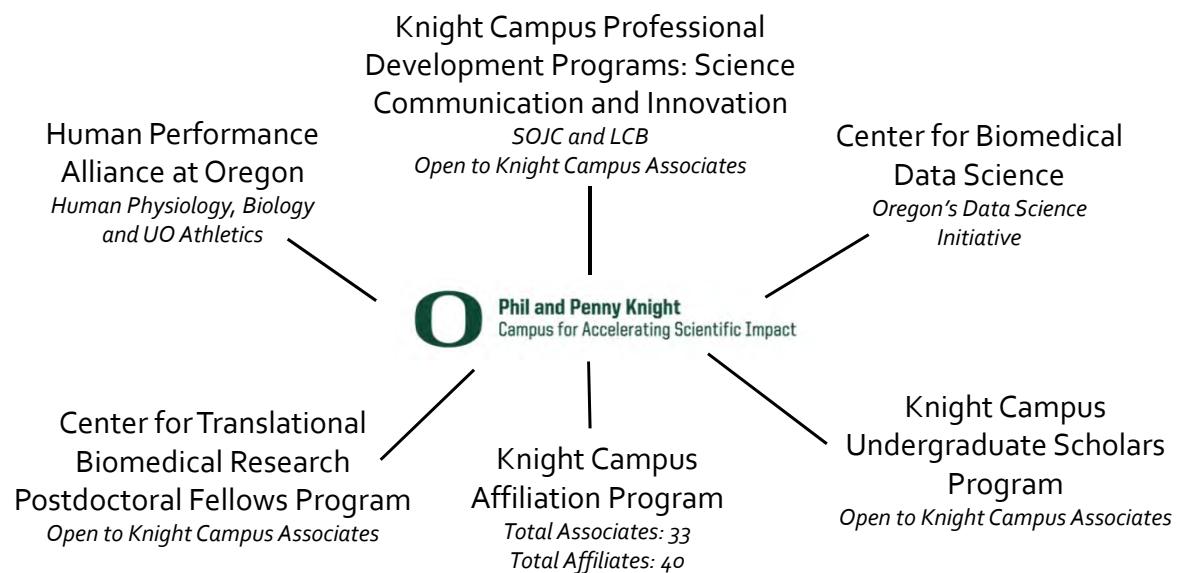
Dr. Marian Hettiaratchi, UO



Dr. Kaitlin Fogg, OSU

 **Phil and Penny Knight**
Campus for Accelerating Scientific Impact

Knight Campus Connections Across the UO





Driving Sustainable Transformation

Vision: a three-building Knight Campus of approximately 400,000 square feet of research, academic, and innovation space.

- **Building 1** (172,000 square-feet) – *completed*
- **Building 2** (approx. 175,000 square-feet) – Research and Innovation – *proposed*
- **Building 3** (approx. 60,000 square-feet) – Academic – *in design phase*



Phase 2 Building

~175,000 square foot building focused on Research and Advanced Tools

Programming Priorities:

- Laboratory floors to house 15-17 additional experimental groups
- Neighborhood specifically designed for computational science including the Biomedical Data Science Center
- 6-8 shared equipment/core service facilities
- Advanced Bioengineering/Applied Science training spaces
- Collaboration and convening spaces

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Agenda Item #5

Capital Project Approvals

- Knight Campus Preliminary Expenses**
- Huestis Hall**

The Board of Trustees (Board) must approve all capital projects which will exceed \$5 million in total cost. Two capital authorizations are before the Board for consideration in September 2021. Both are summarized below. Following this summary is additional information about the Huestis project and then two resolutions, one for each project.

KNIGHT CAMPUS PHASE II: PRELIMINARY EXPENSES

Planning for Phase II of the Knight Campus for Accelerating Impact's physical footprint is underway and gift funds for the project have been secured. As was the case with the first building, the project team needs to expend certain funds relating to things such as schematic design, property surveys and assessments, site preparation, preconstruction costs, and the like in order to (i) maintain momentum with respect to the project's timeline and (ii) garner enough information to fully scope and price the project for final Board authorization. These early expenses are estimated at \$15 million, thus exceeding the \$5 million threshold requiring Board approval. As a result, the University requests Board authorization for this preliminary amount and will return to the Board for full project review and approval once a complete picture of the project's design and associated costs are identified.

Status & Timeline: The project is currently in the conceptual design phase. The project team anticipates returning to the Board for project review in spring or summer 2022 and is hopeful that construction can begin in spring 2023 with completion by the summer of 2025.

Costs & Sources of Funds: Preliminary expenses will not exceed \$15 million and the project is supported by philanthropy.

Displacement: As this is new construction, no current students, faculty or staff are displaced. There may be some impacts to adjacent activities, which are still being evaluated and quantified.

FY22 Authorization: In May 2021, the Board approved a capital expenditure authorization for Fiscal Year 2022 (FY22) based on projects previously approved or reasonably anticipated. The resolution associated with this approval includes a \$15 million expenditure authorization to account for the portion of these preliminary expenses likely to be incurred in FY22.

HUESTIS HALL: DEFERRED MAINTENANCE

Huestis Hall, constructed in the early 1970s, is a four-story building within the Lokey Science Complex. It is on 13th avenue across from the Erb Memorial Union and next to Willamette Hall. Huestis Hall is in need of significant deferred maintenance. Planned updates include, but are not limited to: replacing original mechanical, engineering and plumbing systems to achieve modern building and research standards; updating the seismic resistance of the building to achieve current design standards; addressing building envelop leaks; updating life and safety systems (e.g., fire alarm notification, sprinklers); renewing the network infrastructure; modernizing public areas and circulation corridors; creating flexible laboratory spaces; and increasing overall programmatic square footage.

Status & Timeline: The project is currently in the design development phase. Work on the building is expected to begin in the basement this October with full construction starting in late spring 2022. The project's completion is expected in spring 2024.

Costs & Sources of Funds: The total anticipated project cost is \$63.6 million. Of this, \$57.24 million will come from state-paid bonds approved by the legislature. The remaining \$6.36 is the UO's match for those state bonds which will come from philanthropy and/or existing revenue bond proceeds.

Displacement: To implement this project, a robust surge plan has been developed for temporary displacement for all functions within Huestis Hall. As for permanent displacement, some administrative functions and ancillary support spaces within the existing Huestis footprint will be permanently relocated to other campus locations to bolster research and teaching capacity within the reimagined Huestis Hall.

FY22 Authorization: In May 2021, the Board approved a capital expenditure authorization for Fiscal Year 2022 (FY22) based on projects previously approved or reasonably anticipated. Expenses anticipated for FY22 related to this project were included in that expenditure authorization.



Huestis Hall Deferred Maintenance

PROJECT DESCRIPTION

CURRENT PROJECT (LEGISLATIVELY APPROVED, PENDING BOT APPROVAL)

PROJECT STATS

Huestis Hall was constructed in the early 1970s. The raw concrete façade and repetitive windows are features typical of the Brutalist architecture style popular during the time. The four-story building is part of the science complex and is connected to Streisinger Hall. The Lokey Laboratories expansion is beneath Huestis Hall.

Objectives

- Replace the original building mechanical, electrical, and plumbing systems and equipment to achieve modern building and research standards.
- Retrofit the seismic lateral-force-resisting system to achieve current life safety seismic design standards. This will be achieved by a dual-purpose seismic shaft on the west side of the building, which also includes a new freight elevator for lab equipment transport.
- Address the building envelope leaks that have plagued the facility.
- Reduce the energy, maintenance, and operational costs.

- Update all life/safety systems such as fire alarm notification and sprinkler systems.
- Renew the network infrastructure and pathways.
- Modernize the circulation corridors and shared public areas.
- Create flexible modular lab spaces by revising layouts and equipping them with casework systems designed to adapt to a changing environment.
- Increase the program square footage in the basement by relocating mechanical equipment from the basement to a new 6,745SF penthouse on the roof.

Project Status

In Design Development



Project Type: Building Renovation

Space Type: Research and Laboratory
Classroom Teaching Labs

Project Square Footage: 57,501

Anticipated Budget: \$63.6M

Funding Source(s):

Q Bonds: \$50.8M

G Bonds: \$6.36M

UO Match: \$6.36M

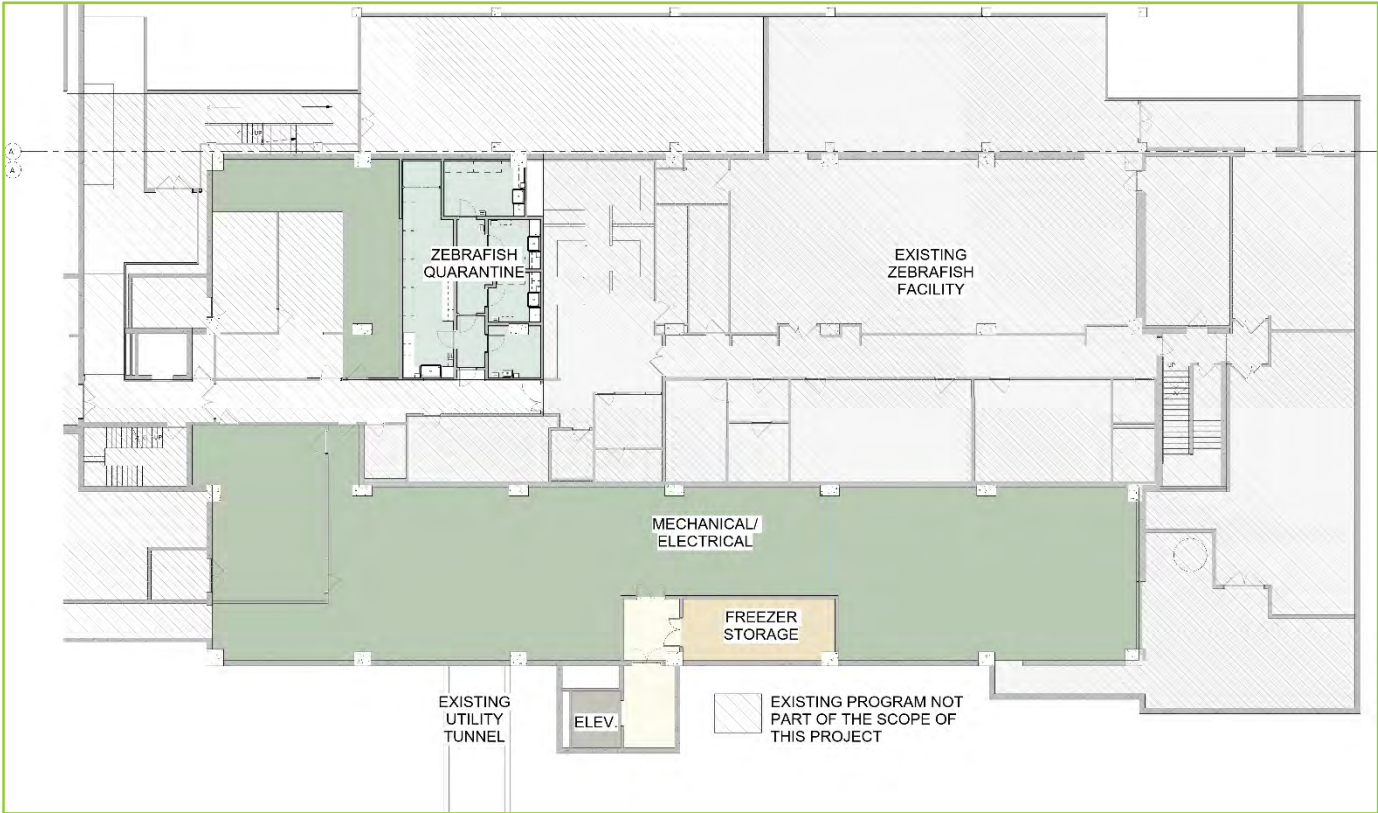
Project Completion: January 2024



East Façade (rendering)



Northwest Façade (rendering)



Floor Plan Basement Level



Floor Plan Level 1



Floor Plan Level 2



Floor Plan Level 3

Board of Trustees of the University of Oregon

Resolution: Authorization for Certain Capital Expenditures (Knight Campus Phase II)

WHEREAS, the Knight Campus for Accelerating Scientific Impact (Knight Campus) is embarking on Phase II, which includes a new facility north of the first building along Agate Street;

WHEREAS, Phase II is currently in the design and planning phase, with a total project overview and budget anticipated for Board of Trustees (Board) review and consideration in spring or summer 2022;

WHEREAS, it will be necessary for the University of Oregon to engage in certain contracts or make pay certain expenses prior to full authorization, including, but not limited to, design, pre-construction fees, geotechnical testing, environmental assessments, property surveys, and other such early stage costs associated with providing a complete scope and cost for the project and maintaining a planned timeline; and,

WHEREAS, the aggregate value of the aforementioned contracts and expenditures would exceed \$5,000,000, a threshold requiring Board authorization.

NOW, THEREFORE, the Board of Trustees of the University of Oregon hereby authorizes the president or his designee(s) to execute contracts and expend resources relating to design, pre-construction, and site-evaluation services of the Knight Campus Phase II project in an amount not to exceed \$15 million prior to full project approval by the Board of Trustees. Further, the Board of Trustees hereby increases the FY22 capital expenditure authorization approved in May 2021 (\$90.5 million) by \$15 million (to a new total of \$105.5 million) to account for the portion of these preliminary expenditures likely to be encumbered in FY22.

Moved: _____ Seconded: _____

Record here if voice vote taken without calling roll: _____

Trustee	Vote	Trustee	Vote
Aaron		Lillis	
Boyle		Lo	
Evans Jackman		Madison	
Fick		Murray	
Holwerda		Seeley	
Hornecker		Ralph	
Kari		Worden	

Dated: _____ Initials: _____

Board of Trustees of the University of Oregon

Resolution: Authorization for Certain Capital Expenditures (Huestis Hall)

WHEREAS, Huestis Hall is a critical piece of the University of Oregon's Lokey Science Complex and supports the educational and research mission of the institution;

WHEREAS, Huestis Hall is in need of significant deferred maintenance and building upgrades that will improve the safety, efficiency, capacity, and usability of the facility;

WHEREAS, the proposed project has a total estimated cost of \$63.6 million, of which \$57.24 million would be funded by state-paid bonds as authorized by the State Legislature; and,

WHEREAS, Board of Trustees' approval is required for capital projects exceeding \$5 million in total cost.

NOW, THEREFORE, the Board of Trustees of the University of Oregon hereby authorizes the president or his designee(s) to execute contracts, expend resources, and engage in work necessary for completion of the Huestis Hall deferred maintenance project as outlined in the enclosed materials. The amount authorized for this project is \$63.6 million.

Moved: _____ Seconded: _____

Record here if voice vote taken without calling roll: _____

Trustee	Vote	Trustee	Vote
Aaron		Lillis	
Boyle		Lo	
Evans Jackman		Madison	
Fick		Murray	
Holwerda		Seeley	
Hornecker		Ralph	
Kari		Worden	

Dated: _____ Initials: _____

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Agenda Item #6

Student Success



UESS | **Student Success**

Board of Trustees Meeting Fall 2021

Kimberly Johnson

Vice Provost for Undergraduate Education and Student Success

Where we have been...

History of UO Student Success

- President Schill outlined Oregon Commitment in fall 2015 with a goal to increase the four-year graduation rates by 2020
- Four-year graduation rates at the time of announcement was 49.9%
- Focus on on-time degree progress and shortening time-to-degree
- A series of investments and initiatives designed to increase access and student support including....



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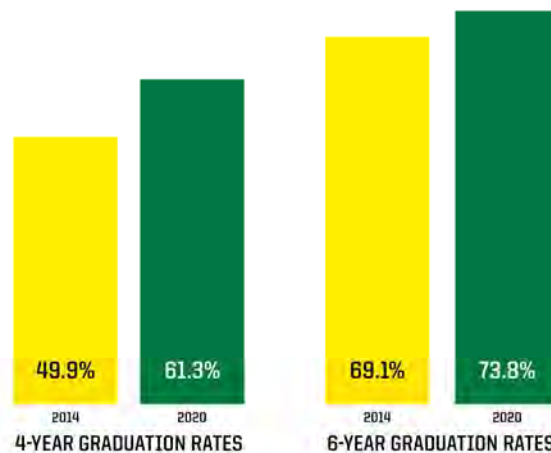


Student Success Initiatives Highlights

- Increased advising capacity by hiring 23 additional advisors
- Targeted and proactive advising campaigns
- Coordinated support through technology implementation and partnerships
- Academic policy changes
- Finish in Four campaigns
- Four-year degree plans development
- Continuation micro-grants

Student Success

Increased the 4-year graduation rate by 10% in five years



4.02 YEARS
TIME TO DEGREE
2019-20 GRADUATING COHORT

14.2 CREDITS
CARRYING LOAD FALL 2020

Student Success Guiding Principles:

Our students are our students
regardless of college, major, program or class participation.

Any student admitted to the UO can successfully leave this institution
with a degree in hand, in a timely fashion, most in four years.

We do not subscribe to the notion of a student deficiency model
to account discrepancies in student success, but rather we approach it from an institutional barrier model.

Student success is everyone's everyday work.

Equity at the center of all our work



Student Success Definition

Our students will **graduate** from the
University of Oregon having had a **positive**
experience and will be **well educated**,
socially responsible, and **career ready**.

Student Success Definition Metrics

Defining and measuring success domains

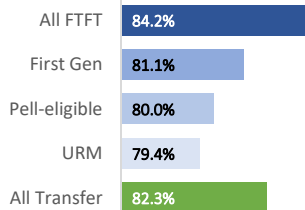
- Measuring success in each domain area
- Metrics identified. Examples include:
 - Career destination within 6 months of graduation (*Career Ready*)
 - Core Education learning outcome indicators in Student Experience in the Research University (SERU) Survey (*Well Educated*)
 - Indebtedness at graduation (*Graduation*)



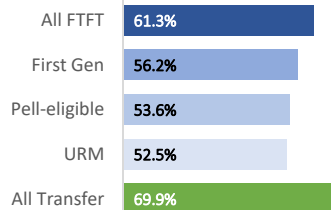
Graduation Domain Metrics

Supporting students' on-time graduation and reducing indebtedness

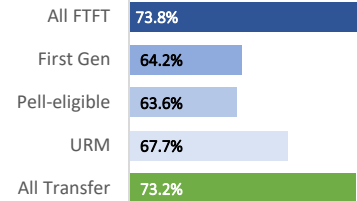
Retention Rates*



4-year Graduation Rates*



6-year Graduation Rates*



3-year Graduation Rate* for Transfer Students

61.3%

The goal of transfer student success is to increase the three-year graduation rate.

Time to Degree

4.02 years

*Average time to degree for first time students graduated in 2019-20.
(4.25 years = 4 years and 1 term)*

Student Indebtedness at Graduation

42% *of students graduated with debt in 2019-20*
Average debt at graduation per borrower **\$26,088**

*Fall 2020 data



Well Educated Domain Metrics

Supporting students' Core Education and learning

Completion of the Core Education Curriculum

ALL students have completed the Core Ed curriculum at graduation.

Courses that fulfill Areas of Inquiry

35% of the Core Education courses have been aligned with the new Methods of Inquiry.

One year into the three-year plan complete to align all Core Education courses with the new Methods of Inquiry. The review on hold in AY20-21.

Participation in Teaching Engagement Program

1184

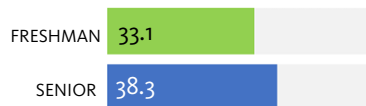
unique individuals in 2020-21

584

unique faculty instructors in 2020-21

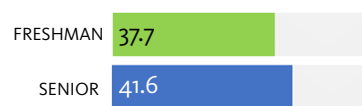
Total number of instructional faculty in 2020-21 was 1670. TEP met with 35% of instructional faculty in 20-21.

Core Education Competencies Index



Source: 2019 National Survey of Student Engagement in the scale of 0 (low) to 60 (high)

Creative and Critical Thinking Index



Source: 2021 Student Experience in the Research University in the scale of 0 (low) to 60 (high)



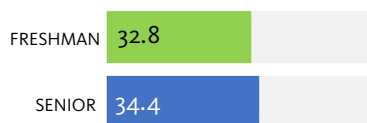
Socially Responsible Domain Metrics

Supporting students become change agent and create just society

Completion of the Core Education Curriculum

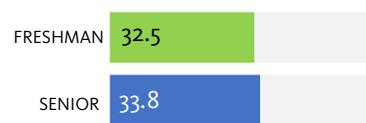
ALL students have completed the Core Education and Cultural Literacy curriculum at graduation.

Civic Responsibility Index



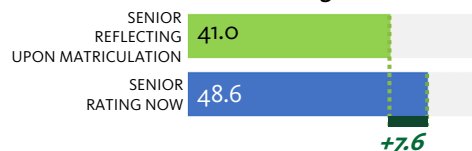
Source: 2021 Student Experience in the Research University in the scale of 0 (low) to 60 (high)

Community Connections Index



Source: 2019 National Survey of Student Engagement in the scale of 0 (low) to 60 (high)

Change in Global Perspectives Index



Source: 2021 Student Experience in the Research University
Students are asked to rate their proficiency reflecting back at when they started at this campus and now. The index is in the scale of 0 (very poor) and 60 (excellent). The measure is the change in senior's self-assessment between matriculation and now.

+7.6



Student Success Initiatives Continues...

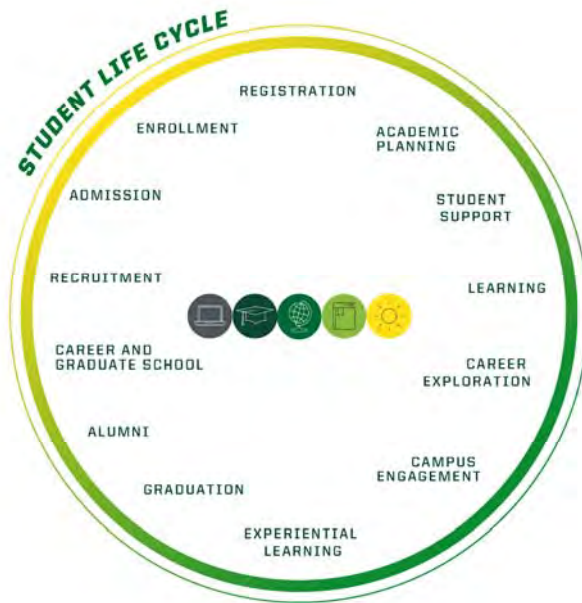
- Measuring student success definition domain outcomes
- Expanding data utilization and reporting
- Degree progression strategies and interventions
- Expansion of mandatory advising
- Career exploration assessment
- First Year Experience
- Transfer Students



UESS | **Next Generation of Student Success**

Student Success as an Institution

Student success is everyone's everyday work.

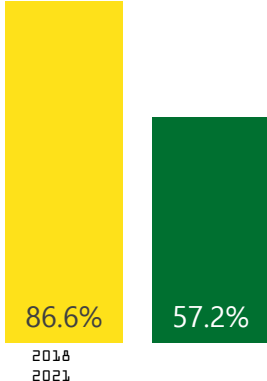


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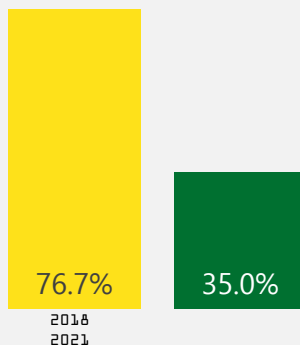
COVID Impacts on Students

Supporting students in changing environments and needs

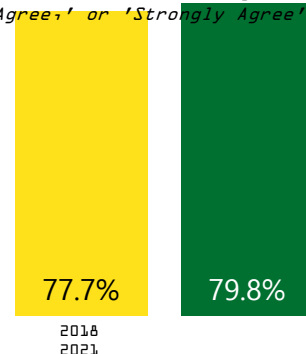
How satisfied or dissatisfied are you with [your] Overall Academic Experience? 'Somewhat Satisfied', 'Satisfied', or 'Very Satisfied'



How satisfied or dissatisfied are you with [your] Overall Social Experience? 'Somewhat Satisfied', 'Satisfied', or 'Very Satisfied'



What is your level of agreement with the statement: Overall, I feel comfortable with the climate for diversity and inclusiveness at the UO? 'Somewhat Agree', 'Agree', or 'Strongly Agree'



O

Longterm Challenges for Higher Education

Generational shift with the pandemic and Gen Z impacts

- Global re-assessment of higher education
 - cost and value, inside and outside classroom experiences, hybrid learning
- Generation of changemakers
 - social justice, climate change, health disparities, economic inequities
- Demographic shifts in student population
- Seamless and integrated experiences
- Technology, Student Enterprise Systems, and Data utilization



Data Analytics and Utilization

Data informed and evidence-based practices

- Close collaboration with Office of the Provost Academic Data Analytics Team
- Predictive analytics model to inform advising resource allocation
- Decision making based on data
- Integration of assessment on initiatives



Next Generation of Student Success

Our students will....



TRANSFORM



INSPIRE



DISCOVER



EXCEL



UNIVERSITY OF
OREGON



Questions?

Kimberly Johnson
johnskim@uoregon.edu

UESS | **Student Success Definition Metrics**

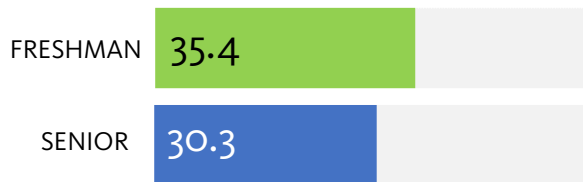
Board of Trustees Meeting Fall 2021

Positive Experience

Quality of Interactions

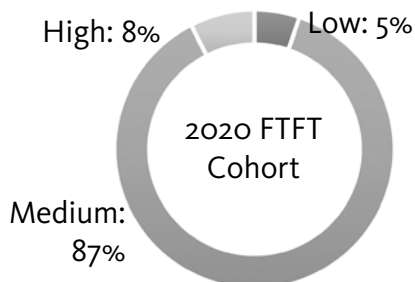


Supportive Environment



Source: Engagement Indicators in the scale of 0 (poor/very little) to 60 (excellent/very much)
2019 National Survey of Student Engagement

Wellbeing Classifications



Source: Student Wellbeing and Success Initiative
Students in low wellbeing group exhibit higher levels of uncertainty, loneliness, satisfaction, etc compared to medium or high wellbeing group peers.

Source: Division of Student Life Student Leader Satisfaction Survey.
(188 student leaders responded in May 2020.)

Satisfaction/Fun

84% of student leaders rate their overall leadership experience positively.

73% of student leaders indicate they had a lot or quite a bit of fun during their leadership experience.

Financial Wellness

73% endorsed "agree" or "strongly agree" with having general stress about finances.

Well Educated

Completion of the Core Education Curriculum

ALL *students have completed the Core Ed curriculum at graduation.*

Courses that fulfill Areas of Inquiry

35% *of the Core Education courses have been aligned with the new Methods of Inquiry.*

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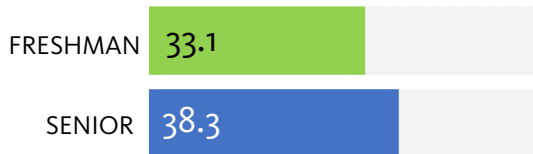
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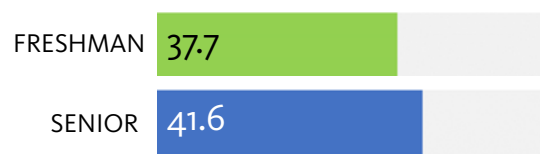
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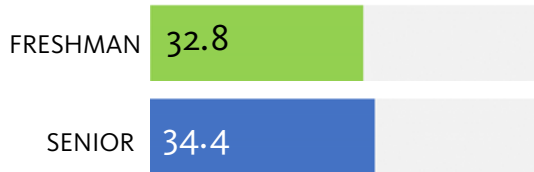
Source: 2021 Student Experience in the Research University in the scale of 0 (low) to 60 (high)

Socially Responsible

Completion of the Core Education Curriculum

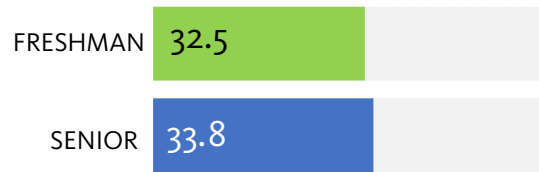
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Civic Responsibility Index



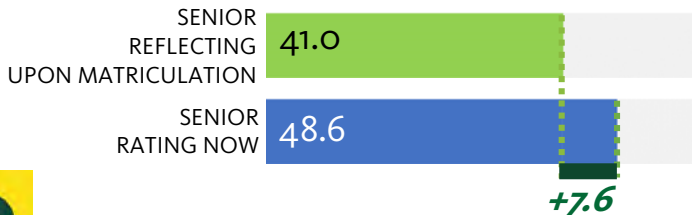
*Source: 2021 Student Experience in the Research University
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*Source: 2019 National Survey of Student Engagement
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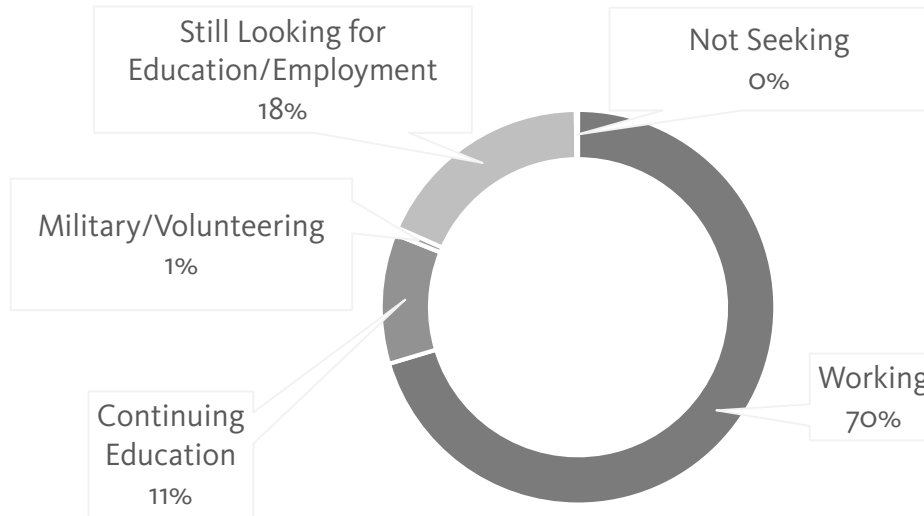
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Career Ready

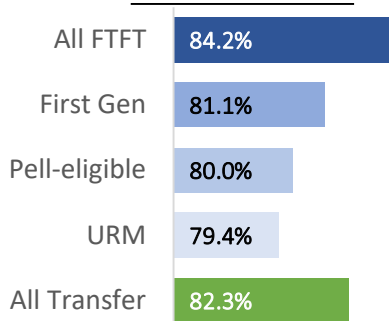
First Destination Status within 6 months of graduation



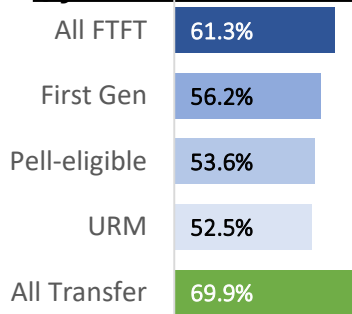
Source: 2019-20 UO First Destination Survey; National Student Clearinghouse; and HEP (Included 4,023 responses; 70% response rate)

Graduation

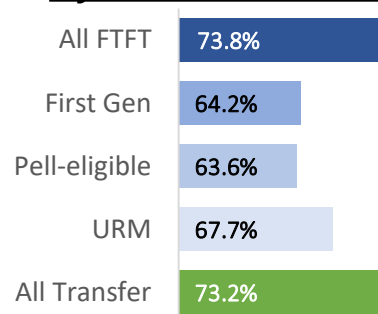
Retention Rates*



4-year Graduation Rates*



6-year Graduation Rates*



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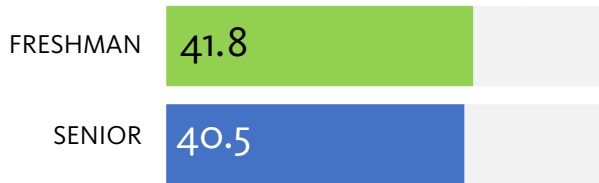
*Fall 2020 data

UESS | **Student Success Definition Metrics**

Board of Trustees Meeting Fall 2021

Positive Experience

Quality of Interactions

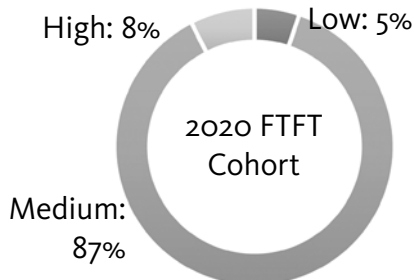


Supportive Environment



Source: Engagement Indicators in the scale of 0 (poor/very little) to 60 (excellent/very much)
2019 National Survey of Student Engagement

Wellbeing Classifications



Source: Student Wellbeing and Success Initiative
Students in low wellbeing group exhibit higher levels of uncertainty, loneliness, satisfaction, etc compared to medium or high wellbeing group peers.

Source: Division of Student Life Student Leader Satisfaction Survey.
(188 student leaders responded in May 2020.)

Satisfaction/Fun

84% of student leaders rate their overall leadership experience positively.

73% of student leaders indicate they had a lot or quite a bit of fun during their leadership experience.

Financial Wellness

73% endorsed "agree" or "strongly agree" with having general stress about finances.

Well Educated

Completion of the Core Education Curriculum

ALL *students have completed the Core Ed curriculum at graduation.*

Courses that fulfill Areas of Inquiry

35% *of the Core Education courses have been aligned with the new Methods of Inquiry.*

One year into the three-year plan complete to align all Core Education courses with the new Methods of Inquiry. The review on hold in AY20-21.

Participation in Teaching Engagement Program

1184

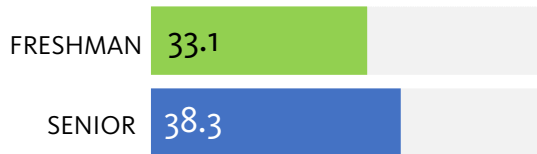
unique individuals in 2020-21

584

unique faculty instructors in 2020-21

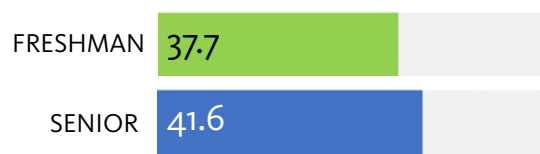
Total number of instructional faculty in 2020-21 was 1670. TEP met with 35% of instructional faculty in 20-21.

Core Education Competencies Index



Source: 2019 National Survey of Student Engagement in the scale of 0 (low) to 60 (high)

Creative and Critical Thinking Index



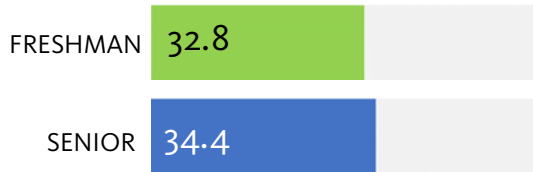
Source: 2021 Student Experience in the Research University in the scale of 0 (low) to 60 (high)

Socially Responsible

Completion of the Core Education Curriculum

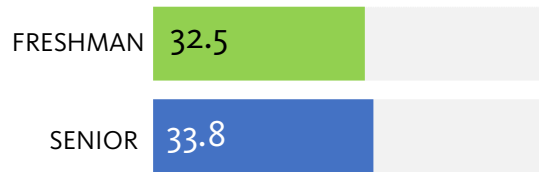
ALL *students have completed the Core Education and Cultural Literacy curriculum at graduation.*

Civic Responsibility Index



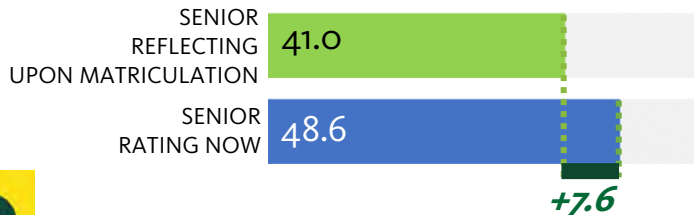
*Source: 2021 Student Experience in the Research University
in the scale of 0 (low) to 60 (high)*

Community Connections Index



*Source: 2019 National Survey of Student Engagement
in the scale of 0 (low) to 60 (high)*

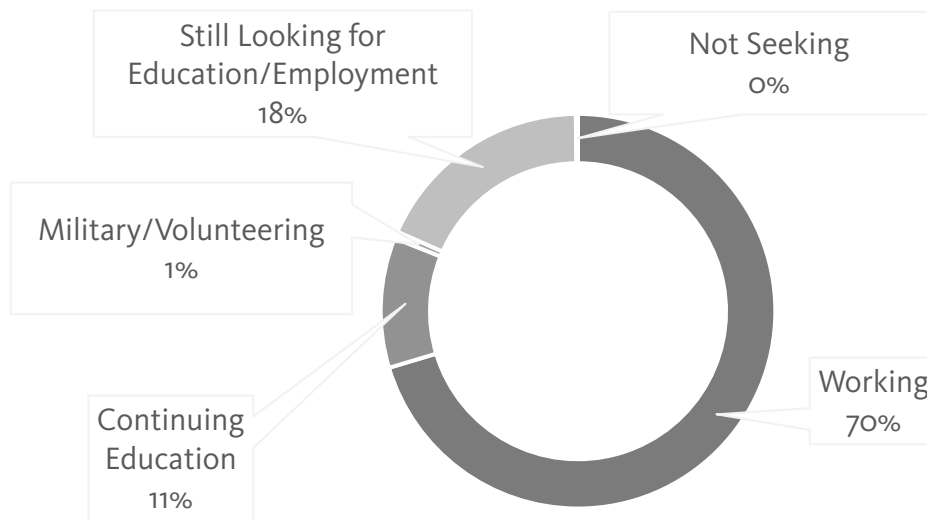
Change in Global Perspectives Index



*Source: 2021 Student Experience in the Research University
Students are asked to rate their proficiency reflecting back at when they started at this campus and now. The index is in the scale of 0 (very poor) and 60 (excellent). The measure is the change in senior's self-assessment between matriculation and now.*

Career Ready

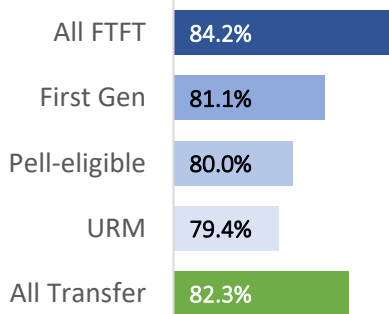
First Destination Status within 6 months of graduation



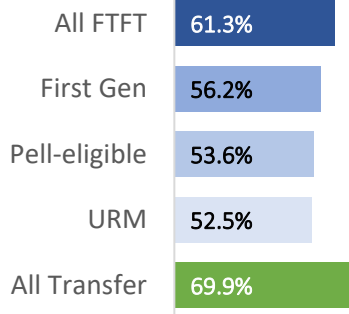
Source: 2019-20 UO First Destination Survey; National Student Clearinghouse; and HEP (Included 4,023 responses; 70% response rate)

Graduation

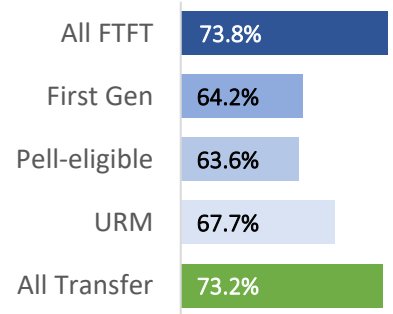
Retention Rates*



4-year Graduation Rates*



6-year Graduation Rates*



3-year Graduation Rate* for Transfer Students

61.3%

The goal of transfer student success is to increase the three-year graduation rate.

Time to Degree

4.02 years

*Average time to degree for first time students graduated in 2019-20.
(4.25 years = 4 years and 1 term)*

Student Indebtedness at Graduation

42%

of students graduated with debt in 2019-20

Average debt at graduation per borrower

\$26,088

*Fall 2020 data

Wellbeing Classifications

Student Life Assessment @ Research

The Student Wellbeing and Success Initiative is a multicohort, longitudinal research program designed to holistically understand institutional inputs to undergraduate students' wellbeing and success across the college experience.

All incoming undergraduate students are surveyed in the summer prior to matriculation. Participating students are invited to complete end-of-year (Spring) follow-up assessments.

The results are used in defining the following constructs:

Belonging	<ul style="list-style-type: none"> Ability Uncertainty Belonging Uncertainty Loneliness Social Support Stereotype Threat
General Wellbeing	<ul style="list-style-type: none"> General Health Life Satisfaction Stress
Affective/ Emotional Constructs	<ul style="list-style-type: none"> Sadness Self-Assurance

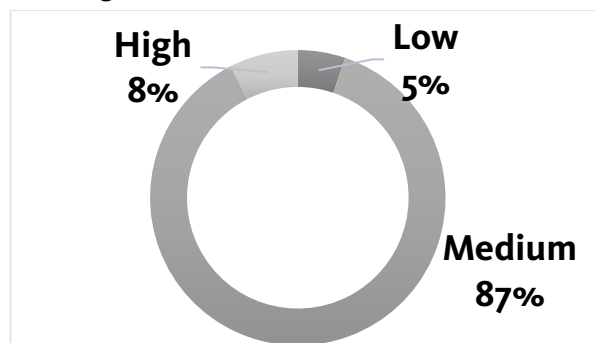
Why this metric?

Understanding and improving students' wellbeing enables us to support their learning and development and foster their achievement and persistence.

Desired Change

Improvement in cohort profile over time
Mitigate negative outcomes for students entering with Low wellbeing

Wellbeing of 2020 First-time, Full-time Freshmen



Students in **Low** wellbeing group exhibit higher levels of uncertainty, loneliness, satisfaction, etc compared to **Medium** or **High** wellbeing group peers.

Source:
Student Wellbeing and Success Initiative, Division of Student Life

Satisfaction/Fun

Student Life Assessment @ Research

The Student Leader Satisfaction Survey is an annual survey of student leaders within the Division of Student Life. The survey includes the following two measures of satisfaction and fun:

How has your overall experience as a student leader been?

How much fun did you have during your student leadership experience(s)?

Why this metric?

This indicator would provide valuable information necessary to expand and improve leadership and financial literacy programming.

Desired Change

TBD, pending expanded collection of data

Current Results

84%

of student leaders rate their overall leadership experience positively

73%

of student leaders indicate they had a lot or quite a bit of fun during their leadership experience

Source: 2020 Student Leader Satisfaction Survey of student leaders (N=188)

Financial Wellness

Student Life Assessment @ Research

The Student Leader Satisfaction Survey is an annual survey of student leaders within the Division of Student Life. The survey includes a series of questions measuring attitudes, beliefs, knowledge and behaviors associated with financial literacy (e.g., financial stress, financial optimism, financial dependence, etc.)

Why this metric?

Financial stress affects students' mental health status and impedes their ability to focus on their academics. Students commonly cite finances as a primary cause of stop-out and dropout.

Desired Change

NA – resources needed for expanded data collection

Current Results

73%

of student leaders endorsed "agree" or "strongly agree" with having general stress about finances

Source: 2020 Student Leader Satisfaction Survey of student leaders (N=188)

Positive Experience Metrics, cont.

Quality of Interactions

NSSE Engagement Indicator

The Quality of Interactions index is based on a series of questions from the National Survey of Student Engagement, a survey used to measure the level of student participation at universities and colleges as it relates to learning and engagement.

Over a series of questions students are asked to “Indicate the quality of your interactions with the following people at your institution,” covering students, faculty, and staff.

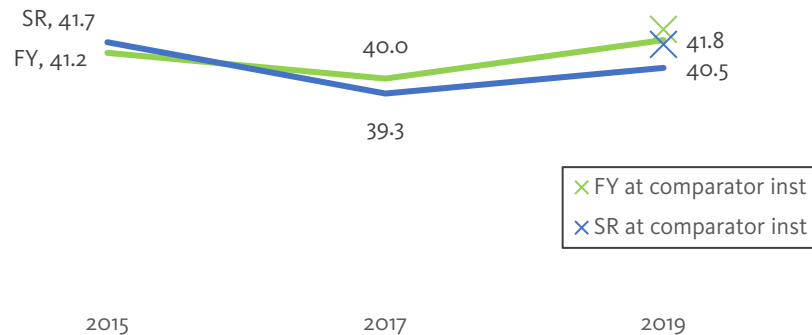
Why this metric?

Students benefit and are more satisfied when experiencing positive relationships with students, faculty, and staff.

Desired Change

Increase for both FY and SR
Students should have a consistent positive experience regardless of class standing

Quality of Interactions Index*



Scale

Excellent (7)	60
6,5,4,3,2	50-10
Poor (1)	0

Source:
National Survey of Student Engagement 2019
survey of all first-year/senior students
response N=878

*** see Appendix for more information
on surveys and indices**

Supportive Environment

NSSE Engagement Indicator

The Supportive Environment index is based on a series of questions from the National Survey of Student Engagement, a survey used to measure the level of student participation at universities and colleges as it relates to learning and engagement.

Over a series of questions students are asked “How much does your institution emphasize the following?,” covering institutional activities and supports that have been found to promote a supportive environment.

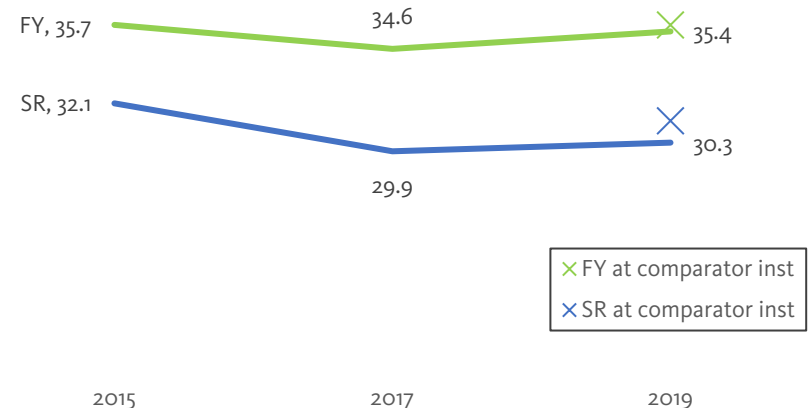
Why this metric?

Students benefit and are more satisfied in supportive environments.

Desired Change

Increase for both FY and SR
Students should have a consistent positive experience regardless of class standing

Supportive Environment Index*



Scale

Very much	60
Quite a bit	40
Some	20
Very little	0

Source:
National Survey of Student Engagement 2019
survey of all first-year/senior students
response N=878

*** see Appendix for more information
on surveys and indices**

Core Education Curriculum

In 2017-18 the UO Senate passed legislation making substantive changes to what was then known as general education and multicultural requirements. The result is the revised Core Education curriculum and Cultural Literacy requirement.

Fundamental to this change is that the core education curriculum will be articulated to mission-based learning outcomes. The revision to the core education requirements will align courses with specific learning outcomes, making these requirements legible, transparent, relevant, and easier to navigate for students.

Why this metric?

The richness of this new core education requirement is a reflection of what faculty experts across fields, departments and schools agree are central courses all students should take to be well-educated. The core education requirement amounts to a consensus among faculty about courses that all students—regardless of major—need to complete to be well educated.

Desired Change

100% of Core Education courses will be aligned with the new methods of inquiry.

The course review process was put on hold during AY2020-21 due to pandemic.

Current Results

35% of Core Education courses aligned with new methods of inquiry

Faculty Participation in the Teaching Engagement Program

The Teaching Engagement Program (TEP) is UO’s faculty and graduate student professional teaching development office. TEP works with instructors across campus to promote evidence-based teaching through consultations, workshops, and professional learning communities in order to promote student success.

Why this metric?

One of the most significant drivers for student learning and success is what happens in the classroom.

Desired Change

Increasing number and proportion of faculty are trained by TEP.

Increasing number of faculty interactions with TEP.

Current Results

1184 unique individuals in 2020-21

584 unique faculty instructors in 2020-21

Total number of instructional faculty in 2020-21 was 1670. TEP met with 35% of instructional faculty in 20-21.

Core Education Competencies

NSSE

The Core Education Competencies index is based on a series of questions from the National Survey of Student Engagement, a survey used to measure the level of student participation at universities and colleges as it relates to learning and engagement.

Over a series of questions students are asked “How much has your experience at this institution contributed to your knowledge, skills, and personal development in” the areas of writing, speaking, critical thinking, and problem-solving.

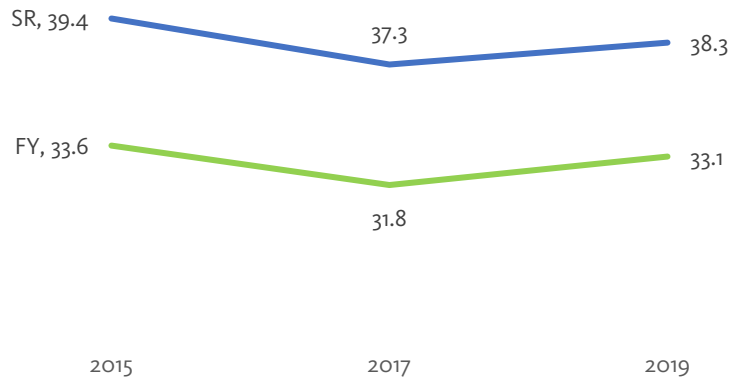
Why this metric?

These questions are well aligned with the Core Education Methods of Inquiry: critical thinking, creative thinking, written communication, and ethical reasoning

Desired Change

Increase for both FY and SR
SR should report higher levels of knowledge and skill acquisition than FY

Core Education Competencies Index*



Scale

Very much	60
Quite a bit	40
Some	20
Very little	0

Source:

National Survey of Student Engagement 2019 survey of all first-year/senior students response N=878

*** see Appendix for more information on surveys and indices**

Creative and Critical Thinking

SERU

The Creative and Critical Thinking index is based on a series of questions from the Student Experience in the Research University survey, which focuses on undergraduate students' experiences at top-tier research-intensive universities.

Over a series of questions students are asked the extent to which their academic experiences have required them to:

- Explain methods, ideas, or concepts and use them to solve problems
- Create or generate new ideas, products, or ways of understanding
- Discuss and navigate controversial issues: In the classroom

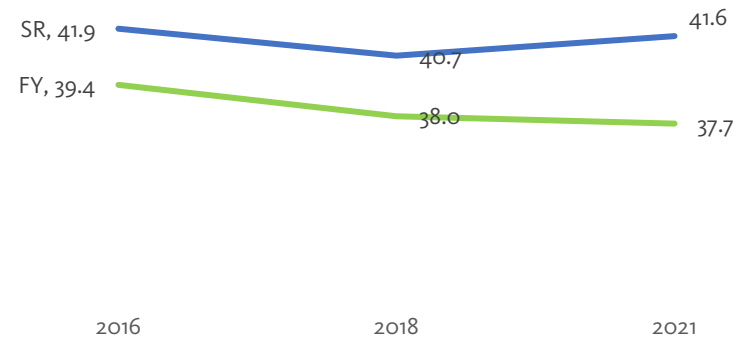
Why this metric?

These questions are well aligned with the Core Education Methods of Inquiry: critical thinking, creative thinking, written communication, and ethical reasoning.

Desired Change

Increase for both FY and SR

Creative and Critical Thinking Index*



Scale

Very often	60
Often	48
Somewhat often	36
Occasionally	24
Rarely	12
Never	0

Source:

Student Experience in the Research University 2021 survey of all admitted undergraduate students response N=2,725

*** see Appendix for more information on surveys and indices**

Core Education Curriculum

In 2017-18 the UO Senate passed legislation making substantive changes to what was then known as general education and multicultural requirements. The result is the revised Core Education curriculum and Cultural Literacy requirement.

Courses in the *United States: Difference, Inequality, Agency* category will develop students’ analytical and reflective capacities to help them understand and ethically respond to the ongoing cultural, economic, political, and social power imbalances that have shaped and continue to shape the United States.

Courses in the *Global Perspectives* category will foster student encounters with and critical reflection on cultures, identities, and ways of being in global contexts.

Why this metric?

Courses meeting the Cultural Literacy categories will teach students to engage in “respectful listening and civil conversation as critical tools for involving students in topics that are controversial today,” which is a key element of Social Responsibility.

Desired Change

Within three years, 100% of Core Education courses will be aligned with the new requirements.

The course review process was put on hold during AY2020-21 due to pandemic.

Civic Responsibility

SERU

This index is based on a series of questions from the Student Experience in the Research University, which focuses on undergraduate students’ experiences at top-tier research-intensive universities.

Over a series of questions students are asked about their classroom reflections and actions on community and social issues.

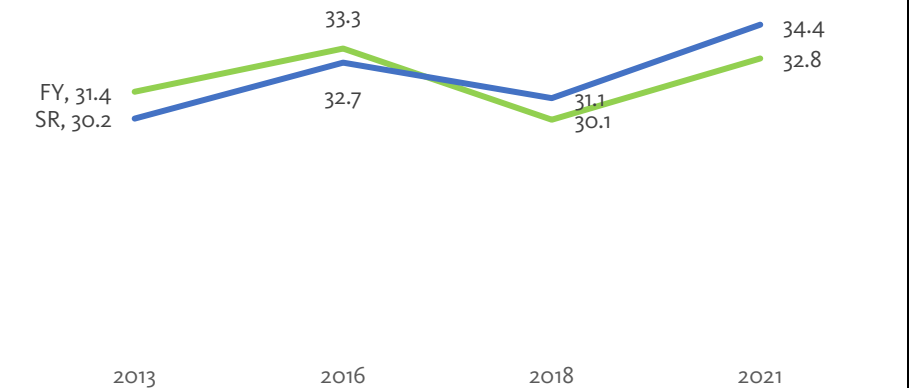
Why this metric?

These questions capture the extent to which students are being challenged to take responsibility for and engage with complex community and social issues.

Desired Change

Increase for both FY and SR

Civic Responsibility Index*



Scale	
Very often	60
Often	48
Somewhat often	36
Occasionally	24
Rarely	12
Never	0

Source:
Student Experience in the Research University 2021 survey of all admitted undergraduate students response N=2,725

*** see Appendix for more information on surveys and indices**

Socially Responsible Metrics, cont.

Community Connections

NSSE

The Community Connections index is based on a series of questions from the National Survey of Student Engagement, a survey used to measure the level of student participation at universities and colleges as it relates to learning and engagement.

Over a series of questions students are asked “How much has your experience at this institution contributed to your knowledge, skills, and personal development in” the areas of ethical development, understanding diverse persons, problem-solving, and active citizenship.

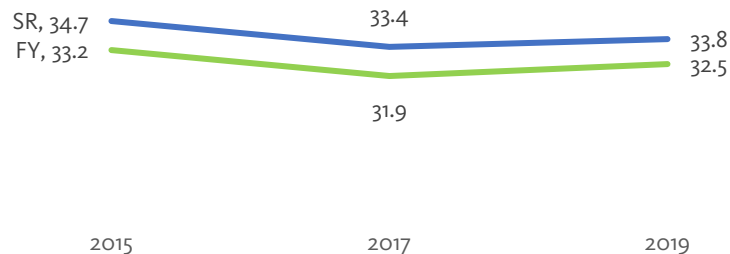
Why this metric?

These questions are well aligned with the Core Education curriculum and the Cultural Literacy requirement.

Desired Change

Increase for both FY and SR
SR should report higher levels of knowledge and skill acquisition than FY

Community Connections Index*



Scale

Very much	60
Quite a bit	40
Some	20
Very little	0

Source:

National Survey of Student Engagement 2019 survey of all first-year/senior students response N=878

*** see Appendix for more information on surveys and indices**

Change in Global Perspectives

SERU

This index is based on a series of questions from the Student Experience in the Research University survey, which focuses on undergraduate students' experiences at top-tier research-intensive universities.

Over a series of questions students are asked to compare their abilities when starting at the UO to their current abilities in the areas of:

- Understanding international perspectives
- Ability and comfort working with people from other cultures

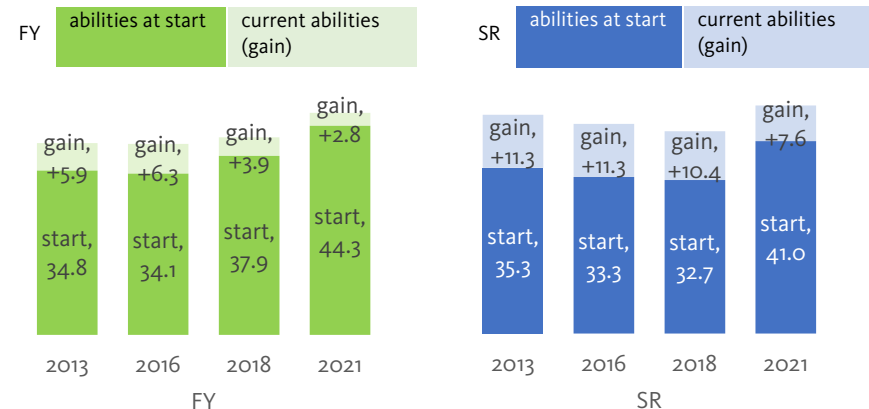
Why this metric?

The Global Perspectives category of the Cultural Literacy requirement has an expectation that students will be able “to engage in and discuss topics with which [they] may be unfamiliar” and gain an understanding of “systems of meaning or beliefs beyond a US context.”

Desired Change

Increase for both FY and SR
SR should report higher levels of knowledge and skill acquisition than FY

Change in Global Perspectives Index*



The significant increase in students' self-assessment at the start of their academic career is unexpected, and may be due to changes in SERU's structure and sequencing. More information on this anomaly will be provided as it becomes available.

Scale

Excellent	60
Very good	48
Good	36
Fair	24
Poor	12
Very poor	0

Source:

Student Experience in the Research University 2021 survey of all admitted undergraduate students response N=2,725

*** see Appendix for more information on surveys and indices**

Career Ready Metrics

Satisfactory First Destination

Use the **First Destination Survey (FDS)** to measure the percentage of alumni who have jobs or other satisfactory post-graduation outcomes at graduation and within six months after graduation.

The FDS survey collects employment information about recent graduates' first destination (employment, graduate school, etc.) New graduates are recruited into the survey through a variety of strategies in the months leading up to graduation. Follow-up is conducted 3-6 months and one year following graduation.

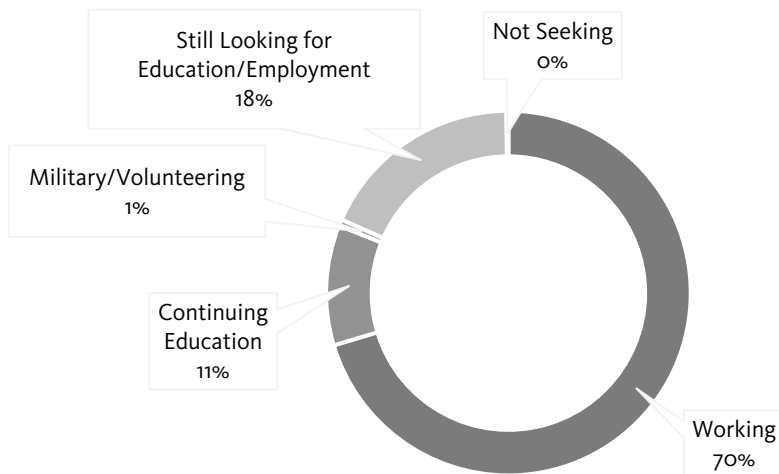
Why this metric?

Students' ability to successfully achieve their post-graduation goals related to employment and education is one indicator of their overall career readiness.

Desired Change

Increase in the percent of students reported as employed, continuing education, or participating in service/military work.

First Destination Status within 6 months of graduation



Source:
2019-20 UO First Destination Survey; National Student Clearinghouse; and HEP
Included 4,023 responses; 70% response rate

Employer Perception

Employer's perception of student career readiness provides a balanced perspective regarding students' career readiness, in addition to student self-assessment. Employers could be asked both about whether they believe that UO students are career ready, and their perception of how strongly UO students demonstrate core competencies.

Why this metric?

External stakeholder's perception of student career readiness could provide a balanced perspective regarding students' career readiness, in addition to student/alumni self-assessment.

Desired Change

TBD, pending collection of data
Next step: develop data collection system

Stakeholder Engagement

The number of external organizations engaged in UO career readiness activities.

Why this metric?

Increased engagement will help improve all career readiness outcomes.

Desired Change

TBD, pending collection of data
Next step: develop data collection system

Career Readiness Activities

Percentage of UO graduates who have completed two internships or other Career Readiness experiences, including research, learning abroad, or other experiential learning opportunity that is aligned with a student's goals.

Why this metric?

These experiences encourage self-exploration and discovery and connect students with potential employers.

Desired Change

NA – resources needed for data collection

Graduation Metrics

Graduation Rates

Graduation rates measure whether a student graduates from the university within a specified period of time. The standard metric is for a cohort of students who are new entering and enrolled full-time in Fall term, measuring graduation at the end of Summer term after four or six years. While this is most commonly measured for students matriculating from high school, it is also possible to track a similar measure for transfer students.

There are a variety of reasons why a student might not ultimately graduate from the UO; however our goal is to create an environment in which as many students as possible can succeed and graduate.

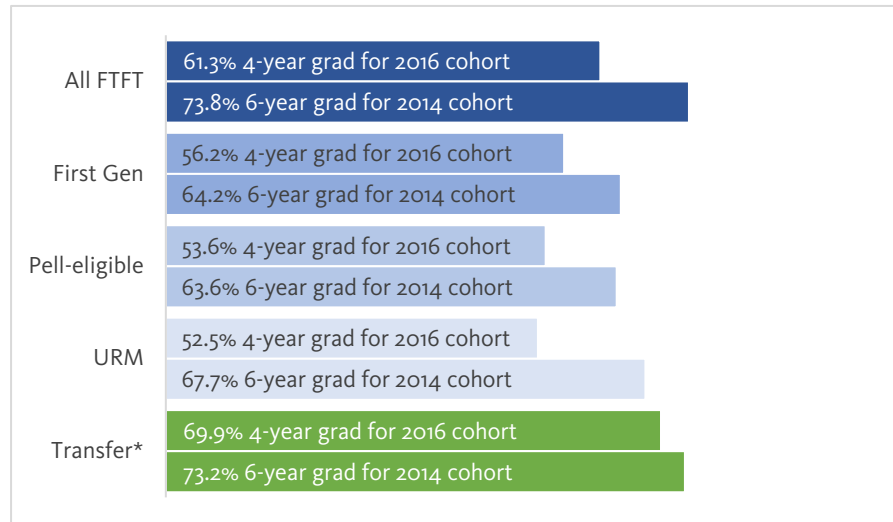
Why this metric?

Our goal is to create an environment in which as many students as possible can succeed and graduate in a timely fashion.

Desired Change

While there will not be consistent changes from year to year, the goal is to see increases with an overall upward trajectory over time.

Four- and Six-Year Graduation Rates



* the three-year graduation rate for the 2017 transfer student cohort is 61.3%

Retention Rates

Retention rates measure whether a student is persisting in the university from year to year. The standard metric is for a cohort of students who are new entering and enrolled full-time in Fall term, measuring the rate at which the cohort re-enrolls in the university in the subsequent Fall term. While this is most commonly measured for students matriculating from high school, it is also possible to track a similar measure for transfer students.

While it is a simplified measure that does not account for the nuances of students' academic success and degree progression, it is an important early indicator since the majority of attrition occurs during the first year.

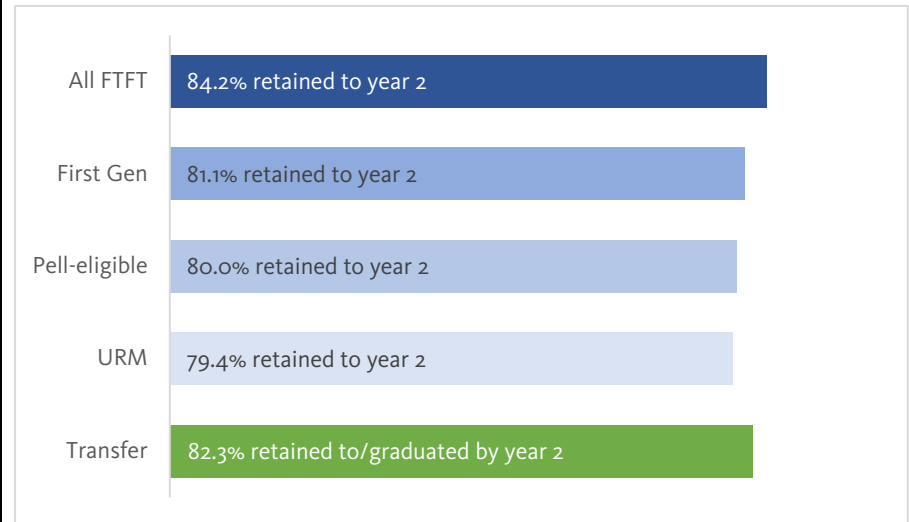
Why this metric?

Retention to year two is an early indicator of the likelihood of graduation.

Desired Change

While there will not be consistent changes from year to year, the goal is to see increases with an overall upward trajectory over time.

Retention to Year 2, Fall 2019 Cohort



Time-to-degree

Time-to-degree measures the number of elapsed years between when a student matriculates into the university and when the student is awarded a degree. The standard metric is for a cohort of graduates earning their first bachelor's degree, who were enrolled full-time in their first term. While this is most commonly measured for students matriculating from high school, it is also possible to track a similar measure for transfer students.

The time-to-degree measure is a single index that shows how long our students are taking to graduate, on average.

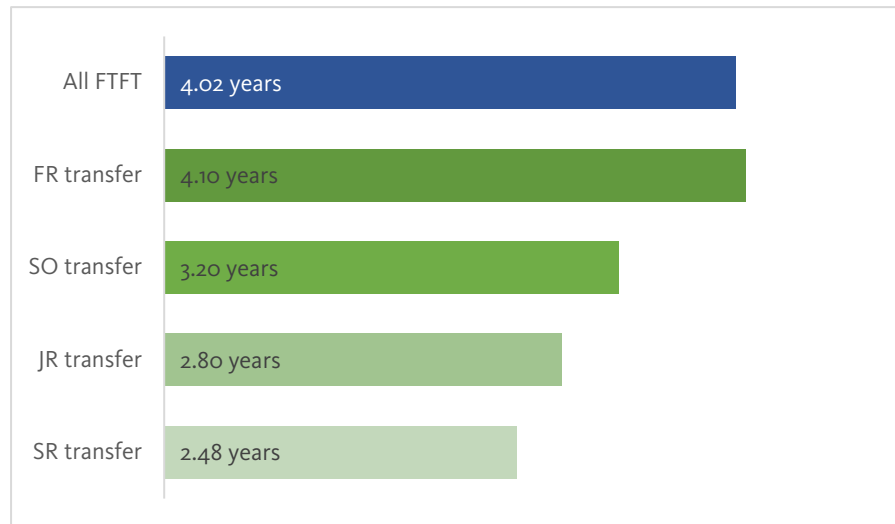
Why this metric?

Reduced time-to-degree means that students are spending less time and fewer financial resources to achieve graduation.

Desired Change

While there will not be consistent changes from year to year, the goal is to see decreases with an overall downward trajectory over time.

Time-to-Degree for FTF 2019-20 Graduates



Student Indebtedness at Graduation

Student Indebtedness at Graduation measures the percent of students incurring debt and the average amount of debt for graduating cohorts of first-time students matriculating from high school. The measure includes federal student loans and alternative loans incurred while enrolled at the University of Oregon.

Student debt is an important issue nationally, for the University of Oregon as an institution, and for individual students.

Why this metric?

Debt accumulation is important both while students are enrolled, as a potential cause for stop-out; and after students graduate, as a potential barrier to achieving future milestones.

However, it should also be noted that a certain amount of loans/debt is to be expected, since loans are the means by which some students are able to access higher education.

Desired Change

The proportion of students borrowing and average debt may increase as tuition increases, and may vary depending on the demographics of the graduating cohort (e.g. international students typically do not borrow in ways that are transparent to the institution.)

Next step: continue to monitor the metrics with a goal of moderating increases.

Current Results

42% *of students graduated with debt in 2019-20* **\$26,088** *average debt at graduation per borrower*

APPENDIX

About NSSE/SERU

Undergraduate Education and Student Success (UESS) has selected a series of questions from the National Survey of Student Engagement (NSSE) and Student Experience in the Research Institution (SERU) as indicators of whether we are achieving our goal of graduating students who have had a **Positive Experience** and who are **Well Educated** and **Socially Responsible**.

National Survey of Student Engagement (NSSE)

- NSSE is a national survey used to measure the level of student participation at universities and colleges as it relates to learning and engagement. It is widely used across many types of institutions and can be used for benchmarking with our peer institutions.
- NSSE is administered to all first-year (FY) and senior (SR) students.
- NSSE has been administered at the UO every 2-3 years since the early 2000s. It was revised in 2013.
- A unique feature of NSSE is the Engagement Indicators (EIs), which are a way of summarizing NSSE data around themes. By combining responses to related NSSE questions, the EIs offer valuable information about distinct aspects of student engagement. For more information about how the EIs were developed and how they are scored, see https://nsse.indiana.edu/html/engagement_indicators.cfm
- NSSE will next be administered in Spring 2022.

Student Experience in the Research University (SERU)

- SERU is a multi-institutional survey focusing on undergraduate students' experiences at top-tier research-intensive universities. It originated in the University of California system, and has been adopted by more than a dozen other research universities.
- SERU is administered to all admitted undergraduates.
- SERU has been administered at the UO every 2-3 years since 2010. As a relatively new survey, it is still subject to periodic revisions.
- The general structure of SERU is a core module that all respondents receive, followed by a topical module to which students are randomly assigned. The UO has typically implemented the Academic Engagement & Global Experiences module, Civic & Community Engagement module, and Student Life & Development module.
- SERU was administered in Spring 2021 and next in Spring 2023.

Response Rates

Participation in both surveys has declined over the years.

The response rate for NSSE 2019 was 12% for first-year students and 10% for seniors (total N=878). The response rate for SERU 2018 was 18.2% (total N=3,306).

Outreach to increase response rates to both NSSE and SERU will be a priority during the upcoming survey administration cycles.

Indices

The Positive Experience metrics are organized around the NSSE Engagement Indicators (EI, see description above.) Engagement Indicators are constructs composed of student responses to related survey questions, which together can be used to assess an underlying theme or indirect measure.

Generally speaking, students are scored on a standardized scale of 0-60 for each question in an EI, with zero being the least positive and 60 being the most positive. Each student then receives a composite index from those standardized values.

A similar approach was used for measures within the other domains, using survey questions from both NSSE and SERU. *However, these Indices are not constructs.* Their value lies in the ability to track a single composite value, while allowing us to drill down to the underlying survey questions as needed.

Comparators

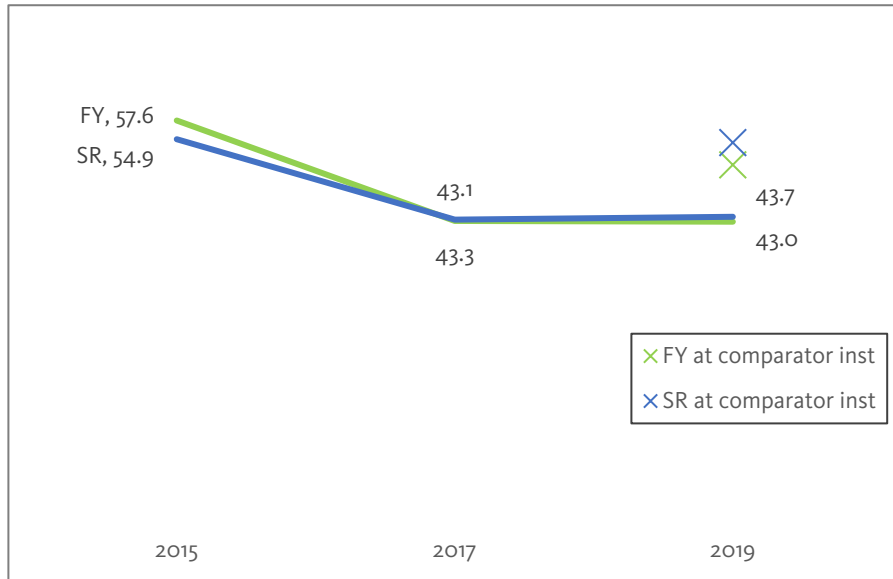
Comparator data are available for all aspects of NSSE, and for the core module of SERU. In all cases, the comparison is to institutions in the same Carnegie classification as the UO, Doctoral University: Very High Research. Carnegie classifications are a general framework for classifying colleges and universities in the United States.

Positive Experience

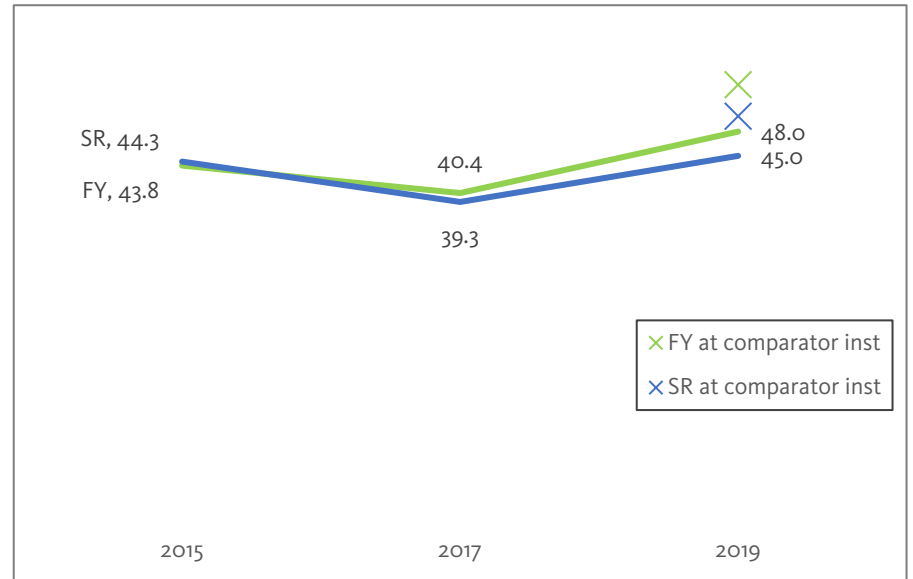
Quality of Interactions Index survey questions

Indicate the quality of your interactions with the following people at your institution. Percentage rating their interactions a 6 or 7 on a scale of '1 Poor' to '7 Excellent'

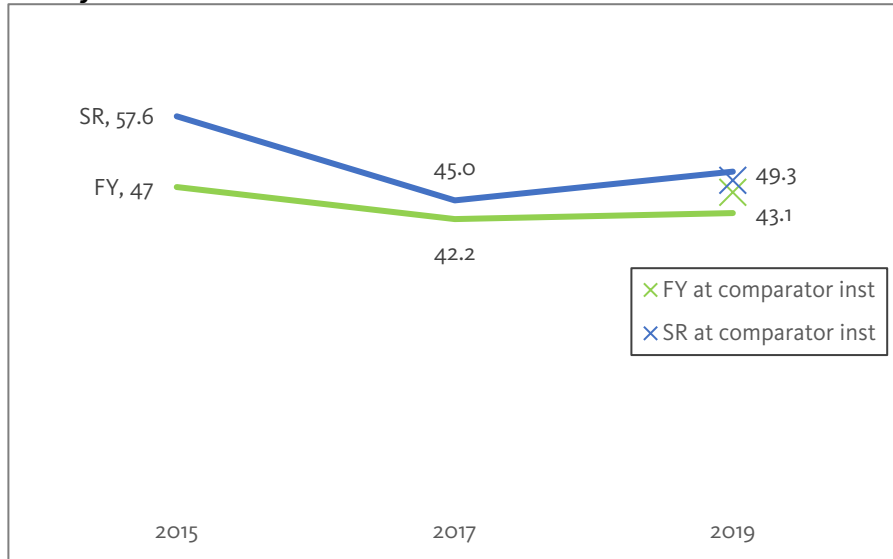
Students



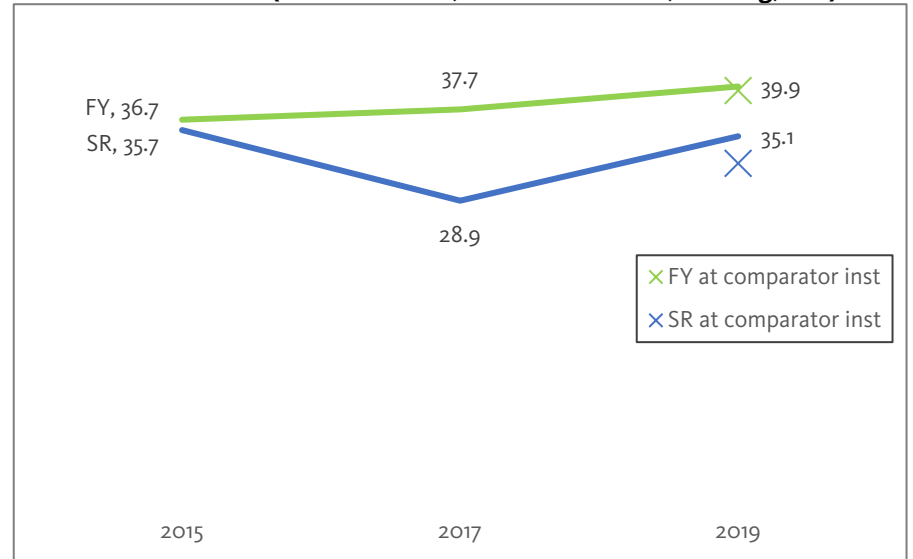
Academic Advisors



Faculty



Student services staff (career services, student activities, housing, etc.)

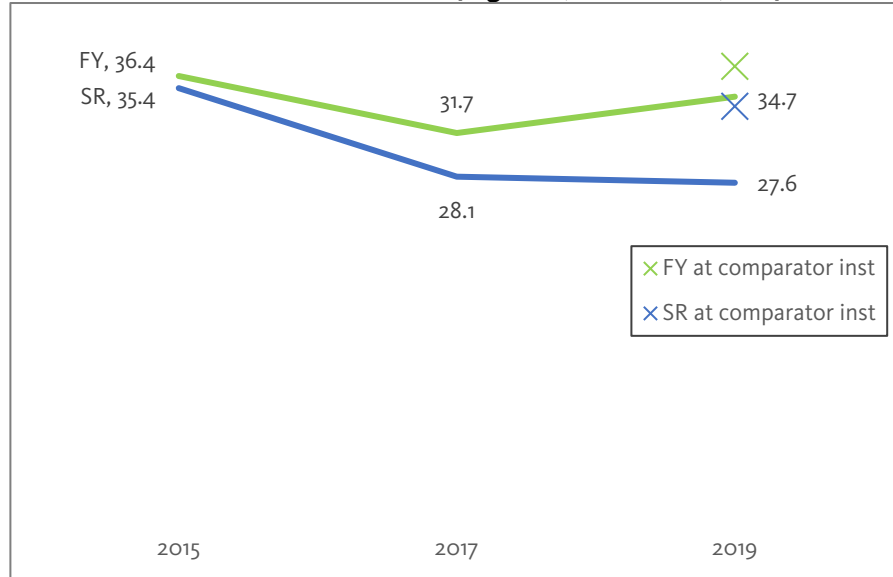


Positive Experience, cont.

Quality of Interactions Index Questions, cont.

Indicate the quality of your interactions with the following people at your institution. Percentage rating their interactions a 6 or 7 on a scale of '1 Poor' to '7 Excellent'

Other administrative staff and offices (registrar, financial aid, etc.)

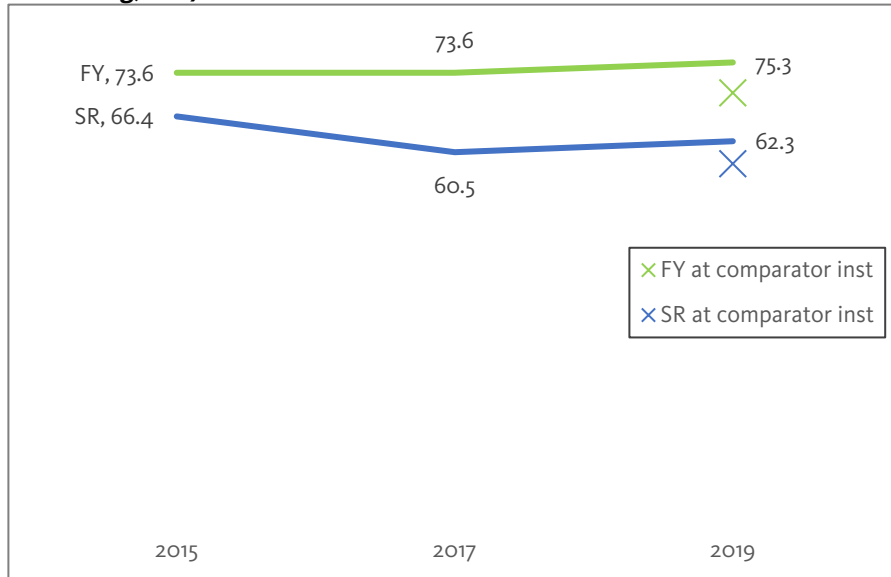


Positive Experience, cont.

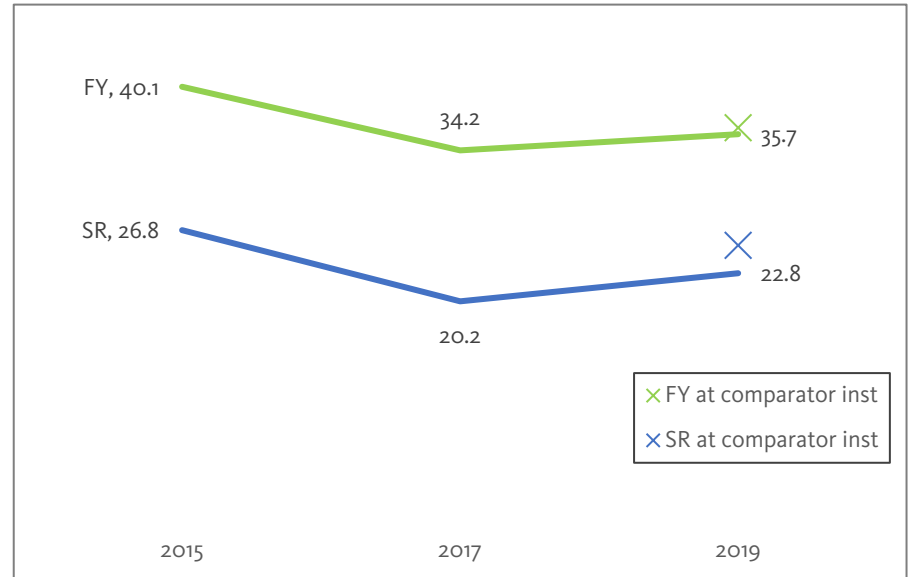
Supportive Environment Index Questions

How much does your institution emphasize the following? Percent responding *Quite a bit, very much*

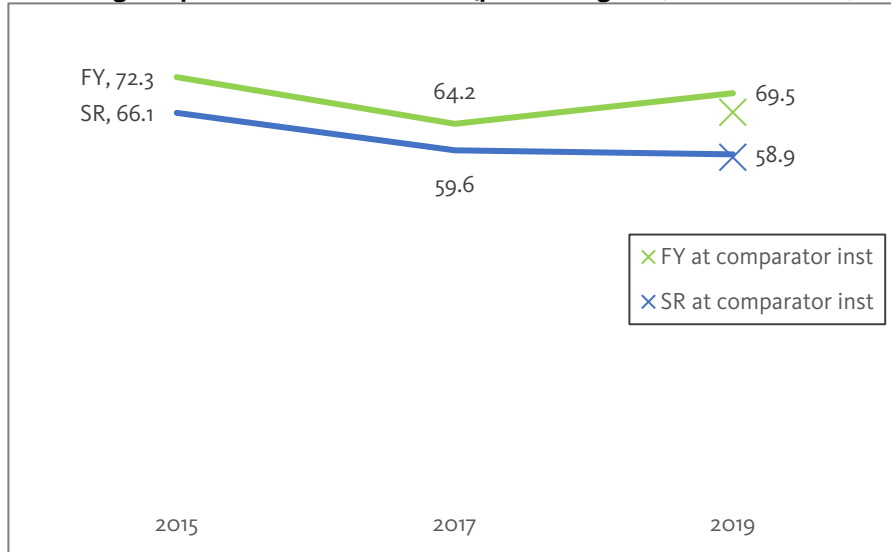
Providing support for your overall well-being (recreation, health care, counseling, etc.)



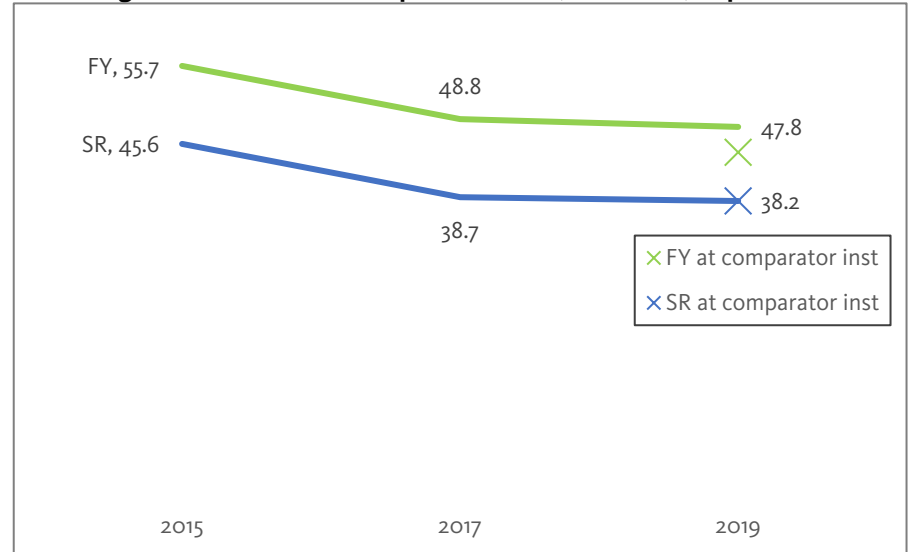
Helping you manage your non-academic responsibilities (work, family, etc.)



Attending campus activities and events (performing arts, athletic events, etc.)



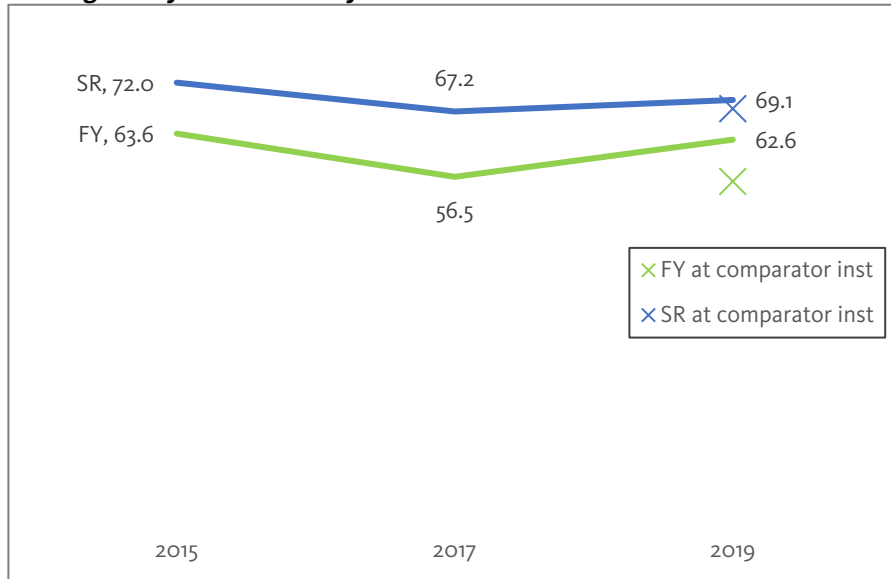
Attending events that address important social, economic, or political issues



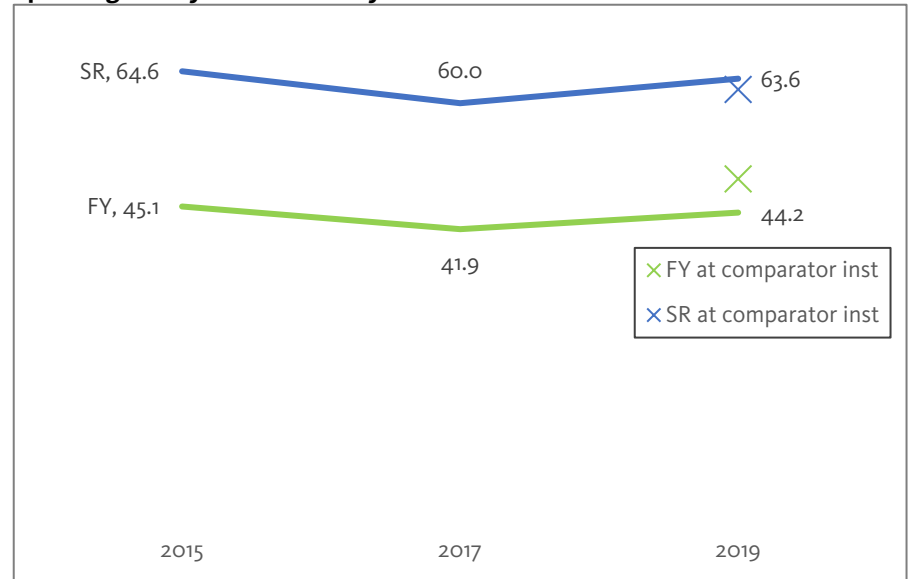
Core Education Competencies Index Questions

How much has your experience at this institution contributed to your knowledge, skills, and personal development in the following areas? Percent responding Quite a bit, Very much

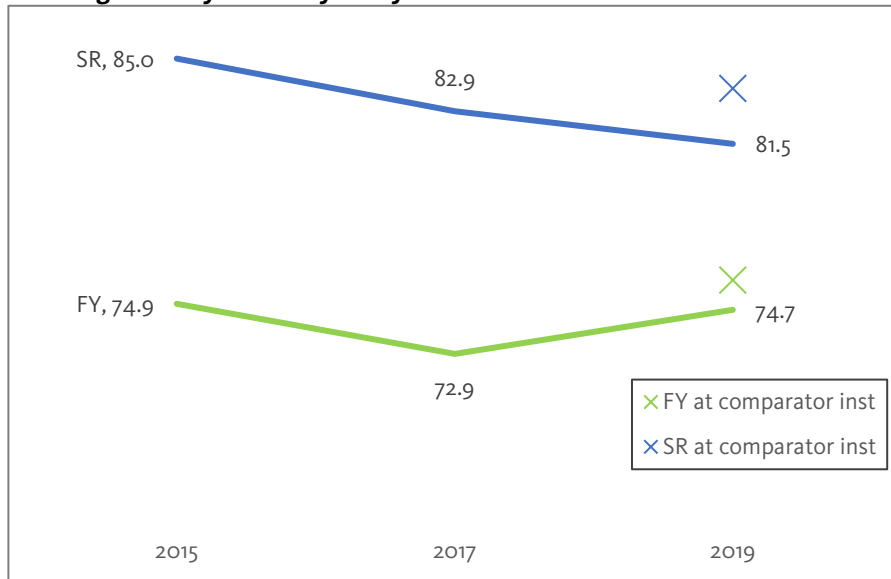
Writing clearly and effectively



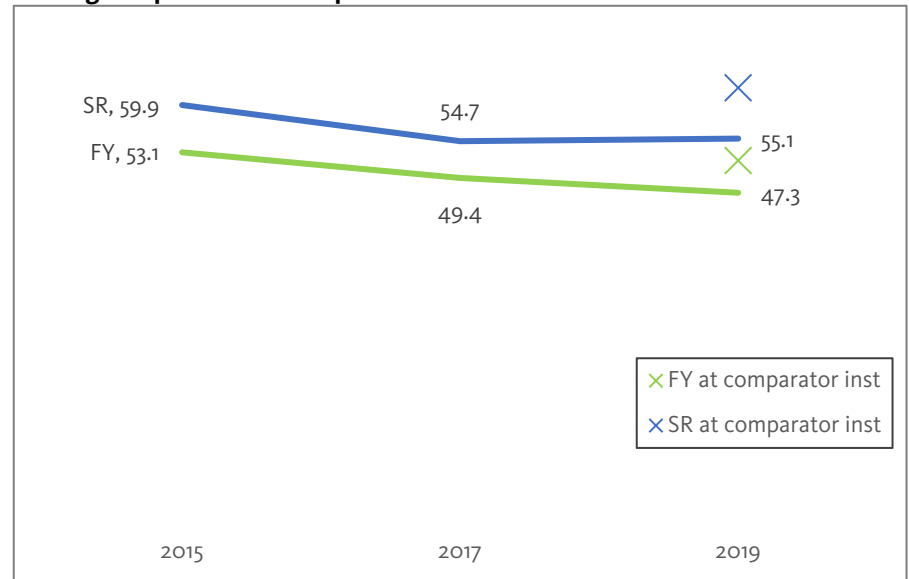
Speaking clearly and effectively



Thinking critically and analytically



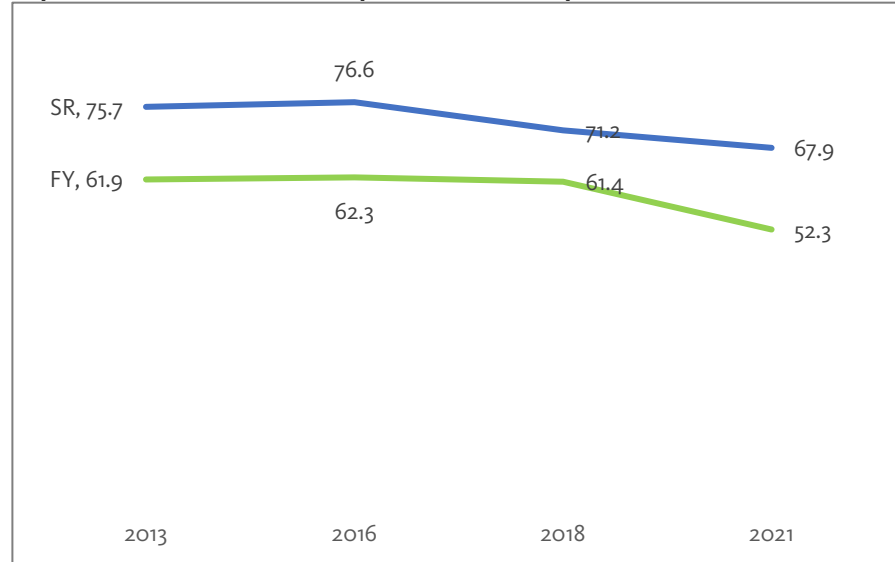
Solving complex real-world problems



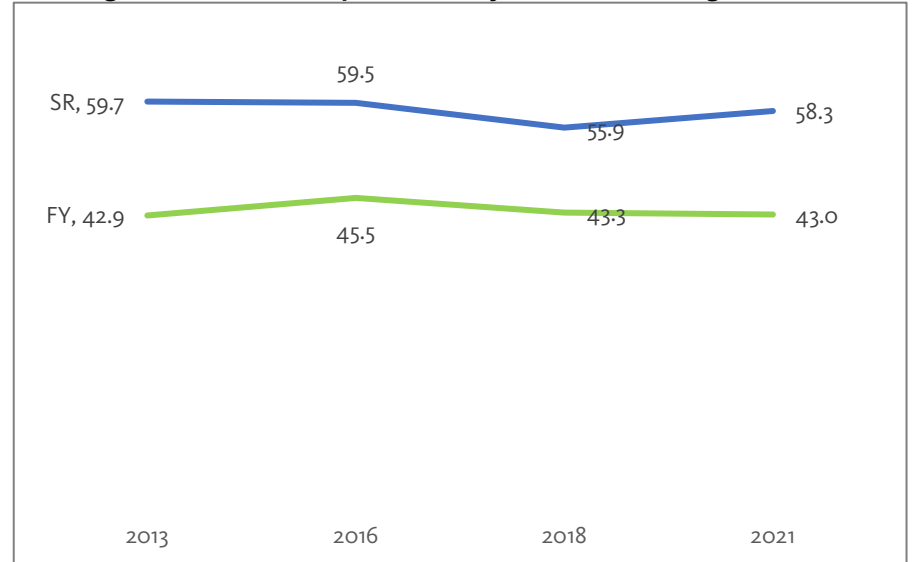
Creative and Critical Thinking Index Questions

Thinking back over your coursework in your major this academic year, how often were you **REQUIRED** to do the following?
or This academic year, how often have you done each of the following? Percent responding Often, Very often

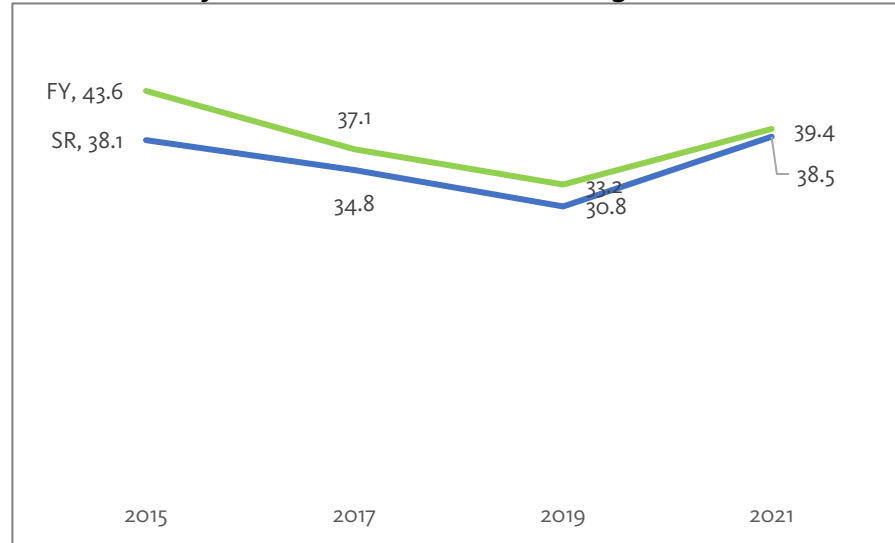
Explain methods, ideas, concepts & use to solve problems



Create/generate new ideas, products, ways of understanding



How often have you been asked to: Discuss and navigate controversial issues

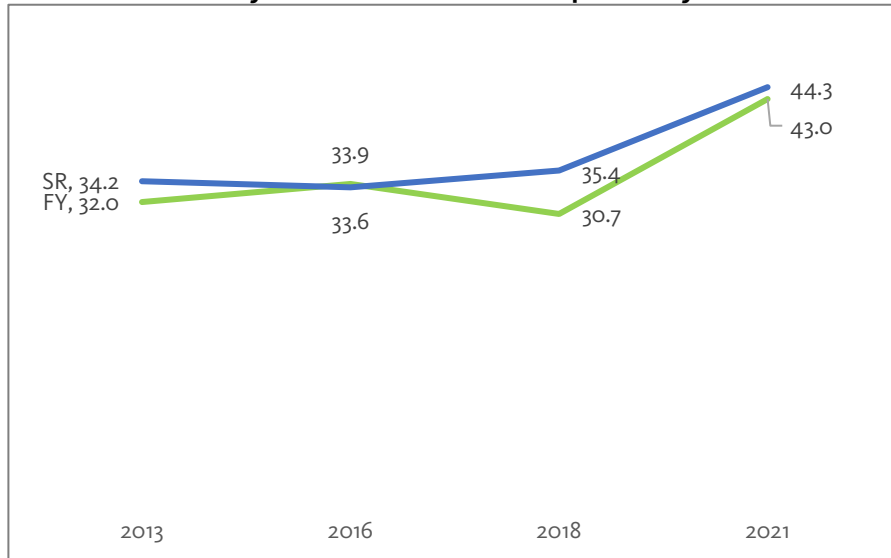


Socially Responsible

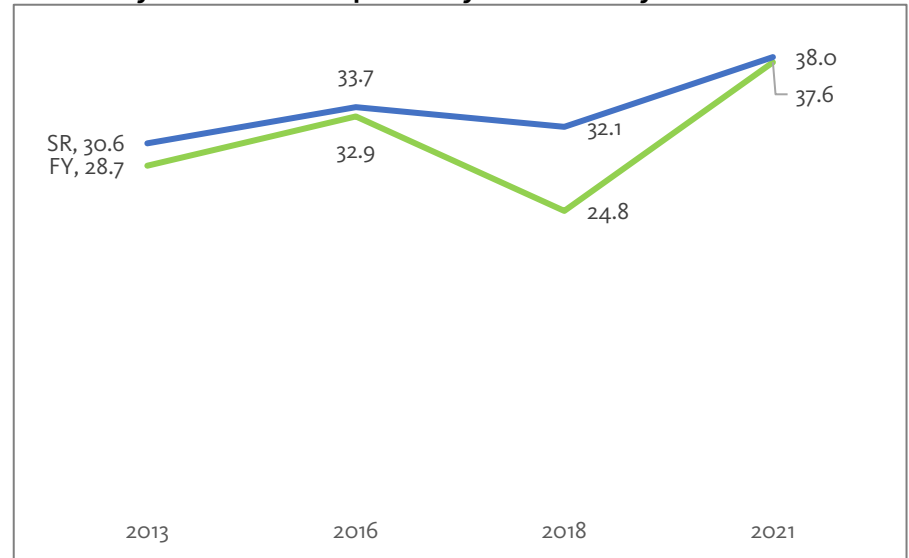
Civic Responsibility Index Questions

How often have you been asked to – Percent responding Often, Very often

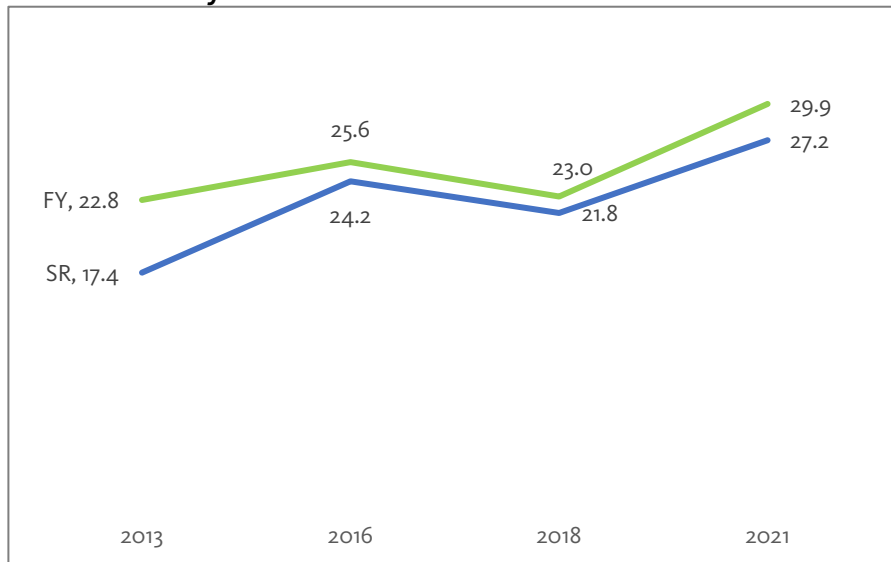
Reflect on community/social issues as shared responsibility



Reflect on your individual responsibility for community/social issues



Act on community or social issues

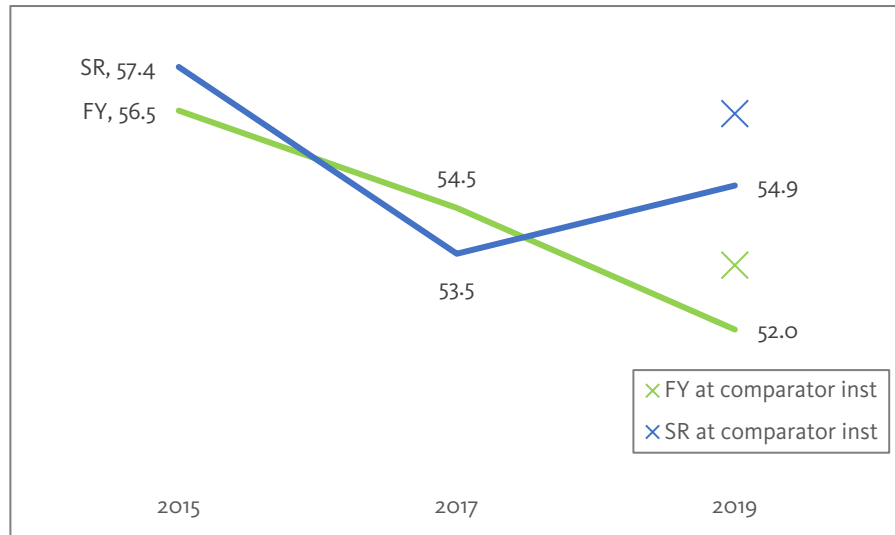


Socially Responsible, cont.

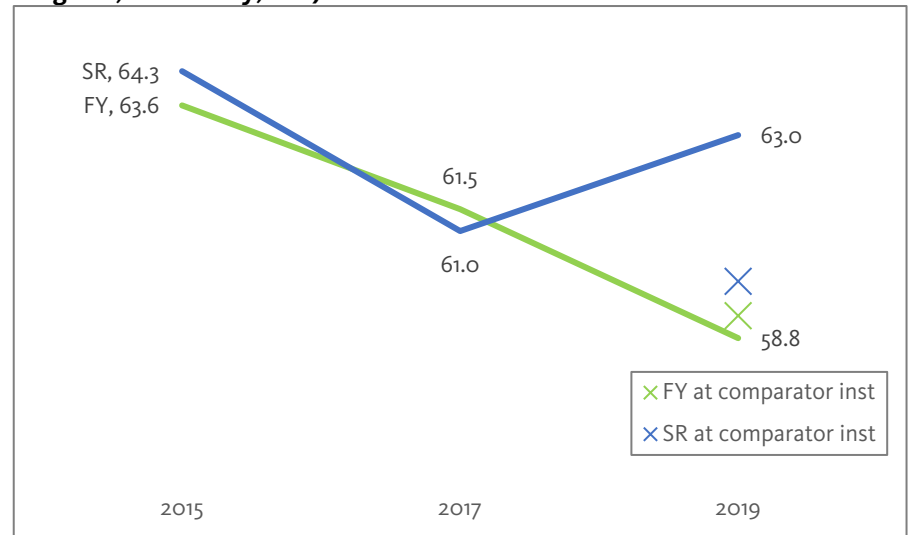
Community Connections Index Questions

How much has your experience at this institution contributed to your knowledge, skills, and personal development in the following areas? Percent responding *Quite a bit, Very much*

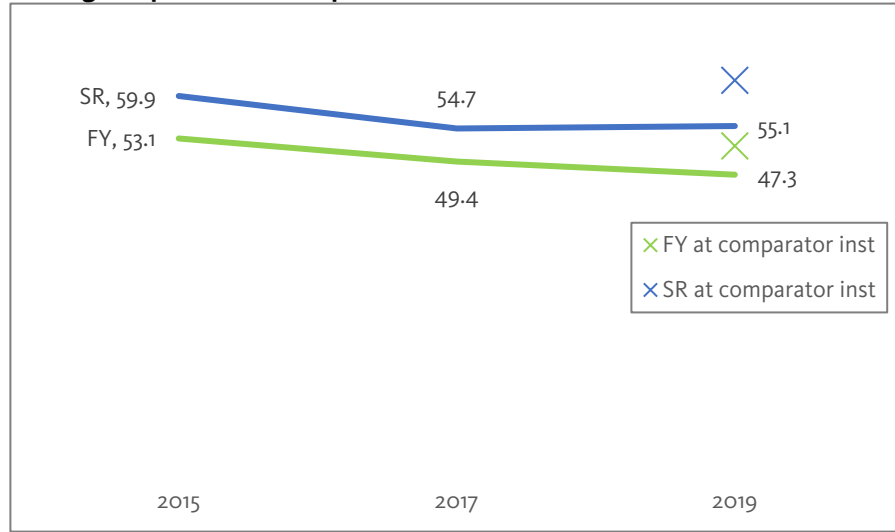
Developing or clarifying a personal code of values and ethics



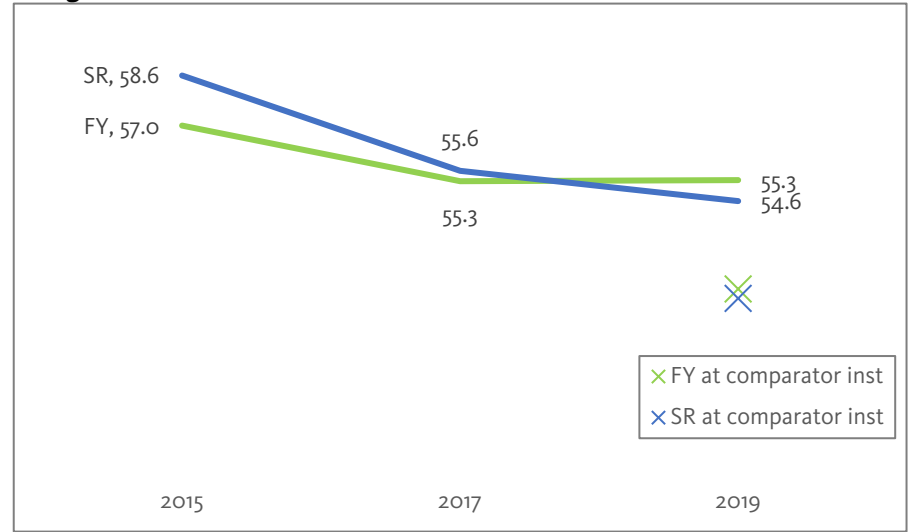
Understanding people of other backgrounds (economic, racial/ethnic, political, religious, nationality, etc.)



Solving complex real-world problems



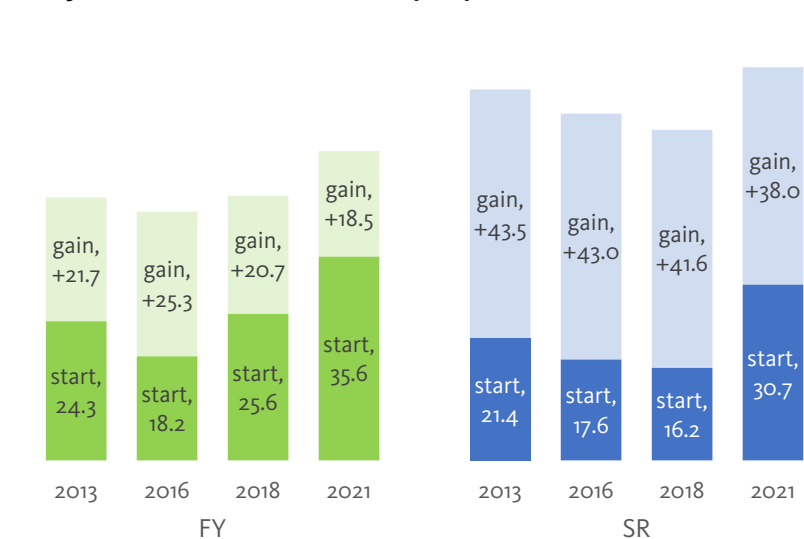
Being an informed and active citizen



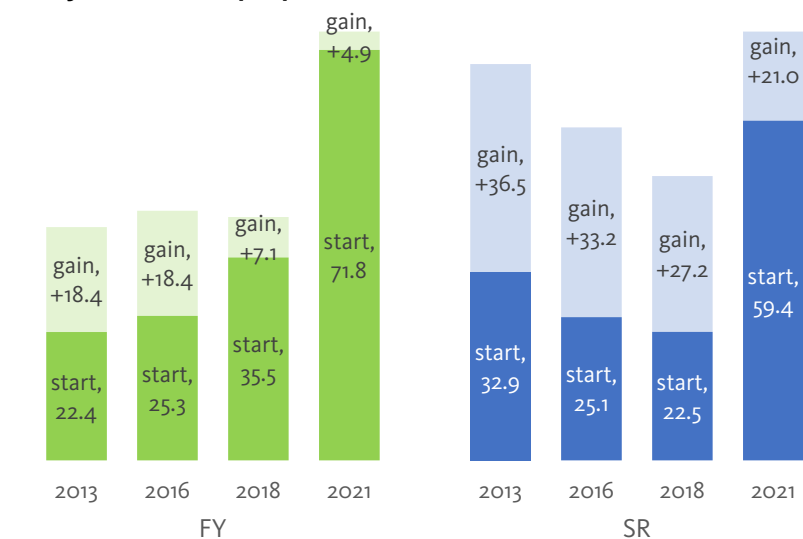
Change in Global Perspectives Index Questions

Please rate your level of proficiency in the following areas when you started at this campus and now. Percent responding Very good, Excellent

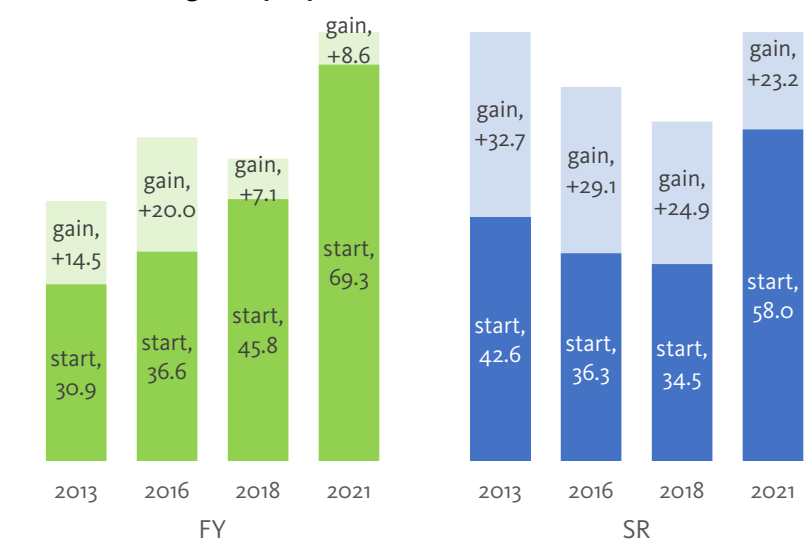
Ability to understand international perspectives



Ability to work with people from other cultures



Comfort working with people from other cultures



FY	abilities at start	current abilities (gain)
SR	abilities at start	current abilities (gain)

The significant increase in students' self-assessment at the start of their academic career is unexpected, and may be due to changes in SERU's structure and sequencing. More information on this anomaly will be provided as it becomes available.

Agenda Item #7

Diversity, Equity, and Inclusion

A Presentation to the UO Board of Trustees

Tuesday, September 21, 2021

PRESENTERS

- Patrick Phillips, Senior Vice President & Provost
- Yvette Alex-Assensoh, Vice President for Equity & Inclusion
- Mark Schmelz, CHRO & Associate Vice President



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Institutional Metrics:

Defining, Measuring and Achieving our IDEAL Campus

This presentation is a follow-up to our December 2020 conversation about building a strong accountability structure around the areas of Diversity, Achievement, Inclusion and Belonging, and Institutional Transformation.



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Institutional Metrics for Measuring and Defining Success

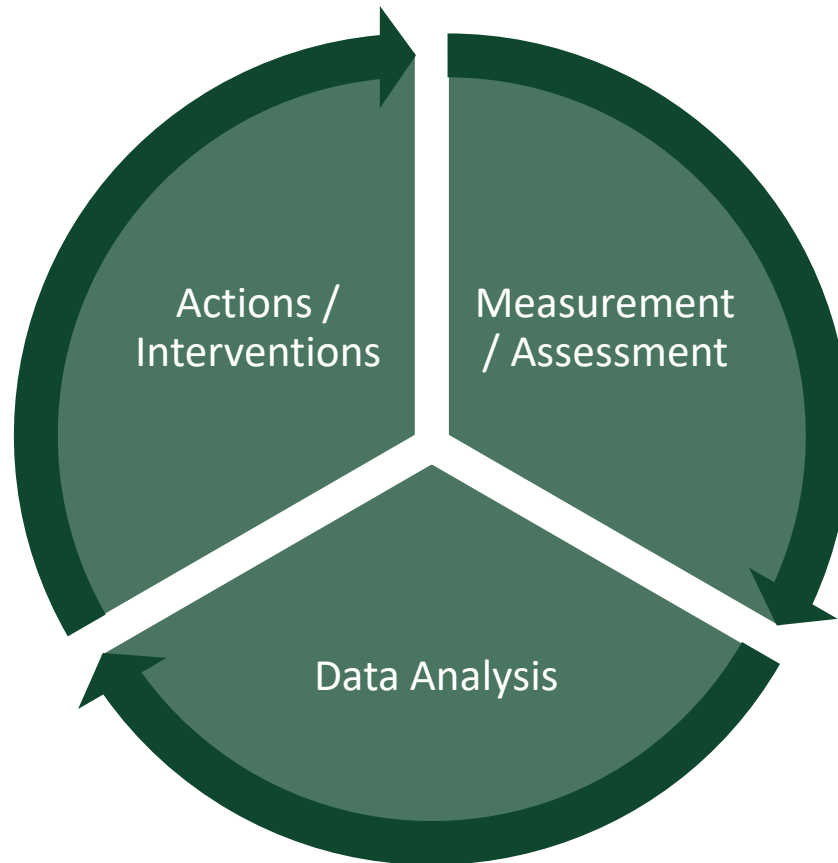


Progress Report

Dec 2020JanFebMarAprMayJunJulAugSept 2021									
Who	•A cross-disciplinary team from 10 units across campus								
What	<ul style="list-style-type: none">•Gathered, organized and cleaned data from disparate sources•Leveraged raw data into sets that align with aforementioned thematic accountability areas•Built out robust reports in the University’s central data reporting tool – Cognos								
Next	<ul style="list-style-type: none">•Assemble a Data Visualization Team to create an interactive dashboard that includes multi-layered, user-friendly graphics to align with our thematic accountability areas and specified metrics by March 2022 BOT meeting								



Driving Organizational Change



Example Data about Diversity

REPRESENTATION

Employees by Ethnicity - Headcounts

	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
American Indian or Alaska Native	121 1.3%	116 1.1%	106 1.0%	100 1.0%	101 1.0%	89 0.9%	94 0.9%	85 0.8%	83 0.8%	80 0.8%	66 0.8%
Asian	456 4.7%	513 5.0%	529 5.0%	506 4.9%	523 5.2%	510 5.0%	556 5.4%	558 5.5%	576 5.4%	577 5.6%	529 6.2%
Black or African American	161 1.7%	174 1.7%	181 1.7%	179 1.7%	194 1.9%	196 1.9%	188 1.8%	209 2.0%	227 2.1%	226 2.2%	179 2.1%
Hispanic or Latino	352 3.7%	403 4.0%	571 5.4%	604 5.9%	657 6.5%	704 6.9%	804 7.8%	846 8.3%	934 8.8%	898 8.7%	729 8.5%
Native Hawaiian or Other Pacific Islander	43 0.4%	44 0.4%	42 0.4%	33 0.3%	35 0.3%	34 0.3%	35 0.3%	34 0.3%	31 0.3%	32 0.3%	30 0.4%
Nonresident alien	500 5.2%	504 5.0%	545 5.2%	473 4.6%	476 4.7%	534 5.2%	556 5.4%	597 5.9%	616 5.8%	589 5.7%	473 5.5%
Race and ethnicity unknown	543 5.6%	585 5.8%	485 4.6%	458 4.5%	427 4.2%	425 4.2%	393 3.8%	428 4.2%	425 4.0%	444 4.3%	404 4.7%
Two or more races	228 2.4%	254 2.5%	260 2.5%	258 2.5%	288 2.8%	329 3.2%	355 3.5%	383 3.8%	437 4.1%	443 4.3%	331 3.9%
White	7,220 75.0%	7,568 74.5%	7,780 74.1%	7,681 74.6%	7,439 73.4%	7,385 72.4%	7,289 71.0%	7,058 69.2%	7,248 68.5%	7,007 68.1%	5,803 67.9%

Percentage of Employees of Color



Source: UO Institutional Research



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Actions Addressing Employee Diversity

Search Advocate Program

Caregiver Networks

Diversity and Inclusion focused professional development opportunities

Pilot VPFA Diversity Initiative Programming

Diversity and inclusion resources in employee engagement messaging



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Thank you to staff from the following campus units who contributed their time and expertise toward this effort: Institutional Research, Information Services, Human Resources, Graduate School, Undergraduate Education and Student Success, Student Life, and Student Services and Enrollment Management. Additional support provided by the Office of the Provost, Communications, and the Division of Equity and Inclusion.



Q & A



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Agenda Item #8

Internal Audit



Date: September 1, 2021

To: Executive and Audit Committee
Board of Trustees, University of Oregon

From: Leah Ladley
Chief Auditor, University of Oregon

Re: September 2021 (Quarterly) Board Report

The accompanying board report includes the following items:

- Open Recommendations Memo
- Status of Open Recommendations
- Audit Progress Memo
- Audit Progress
- Department Staffing

New Developments:

The OIA has historically been staffed with a Chief Auditor, two to three audit positions, and an Executive Assistant (EA). As the EA role has been vacant since 2019, we have asked our Associate IT Auditor, who previously served as the EA, to continue providing those occasional services and we are monitoring the amount of time that this requires. This data will inform our decision to pursue that position, as needed.

During 2021, two auditors separated from UO. We opened recruiting and our search committee considered eighteen applicant's submitted materials and interviewed the top seven via Zoom. We have narrowed the field to four candidates (for the two positions) and are interviewing further to determine whether offers should be made. Once the office returns to an acceptable level of operations, we will once again entertain the idea of a student intern. The OIA thanks you for your support of the office.

Additionally, you have received your annual report from the Office of Internal Audit. The annual report not only highlights the accomplishments of the office, but also includes important annual communications regarding independence of the office, impairments to independence or objectivity (of which there have been none), disclosure of nonconformance (of which there have been none), and management's acceptance of risk.



Date: September 1, 2021

To: Executive and Audit Committee
Board of Trustees, University of Oregon

From: Leah Ladley
Chief Auditor, University of Oregon

Re: Status of Open Recommendations

Attached you will find the Status of Open Recommendations. This report is provided to you each quarter to provide visibility into completed and open recommendations.

There are no recommendations for which communication has not occurred; and, there are no recommendations that are not tracking towards implementation.

New Developments:

Fourteen recommendations are closing this quarter across seven different projects. Management continues to respond to audit recommendations and provide status updates when requested.

Ongoing Reminders:

The previously agreed-upon risk ratings have been incorporated into the Open Recommendations report. In particular, three audits represented herein include ratings. Over time, management will implement the unrated recommendations and that portion of the table will no longer be reported. University ratings are provided to assist you in your governance over internal audit recommendations.

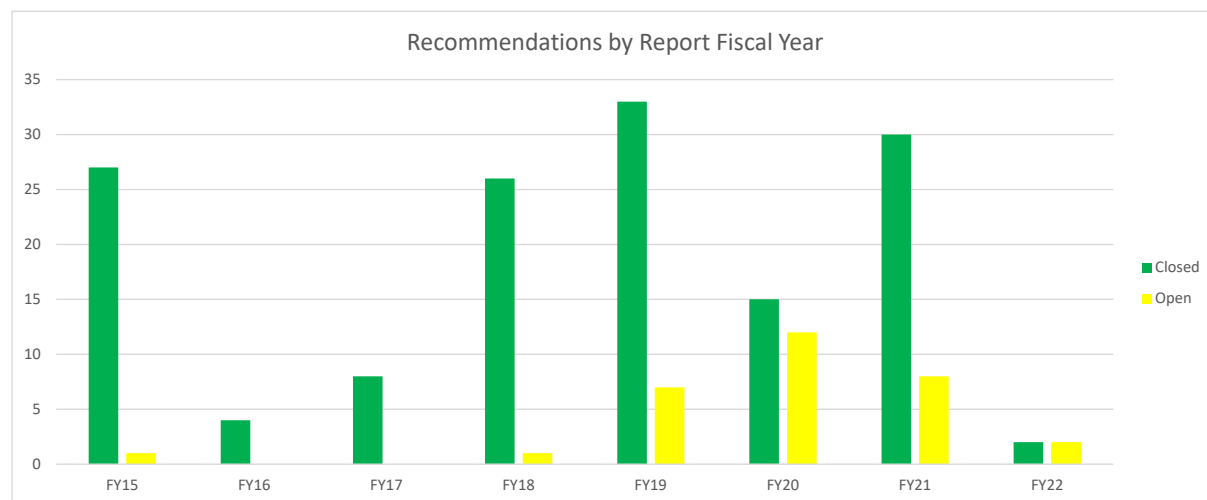
In order to provide the most relevant information, projects will no longer be listed in this schedule once all recommendations have been implemented. All previously reported recommendations are represented as open or closed in the graphical representation in the graph at the bottom of the schedule.

University of Oregon
Office of Internal Audit

Projects with Open Recommendations	Report Date	Total Recommendations	Previously Closed	Closing this Quarter	Open Recommendations	
Unrated Recommendations:					Open and Due	Not Yet Due
Lab Safety Practices	5/25/2015	8	7		1	
Electronic Proposal Clearance System (E-PCS)	2/7/2018	4	2	1		1
Athletics IT Risk Assessment	11/19/2018	7	2	1	4	
Form I-9 Compliance	1/18/2019	10	6	4		
GLBA Compliance	6/27/2019	4	2			2
Health Center IT Risk Assessment	8/13/2019	6		1	3	2
Non-Retaliation Policy	8/30/2019	2		1	1	
Data Governance	3/4/2020	3			3	
Physical-to-Cyber Security Assessment	6/5/2020	3				3
NCAA Compliance Review	7/22/2020	24	17	5		2
Vendor Review	8/11/2020	6	3			3
OPURP (Moss Adams)	5/4/2021	3		1	1	1
SUBTOTALS				14	13	14

Projects with Open Recommendations, with Ratings:		Total Recommendations			Previously Closed	Closing this Quarter	Open	
Rated Recommendations	Report Date	University High (H)	University Med. (M)	University Low (L)			Open and Due	Not Yet Due
Undergraduate Admissions	11/16/2020			3	2		L	
EC Cares	7/15/2021			2		2		
UHS Limited Review	7/27/2021			2			M	L
SUBTOTALS						2	2	1
TOTALS						16	15	15

Since the May 2021 meeting, management has implemented 16 recommendations.





Date: September 1, 2021

To: Executive and Audit Committee
Board of Trustees, University of Oregon

From: Leah Ladley
Chief Auditor, University of Oregon

Re: Audit Progress

Included in your materials you will find a report detailing Audit Progress which includes the works completed this fiscal year, active works, and an audit projection for upcoming projects.

As always, we appreciate your understanding of the need to revise audit projections as internal requests are received, risks emerge in areas not-as-yet identified, and controls are identified during planning stages that may be so strong as to preclude further evaluation.

Other audit activities are not represented here, such as: investigations, committee work, risk assessment, follow-up activities, campus integration and education, and participation in audits originating outside of internal audit (financial statement audits and others).

FY22 Audit Projection Progress

Completed

Early Childhood (EC) Cares
(7/15/2021)

University Health Service
(UHS) Limited Review
(7/27/2021)

In-process: fieldwork or reporting

Banner 9 Security Review
(fieldwork)

Advancement Data Security
Review (fieldwork)

Stipend and Course Relief
Review (suspended
fieldwork)

HEERF Process Review
(fieldwork)

Identified: not yet initiated

AY21 Lindeleaf Scholarship
Eligibility Verification

Procurement Cards

Travel Compliance

Student Billing and
Accounts

Export Controls Review

Data Center Review

Contract Compliance

OIA Self-Assessment



OTHER:

- Co-Sourced IT Audit Services (as contracted)
- Co-Sourced/Out-Sourced Audit Services (as contracted)
- Audit Intern (currently vacant)
- Student Program (currently on-hold)

**The Associate IT Auditor is currently filling the gaps left by the Executive Assistant vacancy.*

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**FY2021 Annual Report
Office of Internal Audit**

EXECUTIVE SUMMARY

The 2021 Office of Internal Audit Annual Report provides a summary of activities for the period beginning February 28, 2020 through June 30, 2021 to align with the arrival of Chief Auditor, Leah Ladley.

During this time period, we performed audit engagements, investigations, and advisory services designed to evaluate management's risk mitigation techniques. Engagement results have been reported to the appropriate levels of leadership and the Board of Trustees. Management progress on the remediation of outstanding audit recommendations is reasonable and there are no instances in which we believe management has accepted unreasonable levels of risk.

Highlights for this reporting year include:

- Implemented a continual risk assessment process to aid in prioritizing audit and consulting projects
- Enhanced recommendation tracking and monitoring procedures to provide for timely reporting of implementation status for risk mitigation strategies
- Defined a career path for auditors to assist with recognition of professional competencies and aid in auditor retention; remaining to be completed is a similar career path for IT audit
- Designed and implemented a risk matrix for priority rankings for audit recommendations, to better communicated to leadership the urgency of recommended action items
- Implemented a Quality Assurance and Improvement Program
- Initiated recruitment efforts to restore staffing levels

A message from Chief Auditor, Leah Ladley

As with all of the University of Oregon (UO) and beyond, the Office of Internal Audit (OIA) was and continues to be impacted by COVID-19. The pandemic had not even begun to be discussed in the general public as I relocated from Tennessee to Oregon in late February 2020. I enjoyed my first 13 days on campus prior to the stay-home order and OIA continues to provide services primarily remotely in August 2021. Video discussions have enabled me to meet with UO leadership and make connections across the university and across the state with others leading internal audit efforts at universities and state agencies. I sincerely appreciate and thank my colleagues for assisting me with the transition to the Pacific Northwest, especially during the challenging times in which we find ourselves immersed. These collaborative and professional connections enhance the continuous risk assessment process that is crucial to the success of your internal audit function. Audit needs to provide assurance where leadership and those charged with governance have concerns. We are always open to hearing your concerns or discussing the results of our work and look forward to serving you in future years.

If you have questions or would like additional information, please contact:

Leah Ladley
Chief Auditor
lladley@uoregon.edu
541-346-3200

ADMINISTRATION

The OIA Department Charter, attached to this report, defines the purpose, authority, and responsibility of the office and is approved by the UO Board of Trustees.

Vision

The vision of the OIA is to serve UO as a trusted advisor. To facilitate that service, we strive to be knowledgeable about operations and risks. We maintain confidences and make ethical decisions. We treat our clients and associates fairly always striving to understand before offering advice. We provide assurance in our audit reports and sometimes that assurance is simply “no concerns noted”. This does not indicate we audited the wrong area/process; it simply means that the risks are being addressed appropriately. We design our processes to conform to the International Professional Practices Framework (Standards) and the guidance promulgated by the Institute of Internal Auditors (IIA).

IIA Core Principles

- Demonstrates integrity
- Demonstrates competence and due professional care
- Is objective and free from undue influence
- Aligns with the strategies, objectives, and risks of the organizations
- Is appropriately positioned and adequately resourced
- Demonstrates quality and continuous improvement
- Communicates effectively
- Provides risk-based assurance
- Is insightful, proactive, and future-focused
- Promotes organizational improvement

Risk Prioritization

With the assistance of members of leadership, the OIA drafted risk priority definitions and includes these as an appendix in each internal audit report. At the suggestion of leadership, both university and unit priorities are included and range from low to high. There are no

recommendations that rated high for the university during the reporting period. Recommendations made by external firms likely will not be rated.

Monitoring of Mitigation

Historical processes for monitoring the completion of recommendations involved scheduling a follow-up audit similar to the audit that identified the need for recommendations. This process is followed by many universities yet does not give timely updates on the identified risks. During the reporting year, the OIA implemented a monitoring process triggered by management's initial target completion date as provided in the original audit report. Progress is tracked in our audit management software with status updates and implementation notes, with the status of closed meaning that the implementation is complete. Quarterly updates are provided to leadership and the Board. Since initiating this process, management has implemented/closed 110 recommendations and completed work for 25 distinct internal audit projects. Some projects now have both open and closed recommendations. Subsequent years will contain fewer closures as we initially worked through a backlog of open recommendations.

Risk Assessment

OIA has historically performed an annual risk assessment to produce an internal audit plan for the upcoming fiscal year. More often than not, as the annual plan is being announced, changes are being planned and approved. Industry guidance is indicating that annual risk assessment is less than optimal and ongoing risk assessment is recommended.

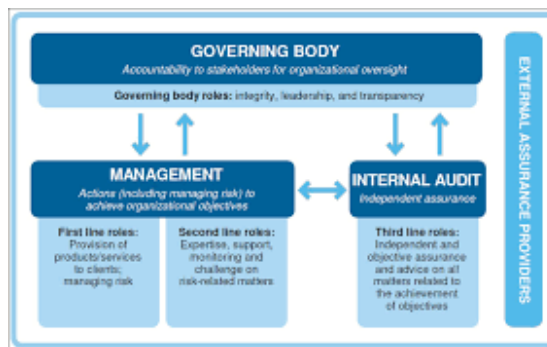
We have undertaken this ongoing risk assessment approach involving the following touchpoints, at a minimum:

- At the conclusion of each project, we record notes about items out of scope for that project but that should be considered for future projects as well as items that should be included in a future audit in that same area
- UO auditors are involved in multiple committees and share information with

the team for knowledge-sharing and risk conversations

- Monthly and quarterly meetings occur with senior leadership, including close contact and detailed collaborations with the UO Enterprise Risk Management function
- Community and industry activities are monitored through attendance at meetings where candid discussions are held

These activities and others contribute to an audit forecast that may not cover an entire year, but is dynamic, timely, and allows for planning and timing changes as required by audit or leadership. Multiple projects are underway at one time and executives have advanced knowledge of planned projects.



Committees and Community

Involvement with university committees provides not only an opportunity for community connection but also insight into opportunities for consulting or audit projects. Internal auditors participate on committees including University Records Management Committee, Information Security and Privacy Governance Committee, Data Security Incident Response Team, Strategic Enterprise Risk Management and Compliance Committee, Cybersecurity Awareness Team, Gramm-Leach-Bliley Act Team, Information and Communication Technology Committee, Payment Card Industry Team, and the Standing Policy Security Advisory Board. Auditors also participate on work groups such as the Data as a Service Work Group and the Building Systems, Safety, and Security Work Group. Auditors may also serve on Search Committees and provide interview assistance as requested.

The higher education internal auditing community is professionally known as the Association of College and University Auditors (ACUA). UO supports the audit staff by providing a group membership and ACUA provides educational webinars, two different international educational events, and opportunities for mentoring and collaboration.

Since 2019, Katie Bumgardner, UO Associate IT Auditor, has been volunteering for ACUA, serving in multiple roles. She has served as a member of the Virtual Learning Committee, a committee that is responsible for providing free webinars to ACUA membership, and as a member of the AuditCon Planning Committee, a committee responsible for planning a 3.5 day international conference. In October 2020, Katie was hand-picked to be the Audit Interactive Conference Director, a position that oversees the planning and coordination of a 2.5 day international conference. After the success of Audit Interactive in March 2021, Katie was elected to serve as the Chair of the Professional Education Committee, and now oversees the AuditCon, Audit Interactive, and Virtual Learning Committees, while working in close coordination with the ACUA Board of Directors.

Quality Assurance and Improvement Program (QAIP)

As described in the Standards promulgated by the IIA, the Chief Auditor is responsible for ensuring the quality of the internal audit activity. Components of the QAIP include:

- Periodic self-assessments of the activity using the Standards as the criteria, and
- External assessments every five (5) years.

Industry standard provides that self-assessments are to be completed annually and may examine conformance to less than all of the Standards. External assessments may be completed one of two ways; self-assessment with external validation or fully external assessments.

The OIA was established July 1, 2014, when UO became an independent public university. The IIA QAIP guidance suggests the time for the external assessment would have been during FY19. External assessment has not yet occurred.

Several factors influenced the decision to postpone the external assessment including no evidence of annual self-assessments and the arrival of the new Chief Auditor late in FY20. Budgeting for the external assessment had not been done and the challenges of the pandemic made the assessment seem less important than other university initiatives. Therefore, the Chief Auditor developed a plan to be ready for an external assessment in three years' time and will be proposing a project for consideration by leadership and the board to potentially be scheduled during FY23.

QAIP results are reported as Generally Conforms, Partially Conforms, and Does Not Conform. It is our opinion that, even considering the state of the external assessment, the internal audit activity at UO Generally Conforms with the IIA Standards.

AUDIT REPORT SUMMARIES

The following section provides a brief summary for audit reports issued during the period. Open recommendations from prior periods are not included here though they continue to be monitored by OIA.

Fully External:

Bond, Schoeneck, and King – NCAA Compliance Review

NCAA requirements for an external compliance review have been revised yet UO leadership has experienced value in these reviews and continues the practice. This review did not identify specific NCAA compliance issues. However, several recommendations were made to enhance the UO Athletics rules compliance program. Management is making progress on the recommendations.

Moss Adams – Oregon Public University Retirement Plans

When the Oregon university system disbanded, oversight of the Oregon Public Universities Retirement Plans became the responsibility of the University of Oregon. Leadership engaged Moss Adams to review the oversight provided and to make recommendations where gaps could be closed. Management is making progress on the recommendations.

Co-Sourced:

Data Governance Assessment

This project assessed the current state of data governance and was identified from the IT risk assessment project initiated by Baker Tilly, IT consulting firm. Recommendations are tracking toward completion.

Physical-to-Cyber

Many building and structure controls used for access, security, or environmental controls on campus are connected through the internet-of-things. This project, also involving Baker Tilly, reviewed the connectivity and security for these connections. Three recommendations were made and remediation plans have been completed though ongoing monitoring by IT continues.

Internal:

Vendor Contract Review

This review was designed to assess the management of contracts from the perspective of Purchasing and Contracting Services as well as select high-volume contracting units. Two recommendations were made and progress is being made towards the implementation of action plans.

Scholarship Verification

Annually, the OIA confirms the eligibility of the scholarship recipient as required by the sponsor of the award. No recommendations were made as a result of this review.

Undergraduate Admissions

This review was designed specifically to evaluate the controls and practices at UO that might mitigate the risk of an admissions scandal similar to that known as Operation Varsity Blues. Recommendations were made with a low university priority.

AIM ITGC

Information Technology General Controls (ITGC) are a defined set of controls designed to ensure the integrity of the data flowing through applications such as AIM. Example controls

include access control and change management. AIM is the application used by Accessible Education to track accommodation requests and student information for disability services. Students use the application to facilitate disability related accommodations. Two low priority recommendations were made in this review.

Self-Assessment(s) for FY20 and FY21

As described in the Quality Assurance and Improvement (QAIP) section of this report, annual self-assessments were initiated and two have been reported. Self-assessments compare current processes to the IIA Standards and may result in recommendations. While the OIA is considered to Generally Conform to the Standards, recommendations were made and remediation plans have been completed.

CONSULTATIONS AND TRAININGS

Sponsored Projects Services (SPS) Procedure Review

Primarily performed as a gap analysis for the implementation of the Uniform Guidance, recommendations were made regarding additional policy guidance that, when drafted, might enhance compliance.

Corona Corp Assistance

In October, the OIA became aware of a need for administrative support for the Corona Corp related to scheduling student workers. These students were assisting the public with Covid-19 testing, sharing results, and providing advice for those requiring quarantine. The OIA provided approximately 300 hours of support including policy guidance, application support, and scheduling services. Support from OIA is no longer being provided.

Financial Statement Auditor Request for Proposal

Following university process, the OIA led the effort to request proposals from auditing firms for audit services including financial statement audit, single audit, NCAA agreed-upon procedures and the KWAX financial statement audit. Proposals were received from each invited firm, the field was narrowed, and presentations were viewed

via Zoom. Moss Adams was selected and the Board of Trustees approved the re-appointment.

Single Audit Training

The OIA was asked to provide training to the Sponsored Projects team regarding audit response in general and specific guidance for the Single Audit procedures. OIA collaborated with the external audit partner from Moss Adams and delivered a one-hour training session. Future trainings are under consideration.

INVESTIGATIONS

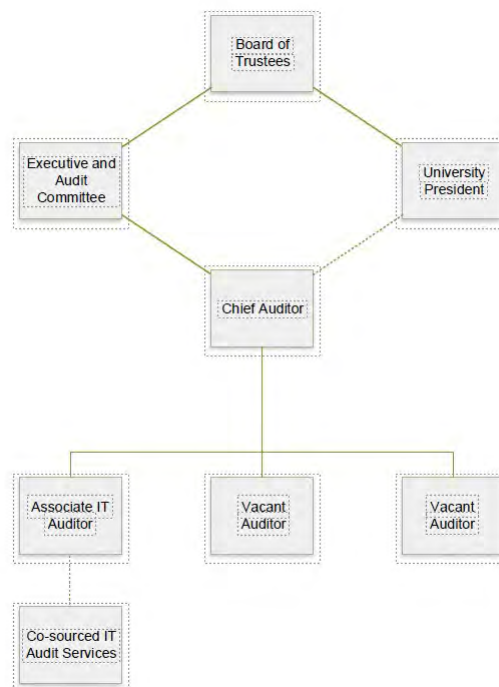
The University of Oregon provides a hotline for the purpose of receiving reports which may require investigation. The OIA takes the lead on each report received and may investigate or may find that the allegation is better suited to be investigated by another unit on campus. A workflow has been established to better triage these allegations and share information as appropriate. The OIA also receives referrals from other units, email allegations and other direct reports.

Both the quantity and topic for reports received at UO are consistent with those self-reported by other universities in the region. (Data collected by internal auditors in the Pacific Northwest.)

Upon the conclusion of an investigation, no matter the intake method, if a control appears to need strengthening or implementation, a memo is provided with a recommendation included.

STAFFING

The current level of staffing for the OIA includes a Chief Auditor, an Associate IT auditor, and two auditors, open as of August 2021. Currently, recruiting is underway for the open positions.



The Standards direct an internal audit activity be well positioned to address the organization's requirements for that office and not that each auditor hold all skills and knowledge.

To align the staffing of the OIA with the requirements in the Standards, when recruiting, we look for skills not currently housed in the unit. When fully staffed, we strive to develop our team in a broad range of knowledge. Currently, some level of expertise in the department is found in the following areas as demonstrated by certifications held and experience:



OTHER MATTERS TO REPORT

As mentioned previously, OIA's activities are governed by Standards promulgated by the Institute of Internal Auditors, known as the International Professional Practices Framework. This section of the annual report provides annual communications as required by the Standards.

situations in which it believes university personnel has accepted a level of residual risk that may not adequately reduce/mitigate the risk of loss. There have been no such instances during the current reporting year.

END OF REPORT

Organizational Independence

The OIA must confirm to the board, at least annually, the organizational independence of the internal audit activity. UO's OIA reports administratively to the President's Office and functionally to the Executive and Audit Committee (EAC) of the Board of Trustees. Reporting functionally to the EAC promotes the independence necessary for the OIA to adequately perform its job function.

Impairments to Independence or Objectivity

If independence or objectivity is impaired in fact or appearance, the details of the impairment must be disclosed. There were no impairments to independence or objectivity for any engagements performed during the reporting period.

Disclosure of Nonconformance

Occasionally circumstances require the completion of projects/engagements in a manner that is not consistent with all applicable standards. When this occurs, the OIA must disclose the nonconformance and the impact to executive management and the board. During the reporting year, there were no instances in which projects were performed in a manner that did not comply with applicable standards.

Resolution of Management's Acceptance of Risks

Each audit engagement can potentially reveal items that may pose risks to university operations. Some items will require management's attention while others may be situations in which management decides to accept the risk associated with the current practice. This is normal in limited circumstances and is often due to cost/benefit or capacity constraints. The OIA is required to disclose (to executive management and the board) any

Office of Internal Audit

Department Charter

*This charter defines the purpose, authority, and
responsibility of the Office of Internal Audit at the
University of Oregon*

December 2019

*Amended and Approved by the University of Oregon
Board of Trustees Executive and Audit Committee
December 9, 2019*

Purpose

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve university operations. It helps the university accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. The Office of Internal Audit enhances and protects the University's value by providing risk-based and objective assurance, advice, and insight.

Mission Statement:

Driven by the highest professional and ethical standards, the Office of Internal Audit helps the University accomplish its objectives by evaluating and identifying opportunities to improve the effectiveness of governance processes, risk management, and internal controls.

Professional Standards:

The responsibility of the Office of Internal Audit is to serve the University in a manner that is consistent with the standards established by the internal audit community. At a minimum it shall comply with the Institute of Internal Auditors' ("IIA") mandatory guidance including the *Definition of Internal Auditing*, the *Code of Ethics* and the *International Standards for the Professional Practice of Internal Auditing* ("IPPF"). Additionally, the Office of Internal Audit references other appropriate audit frameworks, such as the Generally Accepted Government Auditing Standards.

The Office of Internal Audit will undergo external peer reviews pursuant to the IPPF. The Executive and Audit Committee shall have input into peer reviews and results of peer reviews will be available to the Committee upon completion.

Authority

To ensure the independence of the Office of Internal Audit, the Chief Auditor reports administratively to the Office of the President and functionally to the Executive and Audit Committee of the University of Oregon's Board of Trustees. The Chief Auditor will provide written quarterly progress reports to trustees and will present at regular meetings of the Board or an appropriate committee thereof, summarizing the results of engagement activities and issued audit reports. In addition, the Chief Auditor will keep Board leadership, the President, and campus leadership, apprised of high-risk engagement issues.

The Office of Internal Audit is granted full and unrestricted access to all functions, records, systems, property, and personnel. Any documents or information obtained by the Office of Internal Audit through the course of work will be handled with the confidentiality defined by the IIA's Code of Ethics. The Office of Internal Audit has authority to audit any function, program, account or system deemed necessary and appropriate in the judgment of the Chief Auditor, notwithstanding a flexible pre-approved audit plan.

University management is responsible for risk management, control, and governance of the areas audited. The Office of Internal Audit has no direct responsibility or authority over any of the areas audited. Staff shall not perform any operational duties for the University, initiate or approve accounting transactions of areas under review, or direct the activities of any University employee, except to the extent such employees have been appropriately assigned to an audit team or to otherwise assist the auditors.

All university employees are expected to comply fully and timely with requests made by the Office of Internal Audit. This includes, but is not limited to, timely provision of information, access to information, or responses to draft reports. Recommendations made by the Office of Internal Audit shall be taken seriously and steps shall be taken to assess and determine a course of action in response to the recommendations. The Chief Auditor may report any non-compliance on the part of university programs or employees to the President and the Executive and Audit Committee.

Responsibility

The Office of Internal Audit is responsible for developing and implementing a flexible annual audit plan using an appropriate risk-based methodology. The annual audit plan should include consideration of any risks or control concerns identified by management, and should be reviewed and approved by the President and Executive and Audit Committee.

The Office of Internal Audit shall perform engagements in the following areas:

- Assurance services: Performed within the context of the IPPF, these services are independent and objective evaluations designed to provide reasonable assurance regarding the achievement of objectives over the effectiveness and efficiency of operations, reliability of financial reporting, or compliance with applicable laws and regulations.
- Consulting services: Performed within the context of the IPPF, these services may be requested by managers and other department and unit leaders to help identify a variety of areas for improvement. The scope and objectives are agreed upon by the Office of Internal Audit and management of the area.
- Investigative services: These services evaluate allegations of fraud, waste, abuse or unethical business practices. The Fraud and Ethics Hotline is free, confidential, and available to employees, students, and the community to report unlawful or unethical concerns. Operated by EthicsPoint, reports are managed by the Office of Internal Audit. Reports can also be made directly to the Office of Internal Audit.
- Other services: These services include coordination and oversight for external auditing agencies, and follow-up work. External auditing agencies include agencies such as the Secretary of State and the NCAA. Follow-up work is performed within the context of the IPPF to ensure plans and actions are taken to correct report conditions. Additionally, the Office of Internal Audit provides awareness training covering topics such as fraud, risks, and internal controls.

Agenda Item #9

Retention & Delegation of Authority Updates

The Policy on the Retention and Delegation of Authority, UO Policy I.01.01¹, requires small modifications to ensure alignment with recently legislative actions. Attached to the resolution as Exhibit A is a redlined version of the policy; sections which are not affected by proposed changes are redacted to save space in this packet. Footnote 1 has a link to the full policy. A summary of changes follows.

Preamble: ORS 352.107 was renumbered to ORS 352.087 so this is a simple change to reflect that in the policy. No substantive changes were made to the ORS so the language in the preamble was not impacted.

Subsection 1.4.1: ORS 352.103 was enacted as a result of legislation passed in 2018. It pertains to the advisory body for tuition and mandatory enrollment fees and to processes for making a recommendation on such items. Even without inclusion in this section, the Board would of course follow all relevant statutes, including ORS 352.103, but while otherwise amending the policy it makes sense to reference ORS 352.103 here.

Subsections 1.4.2, 1.4.3 and 1.4.4: These sections reiterate some, but not all, of the language in relevant statutes. Some of the statutory language incorporated here was modified in 2021 with the passage of House Bill 3012. Rather than amend the language each time statutory references are changed, it makes sense to delete this detail. Deletion does not in any way impact the Board's intention and requirement to follow statute. (In fact, Subsection 1.4.1 clearly reiterates this intention.) Deletion of these sections simply cleans up the policy and ensures that alignment remains even if subsequent amendments to statute occur.

Subsection 1.4.5: Renumbered to 1.4.2 following deletion of the prior three subsections.

¹ Full text of the policy is available at <https://policies.uoregon.edu/vol-1-governance/ch-1-governance-board-affairs/retention-and-delegation-authority>.

Board of Trustees of the University of Oregon

Resolution: Updates to the Retention and Delegation of Authority Policy

WHEREAS, UO Policy I.01.01 pertains to the Retention and Delegation of Authority by the Board of Trustees (Board) of the University of Oregon (University);

WHEREAS, UO Policy I.01.01 contains a few statutory references which are now outdated and should be updated for clarity; and,

WHEREAS, UO Policy I.01.01 may only be amended by the Board.

NOW, THEREFORE, the Board of Trustees of the University of Oregon hereby amends the Policy on the Retention and Delegation of Authority, UO Policy I.01.01, as articulated in the redlined version attached hereto as Exhibit A with immediate effect.

Moved: _____ Seconded: _____

Record here if voice vote taken without calling roll: _____

Trustee	Vote	Trustee	Vote
Aaron		Lillis	
Boyle		Lo	
Evans Jackman		Madison	
Fick		Murray	
Holwerda		Seeley	
Hornecker		Ralph	
Kari		Worden	

Dated: _____ Initials: _____

EXHIBIT A

Board of Trustees of the University of Oregon Policy on Retention and Delegation of Authority

Preamble

As provided in ORS 352.025, the Legislative Assembly has found that the State of Oregon will benefit from having public universities with governing boards that provide transparency, public accountability and support for the university and act in the best interests of both the university and the State of Oregon as a whole.

As provided in ORS 352.029, the Board of Trustees manages the affairs of the university by exercising and carrying out all of the powers, rights and duties that are expressly conferred upon the board by law, or that are implied by law or are incident to such powers, rights and duties.

As provided in ORS 352.~~087~~107, the Board of Trustees may perform any other acts that in the judgment of the Board are required, necessary or appropriate to accomplish the rights and responsibilities granted to the board and the university by law.

As provided in ORS 352.096, the president of the university is the president of the faculty. The president is also the executive and governing officer of the university, except as otherwise provided by statute or action of the governing board. Subject to the supervision of the governing board, the president of the university has authority to direct the affairs of the university.

As provided in ORS 352.146, the president and professors constitute the faculty and as such have the immediate government and discipline of a university with a governing board and the students therein, except as otherwise provided by law or action of the Board of Trustees. The faculty may, subject to the supervision of the Board and ORS 352.089 prescribe the course of study to be pursued in the university and the textbooks used.

Nothing in this Policy affects any collective bargaining agreement entered into prior to the adoption of this Policy.

1.0 Authority of the Board of Trustees; Appointment of the President of the University

1.1 Board Authority.

[Section redacted, no changes]

1.2 Appointment of the President of the University.

[Section redacted, no changes]

1.3 University Budget.

[Section redacted, no changes]

1.4 Tuition and Fees.

- 1.4.1 The Board shall determine tuition and mandatory enrollment fees in accordance with ORS 352.102, ORS 352.103, ORS 352.105, and other applicable law.

EXHIBIT A

- ~~1.4.2 The incidental fee is a mandatory enrollment fee. The recognized student government will, in consultation with the President, establish a process for requesting the amount of the incidental fee, all uses of the proceeds of the incidental fee, and the modification of the existing incidental fee.~~
- ~~1.4.3 The amount of the incidental fee, uses of the proceeds of the incidental fee, and a decision to modify the existing incidental fee may be refused by the Board or the President if the Board or President determines that: (a) the recognized student government assessed or allocated the mandatory incidental fees in violation of applicable local, state or federal law; or (b) The allocation conflicts with a preexisting contractual financial commitment; or (c) the total mandatory incidental fees budget is an increase of more than five percent over the level of the previous year; or (d) the request is not advantageous to the cultural or physical development of students.~~
- ~~1.4.4 The mandatory incidental fee, use of the fee or decision to modify an existing fee may not be refused by the Board or the President based on considerations about the point of view that the funding seeks to advance.~~
- 1.4.25 The President determines all other fees, fines and charges, after providing notice to the Board. In arriving at a determination of fees, fines and charges, the President shall consult with employees and students as the President deems appropriate.

1.5 Student Conduct.

[Section redacted, no changes]

1.6 Employees and Volunteers.

[Section redacted, no changes]

1.7 Business and Administrative Affairs. The Board retains authority for the following:

[Section redacted, no changes]

1.8 Academic Programs; Degrees; Admissions.

[Section redacted, no changes]

1.9 Gifts.

[Section redacted, no changes]

1.10 Gifts to the University of Oregon Foundation.

[Section redacted, no changes]

2.0 Policies, Standards and Directives

[Section redacted, no changes]

3.0 Authority of the President of the University

[Section redacted, no changes]

4.0 Authority of the Faculty

[Section redacted, no changes]

5.0 Channel of Authority

[Section redacted, no changes]

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