

## NOTICE OF PUBLIC MEETING

The Board of Trustees of the University of Oregon will hold the following public meeting:

**Thursday, December 3, 2020, at 8:30 a.m.**

**Friday, December 4, 2020, at 8:30 a.m.**

Due to current orders regarding campus operations and social distancing, the meeting will be held via video conference with a telephone conference option available for members of the media and the public.

Subjects of the meeting will include COVID-19 impacts and operations; standing reports; university finance, treasury, and audit reports; a preview of the FY21 tuition-setting process; a new Bachelor of Fine Arts in Dance; capital planning and a capital project approval (ZIRC); institutional diversity, equity and inclusion initiatives; and an overview of the Department of Human Physiology.

The livestream link and the teleconference information are available day of (if not sooner) at:  
<https://trustees.uoregon.edu/meetings>. Meeting materials are available online at:  
<https://trustees.uoregon.edu/upcoming-meetings>.

### Public Comment

Individuals wishing to provide public comment to the Board of Trustees may do so in writing via [trustees@uoregon.edu](mailto:trustees@uoregon.edu). All 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 December 2, 2020.

**Board of Trustees**  
**December 3, 2020 | 8:30 a.m. PT**  
**December 4, 2020 | 8:30 a.m. PT**

Due to current orders regarding campus operations and social distancing, the meeting will be held remotely with a livestream broadcast and telephone conference options available for members of the public. That information is available at: <https://trustees.uoregon.edu/meetings>.

**Convene Public Meeting**

- Call to order and verification of a quorum
- Approval of minutes from September 10, October 29, and November 13 full board meetings

**1. Standing Reports**

- ASUO President Isaiah Boyd
- University Senate President Elliot Berkman
- Provost Patrick Phillips
- President Michael Schill

**2. COVID-19 Impacts, Planning and Operations.** Andre Le Duc, Associate Vice President and Chief Resilience Officer

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

**4. Audit Reports:**

- 4.1 FY20 Audited Financial Statements.** Jamie Moffitt, Vice President for Finance and Administration and CFO; Kelly Wolf, Associate Vice President and Controller
- 4.2 FY20 External Auditor's Report.** Scott Simpson, Partner, Moss Adams
- 4.3 Quarterly Audit Report.** Leah Ladley, Chief Auditor

**5. Tuition-Setting Preview.** Kevin Marbury, Vice President for Student Life and TFAB Co-Chair; Jamie Moffitt, Vice President for Finance and Administration and CFO and TFAB Co-Chair

**Meeting recessed until December 4 at 8:30 a.m.**

**6. Program Approval: Bachelor of Fine Arts in Dance (Action).** Brad Garner, Associate Professor and Department Head of Dance

**7. Capital Planning and Sustainability Annual Report; Capital Project Approval – ZIRC (Action).** Mike Harwood, Associate Vice President and University Architect

**8. Institutional Diversity, Equity and Inclusion Initiatives.** Yvette Alex-Assensoh, Vice President for Equity and Inclusion; Patrick Phillips, Provost and Sr. Vice President; Mark Schmelz, Chief Human Resources Officer

**9. Academic Area in Focus: Human Physiology.** John Halliwill, Professor and Department Head of Human Physiology

**Meeting Adjourned**

**BOARD OF TRUSTEES**

6227 University of Oregon, Eugene OR 97403-1266 | (541) 346-3166 | [trustees.uoregon.edu](https://trustees.uoregon.edu) | [trustees@uoregon.edu](mailto:trustees@uoregon.edu)

## **Agenda Item #1**

### **Standing Reports**

- ASUO President
- University Senate President
- Provost & Sr. Vice President
- University President



## ASUO Fall Quarterly Report to the Board of Trustees:

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**Date: December 2020**

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### **01) Introduction**

This report was prepared from representatives of the ASUO executive and legislative branches. The purpose of the report is to offer insight in the progress of current programs and context for the upcoming winter initiatives. The intention of this report is to keep members of the board engaged with the efforts of student government leaders and generate opportunities from which potential collaboration can occur in the future.

### **02) Progress Report**

Recalling from the last quarterly report from ASUO to the board, the three central initiatives from this academic year are: tuition engagement, food insecurity, textbook affordability. Since the last report from ASUO on these subjects specifically, there has been a series of discussion and introductions between student members and respective administrative members to be exploring potential solutions to resolve these concerns.

As the undergraduate tuition and fees process for enters its beginning stages, we intend to start discussing with administrative officials potential collaborative efforts that can inform students of these processes. The primary objective of this initiative being the increased accessibility to information pertaining to educational costs and potential sources for support. External to the university, ASUO has begun strategizing with student governments representatives from the UC Student Association, Cal State Student Association, and Washington Student Association to coordinate a “west coast-coalition.” The purpose of the coalition being to advocate at the federal level for increased funding towards the Pell Grant.

Per the November 1<sup>st</sup> deadline, ASUO has utilized the surplus reserves, which were collected during the previous academic year and carry-forward accounts, to resolve the \$349,760 underrealized shortfall of the current fiscal year budget. The substantial funding in this years surplus has prevented the need for augmenting the balance with funds from the incidental fee prudent reserve. This has enabled greater flexibility for this year’s budget setting processes; allowing the legislative branch to conduct more comprehensive reviews of programmatic funding. Following in accordance with the Incidental Fee timeline, the legislative branch has established its financial priorities of the year. One of these being the analysis and investigation into potential funding initiatives that would directly contribute to the food security efforts. A tentative example being the creation of a basic need’s advisors staff line item under an EMU based tag. Such a position would serve as a resource for students to use when filing, finding, or inquiring state and federal resources for counteracting food insecurity.

In addition to the funding initiatives for food insecurity efforts, ASUO has begun researching and conducting budget comparisons from other student government programs that tackle this

issue of textbook affordability. We have generated several potential solutions that would require minimal funding from the incidental fee. As we head into the winter quarter, we will begin to explore these options more active, likely connecting with senior university officials to find ways in which we can collaborate on this effort.

### **03) Winter Initiatives**

ASUO will be conducting a survey at the start of the winter quarter to collect information from students ranging from their approval or rejection of current year initiatives to the necessary support required for them to be academically successful during the quarter. Beyond the three core initiatives that ASUO will be pursuing for this academic year, we have also identified several social justice-based programs that we will be implementing. Specifically, for the winter quarter, we will be pursuing the establishment and advocacy of the following issues: feminine hygiene accessibility through I-Fee funding, policing reform, and racial justice advocacy. In addition to these winter initiatives, ASUO will be finalizing the I-Fee budget proposal for approval from the President and subsequently the board.

### **04) Conclusion**

The student leadership under this year's ASUO administration, consist of a diverse and talented group of students. All of whom are committed to the advocacy of student needs and the advancement of this institution towards more accessible means of education. The central goals of the student government for the 20-21 academic year is the improvement of campus services and the development of spaces that from which leaders of tomorrow will emerge. This report has offered as snapshot of the administrative agenda, which was set forth at the start of the fall quarter, that will succeed in fulfilling these goals.

## **Board of Trustees Meeting Senate President Remarks**

December 3, 2020

Good morning, Trustees! I want to give you an update on what the University Senate has been working on since my last report to you in September. We've been making progress on a number of fronts – improving the evaluation of teaching, increasing our interactions with the student senate, and engaging in the university finances, among other topics. But today I want to focus on two topics that are particularly relevant to the Board and where we could use your help.

First is our work on equity and inclusion. We are only at the beginning of a long road, but the path ahead is becoming clearer and we have a plan to traverse it. Together with the Division of Equity and Inclusion, we are creating a Senate Anti-Racism Academy. The Academy is a faculty-led, open-access curriculum that will help participants recognize, examine, and address their own beliefs, biases, and privileges and reaffirm the values of justice and equity. The Senate will lead the Academy and share materials to smaller communities of practice around campus can follow along and participate in ways that make sense for them.

What can you do? First, I invite you to participate in the Academy with us. I will make sure to get links to our materials to you. You might consider organizing your own community of practice on the Board by organizing an equity and inclusion subcommittee to help organize discussion groups. Second, you can help us build the data dashboard so the campus community can gain visibility into where and how inclusion issues are playing out around campus. The Senate and our partners are grateful for your support in this effort, which has been a long time coming.

The second topic I'd like to discuss today is our presence at the state level. I testified at the statewide Higher Education Coordinating Commission's meeting where they updated the Student Success and Completion Model. What I learned at that meeting is something I hope you already know: the way the state allocates funds to higher education focuses almost exclusively on undergraduate student success. Of course, that is a laudable goal, but only part of our education mission – which also includes graduate education – and barely accounts for our research and service missions. I tried to highlight for the HECC the ways that research at UO presents unique opportunities for undergraduate education, and positions our students to be successful in a range of key industries in Oregon including medicine, health and human services, social work, and a range of STEM fields.

I invite you to join me in underscoring these two points to legislators and other policymakers as loudly and as often as possible. Research presents unique educational opportunities for our undergraduate students, including students from underrepresented groups. And research is worthy on its own as a service to all Oregonians, the financial, physical, and intellectual health of the state, to science and knowledge generation, and of course to the mission of the University of Oregon itself.

I will close by acknowledging the progress we have made in building a relationship of mutual trust with the academic administrative leadership. In fact, it would not be possible to make substantial, enduring progress in either of the areas of work I spoke about today, nor in any of the others we're taking on this year, without this partnership. We're working together for the benefit of the long-term success of the university. Thank you for your time today.

## **Agenda Item #2**

### **COVID-19 Updates**

On August 28, 2020, the Board of Trustees (Board) approved the UO's COVID-19 Health and Safety Operational Plan, a plan required by Executive Order No. 20-28 (EO).<sup>1</sup> The EO further requires that the Board review the plan, including any amendments thereto, at each of its regular meetings.

Attached is an updated version of the plan. The changes noted in this version will go into effect December 14. Changes are designed to updated practices and protocols based on evolving information, guidance and best practices; progression of the academic year; and available resources and tools at the UO's disposal. As a reminder, this plan is meant to provide a framework that guides the detailed implementation of any specific programs or policies.

Board approval of these changes is not required, but the Board's feedback is of course valuable as the Incident Management Team's policy group finalizes any updates.

Additional information about COVID-19 planning, operations, testing, guidance, etc. is available at: <https://www.uoregon.edu/coronavirus>.

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<sup>1</sup> [https://www.oregon.gov/gov/Documents/executive\\_orders/eo\\_20-28.pdf](https://www.oregon.gov/gov/Documents/executive_orders/eo_20-28.pdf)



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University of Oregon’s COVID-19 Health and Safety Operational Plan

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## 1.0 Plan Overview

The University of Oregon (UO)'s COVID-19 Health and Safety Operational Plan has been built to reflect the university's commitment to meeting its mission of exceptional teaching, research, and service in a safe and responsible manner. The plan outlines the UO's comprehensive layered prevention and holistic public health procedures and strategies at every stage and step of planning, including multi-modal instruction, research, residential, and administrative operations. The mitigation strategies outlined in this plan are informed by sound science, scholarly expertise and research, and a current understanding of emerging data about COVID-19. The plan covers property owned and operated by the UO and applies to faculty, staff, students, and visitors associated with the UO when engaged in university-related activities. The plan is intended to be agile, flexible, and dynamic and can rapidly be adapted as the university confronts changing conditions in these unprecedented and challenging times.

Commented [AD1]: Removed the reference to fall-term.

It is the intention of the Board of Trustees that, should any portion of this plan be held invalid by judicial or administrative ruling, such ruling shall not affect the validity of the remaining portions of this plan. Nothing in this plan should be construed in a manner that limits the use of good judgment and common sense in matters not foreseen or covered by the elements of this plan or its appendices. Nothing in this plan is intended, or should be construed, as creating a duty on the part of the UO toward any party for the purpose of creating a potential legal liability. The board of trustees will review this operational plan at each of its regular meetings and approve any amendments thereto.

The plan is designed to adhere to the Oregon Health Authority (OHA) standard for the conduct of in-person instructional, residential, and research activities at Oregon colleges and universities; the Centers for Disease Control and Prevention (CDC) considerations for institutions of higher education, and local public health authorities guidance. The Incident Management Team (IMT) also utilized the UO's Emergency Operations Plan and Pandemic Plan in the formation of this plan. In addition to the COVID-19 Planning Guide and Self-Assessment for Higher Education published on June 12, 2020, developed by Johns Hopkins Center for Health Security, Council for Higher Education Accreditation and the Tuscan Strategy Consulting; coordination with other universities nationally and on the West Coast through the Disaster Resilient Universities (DRU) Network; and coordination with Oregon's post-secondary institutions.

### 1.1 OHA and HECC COVID-19 Guidance

On June 12, 2020, the OHA and Higher Education Coordinating Commission (HECC) released the [Guidance for the Conduct of In-person Instructional, Residential, and Research Activities at Oregon Colleges and Universities](https://www.oregon.gov/highered/about/Documents/News-Updates/OHA-HECC-higher-education-health-standards-covid-FINAL.pdf)<sup>1</sup>. The new OHA standards apply to public universities listed in Oregon Revised Statute (ORS) 352.002, community colleges operated under ORS chapter 341, and degree-granting private colleges and universities that operate in Oregon ("colleges and universities").

<sup>1</sup> OHA Standards can be found at the following link: <https://www.oregon.gov/highered/about/Documents/News-Updates/OHA-HECC-higher-education-health-standards-covid-FINAL.pdf>

### 1.2 UO All-Hazard Incident Management Team for COVID-19

The UO fully activated its IMT on February 28, 2020, to monitor and respond to an outbreak of a respiratory disease caused by a novel coronavirus, "SARS-CoV-2," with the disease it causes known as coronavirus disease 2019, abbreviated as "COVID-19".

The UO's All-Hazard IMT provides the command and control infrastructure required to manage the logistical, fiscal, planning, operational, safety, and campus issues related to any and all incidents/emergencies. In addition, the IMT manages all phases of an incident (e.g., response, mitigation, continuity, and recovery).

The UO IMT follows the requirements set forth by the National Incident Management System (NIMS) Incident Command System (ICS). NIMS and ICS provide a nationwide template enabling federal, state, local, and tribal governments and private sector nongovernmental organizations to work together effectively and efficiently to prevent, prepare for, respond to, and recover from domestic incidents regardless of cause, size, or complexity.

Using ICS at the UO allows the members of the IMT to coordinate across both academic and administrative units and departments, all schools and colleges, and the Eugene campus and satellite campuses through a common organizational structure. The hierarchical ICS system and chains of communication are designed to adapt to rapidly evolving incidents like COVID-19.

More information on the UO IMT as it has been deployed for the COVID-19 pandemic can be found at the following link: <https://coronavirus.uoregon.edu/imt>

### 1.3. Communicable Disease Management Plan

The UO maintains an Emergency Operation Plan which includes hazard specific annexes, including a [Pandemic Response annex](#). The annex was initially developed in 2009 in response to H1N1. That plan has been revised on several occasions and was updated in early 2020 to address COVID-19. During the university's COVID-19 response, a specific COVID-19 Case management protocol was developed, which is now an addendum to the overall pandemic annex.

## 2.0 Monitoring Health Trends and Campus Capacity during COVID-19

During the COVID-19 pandemic, the IMT is actively monitoring federal, state, and local health trends through a variety of community wide disease control indicators and university prevention and capacity indicators. Section 2 of the plan includes: definition of the monitoring indicators, overview of the four COVID-19 alert levels, the situation monitoring matrix, and the triggers that IMT and public health authorities will use to assess the COVID-19 alert levels. The monitoring tools and resources listed below will assist the IMT and the UO Policy Group in determining if current operational plans (e.g., percent of in-person instruction, hybrid or online courses) need to be adapted based on health and safety <sup>2</sup>capacity concerns. The university has adopted the indicator terminology from the COVID-19 Planning Guide, and Self-Assessment for Higher Education published on June 12, 2020. The UO is also working closely with LCPH to ensure the community data is accurate and reflects the community trends. UO campuses outside of Eugene follow their local public health authority data for disease control.

### 2.1 Monitoring Indicators

Multiple indicators have a significant impact on the COVID-19 environment. The UO needs to be familiar with and monitor key indicators to support the university's planning and decision-making processes. There is a range of possible outcomes for each indicator, and while it can be assumed that each indicator will progress toward a best-case outcome in the long-term, it is essential to prepare for sudden regressions. Not all indicators are equal and one individual data point would not suffice to move between alert levels. The cumulative status of all indicators will influence the university's continuity of operations and response at any point in time. Different indicators may move in opposite directions, which complicates the process, and the university's plans need to be adaptive to the changing environment.

#### 2.1.1 Community Indicators of COVID-19 Status

<b>Incidence &amp; Prevalence</b>	The number of new and existing cases of COVID-19 on the campus, local, regional, national, and international levels will have implications for operating scenarios. Analysis of daily case numbers and deaths reported, as well as trends in reported numbers over time, will also influence decision making.
<b>Percent of Positive Tests</b>	Understanding the percentage of positive tests out of the denominator of total tests conducted for COVID-19, can help indicate both the prevalence of the disease in a community as well as the adequacy of testing capacity. The WHO and OHA both recommend that the percentage of positive tests should be at or below 5%.
<b>Percent of Cases Linked to Other Known Cases</b>	Data from testing and contact tracing can show what percentage of new cases are linked to other known cases. Providing an indicator of the amount of unrecognized and uncontrolled spread in a community. The higher the percent of cases linked to other known cases, the less risk of unrecognized spread.
<b>Hospital Stress</b>	Data related to local hospital inpatient and ICU bed availability and the percent of hospital beds occupied by COVID-19 patients can provide useful indicators of hospital stress due to COVID-19. Hospitals with low availability of beds and a high percent of COVID-19 patients would indicate that transmission in a community may be high and will be critical for informing decision-making.

<sup>2</sup> The guide was developed by Johns Hopkins Center for Health Security, Council for Higher Education Accreditation, and the Tuscany Strategy Consulting.

### 2.1.2 Indicators of Institutional Capacities to Limit COVID-19 Spread and Manage Infections

<b>Prevention Methods</b>	The capacity and degree of adoption for various prevention methods will impact the operating environment. Advancements in PPE, administrative controls, and engineering controls, as well as increased adherence to prevention methods, will be paramount.
<b>Testing Capacity</b>	Testing is a key measure to help reduce the impact of COVID-19. It is beneficial for institutions to have access to adequate testing, whether conducted by the institution or by other healthcare partners. At baseline, everyone with COVID-19 symptoms should be able to obtain a test. Testing should be done quickly and return results as quickly as possible to inform better medical decision making and decisions related to isolation and contact tracing.
<b>Contact Tracing Capacity</b>	Contact tracing is another vital capacity to control the transmission of the virus.
<b>Treatment Capacity</b>	The degree to which local hospitals can support community outbreaks should be monitored. The risk of reopening is increased severely if community members are unable to be treated.
<b>Quarantine Capacity</b>	The number of empty beds/rooms available to house students in self-isolation or quarantine. As the number of cases increases on campus, the greatest risk is in the ability to safely quarantine students identified during testing and contact tracing. This is a comparable metric to the number of available hospital beds in the community.
<b>Federal, State, and Local Policies</b>	Regulations and operating protocols are being developed at federal, state, and local levels. The status of those protocols will undoubtedly impact the degree to which institutions may operate.
<b>Comparators and Coordination</b>	Observing the operating protocols of similar institutions and leading institutions is a helpful exercise to understand how other professionals are thinking about operating scenarios. In this exercise, it is important to understand the unique characteristics that influence institutional decision making and to consider your institution's unique characteristics.

Source: COVID-19 Planning Guide, and Self-Assessment for Higher Education published on June 12, 2020

## 2.2 Operating Under COVID-19 Alert Levels

The UO in partnership with LCPH has also adopted the four levels of operations as defined in the COVID-19 Planning Guide and Self-Assessment for Higher Education. The COVID-19 alert levels indicate the severity of COVID-19 transmission and implications for the university's operations.

The COVID-19 alert levels are similar to the community air quality index, where each level has a specific color. The color makes it easy for people to quickly determine whether COVID-19 spread is increasing or decreasing in the community. It also provides clear guidance on the actions that individuals and institutions should take based upon the level.

### 2.2.1 COVID-19 Alert Levels ~~Table~~

#### LOW ALERT LEVEL

##### What does it mean?

"New Normal" — Cases are rare and transmission is controlled. Health care facilities readily available.

Please note: Rates may be higher when students first return, but will be caught during arrival testing.

##### What to expect on campus?

##### PHYSICAL SPACE

- University can operate moderate-density environments, per relevant public health guidelines

##### INSTRUCTION

- Instruction is a mix of in-person and online, per relevant public health guidelines
- Some students and faculty will not be able to return to campus until there are reliable treatments and/or vaccine

##### RESEARCH

- Increased density in labs and research activities with some modifications

##### EMPLOYEES

- Some employees will not be able to return to campus until there are reliable treatments and/or vaccine

##### RESIDENCE HALLS

- Increased density in dining and residential activities with some modifications



## MODERATE ALERT LEVEL

### What does it mean?

Moderate number of cases, with most cases from a known source. Capacity in health care facilities is stable.

### What to expect on campus?

#### PHYSICAL SPACE

- Implementation of all current public health strategies
- University facilities closed to general public, per statewide executive order
- Most buildings open to student and staff with restricted flow of access
- Buildings that are open to (students and employees) operate with lower density Face coverings required in university buildings
- Enhanced cleaning

#### INSTRUCTION

- Instruction is a mix of in-person, remote, and online instruction
- All in-person instruction will operate at low-density with a minimum of 6 feet of distance per person

#### RESEARCH

- Reduced density for all onsite activities
- Conduct research remotely where possible
- Onsite work or presence requires an approved operational plan approved by the Office of Research and Innovation and UO IMT

#### EMPLOYEES

- Remote or telework is the preferred choice for as many employees as possible in accordance with state/local mandates
- Onsite work or presence requires a department level plan that has been approved by the UO IMT

#### RESIDENCE HALLS

- Dining with modified indoor seating options
- In-person social or co-curricular activities in small groups following all current public health authorities requirements

## HIGH ALERT LEVEL

### What does it mean?

Increased cases, including spread in the community. Available but stressed capacity in health care facilities.

### What to expect on campus?

#### PHYSICAL SPACE

- Implementation of all current local and state public health strategies
- University facilities closed to general public, per statewide executive order
- Limited access to university facilities
- Face coverings required in university buildings
- Barriers and physical distancing practices in place
- Enhanced cleaning

#### INSTRUCTION

- Instruction is primarily online or remote
- In-person instruction is limited to courses that are difficult to conduct remotely
- In-person instruction must seek appropriate dean approval and follow all current public health authority requirements and submit a plan to the UO IMT for approval

#### RESEARCH

- Reduced density for all onsite activities
- Conduct research remotely where possible
- Onsite work or presence requires an approved operational plan approved by the Office of Research and Innovation and UO IMT

#### EMPLOYEES

- Remote or telework is the preferred choice for as many employees as possible in accordance with state/local mandates
- Low-density operations for critical services (minimum 6 ft distancing per person)
- Onsite work or presence requires a department level plan that has been approved by the UO IMT

#### RESIDENCE HALLS

- Operational within local and Oregon public health standards
- Indoor, in-person social or co-curricular activities limited to small groups following all public health authorities requirements

## VERY HIGH ALERT LEVEL

### What does it mean?

Outbreak is growing and signs of community spread prevalent. Health care facilities at or near full capacity.

### What to expect on campus?

#### PHYSICAL SPACE

- Implementation of all current of all local and state public health strategies
- University facilities closed to general public, per statewide executive order
- All non-essential buildings closed
- Face coverings required in all UO buildings, a minimum of 6 ft physical distancing is maintained for those who need to be on campus
- Enhanced cleaning of the areas that need to be maintained

#### INSTRUCTION

- Nearly all instructional programming is online or remote
- In-person instruction is severely limited to only courses that can not be conducted online or remotely (labs, fieldwork, etc.)
- Those courses must seek appropriate dean approval and follow all current public health authority requirements and submit a plan to the UO IMT for approval

#### RESEARCH

- Onsite for critical research only at low densities and following all public health authorities requirements
- Onsite plans must be submitted and approved by the Office of Research and Innovation and UO IMT

#### EMPLOYEES

- Remote or telework is the preferred choice for as many employees as possible in accordance with state/local mandates
- Employees maintaining critical services onsite at low densities and following all public health authorities requirements
- Onsite work or presence requires a department level plan that has been approved by the UO IMT

#### RESIDENCE HALLS

- Very limited operation following all public health authorities requirements

## University of Oregon's COVID-19 Health and Safety Operational Plan

### 2.3 COVID-19 Situational Monitoring Matrix and Triggers to Move between Alert Levels<sup>3</sup>

COMMUNITY DISEASE CONTROL	Key Question	Indicator	Triggers To Rise To A Higher Level	Triggers To Lower Level	Date of Assessment	LOW	MODERATE	HIGH	VERY HIGH
Monitored by: Lane County Public Health	What is the prevalence of new cases?	Weekly average new case count per 100,000	↑ Increasing more than 5% over a 14-day period	↓ Decreasing over a 14-day period	11/19/20	< 10 per 100,000	11 - 20 per 100,000	21 - 50 per 100,000	> 51 per 100,000
Monitored by: Lane County Public Health	What is the overall rate of positive?	Percent of test results that are positive	↑ Increasing over a 7-day period	↓ Decreasing over a 14-day period	11/19/20	< 5% or less	6 - 10 %	11 - 15%	15% or Higher
Monitored by: Lane County Public Health	Do we know if the new cases are connected?	Percentage of new cases linked epidemiologically to other known cases	Meet specified threshold over a 7-day period	Meet specified threshold over a 14-day period	11/19/20	95% or more linked to other known case	80 - 94%	30 - 79%	< 30% cases linked to other known case
Monitored by: Lane County Public Health	Do we have robust contact tracing?	Are we reaching new cases for follow-up within 24 hours?	↑ Increasing percentage reached within 24 hours	↓ Decreasing percentage reached within 24 hours	11/19/20	95% or more cases reached within 24 hours	80-94%	60-79%	< 50% cases reached within 24 hours
Monitored by: Lane County Public Health	Are we testing enough to detect cases?	County-wide daily average (by week) test collection volume	↑ Not meeting daily threshold (720 per day)	↓ Meeting daily threshold over a 14-day period	11/19/20	> over 720 per day on a 7-day average	450 - 719 per day over 7-day average	360 - 449 per day over 7-day average	< 359 per day over 7-day average
Monitored by: The University of Oregon Institute for Policy Research and Engagement and Lane County Public Health	Is the community complying with face-covering requirements?	% of people complying with face-covering measures	↓ Decrease in compliance of face coverings over 7 day period	↑ Increasing compliance of face coverings over 7 day period	11/19/20	100% - 90% complying with face covering	75 - 89 %	60 - 74 %	< 59% complying with face covering
UNIVERSITY OF OREGON: Monitoring and Capacities	Key Question	Indicator	Triggers To Rise To A Higher Level	Triggers To Lower Level	Date of Assessment	LOW	MODERATE	HIGH	VERY HIGH
Monitored by: UO Incident Management Team-Case Management	How fast are we getting test results for student's tested at University Health Services?	Turnaround time on students tested at University Health Services	> 40-72 hrs.	< 24 hrs.	11/19/20	< 24 hours	< 48 hours	< 72 hours	> 72 hours
Monitored by: UO Incident Management Team-Institute for Policy Research and Engagement	Is the campus community complying with face covering requirements on campus?	% of student and employees complying with face covering measures	↓ Decrease in compliance of face coverings over 7 day period	↑ Stable or increasing compliance of face coverings over 7 day period	11/19/20	100% - 90% complying with face covering	75 - 89 %	60 - 74 %	< 59% complying with face covering
Monitored by: UO Incident Management Team - Monitoring and Assessment Program Testing	What is the UO residential facilities weekly testing telling us about prevalence in residential facilities on campus?	Percent of positive tests from UO residential facilities	↑ Increasing over a 7-day period	↓ Decreasing over a 14-day period	11/19/20	< 3.5%	3.6 - 5 %	6 - 9 %	> 10% or Higher
Monitored by: UO Incident Management Team-Housing Workgroup	Is there sufficient capacity of isolation rooms for UO residential facilities ?	% of isolation rooms currently in use	↑ Increasing towards capacity limits	↓ Decreasing demands on capacity	11/19/20	0% or below 25 % capacity	26% - 50 % capacity	51% - 75 % capacity	76% - 100% capacity
Monitored by: UO Incident Management Team-Housing Workgroup	Is there sufficient capacity of quarantine rooms UO residential facilities ?	% of quarantine rooms currently in use	↑ Increasing towards capacity limits	↓ Decreasing demands on capacity	11/19/20	0% or below 25 % capacity	26% - 50 % capacity	51% - 75 % capacity	76% - 100% capacity
Monitored by: UO Incident Management Team-Logistics Section	Are there sufficient cleaning supplies for UO operations?	Inventory Levels for critical cleaning supplies	↓ Decreasing inventory	↑ Stable or increasing inventory	11/19/20	Stable Inventory	Reduced inventory, but new orders still arriving	Limited inventory, delays in supply chains	No extra inventory/stockouts
Monitored by: UO Incident Management Team	What is the operational status of essential units and departments providing essential services to campus?	Status of essential workforce reporting to work	↑ Increasing sick leave within essential units	↓ Stable staffing within essential units	11/19/20	No significant increase in sick leave for units providing essential services	Moderate increase in sick leave reporting in essential units	High increase in sick leave reporting in essential units	Very High increase in sick leave reporting in essential units

<sup>3</sup> Adopted from Resolve to Save Lives/Vital Strategies Annex 1

## 2.4 Triggers to Raise or Lower the Alert Level

The following are examples of triggers that move the university between alert levels and alter campus operational plans; this enables the institution to react to changing COVID-19 conditions faster and with greater confidence.

### 2.4.1 Directional triggers to raise the alert level:

- Significant increases in COVID-19 transmission on campus, occurring at a greater rate than the local community
- Significant increases in COVID-19 transmission within the institution's local community, if it is impractical for the institution to minimize COVID-19 exposure between the institution and the local community
- Evidence that the university's community is disregarding face coverings or physical distancing requirements
- Insufficient availability of COVID-19 testing by the institution or local/state public health authorities, due to logistics, supply chain, or other factors
- Insufficient health care capacity, on campus or within the local health care facilities.
- Insufficient space to manage the number of in-residence students requiring quarantine rooms or self-isolation
- Other local/state/federal mandates

### 2.4.2 Directional triggers to lower the alert level:

- Significant decreases in COVID-19 transmission on campus
- Significant decreases in COVID-19 transmission within the institution's local community, if it was higher than transmission on campus
- Evidence that the university's community is following face coverings or physical distancing requirements
- Sufficient health care capacity, on campus or within the local/state health care facilities

A coalition of public health, education, and government leaders continuously monitors the prevalence of the COVID-19, regional prevention compliance and treatment capacities to determine the Lane County COVID-19 Alert Level. The partners include Lane County Public Health, University of Oregon, City of Eugene, City of Springfield, City of Florence, PeaceHealth Medical Group, McKenzie-Willamette Medical Center, and Lane Community College. Officials from each organization review current data at their weekly incident commander briefings to determine if the alert level should change.

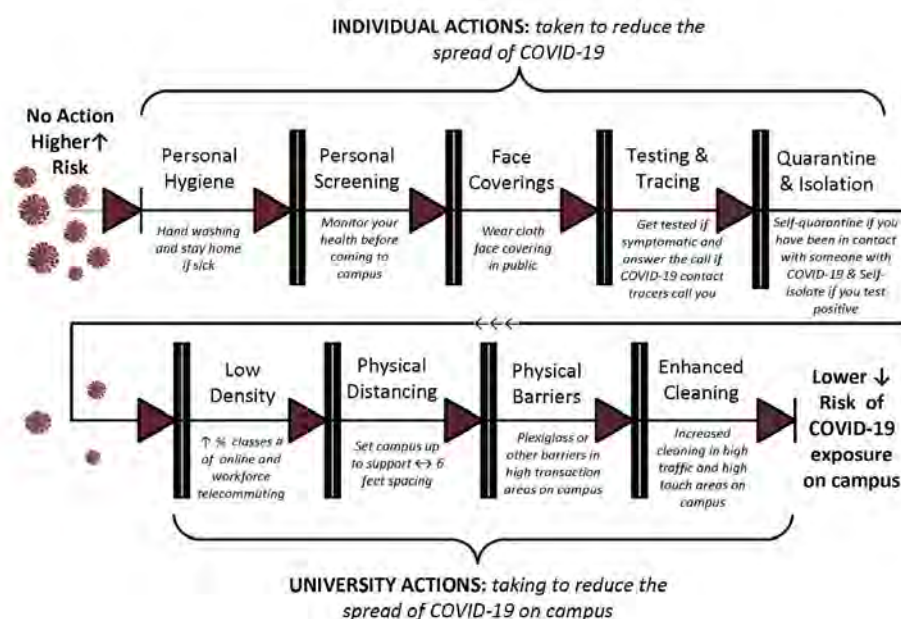
~~The UO IMT and LCPH are monitoring the indicator data highlighted in the plan and have weekly briefings to discuss trends and triggers.~~ If the indicators warrant an elevation of the alert level and adjustment of the university's operational plans, the IMT will convene the policy group to share the information and make recommendations for operational adjustments of campus plans.

In addition to the disease control, prevention, and capacity indicators, the IMT will also monitor other community-wide indicators that have an impact on the campus operations. For example, the impacts of K-12 closures or remote status have significant impacts on the workforce of the university and need to be factored into its operational plans.

### 3.0 General Mitigation for COVID-19 on UO Campuses

The UO is actively working to establish barriers on campus to prevent the spread of COVID-19. Combatting COVID-19 is a shared responsibility. The following graphic depicts the steps individuals can take and barriers the university is putting in place to prevent the spread of the COVID-19 virus on the UO campus.

#### 3.1 Establishing Barriers between COVID-19 and the Campus Community



#### 3.2 Personal Hygiene

The best way to prevent the spread of respiratory illnesses, including COVID-19 and influenza, is to avoid exposure to the virus. The CDC-recommended precautions provide guidance on how to reduce the risk of exposure, including proper hand washing; avoiding touching your eyes, nose, and mouth; covering coughs or sneezes with a tissue, then throwing the tissue in a trash receptacle; cleaning and disinfecting frequently touched objects and surfaces; and avoiding close contact with people who are sick.

The university has deployed a number of hand washing stations across campus. Branded signage has been developed and deployed for: hand washing, staying home if ill, maintaining 6 feet of distance, face covering requirements, and floor stickers to mark distancing where lines form.



### 3.3 Personal Screening

Consistent with OHA guidance, students and employees are required to: (1) do a symptom self-check before coming in-person to campus; and (2) stay away from campus for the time periods identified below. The university does not collect health information from its employees or students under this regulation.

University departments are responsible for communicating with visitors, vendors, contractors, and guests that they should not come to campus if they have had any COVID-related symptoms in the last 24 hours.

Campus community members performing remote work or studies for the day are not required to do a symptom self-check if they are not coming on campus. If employees and students have symptoms, they can perform work or studies remotely, to the extent they feel well enough to do so and remote work is available. Employees and students who are well enough to work or study remotely when they are experiencing COVID symptoms, should work with their supervisor or professor to identify available work. Employees may also use available leave to cover these periods if they are unable to work. See reference materials below. Students should work with their instructors to identify make-up work or remote studies.

#### 3.3.1 Symptom Self-check

Every day before coming on-campus employees and students should assess whether in the last 24 hours they have had any COVID-19 symptoms as defined by the CDC that are different from their baseline. The university's symptom self-check regulation is posted online and includes a list of symptoms, employee leave information, and an optional tracking sheet that individuals can use to keep track of this daily activity. Self-check regulations can be found here: <https://coronavirus.uoregon.edu/regulations#self-check-regulation>

If any of these symptoms are present, the individual should stay home until at least **24 hours** after the fever (if present) has dissipated (without the aid of fever-reducing medication) and other symptoms have been relieved. Employees should contact their medical provider<sup>4</sup> and students should contact UHS if multiple symptoms are present.

<https://coronavirus.uoregon.edu/regulations#self-check-regulation>

### 3.4 Faculty and Staff Health and Wellness

The UO has the expectation that if an employee feels sick while on campus, they should let their supervisor know and leave campus. Supervisors should not make assumptions about illness or ask about an employee's medical condition. Supervisors are encouraged to talk with all employees about resources and expectations related to sick leave and illness prevention.

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<sup>4</sup> If an employee does not have a primary care physician, urgent care or any of LCPH's clinics can also be a resource. Benefits-eligible employees can also find a primary care physician by reviewing the options available through their UO health insurance plan. Information is available at: <https://hr.uoregon.edu/hr-programs-services/benefits/uo-group-insurance/medical-insurance>. Information about graduate employees' health insurance is available at: <http://gtff3544.net/health-care/summary-of-benefits/>

#### 3.4.1 COVID-19 Employee Leave Options

The university recognizes the impact that COVID-19 may have on an employee's ability to work for various reasons, including:

- The need to care for children impacted by school and daycare closures
- The need to take time off due to personal illness
- The need to care for an ill family member/dependent

The first course of action is to explore [flexible work options](#) such as remote work or flexible schedules, where possible. Because flexible work arrangements are not always appropriate or viable due to personal and operational realities, the university has [leave programs](#) available during the UO COVID-19 response, which includes a new UO emergency sick leave program and an *expansion of FMLA and OFLA due to school closures*. Additional leave options are provided for employee's based on bargaining unit and are available for employees to review on the website noted above.

Employees and supervisors are being reminded of leave options and related resources in a "Protecting the Pond—Ducks look after the flock" workplace essentials checklist that is being communicated as part of the employee engagement campaign.

Leaves related to COVID-19 remain an active topic of review, including upcoming discussions with the COVID-19 Safety Committee to assist in informing and determining any additional steps the university may need to take with regard to employee leave.

#### 3.4.3 Personal Protective Equipment including for University Health Services

All existing standards for worker protection continue to apply. Additional interim guidance applies for specific worker groups and their employers, such as health care, childcare, food service, and laboratories. Supervisors in these fields should review interim guidance and coordinate with UO Environmental Health and Safety to evaluate applicability to their employees. The Occupational Safety and Health Administration also provides details about guidance on control and prevention.

University Health Services (UHS) employees who wear N95 respirator masks, halo respirators, and Powered Air Purifying Respirators (PAPRs) are enrolled in the UO Respiratory Protection Program (RPP). They receive annual training and fit testing provided by Environmental Health and Safety (EHS). A registered nurse at UHS has been designated to track Personal Protective Equipment (PPE) levels. They coordinate with EHS staff regularly about current levels and orders of PPE needed for UHS staff. EHS retains all training records for employees in the RPP.

#### 3.4.4 Faculty and Staff Health Trainings

Training is available to faculty and staff via MyTrack, the central HR management software system and Skillsoft, an external vendor used for training delivery. These trainings cover the different controls, such as physical distancing, that are needed to work safely. They also include health-specific trainings. The MyTrack training is updated regularly as state requirements change. Other training options include a [COVID-19 Packet](#) that EHS produced on various COVID-19-related safety topics and is available to faculty and staff as well as the campus community, and through the "Protecting the Pond—Ducks look after the flock" workplace essentials checklist, which includes reminders about the various COVID-19 related health regulations now in place.



### 3.5 Face Coverings and Respiratory Etiquette on Campus

The UO requires faculty, staff, students, visitors, and vendors to use face coverings (masks, cloth face coverings, and face shields) when in UO owned, leased, or controlled buildings EXCEPT when alone in a space (i.e., a room with four walls). Face coverings are required outdoors ~~when on UO property, and when physical distancing expectations (at least 6 feet apart, not in groups) cannot be met.~~ More information on face covering regulations can be found online:

<https://coronavirus.uoregon.edu/regulations#face-coverings>

### 3.6 Testing and Contact Tracing

Faculty, staff, students, visitors, and vendors who develop COVID-19 symptoms, have been in close contact with a person known to have COVID-19, or have recently traveled from an area with widespread or ongoing community spread of COVID-19 should call their healthcare provider before going in person, and tell them about the recent travel or contact. Health care providers work with the local or state public health departments to determine if the person needs to be tested for COVID-19. Students in Eugene can call UHS at 541-346-2770. Students at the Portland campus can use the Portland State University Center for Student Health and Counseling, and Oregon Institute for Marine Biology students may contact the Bay Clinic in Coos Bay.

While the local public health authorities conduct all contact tracing in their respective counties, UO has set up a program to assist LCPH with the urgent work of contact tracing in Eugene.

<https://coronavirus.uoregon.edu/testing>

### 3.7 Isolation and Quarantine

UO departments are to identify designated isolation spaces in the event a student or employee becomes ill on campus and is unable to leave campus immediately. The UO has in place an isolation and quarantine plan specifically for residential students, outlined later in this document.

### 3.8 Low Density

In-person classes will be limited to 50 students or less to provide adequate physical distancing. Classes with more than 50 people will either be remote or hybrid, with lectures delivered online and smaller discussion sessions in person. Staff is returning on a unit-by-unit basis, with priority given to departments that require on-campus access; those who conduct research or work with students, for example, are among the first to return. Unless otherwise arranged on a case-by-case basis, the university has authorized remote work for every employee who is able to perform the functions of their job from a remote location.

### 3.9 Physical Distancing

Classrooms and shared workspaces have been set up and/or marked so that seating meets the physical distancing guidelines. Events and other official gatherings will also comply with physical distancing guidelines.

### 3.10 Physical Barriers

The UO has set up a process so departments can work with Campus Planning and Facilities Management (CPFM) to order Plexiglas and other barriers needed for high traffic and high transaction areas on campus.

### 3.11 Increased Air Handling

Air handling systems are being adjusted to maximize the circulation of outside air within buildings, wherever possible. There are approximately 259 air handling systems in campus buildings—84 percent of those systems have been adjusted to increase outside air. The remaining 16 percent either do not have capability to increase outside air or have some other system or operational limitation. Where applicable, individuals may be encouraged to open windows while they occupy a space and close them when they depart.

### 3.12 General Campus Facilities Cleaning Guidelines

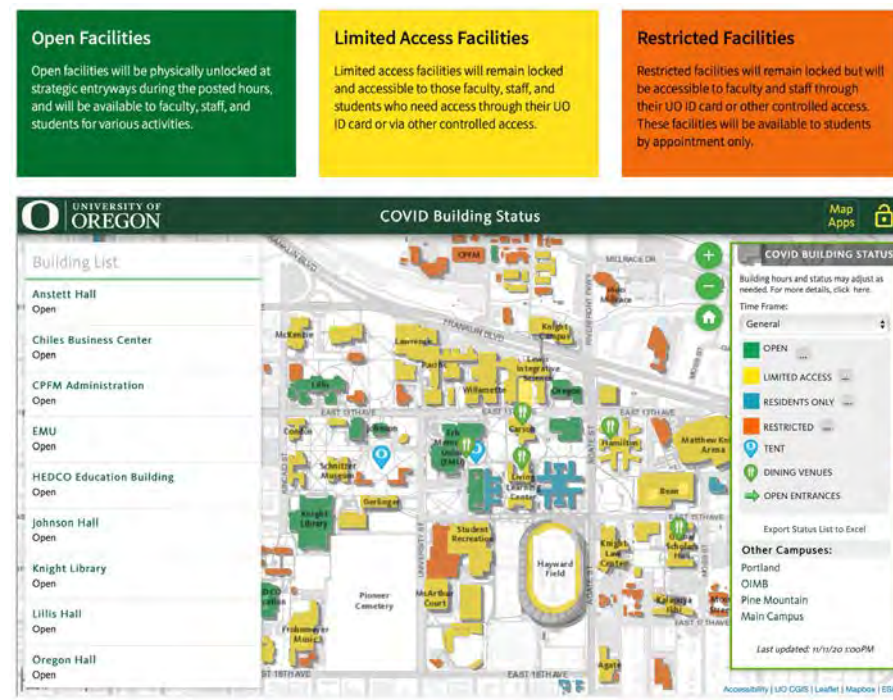
The UO is following cleaning guidelines and protocols recommended by the CDC. Additional attention is being given to high touch areas such as door handles, handrails, and push bars on doors across campus.

Other measures include:

- Outdoor hand washing stations - The university has deployed and mapped out a number of outdoor, mobile hand washing stations across campus.
- Restroom upgrades – CPFM is now upgrading restrooms (excluding auxiliary buildings) to include hands-free faucets and paper towel dispensers to help limit the number of touched surfaces in restrooms.
- Building lobbies – Hand sanitation gel dispensers will be in the lobbies of all buildings.
- Classrooms – Containers of individualized cleaning wipes will be available at the entrances of centrally managed classrooms. Additionally, custodial services provide daily cleaning and disinfection.
- Signage – Branded signage for: hand washing, staying home if ill, maintaining 6 feet of distance, face covering requirements, floor stickers to mark distancing where lines form, and COVID-19-related room occupancy signs are available.
- Elevators – It is recommended that no more than 2 people use elevators at one time. Signage to this effect is being posted.
- Hallways and stairways – It is recommended that individuals stay to the right when moving around in buildings. Directional signage will be provided. In addition, the face covering requirement assists in mitigating risk when people are navigating hallways and stairways.

### 3.13 Campus Access

In accordance with OHA Guidance UO spaces and buildings are open only for official university business. Campus buildings are not open to the general public.



The UO will deploy remote learning that engages students with each other and with faculty to provide a rich learning experience. Details on the fall course data is outlined in the Appendix B and is subject to change due to the dynamic nature of the COVID-19.

Instructional spaces are being configured and marked so that seating meets the physical distancing guidelines. Furniture in common areas and informal learning areas be configured and marked with signage to indicate appropriate physical distancing. Fixed furniture ~~are~~is being decommissioned as needed to maintain 6 feet of distance and include signage for appropriate physical distancing.

The following images are from the UO's in-house ANVIL application the IMT's campus readiness work group is using to assess, identify, and configure classroom spaces for appropriate physical distancing for in-person instruction.

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### 4.3 Laboratory Instruction

Laboratory personnel should follow all standard cleaning and operation protocols for working with infectious agents. In addition, all labs should follow these protocols:

- Wear PPE designated for the lab's operations and remove it safely.
- Routinely decontaminate surfaces that were used for lab work or were frequently touched (benchtops, equipment buttons/handles/lids, drawer pulls, workstations, doorknobs, faucets, etc.). Decontaminate surfaces using cleaners that the EPA has approved for other environmental surfaces, such as an [EPA-registered disinfectant](#) or 70 percent ethanol solution, following appropriate guidelines for safe use and storage.
- Prohibit activities including food, drink, and the use of cell phones or earbuds.
- Wash hands on entering and before exiting the lab.
- Ensure all staff are all following social distancing guidelines. This may require staggered shifts for team members.

## 5.0 Research Operations and Activities

The Office of the Vice President of Research and Innovation has developed a framework for phased re-engagement of on-campus research activities. Recovery will be a long-term transition with a restart process that is scaled gradually and aligned with public health conditions. The framework is informed by the following principles and observations:

- The UO must support and protect the safety, physical, and emotional health of the research workforce.
  - Practical and safety considerations will dictate which activities are allowed in any given UO stage, space, or site.
  - Plans must be designed to protect research personnel from transmission of COVID-19 from research personnel, other UO employees and human subjects involved in research programs.
  - Maximizing opportunities and engagement via remote work is critical and is expected to remain critical at least through 2020.
- The UO must support and protect the well-being of human subjects and research participants.
  - Practical and safety considerations will dictate which activities are allowed in any given UO stage, space or site.
  - Plans must be designed to minimize risks to human subjects, including minimizing exposure to and transmission of COVID-19 while maximizing the benefits to human subjects.
  - Plans for protecting at-risk populations, including those deemed higher risk for the impacts of COVID-19, must be strongly justified.
- Planning and execution of fair, transparent, and accountable processes for access should engage the research community to identify needs and to find solutions that support the research mission.
  - Research groups and Principle Investigators (PI) will need to prioritize their on-campus activities, focusing especially on those that enable further remote work.
  - It's vital to protect the careers of early stage faculty and researchers about to enter the job market.
  - It's vital to also protect significant investments within the research community, including prioritizing ongoing longitudinal studies, cohorts, and associated data, and prioritize efforts where clinical/direct public health services are benefiting the public.
- The UO will engage with leadership and health authorities regarding the best practices and will continue to comply with executive orders and health authority guidance from national, state, local, and university authorities.
  - Plans to re-engage research activities must anticipate changes in guidance and have provisions to adapt to new guidance, including the possibility that researchers may have to retreat to more conservative access to campus.
  - Plans will also need to describe procedures to ensure compliance with external orders/guidance and provide a mechanism for monitoring compliance internally.

### 5.1 Process for Reengagement in On-Campus Research Activities

Disruptions to different types of on-campus research varies significantly across research areas. This staged plan focuses on on-campus activities, with special focus on wet and dry lab access, as most of these must utilize on-campus research infrastructure. UO Research anticipates that subsequent plans will be developed for other areas of research as the recovery continues. All plans are required to enable strict adherence to governmental physical distancing orders.

PIs impacted by this plan must develop and submit a recovery plan for their research group that complies with the principles and rules below. These plans are reviewed through the Research Recovery IMT and Environmental Health and Safety (EHS), in coordination with faculty subject area experts, who determine whether plans are suitable or whether revision is needed.

Each new PI Recovery Plan undergoes this four-stage review process (compliance review by IMT, EHS review, subject review, final IMT review), after which PIs are asked to revise based on reviewer comments.

All research activities must comply with OVPRI enhanced cleaning and distancing guidance. All human subjects' activities must follow [Guidance on Engaging in Human Subject Research during OVPRI COVID-19 Recovery Stages](#). All research involving travel must seek approval from Travel IMT.

Please see the UO Research website for up-to-date information and guidance:  
<https://research.uoregon.edu/covid-19-plans-for-research-recovery>



## 6.0 University Housing and Residential Activities

The UO is committed to meeting or exceeding all of the standards and guidance of the OHA for residence halls and residential dining.

In coordination with other public Oregon universities and with guidance from the OHA, HECC, LCPH, and the CDC, the UO is implementing reduced density in the residence halls. Physical distancing will be implemented throughout common areas and dining halls. No students will live in triples in the residence halls.

University Housing is reducing density and making plans for extra cleaning, particularly in shared bathrooms. Housing is also setting aside entire sections of the residence halls for isolation should they be needed.

### 6.1 Eugene Campus

As part of the comprehensive university readiness planning ~~for fall 2020~~, staff operating the residence halls/residential dining are following specific guidelines to ensure: maximized prevention efforts, adequate isolation and containment, and care.

#### Room Types

- Shared housing is considered a living unit for cohort isolation and quarantine
- Rooms will mostly be double rooms with some single rooms
- A minimum of 64 square feet will be ensured for each resident
- Some rooms have private bathrooms, some are shared

#### Room Details

- Furniture configurations maximize separation between residents in a shared room as feasible
- Ventilation provided through operable windows; residence halls do not have central ventilation
- Daily cleaning and surface disinfecting inside residence hall rooms is done by residents; cleaning supplies—including EPA-registered disinfectant will be provided by Housing

#### Bathroom Cleaning

- Community bathrooms
  - Deep cleaned and sanitized daily by custodial service and additional daily general cleaning along with sanitizing of touch points using EPA-registered disinfectants
  - Cleaning by students as they use restrooms is highly encouraged before and after use; EPA-registered disinfectants will be provided
  - Touchless soap and paper towel dispensers provided
- En-suite bathrooms
  - Shared by one, two, or three rooms (single or double occupancy)
  - Daily cleaning and surface disinfectant is done by residents; EPA-registered disinfectants will be provided
  - Housing custodial staff will inspect and clean quarterly
- Public bathrooms
  - Located near dining, academic residential community areas, and other areas generally open to the public and guests



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- Cleaned and sanitized daily by housing custodial staff; twice-daily sanitizing of touch points using EPA-registered disinfectants
- Self-service sanitizing by restroom users before and after use is encouraged; paper towels from touchless dispensers and EPA-registered disinfectants are provided
- Touchless soap and paper towel dispensers and air hand dryers are provided; use of paper towels to handle common touch points is encouraged

### Common Areas

- Signage and postings
  - Promote six-foot social distancing in all lounges, kitchens, lobbies, laundry rooms, and elevators (signs and floor stickers)
  - Promote hand washing in bathrooms
  - Arrange or remove furniture to promote social distancing
  - Laundry washing instructions
- Cleaning
  - Clean and disinfect high-touch surfaces regularly
  - Include sanitizing stations outside of lounges and/or in the lobby
  - Signage and increased cleaning for community kitchens

### COVID-19 Testing

- As a condition of living in the residence halls, students will be tested for COVID-19 (viral test). The University tentatively anticipates residents will be tested prior to checking into the residence halls and again within three to ten days after check-in. The timing of testing may change and additional testing may be required in response to changing circumstances. FAQs related to testing are available at <https://coronavirus.uoregon.edu/testing>.

### Student Expectations

- Keep six feet (about two arms' length) from other people
- Not gather in groups larger than UO or state guidelines provided
- Follow posted guidelines in laundry rooms, kitchens, lounges, and other common spaces
- Monitor their health, seek medical attention as appropriate, and stay in their residence hall rooms if they feel ill
- Hold oneself accountable to the guidelines.
- Hand washing hygiene
- Cover coughs and sneezes
- Cover mouth and nose with a closed face covering when other physical social distancing measures are difficult to maintain
- Read and follow: <https://www.cdc.gov/coronavirus/2019-ncov/prevent-getting-sick/index.html>.

## 6.2 Charleston Campus

~~Twenty-four students are enrolled for fall term at~~The OIMB. The housing plan below exceeds the OHA and HECC guideline specifying 64 square feet of living space per person. Each student will have their own bedroom or living space and share a bathroom with only one other student.

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Each housing arrangement will be considered a unit for the purposes of quarantine and isolation. Should one student in the unit test positive for COVID-19 and need isolation in a dorm, the other student will be effectively quarantined as well in the original housing unit.

All students will prepare their own meals in their respective housing unit. Dining hall facilities will only prepare meals for students who fall ill and require delivered meals.

~~During the fall introductory meeting, s~~Students will be reminded of proper hand hygiene and to complete a symptom self-check before going to class each day (according to the OHA self-check guidelines and UO health regulations).

### Cleaning and Sanitation

- Living spaces - Students will be required to clean their own living space; OIMB will provide proper cleaning and sanitizing products.
- Classrooms – OIMB faculty, TAs and students will be required to clean and disinfect daily the inside of classrooms (e.g., door handles, tables, microscopes, light switches).
- Common areas – OIMB custodial staff will be required to clean and sanitize common areas (library, dining hall, door handles, light switches) daily according to CDC guidelines.
- PPE (including required face masks, gloves, and more extensive gear for custodial staff) will be available for anyone needing them.
- Sanitizing materials (e.g., hand sanitizer, sanitizing wipes) will be readily available in the OIMB office, classrooms, and common spaces (e.g., library, dining hall).

## 7.0 University Department and Research Unit Level Plans

The IMT Resumption Mitigation Team developed return-to-campus toolkits to assist departments as they develop tailored plans that allow them to slowly and deliberately move current remote operations back to campus over the coming weeks and months.

The guidelines for departmental plans are based on two key principles:

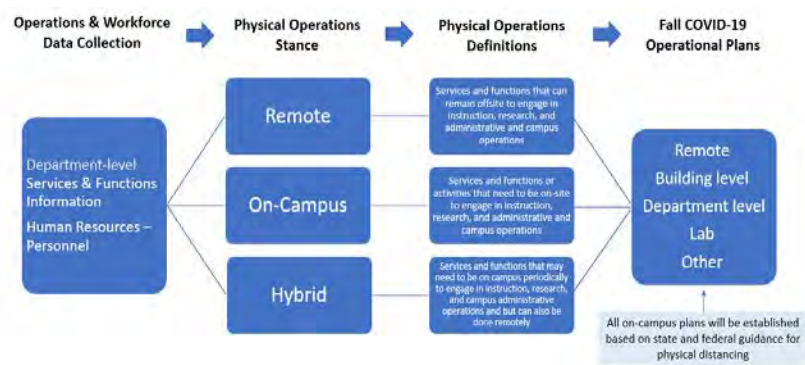
- Maintain the safety and health of the university community by focusing first on functions that are critical to the unit's operations and that rely on in-person interactions to be most effective. This aligns with the president's and provost's stated goal of having students physically on campus in the fall.
- Ensure compliance with federal, state, and local guidance. This includes the State of Oregon's Re-Opening framework, guidance from OHA specific to employers in general, and in sectors relevant to the work that some departments do (e.g., restaurants, camps, and childcare), and guidance from the CDC on many aspects of operating safely.

The toolkit includes guidance and a template. It provides questions and things to consider along with space to provide responses. The focus is on identifying the critical functions that should be prioritized to resume to in person instruction. The Toolkit lays out plans for how individual department spaces will be physically distanced and the requirement to identify isolation space for individuals who develop COVID-like symptoms and are unable to immediately leave campus. Plans are reviewed and approved by the Resumption Team and copies of departmental plans are kept on file with the IMT.

### 7.1 Planning Templates

- [Department/Unit Resumption Toolkit](#)
- [Centers and Institutes Administrative Return-To-Campus Toolkit](#)

### 7.2 Planning Process



The IMT Planning Section logs and tracks plans that are approved.

## 8.0 University of Oregon Testing Strategy

UO recognizes that the future of the university is interdependent with that of the surrounding community. Further, the UO acknowledges that testing provides a snapshot in time, giving information needed to identify pre-symptomatic and asymptomatic infections and apply individual or community interventions, including mask wearing and contact tracing. Testing does not prevent spread and is not a failsafe method. In collaboration with Lane County Public Health and reflecting FDA guidance on the three types of COVID-19 testing (<https://www.fda.gov/medical-devices/emergency-situations-medical-devices/faqs-testing-sars-cov-2>), UO's main testing efforts can be described in three "pillars":

### Diagnostic Testing

Diagnostic testing is "intended to diagnose an infection in patients suspected of COVID-19 by their healthcare provider," per the FDA. University Health Services has been providing on-site diagnostic services to students. Diagnostic tests are performed when there is a reason to believe the individual may have contracted COVID-19 (e.g., they have symptoms).

### Screening Testing

Screening testing is "looking for an occurrence at the individual level even if there is no individual reason to suspect infection such as a known exposure," per the FDA. Given the risks of congregate living, the UO used screening testing to identify infected residential students as they arrived on campus. UO MAP screening tests are expanding to other students and employees in partnership with Lane County Public Health.

This type of testing is not for symptomatic individuals. Those with symptoms or other indications of COVID-19 would be referred to a care provider for diagnostic testing.

### Community Testing

Random community testing is "generally used to monitor for an occurrence, such as an infectious disease outbreak, in a population or community, or to characterize the occurrence once detected, such as looking at the incidence and prevalence of the occurrence," per the FDA. The UO is providing COVID-19 testing Monday through Thursday to students who live in the residence halls, with at least one student in each room tested weekly. In addition, we encourage the campus community to participate in widespread testing through our voluntary COVID-19 testing for students and employees, offered four days a week.

This type of testing is not for symptomatic individuals; those with symptoms or other indications of COVID-19 would be referred to a care provider for diagnostic testing.

~~1. Diagnostic testing — "intended to diagnose an infection in patients suspected of COVID-19 by their healthcare provider," per FDA.~~

~~University Health Services has been providing on-site diagnostic services to students, in partnership with McKenzie-Willamette Hospital, since the beginning of the pandemic. These services will continue, with the potential for lab processing to be done by the MAP team once capacity permits.~~

~~2. Screening testing — "looking for occurrence at the individual level even if there is no individual reason to suspect infection such as a known exposure," per FDA.~~

~~Given the risks of congregate living and UO's desire to identify infected students as they arrive on campus, UO currently plans to provide two rounds of COVID-19 testing to students who will live in the residence halls. The first round of testing will be prior to checking into the residence halls, with a second test three to ten days after check-in, as capacity permits. Screening tests may be expanded to other students and/or employees to ensure the safety of campus and in consultation with public health authorities.~~

~~3.—Random community testing—“generally used to monitor for an occurrence, such as an infectious disease outbreak, in a population or community, or to characterize the occurrence once detected, such as looking at the incidence and prevalence of the occurrence,” per FDA.~~

~~To assess prevalence, encourage the campus community to participate in widespread testing, and provide testing as a benefit for employees and students, UO is also developing a plan to offer voluntary COVID-19 testing for students and employees. This effort will be designed and implemented in close concert with Lane County Public Health and will test a randomized proportion of the community on a regular recurring basis.~~

### 8.1 Testing for Students Who are Symptomatic or Have a Potential Epidemiologic Link Eugene Campus

The University Health Services (UHS) is providing testing for students who are symptomatic or might have an epidemiologic link, such as being in close contact to a case. UHS has a separate entrance for individuals who are seeking COVID-19 testing or are experiencing viral symptoms. This entrance is facing Agate Street (the “Agate Street Entrance,”) and enables UHS to separate the possibly COVID contagious individuals from other students and employees entering the main entrance to the building on 13th Ave. Specimens are collected and sent to a reference lab, currently McKenzie-Willamette Hospital, for analysis by the UO- placed polymerase chain reaction (PCR) testing equipment. Results are returned to UHS within 24–48 hours, and students are immediately notified of their results. A student who tests positive is typically advised to isolate for 10 days and notified that they will be contacted by LCPH and will be asked to identify close contacts.

UHS providers and nurses follow up with students who are positive cases with daily calls and check-ins on their health until deemed stable. If a student does not answer the phone, a welfare check will be requested.

#### Portland Campus

UO Portland students utilize Portland State University (PSU) Center for Student Health and Counseling (SHAC) for health, counseling, and dental services. The mandatory student health fee that is included with their UO tuition pays for the majority of services, which now includes COVID-19 testing. UO Portland students can call PSU's SHAC for triage on medical care and testing. Depending on this evaluation, students may make an appointment to see a medical provider and/or make an appointment for testing. SHAC will provide guidance to students on quarantine and isolation. PSU's medical director will contact UO's Case Management team director on any COVID-19 positive test results. Case Management, in conjunction with UO Portland staff, will focus on resource assistance, as UO Portland has no on-campus housing.

## 8.2 The COVID-19 Monitoring and Assessment Program (MAP) Team

The UO's COVID-19 MAP team is the group responsible for establishing a CLIA-certified laboratory at UO for processing and reporting test results, and creating processes for sample collections. COVID-19 MAP is co-led by an associate vice president for research and professor in the College of Education and Prevention Science Institute; the executive director of the presidential Data Science Initiative and professor of biology; and the university's chief procurement officer. It includes more than 50 additional UO members, including a lab director and lab technicians, a field collection team, a data science team, a community collaboration team, and graduate students and faculty from multiple departments. The COVID-19 MAP project plan includes the following elements:

- Create a baseline understanding of the prevalence of COVID-19 at UO and its surrounding community through regular surveillance testing;
- Employ epidemiological models to forecast the spread and prevalence of COVID-19 in the population as the level of public activity changes and as new students join the population;
- Use the results of the modeling to recommend strategies that local officials and university leaders can enact to suppress the spread of COVID-19 as activity and population changes occur; and
- Provide data that can be used to validate and improve the efficacy of intervention strategies through continued surveillance testing.

This project is the best way to both leverage UO's strengths and to fulfill UO's mission in its response to the COVID-19 crisis. It is hoped that the results of this project, along with other mitigation efforts, will create a pathway for UO to safely reopen for on-campus activity in the fall 2020 term. UO is not on an island; the success of the project is dependent on effective coordination with local health authorities and community partners and is meant to benefit the greater UO community as well.

### 8.2.1 MAP Capacity Overview

- The University of Oregon has established a CLIA certified laboratory ~~in Pacific Hall 5 and 6.~~
- The laboratory presently has ability and capacity to run FDA-approved qPCR tests using swabs
- The laboratory is working to expand capacity in three ways:
  - Begin testing saliva with FDA authorization through SalivaDirect protocols as well as nasal swabs with qPCR and eventually with NGS
  - Increase lab automation through robotics and automation of sample tracking
  - Expand the number of tests that can be processed at a time by utilizing next generation sequencers (NGS) in addition to qPCR

~~More information about the MAP testing can be found in Appendix E.~~

## 9.0 Contact Tracing and Contact Monitoring

The UO supports the county's contact tracing efforts through an intergovernmental agreement with LCPH by which the UO provides its Student Corps to Combat Coronavirus (or "Corona Corps" for short) to reach out to contacts of positive cases in Lane County (which includes the UO community) to monitor symptoms, connect contacts to testing if warranted, and to connect contacts to case managers who can help them with resource assistance for the duration of their 14-day or longer quarantine period. The contacts are assigned to the Corona Corps by LCPH and may include UO students or employees. If a Corona Corps member knows a contact, they are asked to abstain from calling the individual and another caller would be asked to do so. LCPH and UO partnered on extensive training for the Corona Corps members, and the work commenced July 1, 2020. HIPAA and FERPA regulations are a focus of the training.

The Corona Corps call center is located inside the UHS building, and is staffed from 8:00 a.m. to 5:00 p.m., seven days a week. ~~There are 16 core members working three-hour shifts, four members at a time, to staff the call center, equaling 6.3 FTE. Additional students ("reserves") are continuously~~Staffing reserves are being recruited, trained, and prepared to scale-up to 19 FTE should the cases in the county surge. Surge deployment of the reserves is at the direction of LCPH. The Corona Corps is a collaboration between the Global Health Institute and the UHS, co-directed by a faculty member from the psychology department and a public health professional from the UHS.

**Commented [AH2]:** Will likely need to adjust these numbers to reflect current staffing. We may also want to just omit this since it will likely fluctuate.

**Commented [ALD3R2]:** I would propose we just remove the specifics on the staffing levels.

### 9.1 COVID-19 Campus Case Management Response and Support

Students and employees impacted by COVID-19 may need support for daily living in order to comply with isolation (for those individuals testing positive for COVID-19) or quarantine (for those individuals who have been within close contact of someone with confirmed COVID-19). Isolation and quarantine can have a serious impact on students living on and off campus, as well as on employees. Social services and wraparound support that UO can uniquely provide to its students and employees to help keep them in isolation and quarantine will help UO control the spread of COVID-19. Employees—and supervisors—also need help in navigating the human resources processes related to COVID-19. More information about the campus case management response and support can be found in Appendix D.

#### 9.1.1 Support for UO Students and Employees: The COVID Care Response Team

As a result of the community's experience in early summer 2020 with the "college-age cluster" of cases, which included students from the UO community and large numbers of contacts associated with cases in this age population, LCPH asked the UO to help with supporting its students and employees with case management (resource assistance). Furthermore, an enterprise-wide system of support for students and employees is needed to support university activities related to COVID-19, including through the creation of a sustainable structure for managing cases and contacts and providing assistance not only to students and employees but also to supervisors.

The IMT Case Management Team (CMT), is working to develop a centralized structure or hub called the COVID Care Response Team. This team would be created through a collaboration between the UHS, the DOS, and HR, and would work at the direction of the branch director of the CMT (who also is a public health professional and leader within UHS). To meet LCPH's interests, this team can become a resource to not only the university but also to members of the university community, by LCPH request and as

capacity warrants. Should excess capacity be available, case management services also could be provided to members of the broader Lane County community.

The COVID Care Response Team will handle intake of information regarding cases and perceived/possible exposures on campus, provide first-tier guidance with regard to workplace issues, and provide resource assistance to UO community members identified as cases and contacts to properly isolate and/or quarantine, which may include referrals and support related to basic needs, such as access to food, health care, mental health, and financial support (these vary depending on the individual's affiliation (student vs. employee), as well as referrals to more extensive support (e.g., the Employee Assistance Program for employees).

#### 9.1.2 Isolation and Quarantine Protocols for Residential Students

Isolation is used for individuals who test positive for COVID-19, and its purpose is to slow the spread of the disease by separating positive individuals from people who are not infected.

Quarantine is used for individuals who may be exposed to a positive case, and its purpose is to slow the spread of the disease by separating and restricting the movement of individuals who were exposed to minimize the exposure of others and to monitor them if they become symptomatic.

University Housing has set aside an inventory of 245 isolation/quarantine rooms for students living in UO residence halls (about 4 percent of total inventory, in accordance with national guidelines). When a UO Housing student is identified as a confirmed COVID-19 case or contact, or has symptoms without a better explanation, the student is assigned to a new isolation or quarantine space with a private bathroom. If there are multiple students who have tested positive at the same time, in selected cases, it may be possible to cohort them in rooms with a shared bathroom. Students who are positive cases or contacts are instructed to not leave the isolation or quarantine space unless they are instructed to do so by the UHS, their medical provider, or LCPH. Isolation procedures are coordinated between the CMT, the COVID Care Response Team, UHS, LCPH, and University Housing. University Dining Services provides food delivery in a way that requires no contact between delivery person and isolated resident. Custodial staff will use appropriate PPE when cleaning isolation and quarantine spaces. Residence Life staff will provide appropriate community care and programming remotely. UHS staff provide daily health checks for isolated students who are positive cases. If the UHS cannot reach a student, a welfare check will be conducted only after the following has been determined:

- Depending on the scenario, if the student has not been reached by anyone within the past 2-4 hours.
- Dining Services confirms that they have missed a meal.
- Professional staff on call have knocked on the door and put a note under the door to try to contact the student and ask the student to state verbally that they are there and okay.

Residential students at OIMB will isolate in their own room with food delivery provided by OIMB management. If they do not have their own room, they will be moved to the residential dining hall so they may isolate there. OIMB management will contact the student once they are isolating to review the information about isolation and confirm that meal delivery needs will be met.



### 9.1.3 Responding to Reports of Employee Cases and Exposures

HR and UHS have developed a set of case/contact scenarios, with associated action steps to be taken. These scenarios will be shared with employees and supervisors. Supervisors are also advised to contact the Employee and Labor Relations team in HR for further assistance as needed. The COVID Care Response Team outlined above is also an initial resource for supervisors, employees, and employment-related concerns.

## 10.0 Concerns Specific to Off-Campus Students

The Dean of Students office coordinates educational communications to students living off-campus, in partnership with University Communications. This includes, but is not limited to, expectations on student behavior and campus support referrals.

- Respond to “student of concern” reports submitted by local community members. This includes outreach to students as well as reporting parties.
  - Send out educational notice for first-time offense. Track receipt of messages and respond to follow-up questions.
  - Forward to Student Conduct and Community Standards for multiple offense, egregious behavior, or student group situations.
- Assist students living off-campus who become impacted by COVID-19: communicate university resources, coordinate care efforts, and respond to student inquiries. Coordinate outreach efforts with the CMT and the COVID Care Response Team.
- Serve as a liaison between the UO campus and local area landlords and property managers to address student concerns. Coordinate monthly briefings for this group to foster a positive, collaborative relationship.
- Conduct assessment to determine the number of students living off-campus and their needs of the university.
- Serve as point of referral for Parent and Family Programs when parents reach out for student assistance off-campus.

## 11.0 Athletics

UO Athletics has been working with various campus, public health, and medical advisory entities to implement a thoughtful, cautious strategy to support appropriate phased progressions to return to sport prioritizing the safety and health of the UO student-athletes while minimizing all public health risks. The entities include the NCAA, Pac-12 Medical Advisory Board, and UO IMT, who also insure collaboration and compliance with directives from LCPH and OHA.

Student-athletes have been invited back in small groups to manage a measured onboarding process, which includes seven days of self-isolation upon return to Eugene, conducting an antibody test to direct additional medical assessment, PCR test for coronavirus, and a health assessment and physical examination by athletic medicine staff prior to initiating activity.

Practices include directed traffic flow through facilities to maintain physical distancing, requiring face coverings, scheduling access to limited facilities, conducting activities in small groups, sanitizing equipment after each use and facilities throughout the day, as well as multiple education opportunities to emphasize the importance of following established health and safety requirements.

Physical activities have been initiated through a staged approach starting with voluntary strength and conditioning workouts in consistent cohorts over the past few weeks. A protocol to begin sharing equipment with additional sanitation was recently implemented, with plans to progress training in functional units and gradual exercise progressions; the goal is to implement all safety recommendations when it is permissible to move to full practice. UO Athletics continues to receive updated guidance from the NCAA and Pac-12 Medical Advisory Board and their experts to monitor testing methodologies, implement serial testing protocols, and to follow all best practices as we move toward returning to competition. These include established sport classifications based on contact risk to determine testing frequency and timing based on types of activities and competition considerations, universal masking, protocols for game officials, and team travel. Strategies for resumption of activities following a positive test have been established for asymptomatic and symptomatic individuals and those who are quarantined as a high-risk contact.

Criteria to continue training progressions are defined relative to ability to limit and isolate new cases, perform adequate contact tracing, and ability to quarantine high-risk contact cases, availability and ability to perform symptomatic surveillance or pre-competition testing when warranted, campus-wide or local community test rates that are considered safe by local public health officials, local public health officials state that there is an ability for the hospital infrastructure to accommodate a surge in COVID-related hospitalizations. Finally, the importance of risk reduction for student-athletes when away from the athletic arena cannot be overemphasized.

## 12.0 Non-Educational Public Health Guidelines for COVID-19

UO operations, beyond in-person instruction, research and residential activities (including but not limited to on-campus childcare, youth camps, administration, athletics, retail businesses, and restaurants), must comply with other applicable Executive Orders and sector-specific OHA guidance, including guidance applicable to the re-opening phase where the county, college, or university is located. With regard to industry-specific guidance, namely retail, restaurants, childcare, and camps, the IMT works with, and serves as a resource for, the relevant units outlined below as they work to ensure compliance with COVID-19 related changes to the existing industry specific standards they typically follow. New processes have been implemented to ensure compliance with guidelines for venues, events, and travel. These are outlined below.

### 12.1 Non-Higher Education OHA Guidelines

The UO will adhere to all sector guidance as it is updated. Effective November 18 – December 2, 2020, Executive Order 20-65 Temporary Freeze to Address Surge in COVID-19 Cases in Oregon.

OHA COVID-19 Guidance	UO Operations
Guidance for Employers	All UO employees, contractors, and vendors.
<a href="#">Retail</a>	All retail operations on UO owned, controlled, or leased property, e.g., EMU and café shops.
<a href="#">Outdoor Recreation</a>	All outdoor recreation activities on UO owned, controlled, or leased property, e.g., Student Recreation Center and EMU.
<a href="#">Restaurants</a>	All restaurants on UO owned, controlled, or leased property, e.g., EMU, Living Learning Center, and University Catering.
<a href="#">Childcare</a>	All childcare facilities on UO owned, controlled, or leased property, i.e., Vivian Olum and Moss Street Child Development Centers and the Co-op Family Center at Spencer View Apartments.
<a href="#">Camps</a>	All UO affiliated camps held on UO owned, controlled, or leased property.
<a href="#">Venue and Event</a>	All events held on UO owned, controlled, or leased property, e.g., Jordan Schnitzer Museum of Art, Matthew Knight Arena, and EMU.
<a href="#">Travel</a>	All UO related travel, e.g., domestic and international travel for faculty, staff, and students.

### 12.2 Venue and Events

The criteria set forth in this section is subject to change dependent on guidance from the OHA and the CDC. The IMT will continue to monitor guidance and update this section as needed.

Campus spaces and buildings are only open to members of the general public that are involved in an approved university endeavor. Only UO-affiliated programs will be allowed to host educational or research camps, clinics, and activities on campus.

Criteria for resumption of campus events includes the following:

- Activities on the UO campus or UO-managed properties. If seeking approval for an event that involves travel, refer to UO Travel Waiver.
- The university department that manages the property providing the event venue must have its resumption plan approved by IMT before the event may be considered. Approved venue staff

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will be trained in current OHA guidelines and UO procedures to assist event organizers through the planning process.

- Single-day activities only. Overnight activities are not permitted in the current phase.

In the process of planning the event, organizers must:

- Develop physical distancing plans based on current requirement of 35 square feet per person as outlined in OHA Guidance for Gatherings. Most spaces on campus have already been assigned new capacity numbers based on IMT's accepted practices.
- Develop cleaning and disinfecting plan for high touch points and equipment.
  - Restrooms will be the responsibility of building custodial staff at the cost of the event.
- Develop plan, including adequate and visible signage throughout the venue, to actively promote COVID-19 prevention activities to staff and participants:
  - Encourage people to stay home if they have COVID-19 symptoms and/or if they are at risk for severe complications (over age 65 or have underlying medical conditions).
  - Require people to wear a face covering as currently ordered by the OHA.
  - Encourage guests to practice good hand hygiene with frequent handwashing for at least 20 seconds or use hand sanitizer (60-95 percent alcohol content).
  - Encourage guests to cover coughs/sneezes with elbow or tissue. If a guest uses a tissue, they should immediately discard the tissue in garbage and wash their hands.
  - Encourage guests to avoid touching their face.

Campus event resumption requests are evaluated based on:

- Compliance with university core mission of education and research.
- Physical distancing and cleaning/disinfecting plans.
- Facility availability, with attention to rooms and/or buildings that may not be available due to preparation for fall term.
- Availability of custodial staff to support cleaning and disinfecting requirements.
- Current OHA phase guidelines.

### 12.3 Travel

The criteria set forth in this section is subject to change dependent on guidance from the OHA and the CDC. The IMT will continue to monitor guidance and update this section as needed. Effective March 15, 2020, all non-essential university travel, both international and domestic (including local travel by motor vehicle), was suspended until further notice. Faculty and staff may submit a travel waiver petition for essential travel—with the approval of their respective dean or vice president—to the IMT Travel Advisory Group using the travel waiver request form. The UO IMT tracks the COVID-19 situation for campus and responds as quickly as possible to sudden changes in travel restrictions.

<https://coronavirus.uoregon.edu/travel>

## 13.0 Campus Engagement

The UO established several work groups to focus on key aspects of engagement, including student engagement, student crisis response, and employee engagement. The goals for the engagement work groups were to:

- Develop agile strategies and direct action to minimize the disruption to UO students, faculty, and staff through effective communication, engagement, academic planning, research, and service; and
- Identify opportunities to inspire UO students, faculty, and staff to actively engage in and accelerate the university's recovery and strengthen its mission.

The work of an academic continuity work group, which is described elsewhere in this plan, includes a focus on faculty/instructor engagement as part of its work. The work of a research continuity work group, also described elsewhere, includes a focus on researcher engagement as part of its work.

### 13.1 Student Engagement

The student engagement work group, along with partners across the university, is working to ensure that the UO provides "the greatest level of choice and flexibility to equitably support student access and success in their education while minimizing risks to students and staff." (*HECC-OHA Guidance, Key Principles, p. 1*). Throughout this work, the group is committed to "prioritizing equity and addressing racial disparities on all responses," as encouraged by the *State of Oregon Equity Framework in COVID-19 Response and Recovery*.

With respect to student engagement, efforts include:

- The promotion of safe, physically distanced small-group engagement opportunities that are face-to-face (preferably outdoors), remote, and/or hybrid;
- Alternative programming that allows students to engage with UO and be constructively and creatively connected to peers and faculty, whether on campus or remote;
- Inclusive communication to various stakeholders using multiple methodologies and accessible formats and messaging that reinforces the importance of ways to reduce health risks;
- Targeted student advising and student support services that are conducted remotely or safely distanced when in-person;
- Supporting student-sponsored groups so they may hold safe, successful engagement activities by developing tools, providing infrastructure and access to appropriate space, and logistics, etc.;
- Engaging with and empowering a diverse range of student advisory groups to inform and influence planning and implementation;
- Disaggregated data-informed decision making on student engagement strategies; and
- Widespread campus consultation on planning, implementation, assessment, and improvement.

The primary objective ~~of the with~~ student engagement ~~work group in support of these goals~~ is to achieve institution-wide coordination and alignment of student outreach and engagement strategies and tactics to ensure student retention and success are not disrupted by COVID-19.

The student engagement work group is charged with the following:

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- For ~~fall term and~~ academic year 2020-21, envision the future of student engagement at UO, through:
  - Creation of an evidence-based, student engagement theoretical framework that informs decision-making, including operational changes and new offerings;
  - Enhancing strategic collaboration and campus partnerships; and
  - Ensuring academic and social integration through effective student engagement experiences, with attention to the creation and management of students' expectations.
- For ~~fall term and~~ academic year 2020-21, create meaningful connection opportunities and community for students to improve student retention and success. In doing so:
  - Ensure support and care are provided to undergraduate and graduate students, paying special attention to the unique needs of underserved and underrepresented students.
  - Establish a system and process for tracking and sharing student outreach and engagement activities.
  - Ensure students are aware of and connected to resources and engagement opportunities.
- Explore and execute strategies to link, align, and leverage outreach and engagement initiatives including coordinated outreach and inter-unit referrals.
  - Develop and implement cross-functional initiatives as appropriate to maximize student engagement impact.

There are three sub-groups within this work group engaged in the following areas:

### Engagement Initiatives and Events Tracking and Coordination

- Develop a system or process to document and share comprehensive student engagement activities and opportunities between campus offices. This involves:
  - Developing a master calendar that includes 2-3 large programmatic efforts each week of fall term that can be promoted in advance to incoming and returning students.
  - Identifying overlap and gaps in student opportunities and offerings.
  - Considering opportunities that provide faculty connection and peer-to-peer connections.
  - Increasing intentional collaborations across key units in order to increase creative offerings for students that increase their sense of belonging.
  - Aligning co-curricular efforts in a collaborative manner as to honor a potentially reduced work force.
  - Considering an assessment framework for a student engagement program or activity to understand impacts and effectiveness and inform improvements to current practices.

### Operationalizing Student Co-curricular Connections and Logistics

- Consider implications of a modified fall term, develop a logistical approach, while maintaining effective connections, equity, and health and safety:

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- How can programming shift to accommodate smaller-sized crowds?
- What infrastructure, technology, or tools are needed to successfully deliver engagement opportunities while maintaining physical distancing?
- How can we align promotional efforts to students in a virtual format?
- How to ensure opportunities are designed with equity in mind (e.g., universal design, the Division of Equity and Inclusion's LACE Framework).
- Serve as consultants for creative adjustments to programming for student groups and others planning events including providing support to ensure they are active and actively engaging students.

### Stakeholder Outreach

- Coordinate and align outreach to students in a virtual format.
- Coordinate stakeholder outreach around student engagement.
- Identify and target students who are not engaged by:
  - Inter-unit referrals and partnership.
  - Student engagement capacity building, growth mindset, help-seeking.
  - A framework of Love Authenticity Courage and Empathy (LACE)

#### 13.1.1 COVID-19 Student Crisis Response

The primary objective of the student crisis response work group is to ensure intra-institutional awareness of various student crisis support strategies and tactics to allow for better prioritization, collaboration, and resource allocation, and to create opportunities to link, leverage, and align university resources and stakeholders.

This work group's charge is to:

- Serve as an advisory team focused on coordinating emergency funding for students across campus.
- Take stock and inventory of crisis funds available across campus.
- Develop materials to make students aware of fund availability and eligibility criteria.
- In collaboration with the Office of the Vice President for Finance and Administration/CFO, the Business Affairs Office, the Office of Student Financial Aid and Scholarships, monitor available federal CARES Act emergency funds for students, developing programs to assist students, and monitoring usage of the funds.
- Assist the Office of Development in fundraising for the Students in Crisis Fund as requested. This fund is a program through which gifts may be made to support UO students in need during this critical time.
- Refer to financial literacy resources and advise financial wellness center (when up and running) of trends noticed in students.
- Advise on assessment needs to measure impact of granted funds.
- Serve as an advisory group to campus.



### 13.1.2 Student Community Behavior Expectations

A work group has been convened to consider the community standards and behavior expectations for students that support health and safety during the COVID 19 pandemic.

The UO has identified the need to fully communicate broadly what the expectations are for the campus community regarding health and safety in relation to COVID 19. A key part of this is ensuring that student behaviors and activities support the institutions goals for personal and public health.

The work group's charge includes the following:

- Ensure that health and safety standards are communicated effectively to students.
  - Anticipate and prepare for implications of, and reactions to, COVID-19 public health mandates (e.g., face covering requirement, physical distancing).
  - Civil rights and equity considerations related to such mandates or new standards.
  - How to get buy-in from students related to the new health and safety standards.
- Implications of a modified fall term in advance.
  - Communication about community COVID-19 safety standards.
  - Work with Communications staff to set a campaign focused on education and enculturation.
  - Enforcement of COVID-19 safety standards and discipline process.
  - Partnering with other IMT work groups to infuse community expectations in the classroom, at events, and in off-campus environments that involve large numbers of students.
- Coordination and engagement of off-campus housing (including FSL chapter houses).

This work group is also the primary point of contact for those with a stake in the behavior of students who live in off-campus, non-UO housing. The work group plans to host a series of virtual meetings with these stakeholders to present community expectations and communication strategy and campaign information, and to share campus resources as ways to increase partnerships. Meetings will be sought with the following constituents:

  - Property managers
  - Neighborhood association board chairs
  - Board of the University District Business Association
  - Mayor and city council
  - UO's Religious Director's Association

### 13.1.3 Fraternity and Sorority Life (FSL) Engagement

The university, through a dedicated team in the Office of the Dean of Students maintains regular contact with fraternities and sororities, as well as individual members. Many have been looking to the UO for guidance. Within the context of the pandemic, the FSL team created a [section on its blog](#) where resources and local, state, and federal guidance are shared.

While limited in terms of regulating FSL chapter facilities, the current Student Conduct Code failure to comply violation gives the university some ability to extend oversight to organizations as it relates to behavior.

The DOS ~~has-is been working-s~~ with LCPH to arrange a meeting between LCPH and the FSL facility on periodic basis to share information and resources on prevention-owners this summer.

~~In the fall-term, the~~ DOS ~~is asking~~ presidents of fraternities and sororities to complete a workbook, modeled after a similar document at Washington State University, that covers several areas related to the pandemic, i.e., behavioral expectations, meetings and social activities, communications related to COVID-19 cases and exposures, meal service, sleeping arrangements, cleaning, restrooms, and visitors/guests.

### 13.2 Employee Engagement

Employee engagement efforts assist in supporting an inclusive campus environment that values diversity. ~~This work includes: e-employee engagement work group's charge:~~

- Share and track what existing programs and policies can be leveraged to increase individual employee engagement as well as empower and assist managers and supervisors to increase and enhance the engagement of those they supervise.
- Collect and communicate:
  - Ideas for engaging and motivating a creative workforce via a variety of relatively low-cost solutions along with providing resources and templates;
  - Approaches to consistently recognize and value employees in both large and small ways at all levels of the organization;
  - Methods and resources so that engagement and recognition ideas may be adapted for individual units, and
  - Resources for supervisors to build their skills to support innovation, creativity, and engagement.
- Link, align, and leverage employee engagement efforts, resources, and initiatives to complement and enhance each other and their impact on the campus community.

#### ~~Learning Objectives:~~

- ~~• Understand the value of employee recognition and engagement.~~
- ~~• Gain awareness of resources for developing more engaged employees.~~
- ~~• Develop creative problem-solving strategies.~~

#### 13.2.1 COVID-19 Employee Safety ~~Reopening~~ Committee

The UO COVID-19 Employee Safety Committee is an ad-hoc joint university committee consisting of members of the administration and representatives of the various employee groups. This includes five unions: the Graduate Teaching Fellows Federation, United Academics (faculty), Service Employees International Union, UO Police Association, and Teamsters. Other employee groups represented include the Officers of Administration Council (non-union association for UO administrative staff) and unrepresented faculty.

The committee meets ~~regularly~~ to discuss and provide feedback on safety and planning issues related to reopening that involve employees. The institution also provides regular planning updates to the group, engages them on implementation questions, and seeks their feedback on policy concepts and how to best educate UO employees with respect to reopening and the various health and safety strategies and protocols.

## 14.0 Communications and Marketing Plan Summary

University Communications is responsible for communications and marketing counsel and support for the UO's plans to resume safe and responsible on-campus learning, working, living, research, and experiences. This is vital to meet the UO's mission of teaching, research, and service, and ensure the institution's long-term success.

A leadership team is overseeing the work several dozen communicators across campus who staff daily an IMT Communications command center as well as provide strategy, create content, deploy messages across channels, and measure success in support of the university's COVID-19 response and planning.

### 14.1 Integrated Communications and Marketing Objectives

- Meet requirements – Meet OHA state requirements in COVID-19 plan for communicating about health guidance, control measures, policies, and expectations about personal health behaviors, positive cases, and case management.
- Influence health behaviors – Educate and inspire individuals to take personal actions that safeguard themselves and community members.
- Instill confidence and trust – Demonstrate expertise, care, coordination, and best practices for resuming on-campus activities and continued response to COVID-19.
- Enhance and protect reputation – Demonstrate the UO's impact and importance in educating students and creating discovery.

#### 14.1.1. Key Messages

- Health is our top priority – The UO cares about its community. The university is safeguarding health and safety by taking measures to reduce the spread of COVID-19.
- Protect yourself, protect your community – Each of us can help limit the spread of COVID-19 by taking personal responsibility to:
  - Wash your hands. Don't touch your face
  - Wear a face covering when inside or near others while outside
  - Check for symptoms and stay home if you are sick
  - Keep 6 feet apart. Avoid large gatherings
- We care about our students' futures and our community's recovery – We are working hard not to disrupt the educational journeys of our students. Safe, responsible in-person learning, living, and research are important for student success, innovation, and the community's economic health.
- We help solve COVID-19 challenges – The UO is taking a lead role in helping our community respond to COVID-19, recover, and get back to life, through activities and research.
- We value and appreciate our faculty, staff, and employees – We are grateful to employees' resilience, recognize their challenges, and are working to address their concerns and engage them in solutions.

## 14.2 Areas of Focus and Strategies

### 14.2.1 Operations and Resumption

Communicating about COVID-19 impacts on operations and plans and measures designed to help limit the spread of COVID-19.

## University of Oregon's COVID-19 Health and Safety Operational Plan

The university is communicating regularly and consistently about the following topics to plan for in-person activities:

- Health authority guidance and state orders
- Status of university operations and activities and alert levels
- University actions, policies, and space or scheduling modifications to help limit the virus' spread
- Expectations and policies related to personal health behaviors
- Information on positive cases, testing, and contact tracing

### *Strategies for sharing information:*

- Direct emails from leadership to faculty, staff, GEs, and students related to major operational status decisions, and targeted email to supervisors, deans, and directors.
- COVID-19 Updates – Twice weekly (or more frequently) emails to all faculty, staff, and students about regulations, planning, positive cases, technology support, and other COVID-19 issues
- *Around the O* and *Workplace* emails – Weekly email on employment-related COVID-19 news, daily stories explaining actions, operations, or regulations
- Dedicated webpages – Regular updates to webpages and FAQs to reflect any new information
- Social media – Regular updates to all UO channels about operations
- Town hall meetings and webinars
- Signs, posters, stickers, and banners that make clear operational stance, physical distancing, and other regulations or expectations
- ~~Call center and eD~~ Dedicated feedback/questions email – We staff a dedicated ~~call center and~~ email web form to answer questions from staff, students, parents, faculty, and the community about the impact of COVID-19 on the university and how we are responding.

### 14.2.2 Health Behaviors Communication

Communicating policy and influencing UO community members to take actions that protect themselves and others through their personal health behaviors.

University Communications is producing a comprehensive marketing and communications campaign to reinforce adherence to the federal and state guidelines promoting safety on the UO campus. Communications will provide a toolkit of resources, reminders, advertising, and guidelines to support key health behaviors. The campaign will leverage existing communications channels to amplify the core messaging to resuming in-person activities.

Strategies for influencing behaviors:

- Design surveys and closely monitor channels to keep relevant data coming into the team.
- Normalize behavioral change on and off campus. Increase individual awareness of community participation in behavioral change. (e.g., via social media campaign, making masks available, releasing survey data).
- Leverage social media channels and peer influencers to bring relevance to the situation and personalize for individuals and specific student groups. (e.g., illustrate the chain of infection, the severity of what is going on, facts and information campaign).
- Produce videos that supply facts but also engage with students.
- Provide tools, data, and talking points for individuals to participate in health-promoting behavior.

- Design opportunities for peer-to-peer influence.

#### 14.2.3 Case Management, Testing, and Contact Tracing Communications

Informing the UO community and public about positive cases at UO and related impacts. Communicating about the COVID-19 Monitoring and Assessment Program (MAP) and how it is helping the UO community and beyond.

Campus positive case response: University Communications works in collaboration with the UHS to provide timely updates on all positive and presumptive positive COVID-19 cases among UO students and employees who are in Eugene, Portland, or Charleston. Information is posted on the dedicated UO COVID-19 Cases webpage and shared via email in the COVID-19 Update as soon as cases are confirmed by the county health authorities and conveyed to Communications via the UHS.

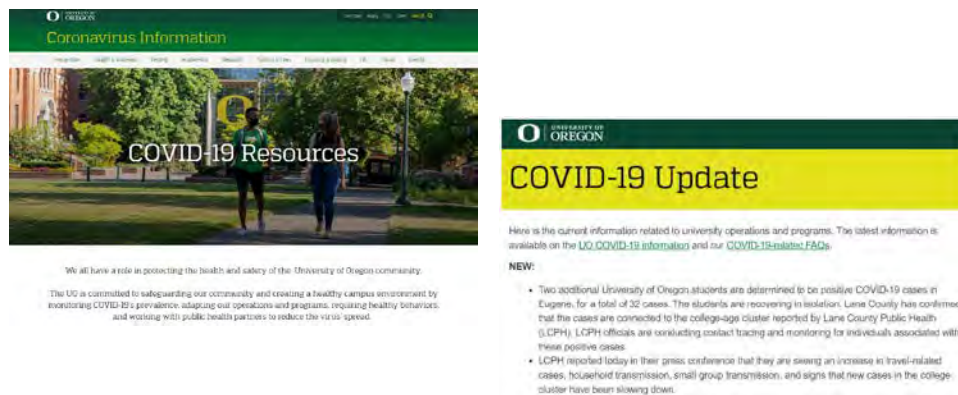
Contact tracing: University Communications has two representatives on the UO COVID-19 case management branch to guide the group in communications protocols for UO cases on and off campus in Eugene, Portland, and Charleston, and the UO-guided contact tracing associated with those cases.

Testing: University Communications supports the UO COVID-19 Monitoring and Assessment Program with message development, participant communications, media relations, and talking points. Communications also works with University Advancement in donor-focused messaging to raise funds for the program.

#### 14.2.4 Research and Community Impact

Communicating about UO research, instruction, and services that help create COVID-19 solutions and knowledge. University Communications is sharing through owned, shared, and earned channels the stories of COVID-19 research by faculty and service projects by the university.

### 14.2.5 Examples of Campus Communication



### 14.2.6 Examples of Campus COVID-19 Prevention Posters



## 15.0 Policies, Enforcement, and Complaint Process

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***Internal enforcement and complaint process:*** Each college and university must designate an employee or officer to implement and enforce, or supervise the implementation or enforcement of, the requirements in paragraph 3, the written plan described in paragraph 4, and such other related guidance as the HECC may promulgate. Each college or university must establish or designate a complaint process or processes for receiving and responding to concerns regarding these matters.

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EXECUTIVE ORDER NO. 20-28 OPERATION OF HIGHER EDUCATION INSTITUTIONS DURING CORONAVIRUS PANDEMIC

### 15.1 Policies

Safety is the responsibility of all UO employees and students. Observations of unsafe actions or conditions should be reported to the university. The following UO policies outline the responsibilities and expectations for the campus community around safety compliance.

Below are links to two of the primary policies:

[Policy Number IV.05.10 Pandemic Response Regulations \(Temporary Policy\)](#)

[Policy Number IV.05.01 Safety - Physical Space and Environment](#)

### 15.2 Enforcement

The IMT's Incident Commanders ~~are~~ **are** designated to implement and enforce, or supervise the implementation and enforcement of, the standards and requirements provided by OHA and established in this plan.

Human Resources is designated to oversee the implementation and enforcement of the OHA standards and requirements for all employees. Employees who do not comply with these safety policies and expectations are subject to progressive discipline in accordance with any collective bargaining agreements and/or employment contracts in place.

The Office of Student Conduct and Community Standards is designated to oversee the implementation and enforcement of the OHA standards and requirements for all students. Students who do not comply with these safety policies and expectations are subject to progressive discipline in accordance with the Student Code of Conduct.

### 15.3 Complaint Process

COVID-19 related safety complaints or concerns can be directed to a centralized [reporting form](#) located on the UO Coronavirus website. Any type of safety concern can be reported: face covering violations, not maintaining physical distancing, or other concerns. Reporting parties can leave their name or remain anonymous. The reports are routed in the following ways: reports about students go to the Office of Student Conduct and Community Standards, reports about individual ~~employees go~~ **employees go** to Employee and Labor Relations, and reports about departments or non-individual reports are routed to Environmental Health and Safety.

~~August-December 27~~ **14**, 2020

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## 16.0 Community Recovery and Engagement

The Community Recovery and Engagement branch has convened several local meetings between the City of Eugene, City of Springfield, and Lane County. These meetings have been designed to bring recovery efforts together to improve communications, expedite processes, reduce duplication of work, and find opportunities to collaborate on regional recovery efforts between the public agencies.

The Institute of Policy Research and Engagement (IPRE) and its program Resource Assistance for Rural Environments (RARE) have developed strong partnerships with seven of Oregon's 12 [Economic Development Districts](#), reaching about three quarters of the state's geographic area. Through RARE's partnership with Ford Family Foundation, Oregon Main Street, Travel Oregon, Oregon Food Bank, and Energy Trust of Oregon, RARE's AmeriCorps members will be working across the state helping to build economic recovery and resiliency plans in rural communities. IPRE is working with Business Oregon, League of Oregon Cities, and Association of Oregon Counties to develop recovery and resiliency frameworks in support of member communities and businesses. Additionally, there are plans to engage further with Oregon Business Industry, Greater Portland Inc., and the various chambers and business associations across the state to support a statewide economic recovery that will be critical to the long-term health of the state of Oregon.

Published white papers from IPRE on [economic recovery](#) and [testing and contact tracing](#) have received wide distribution and sparked questions and conversations about the most effective ways to rebuild the economy and keep Oregon open and healthy. More white papers are in the works.

Below are the mission, charge, and objectives of the division.

### 16.1 Community Recovery and Engagement Mission

- Broadly supporting response and recovery efforts throughout the state

### 16.2 Community Recovery and Engagement Work Group's Charge

- Conveners, connectors, partnership builders, boundary spanners
- Connect across disciplines
- Convene people and create a framework for statewide recovery
- Create partnerships around needs that can create significant impact
- Use expertise to develop recovery frameworks that we can share with others
- Align existing efforts to reduce duplication of effort
- Leverage university's knowledge and connections to support recovery

### 16.3 Community Recovery and Engagement Workgroup's Activities

#### 16.3.1 Economic Impact and Recovery

- White paper: [The Roadmap to Keeping Oregon Open Part I: Establishing the COVID-19 Capacity for Testing and Contact Tracing Required to Keep the State Safe and Open](#)
- Modeling out scenarios, convening experts on economic topics
- Developing and supporting public-private sector models that support private business activity
- White paper: [Responding to the Economic Impacts of Coronavirus: A Proposed Oregon Economic Recovery and Resilience Framework](#)



#### 14.3.2 Applied Research

- Offer community organizations and municipalities research expertise to address complicated issues and support policy
- Equity and inclusion professionals, both administrative and research
- [Institute for Policy Research and Engagement](#) / [Resource Assistance for Rural Environments](#)

## Appendix A: University of Oregon Pandemic Plan

[https://www.uoregon.edu/sites/www2.uoregon.edu/files/uo-eop\\_part-111\\_annex-i-pandemic\\_060514\\_rev02-2020.pdf](https://www.uoregon.edu/sites/www2.uoregon.edu/files/uo-eop_part-111_annex-i-pandemic_060514_rev02-2020.pdf)

## Appendix B: Governor Brown's Executive Order N. 20-28

[https://www.oregon.gov/gov/admin/Pages/eo\\_20-28.aspx](https://www.oregon.gov/gov/admin/Pages/eo_20-28.aspx)

## Appendix C: Oregon Health Authority's COVID-19 Standards

<https://www.oregon.gov/highered/about/Documents/News-Updates/OHA-HECC-higher-education-health-standards-covid-FINAL.pdf>

## Appendix D: Additional Information on Case Management and Case Response

### The COVID Care Response Team

As a result of the community's experience in early summer 2020 with the "college-age cluster" of cases, which included students from the UO community, and large numbers of contacts associated with cases in this age population, LCPH asked the UO to help with supporting its students and employees with case management (resource assistance). Furthermore, an enterprise-wide system of support for students and employees is needed to support university activities related to COVID-19, including through the creation of a sustainable structure for managing cases and contacts and provide assistance not only to students and employees but also to supervisors.

The IMT Case Management Team, ~~is working to develop~~has developed a centralized structure or hub called the COVID Care Response Team. This team ~~would be~~was created through a collaboration between the UHS, the DOS, and HR, and would work at the direction of the branch director of the CMT (who also is a public health professional and leader within UHS). To meet LCPH's interests, this team can become a resource to not only the university but also to members of the university community, by LCPH request and as capacity warrants. Should excess capacity be available, case management services also could be provided to members of the broader Lane County community.

The scope of work for the COVID Care Response Team for students, employees, and supervisors will include the following:

- Intake of notifications from supervisors, UHS, and LCPH regarding cases and perceived/possible exposures on campus. This information would be input into an existing confidential system for tracking purposes.
- Work with University Communications to adequately communicate about the cases on the UO website and via COVID-19 email updates, in accordance with Clery Act reporting requirements.
- Navigation of HR policy surrounding leave and remote work for employees and supervisors.
- Provision of guidance to supervisors on how to manage individuals who test positive in the workplace.
- Wraparound services or resource assistance that helps UO community members identified as cases and contacts to properly isolate and/or quarantine for the correct amount of time as prescribed by LCPH. This assistance can include referrals and support related to basic needs:

## University of Oregon's COVID-19 Health and Safety Operational Plan

- Food – Guide individuals on how to order groceries online or from local grocery stores. Refer qualified individuals to the Student Sustainability Center, UO Food Pantry, or the Duck Nest to apply for food security resources such as SNAP.
- Housing – Provide support to students who are able to quarantine in their existing home and how they need to disinfect the household. As needed, provide individuals who have housing needs with housing options when they need to relocate for isolation/quarantine.
- Health care – Assist students with accessing health care providers at the University Health Services or within the local community.
- Mental health – Connect students to counselors at the University Counseling Center to discuss stress, anxiety, depression, and other mental health issues emanating from the isolation/quarantine.
- Financial support – Refer individuals to emergency funding, including filing for unemployment or advising students how to access the DOS Students in Crisis emergency fund and other potential funding sources such as CARES Act funding.

Some individuals may need more complex and ongoing resource management services and will be connected to other resources as needed (e.g., anti-discrimination resources, domestic violence resources, Department of Human Services, or other entities where specialized knowledge and expertise can be obtained. Students requiring a higher level of support could be referred to the existing DOS Student Care Team, which is comprised of representatives from across the UO community. Employees requiring a higher level of support could be referred to the Employee Assistance Program or other employee support assistance resources.

The work of the COVID Care Response Team would be jointly funded by LCPH and the UO.

### Campus Case Notification

The following takes place once a positive case has been determined on campus:

- The individual receiving the information alerts the branch director of the CMT or their designee. Incoming notifications of positive cases come from the UHS, Athletics, Employee and Labor Relations, a local public health department, or any supervisor in touch with an employee.
  - UO only tracks cases of students and employees who are on campus or within the nearby campus community. UO doesn't track cases of students and employees who are out of the area or studying/working entirely remotely.
- The CMT director or their designee contacts the local public health authorities to confirm the positive case and determines when the local public health department is announcing the case. UO can only announce the case after the public health authorities have announced it.
- Once the case or cases have been confirmed, the CMT director or designee alerts the IMT Operations Section Chief. No protected health information is shared via this interaction.
- The IMT Operations Section Chief or their designee alerts UO leadership of the number and type of cases, e.g., student or employee and general information about the cases that the health department might share about the cases (e.g., part of a cluster, travel-related). No protected health information is shared via this interaction.

- Once UO leadership is notified, the CMT director or designee alerts University Communications. No protected health information is shared with this interaction.
- University Communications does the following:
  - Updates the UO case count website and provides a brief description of the case or cases and updates the UO homepage in accordance with the Clery Act. No protected health information is included in the web posting.
  - Issues a periodic email notice, listing all the cases since the most recent email notice, including a brief description of the case or cases. No protected health information is included in any website updates or email notices.
  - Prior to publication, the case count website and the email notices are reviewed for accuracy and compliance with the Clery Act by the CMT director, the IMT Operations Section Chief, and UO General Counsel.
  - Messaging to remind the community about best health-related practices and precautions is often included.

#### Isolation/Quarantine Resources for Off-campus Students in Eugene

The university has coordinated with several local hotels to provide single occupancy rooms available on an as-needed basis to provide isolation/quarantine space to students who are unable to isolate/quarantine in their current living situation. Individual stay duration to be determined on a case-by-case basis in consultation with Lane County Public Health. Stay duration could be one night or longer, depending on need. Length of stay may not be known at time of arrival.

### Appendix E: Projected Laboratory Sample Processing Capacity

~~As of August 21, 2020, the Projected Laboratory Sample Processing Capacity section below only applies to the maximal theoretical level of laboratory sample processing~~

- ~~○ Pending hands-on run-throughs with automation, a conservative lab limit is listed~~
- ~~○ Running at maximal level may not be possible because of sample collection limitations~~
- ~~○ Reductions in throughput could occur due to supply chain interruptions~~
- ~~○ The maximal number of samples may not be necessary to achieve public health goals~~
- ~~○ The maximal number of samples may not be optimal for public health, including contact tracing and metrics (number of positive cases/1,000 residents)~~
- ~~○ Assumes no failure of presently nonredundant equipment (e.g., presently there is a single Hamilton robot)~~
- ~~○ Assumes continuation of key personnel~~

#### ~~Projected Laboratory Sample Processing Capacity~~

- ~~• Projected capacity for September 1, 2020 (as of August 18, 2020)~~
  - ~~○ Certified and capable of utilizing qPCR with anterior nares swabs in viral transport media~~
  - ~~○ One 96 well and one dual 384 well qPCR machine in laboratory~~
  - ~~○ Samples are being processed by hand pipetting~~

**Commented [AH4]:** This will need to be updated to reflect current testing capacities and projected capacities that line up with when the BOT will review the plan.

**Commented [ALD5R4]:** I think we can remove this as it not related to OHA or operational safety.

- ~~Sample tube barcodes are being scanned manually~~
  - ~~MAXIMUM PROCESSING, with current staff ~ 375 samples per day~~
  - ~~MAXIMUM PROCESSING, with appropriate staffing increases ~ 750 samples per day~~
- ~~SHORT TERM (by September 15, 2020, if all goes well)~~
  - ~~Two runs per day on one dual 384 well qPCR machine~~
  - ~~Hamilton robot is installed; technicians will have completed set up~~
  - ~~Automated plate barcode scanner is fully operational~~
  - ~~L7 Laboratory Information Management System (LIMS) is capable of sample intake, tracking during processing in the laboratory, and reporting out to provider and OHA~~
  - ~~UHS is able to integrate results from L7 into their Orchard LIS for patient notification~~
  - ~~MAXIMUM PROCESSING ~ 1,500 samples per day~~
- ~~MEDIUM TERM (by November 15, 2020, if all goes well)~~
  - ~~SalivaDirect protocol adopted from Yale into the laboratory for all qPCR~~
  - ~~Laboratory optimization of SwabSeq NGS complete~~
  - ~~EUA for SwabSeq has been transferred to laboratory~~
  - ~~MAXIMUM PROCESSING > 6,000 samples per day~~
- ~~LONG TERM, if greater capacity is needed (after January 2021)~~
  - ~~More units of robots and associated equipment have been secured~~
  - ~~Additional space has been secured~~
  - ~~Long term -80 freezer facility for sample storage has been acquired~~
  - ~~MAXIMUM PROCESSING > 6,000 X (# new units samples per day)~~

## Appendix EF: COVID-19 Integrated Communications and Marketing Plan

[https://uoregon-my.sharepoint.com/:w/g/personal/jwinters\\_uoregon\\_edu/EeAvR1qCrstFrwbWX2zZ17kBSclCkc3-wm9nGzoZp-P6g?e=ZSJCoP](https://uoregon-my.sharepoint.com/:w/g/personal/jwinters_uoregon_edu/EeAvR1qCrstFrwbWX2zZ17kBSclCkc3-wm9nGzoZp-P6g?e=ZSJCoP)

## Appendix FG: Athletics General Resumption Information

- Gradual return for student-athletes to athletic facilities with priority for sports with required summer Countable Athletically Related Activities (CARA) and fall competition seasons, including: Football, Volleyball, Women's Soccer, Cross Country and Men and Women's Basketball. Local student-athletes will also complete onboarding to permit access to weight room and medical facilities.
- Student-athletes returning to Eugene will be required to isolate for a prescribed period of time (minimum of seven days) before entering athletic facilities.
  - This is the protocol every time they leave Eugene and return from out-of-state.
- All student-athletes will be required to receive COVID-19 safety training before entering the athletic facilities to ensure education and compliance.
- All student-athletes will be required to undergo a physical (newcomers and returners) and given a COVID-19 screening questionnaire. During this process, high-risk student-athletes will be identified and counseled. This process will be time-consuming and requires scheduling with athletic medicine staff.
- Centralized health and daily symptom checkpoints for student-athletes will be established and required prior to entering all athletic facilities.
  - If an individual displays symptoms, has a temperature >100.3 °F, or otherwise indicates high risk for possible infection (i.e., new close exposure), he/she will not be allowed to access the facility, and a phone consult will be initiated with athletic medicine staff.
  - If an individual is not feeling well or experiencing symptoms, he/she should contact athletic medicine staff **by phone** prior to arriving at athletic facilities to evaluate the individual and determine the appropriate action (return home, seek immediate medical care, etc.) following CDC guidelines.
- Specific access plans and schedules will be created for all facilities to ensure student-athletes and staff use designated entrances and exits. These plans also maintain physical distancing and mandate functioning in small groups as required by room size, etc.
- Access plans include visual signage at each student-athlete checkpoint and staff entrances that will instruct all individuals to maintain minimum 6 feet of distance with others and 10 feet when exercising in a gym or outside.
  - Do not enter any facility if you have symptoms of illness.
  - Wear face covering at all times, including during indoor workouts. Face coverings may be temporarily removed for outdoor running with increased physical distancing (10 feet). Face coverings must be maintained on person (not thrown on the ground) and replaced when not actively running.
  - Wash hands/use hand sanitizer frequently.
  - Sneeze or cough into cloth, tissue, elbow, or sleeve (not hands).
  - Avoid hand shaking or unnecessary physical contact.

### Precautions within Gyms and Practice Facilities

- Athletic trainers and strength and conditioning coaches will ensure daily symptom checks are completed by those entering the practice facilities and will maintain a log that can be reported to the health department, if necessary.
- Everyone must wear face coverings while they are on site and in all facilities.
- Staff and student-athletes must maintain a minimum of 6 feet of distance at all times during strength training and 10 feet when doing aerobic activity.
- Adequate space is required within the facilities in order to provide opportunities for required distancing.
- Phasing requirements will determine the number of people that may occupy an indoor space simultaneously with Phase 1 being 25 people; actual capacity for each space is defined by square footage and may be less than maximum allowed.
- Every facility and outdoor space will be scheduled to provide training and conditioning for teams in a manner that creates appropriate distancing opportunities and minimizes contamination between teams.
- Hand sanitizer or hand-washing stations are located at each entrance and exit.
- Doors propped open when possible.
  - Fingerprint readers and other access controls that require touching for access will be deactivated.
  - Card reader access will be deactivated to ensure facility schedule is being monitored to minimize risk.
- Strict hygiene and cleaning regimen will be implemented to disinfect areas that may have been touched (i.e., cleaning of surfaces and equipment after use).
  - Each piece of equipment must be cleaned in between different users.
  - Select areas to be cleaned by the athletic trainers or strength and conditioning coaches.
  - Other areas to be cleaned by custodial staff to minimize number of individuals in those spaces.
- All food will be provided as grab-and-go option only, including snacks. The nutrition fueling stations will remain closed.
- Group gathering spaces such as locker rooms, team lounges or Marcus Mariota Sport Performance Center (MMSPC) recovery area will be closed during Phase 1.

### Student-Athlete COVID-19 Testing

- Testing with 24-hour turnaround is currently available on campus at UHS and McKenzie-Willamette Medical Center through specific protocols to minimize use of PPE and limit exposure to staff and students. Testing requires a physician's order.
- Confirmed symptomatic (fever, cough, shortness of breath, or diarrhea) COVID-19 cases should remain under home isolation for at least 10 days after illness onset and 72 hours after fever is gone without use of antipyretics (i.e., Tylenol), and no COVID-19 symptoms of fever, cough, shortness of breath, or diarrhea.
- Close contacts of confirmed cases will be contacted by LCPH (contact tracing) and educated regarding 14 days of self-isolation and symptom monitoring.

#### University of Oregon's COVID-19 Health and Safety Operational Plan

- If a confirmed case is asymptomatic or only has symptoms other than fever, cough, shortness of breath, and diarrhea (i.e., someone who is COVID-19 positive and only has fatigue and a runny nose), they should be isolated for 10 days after the collection of the specimen that tested positive.
- A close contact is defined as being within 6 feet of a COVID-19 patient for a prolonged period of time. The CDC has not defined "prolonged".
- For the purpose of LCPH investigation, prolonged is defined as greater than 15 minutes.

Close contact can include caring for, living with, visiting, or sitting within 6 feet of a confirmed COVID-19 patient; **OR** having direct contact with infectious secretions of a COVID-19 patient (i.e. being sneezed on).

As recommended guidelines are evolving, implementation will be adjusted to ensure compliance with the most recent directives with the health and safety of student-athletes and staff as the top priority. As more information becomes available, all necessary steps will be implemented in accordance with the state of Oregon, the UO, and the CDC.



## **Agenda Item #3**

### **University Finances & Treasury**

There are several attachments provided in this section representing the quarterly finance report (including FY21 scenario updates), the quarterly treasury report, and the annual treasury report, certain components of which are required by policy. Updated long-term financial projections will be discussed during this section of the agenda, but materials will be provided closer to the meeting as they are being finalized after the completion of quarterly updates.

Included in this section of the packet:

1. FY21 Q1 Dashboard
2. Quarterly report slide deck
3. FY21 Q1 financial reports
4. Quarterly treasury report
5. Annual treasury report slide deck
6. Annual treasury report
  - a. Treasury management procedures



## Finance Summary: Education and General Qtr1 FY2021

### CFO's Key Takeaways

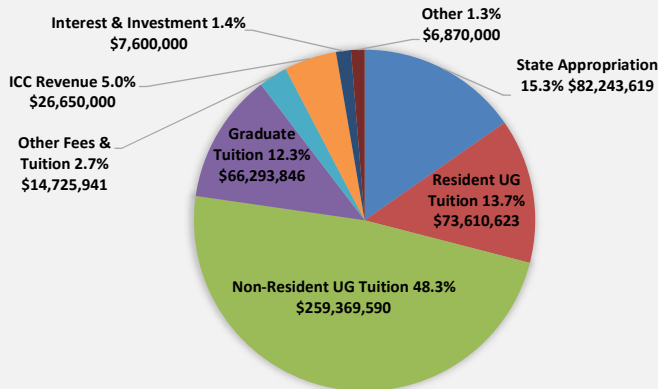
- COVID-19 pandemic dramatically affecting FY21 E&G fund finances.
- Total student enrollment down 3.6% from last year, mainly driven by 12.1% drop in first year, undergraduate students.
- Undergraduate tuition expected to drop \$17.5 million from prior projections, however, graduate tuition projected to increase \$5.8 million from last year.
- Reduction in number of first year, undergraduate students will affect E&G fund for the next 4-5 years.
- COVID-19 related one-time cost savings (e.g. S&S reductions, workshare savings, etc.) are expected to mitigate most of the revenue losses in E&G Funds for FY21.
- Initial Q1 projection shows a current estimated shortfall of \$3.4M and a projected end-of-year E&G fund balance of \$51.1M.

### Education and General Fund Qtr1 Projections

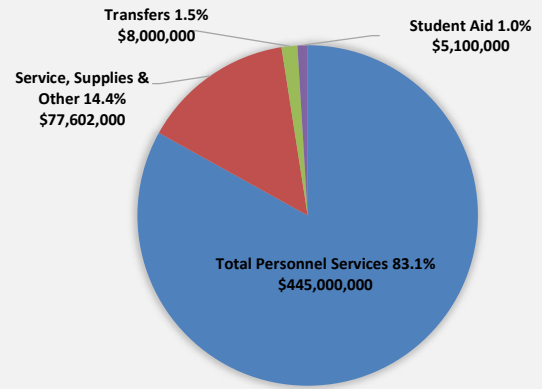
Category	FY21 Initial Projection	FY21 Q1 Proj vs FY20 Act	FY21 Q1 Actuals vs FY20 Q1	Initial Projection Notes
State Appropriation	\$82,243,619	3.4%	0.0%	• Q1 Timing issue with HECC allocation
Tuition and Fees	\$414,000,000	-2.6%	-2.8%	• Total student Enrollment down 3.6%; first year, undergraduate students down 12.1% from prior year and significant reductions in Study Abroad revenue projected
Interest and Investment	\$7,600,000	6.7%	-8.3%	• Q1 timing issue related to accounting adjustments
ICC Revenue	\$26,650,000	6.2%	0.8%	• Increased grant activity projected for FY21
Personnel Services	\$445,000,000	-0.5%	2.6%	• Overall compensation costs reduced due to university hiring freeze, workshare program and other HR actions
Service & Supplies	\$94,000,000	-13.3%	-16.2%	• Significant expected decreases for FY21 due to COVID-19 impacts on travel, supplies and other S&S

### Education & General Funds - Total Dollars

#### FY21 E&G Q1 REVENUE PROJECTIONS

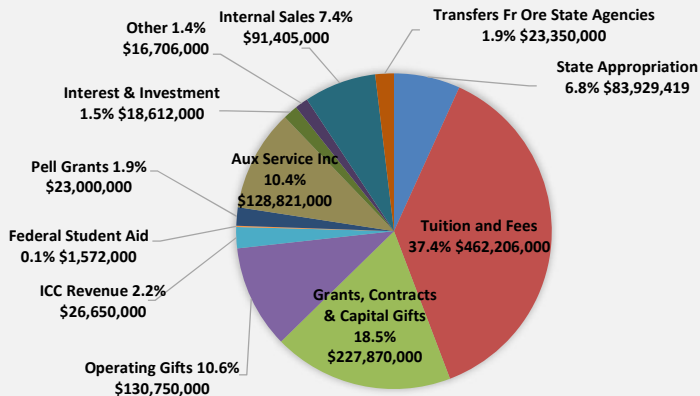


#### FY21 E&G Q1 EXPENSE PROJECTIONS

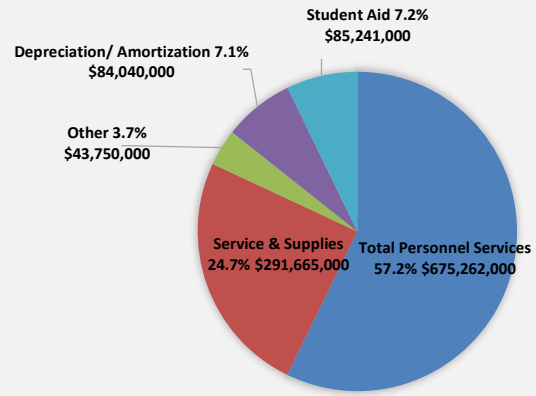


### All Funds - Total Dollars

#### FY21 Q1 REVENUE PROJECTIONS



#### FY21 Q1 EXPENSE PROJECTIONS



Student Aid Expense does not include \$61.5M of fee remissions awarded to students. Remissions are booked as negative revenue.



# Financial Update

## December 2020

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

# Agenda

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- Quarterly Financial Report
- Annual & Quarterly Treasury Reports
- Auxiliary Operations Update
- Expenditure Authorization Update
- Long Term Financial Scenarios

# E&G Fund Enrollment: Some Possible FY2021 Scenarios

Scenario	Scenario 1	Scenario 2	Scenario 3	Scenario 4
Resident First Year	1950	1950	1950	1950
Non Resident First Year	1850	1950	2050	2150
Total First Year	3800	3900	4000	4100
Tuition Gap from Base Scenario	\$20 million gap	\$17 million gap	\$14 million gap	\$11 million gap
Projected S&S and workshare savings	\$6 million to \$13 million	\$6 million to \$13 million	\$6 million to \$13 million	\$6 million to \$13 million
Project Net Gap	\$7 million to \$14 million gap	\$4 million to \$11 million gap	\$1 million to \$8 million gap	Up to \$5 million gap

\*Assumes consistent enrollment patterns for continuing students and transfer students.

# Quarterly Financial Report – CFO Key Takeaways

## FY21 E&G Funds – Q1 Projections

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- Covid-19 pandemic dramatically affecting FY21 E&G fund finances
- Total student enrollment down 3.6% from last year, mainly driven by 12.1% drop in first year undergraduate students
- Undergraduate tuition expected to drop \$17.5 million from prior projections, however, graduate tuition projected to increase \$5.8 million from last year
- Reduction in number of first year students will affect E&G fund for the next 4-5 years
- However, COVID-19 related one time cost savings (e.g., S&S reductions, workshare savings, etc.) are expected to mitigate most of the revenue losses in the E&G fund for FY2021
- Projected E&G fund deficit: \$3.4 million

# Quarterly Financial Report - Dashboard

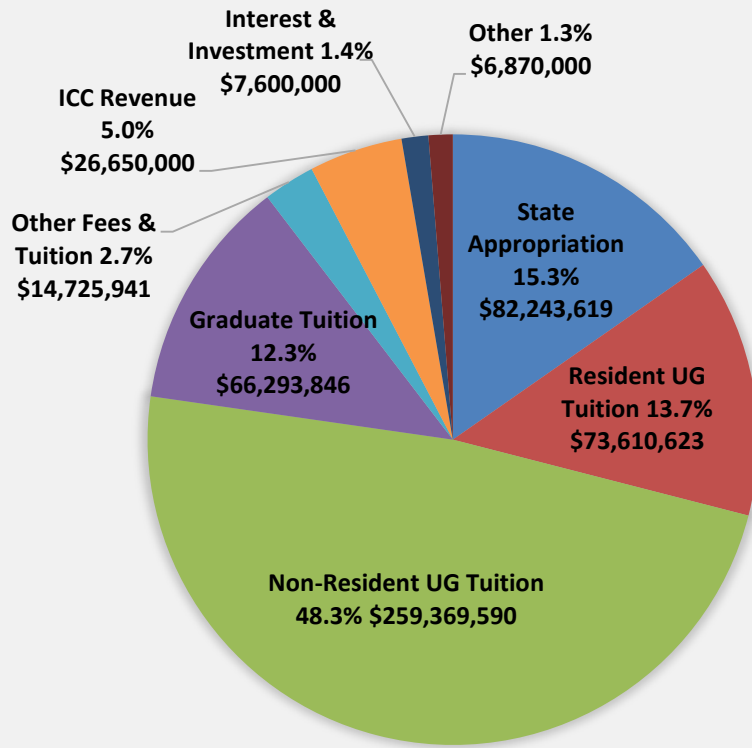
## *Education and General Fund – Q1 Projections*

<i>Category</i>	<i>FY21 Initial Projection</i>	<i>FY21 Proj vs FY20 Act</i>	<i>FY21 Q1 Act vs FY20 Q1</i>	<i>Notes</i>
State Appropriation	\$82,243,619	3.4%	0.0%	<ul style="list-style-type: none"><li>Q1 Timing issue with HECC allocation</li></ul>
Tuition and Fees	\$414,000,000	-2.6%	-2.8%	<ul style="list-style-type: none"><li>Total student enrollment down 3.6%; first year undergraduate students down 12.1% from prior year; significant reductions in Study Abroad revenue projected</li></ul>
Interest & Investment	\$7,600,000	6.7%	-8.3%	<ul style="list-style-type: none"><li>Q1 timing issue related to accounting adjustments</li></ul>
ICC Revenue	\$26,650,000	6.2%	0.8%	<ul style="list-style-type: none"><li>Increased grant activity projected for FY21</li></ul>
Personnel Services	\$445,000,000	-0.5%	2.6%	<ul style="list-style-type: none"><li>Overall compensation costs reduced due to university hiring freeze, workshare program and other HR actions</li></ul>
Service & Supplies	\$94,000,000	-13.3%	-16.2%	<ul style="list-style-type: none"><li>Significant expected decreases for FY21 due to COVID-19 impacts on travel, supplies and other S&amp;S</li></ul>

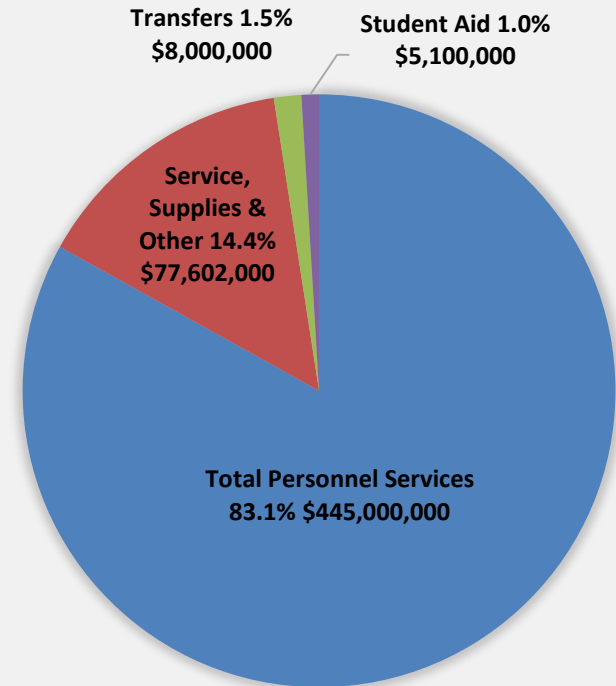


# Quarterly Financial Report – E&G Fund Projected Revenue and Expense Breakdown

## FY21 E&G Q1 REVENUE PROJECTIONS



## FY21 E&G Q1 EXPENSE PROJECTIONS



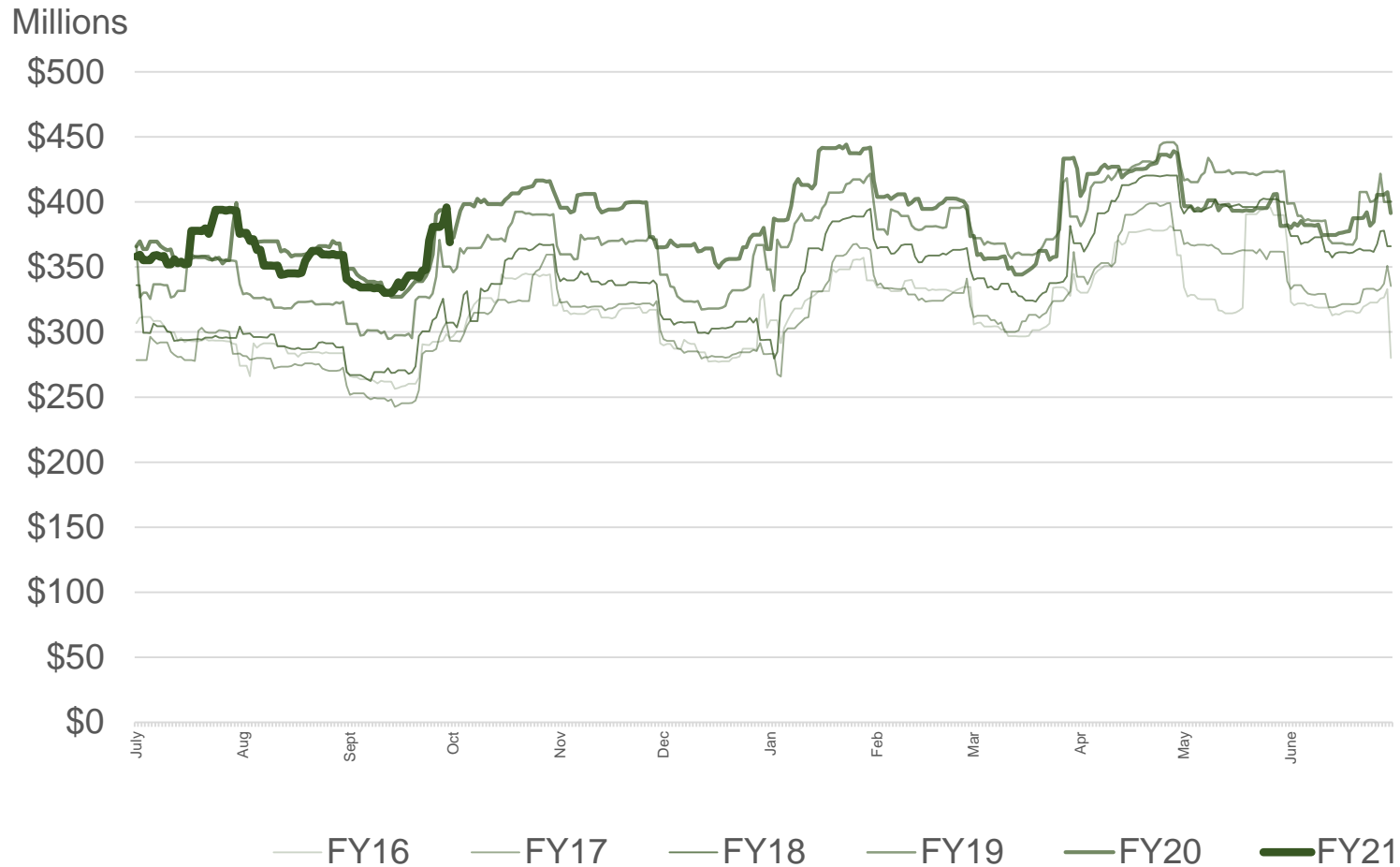
# Agenda

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- Quarterly Financial Report
- ➡ • Annual & Quarterly Treasury Reports
- Auxiliary Operations Update
- Expenditure Authorization Update
- Long Term Financial Scenarios

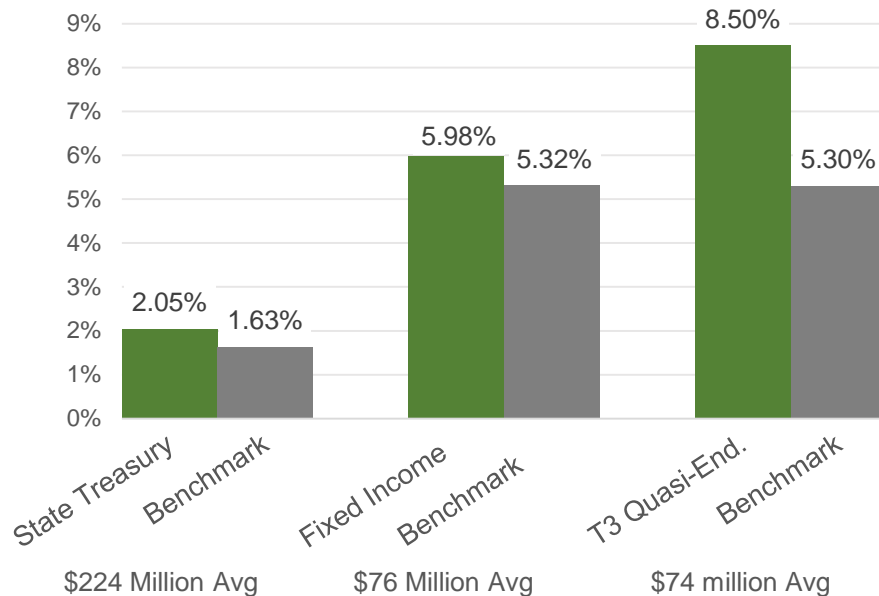
# Cash & Investment Balances

All Years Exclude Unspent Bond Proceeds



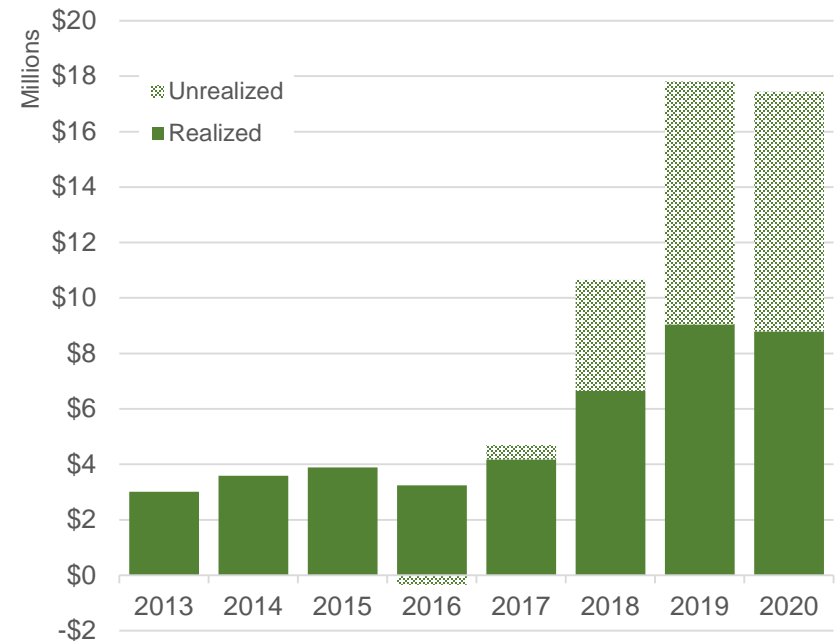
# Investments outperformed benchmarks and income declined slightly

Cash & Investment Pool FY20 Total Return as of 6/30/20

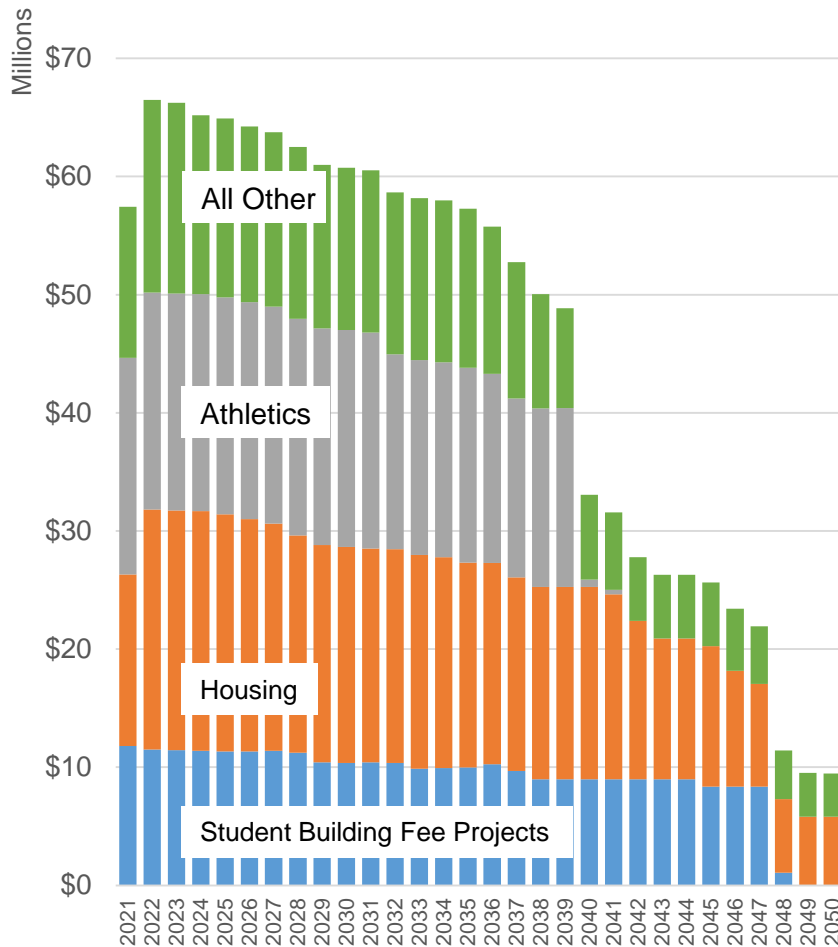


- Benchmark for State Treasury is BofA US 3-Month Treasury Index (G001).
- Benchmark for Fixed Income is BofA 1-5 year US Corporate & Government Index (BVA0).
- Benchmark for T3 Quasi-Endowment is 60% MSCI Equity index, 40% Barclays Bond index.

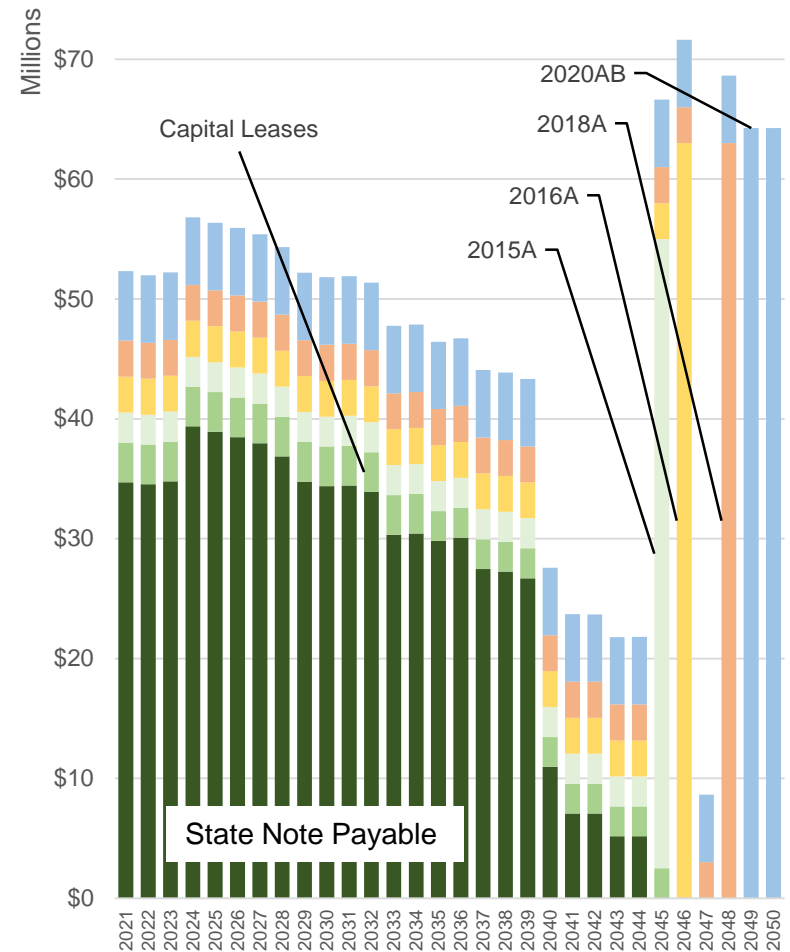
Total Investment Income



# Loans to debt-paying entities generate cash to cover debt service payments



Includes estimates for loans not yet fully advanced



# Agenda

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- Quarterly Financial Report
- Annual & Quarterly Treasury Reports
-  • Auxiliary Operations Update
- Expenditure Authorization Update
- Long Term Financial Scenarios

# FY2021: Updated Auxiliary Operation Projections

Auxiliary Operation	Initial FY2021 Scenarios Size of Loss	Updated FY21 Projections Size of Loss	Notes
Housing and Dining	\$11.0 million - \$15.1 million	\$9.9 million	Fall 2020 Housing Residents down approximately 38%. Significant HR actions necessary.
Health Center	\$1.0 million - \$2.2 million	\$0.2 million	Expenses running lower than initial projections
Athletics	\$56.3 million - \$81.1 million	\$63.0 million	Significant impact of changes to Football schedule and operations
EMU	Up to \$1.6 million	No loss	Expenses reduced to match projected revenue. Incidental fee funding intact.
PE & Rec	Up to \$2.1 million	\$1.1 million	Significant loss of other revenue (community memberships, locker rentals, etc.)

# Housing & Dining: FY2021 Scenarios

Scenario	Housing Deposits As of 9/4	30% Reduction in Students in Housing	35% Reduction In Students in Housing	35% Reduction in Students in Housing plus one Term Shutdown
Projected Revenue	\$59.4 million	\$57.5 million	\$54.2 million	\$41.4 million
Projected Expense	\$70.4 million	\$68.6 million	\$66.2 million	\$56.5 million
Net Loss	(\$11.0 million)	(\$11.1 million)	(\$12.0 million)	(\$15.1 million)
Assumptions	<ul style="list-style-type: none"> <li>Barnhart Hall dedicated to quarantine and isolation (478 beds)</li> <li>Dining aligned to CDC and OHA standards</li> <li>Significant HR actions necessary</li> </ul>	<ul style="list-style-type: none"> <li>Barnhart Hall dedicated to quarantine and isolation (478 beds)</li> <li>Dining aligned to CDC and OHA standards</li> <li>Significant HR actions necessary</li> </ul>	<ul style="list-style-type: none"> <li>Barnhart Hall dedicated to quarantine and isolation (478 beds)</li> <li>Dining aligned to CDC and OHA standards</li> <li>Significant HR actions necessary</li> </ul>	<ul style="list-style-type: none"> <li>Barnhart Hall dedicated to quarantine and isolation (478 beds)</li> <li>Dining aligned to CDC and OHA standards</li> <li>Significant HR actions necessary</li> </ul>



# Housing & Dining: FY2021 Projection

## **Projection** **38% Decline in Housing & Dining Revenue**

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Projected Revenue \$46.8 million

Projected Expense \$56.7 million

Net Loss (\$9.9 million)

- Assumptions
- Barnhart Hall dedicated to quarantine and isolation (478 beds)
  - Triple occupancy rooms were changed to double occupancy
  - Extra staff and supplies required for 7-day a week additional cleaning disinfecting
  - Dining aligned to CDC and OHA standards
  - Reduced services and supplies expenses
  - Unfortunately, temporary and permanent staff layoffs were required

# Health Center: FY2021 Projection

Scenario	No Reduction in Fee Paying Students	5% Reduction in Fee Paying Students	10% Reduction in Fee Paying Students	15% Reduction In Fee Paying Students
Projected Revenue	\$15.0 million	\$14.3 million	\$13.5 million	\$12.8 million
Projected Expense	\$16.0 million	\$15.7 million	\$15.4 million	\$15.0 million
Net Loss	(\$1.0 million)	(\$1.4 million)	(\$1.9 million)	(\$2.2 million)
Assumptions	<ul style="list-style-type: none"> <li>Health Center, unlike EMU and SRC, was open during summer 2020 and collected mandatory fees</li> <li>No drop in fee paying students</li> <li>Assumes some drop in regular Health Services due to pandemic, but all services available</li> </ul>	<ul style="list-style-type: none"> <li>5% drop in fee paying students during the academic year</li> <li>Center operating at minimum scale due to past HR actions and vacant positions; further HR actions challenging</li> </ul>	<ul style="list-style-type: none"> <li>10% reduction in fee paying students during academic year</li> <li>Center operating at minimum scale due to past HR actions and vacant positions; further HR actions challenging</li> </ul>	<ul style="list-style-type: none"> <li>15% reduction in fee paying students during academic year</li> <li>Center operating at minimum scale due to past HR actions and vacant positions; further HR actions challenging</li> </ul>

# Health Center: FY2021 Scenarios

Projection	4.4% Decline in Fee Paying Students
Projected Revenue	\$14.4 million
Projected Expense	\$14.5 million
Net Loss	(\$0.2 million)
Assumptions	<ul style="list-style-type: none"><li>• PPE expenses up, but other supplies and services expenses reduced</li><li>• Center currently operating at minimum scale due to past HR actions and vacant positions</li><li>• It is possible that services revenue may improve over the course of the year</li></ul>

# Athletics : FY2021 Scenarios

Scenario	Post Jan 1st Football & Other Sports with Fans	Post Jan 1 Football & Other Sports without Fans	No Football Play Basketball & Other Sports	No Sports
Projected Revenue	\$51.6 million	\$41.1 million	\$23.2 million	\$19.6 million
Projected Expense	\$107.9 million	\$105.8 million	\$104.3 million	\$95.9 million
Net Loss	(\$56.3 million)	(\$64.7 million)	(\$81.1 million)	(\$76.3 million)
Assumptions	<ul style="list-style-type: none"> <li>• 8 game football season</li> <li>• PAC-12 Champ Game</li> <li>• No Bowl Games</li> <li>• 25% fans for social distance</li> <li>• Conference only basketball season (25% fans)</li> <li>• NCAA Basketball Tournament</li> <li>• Post Jan 1: other sports with some fans</li> </ul>	<ul style="list-style-type: none"> <li>• 8 game football season</li> <li>• PAC-12 Champ Game</li> <li>• No Bowl Games</li> <li>• No fans in stadium</li> <li>• Conference only basketball seasons (no fans)</li> <li>• NCAA Basketball Tournament</li> <li>• Post Jan 1: other sports without fans</li> </ul>	<ul style="list-style-type: none"> <li>• No football season</li> <li>• Conference only basketball season (no fans)</li> <li>• NCAA Basketball Tournament</li> <li>• Post Jan 1: other sports with no fans</li> </ul>	<ul style="list-style-type: none"> <li>• No sports competitions in FY2021</li> </ul>

# Athletics : FY2021 Projections

Projection	Football & Other Sports without Fans
Projected Revenue	\$47.5 million
Projected Expense	\$110.5 million
Net Loss	(\$63 million)
Assumptions	<ul style="list-style-type: none"> <li>• 7 game conference-only football season (Includes PAC-12 Football Championship Game)</li> <li>• Participation in CFP/Bowl Games</li> <li>• Non-conference/conference basketball seasons</li> <li>• NCAA Basketball Tournament</li> <li>• Other sports: <ul style="list-style-type: none"> <li>• Post-January 1 competition (schedules still being developed)</li> <li>• Participation in NCAA Championships</li> </ul> </li> <li>• No fans throughout FY21</li> <li>• Includes impact of estimated expenses related to Covid-19 protocols including testing, equipment/technology, facility adjustments, quarantine/isolation, etc.</li> </ul>

# EMU : FY2021 Scenarios

Scenario	5% Reduction in Fee Paying Students	10% Reduction in Fee Paying Students	15% Reduction in Fee Paying Students	15% Reduction plus One Term Shutdown
Projected Revenue	\$15.6 million	\$15.2 million	\$14.8 million	\$12.6 million
Projected Expense	\$15.6 million	\$15.2 million	\$14.8 million	\$14.2 million
Net Loss	No loss	No loss	No loss	(\$1.6 million)
Assumptions	<ul style="list-style-type: none"> <li>• Summer 2020 EMU closed / fees not charged (represents 5% reduction in fee paying students)</li> <li>• No drop in fee paying students during academic year</li> <li>• Assumes incidental fee funding intact</li> </ul>	<ul style="list-style-type: none"> <li>• 5% additional reduction in fee paying students beyond summer 2020 lost revenue</li> <li>• Assumes incidental fee funding intact</li> <li>• Vacant positions not filled</li> </ul>	<ul style="list-style-type: none"> <li>• 10% additional reduction in fee paying students beyond summer 2020 lost revenue</li> <li>• Assumes incidental fee funding intact</li> <li>• Requires employment actions</li> </ul>	<ul style="list-style-type: none"> <li>• EMU shutdown for full term (no EMU student fees collected that term)</li> <li>• Other two terms – 15% reduction in fee paying students</li> <li>• Requires significant employment actions</li> </ul>

# EMU : FY2021 Projections

**9.4% Reduction in Students paying the EMU Fee  
(includes Summer 2020)**

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**Projection**

Projected  
Revenue

\$14.2 million

Projected  
Expense

\$14.0 million

Net Loss

No loss

Assumptions

- Reduced building hours (e.g. facility closes at 10pm)
- Incidental fee funding for EMU intact
- Other revenue (e.g., room rentals) down 67%
- S&S expenses reduced by \$800K
- HR expenses reduced by \$1.8 million due to not filling vacancies, summer workshare program, reduced hiring of student workers

# PE & Rec : FY2021 Scenarios

Scenario	5% Reduction in Fee Paying Students	10% Reduction in Fee Paying Students	15% Reduction in Fee Paying Students	15% Reduction plus One Term Shutdown
Projected Revenue	\$9.3 million	\$8.8 million	\$8.3 million	\$5.6 million
Projected Expense	\$9.3 million	\$8.8 million	\$8.5 million	\$7.7 million
Net Loss	No loss	No loss	(\$200K)	(\$2.1 million)
Assumptions	<ul style="list-style-type: none"> <li>Summer 2020 Student Rec Center closed / fees not charged (represents 5% reduction in fee paying students)</li> <li>No drop in fee paying students during academic year</li> </ul>	<ul style="list-style-type: none"> <li>5% additional reduction in fee paying students beyond summer 2020 lost revenue</li> <li>Vacant positions not filled</li> <li>Reduction in student employment</li> </ul>	<ul style="list-style-type: none"> <li>10% additional reduction in fee paying students beyond summer 2020 lost revenue</li> <li>Requires employment actions</li> <li>Hours of operation likely affected</li> </ul>	<ul style="list-style-type: none"> <li>Student Rec Center shutdown for full term (no student fees collected that term)</li> <li>Other two terms – 15% reduction in fee paying students</li> <li>Requires significant employment actions</li> <li>Hours of operation likely affected (terms not shutdown)</li> </ul>



# PE & Rec : FY2021 Projections

**9.4% Reduction in Students paying the SRC Fee  
(includes Summer 2020)**

## **Projection**

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Projected  
Revenue

\$7.7 million

Projected  
Expense

\$8.8 million

Net Loss

(\$1.1 million)

Assumptions

- Other revenue (e.g. locker rentals, community memberships) down \$900K
- Fee revenue from PE classes down \$450K
- Some HR savings from vacancies and workshare
- Reduced building hours (e.g., facility closes at 8pm)

# Agenda

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- Quarterly Financial Report
- Annual & Quarterly Treasury Reports
- Auxiliary Operations Update
-  • Expenditure Authorization Update
- Long Term Financial Scenarios

# FY2021 Expenditure Authorization

- **June 2020 Board Meeting**
  - Approved authorization - continuing resolution for operating expenditure budget (\$1,132,345,000)
  - Quarterly updates to be provided regarding:
    - how quarterly expenditures compare to the annual expenditure authorization,
    - whether the state has implemented any cuts on state appropriation, and/or the university projects declines in tuition revenue due to enrollment challenges,
    - steps the university is taking to reduce expenditures, and
    - whether the current authorization remains appropriate or should be adjusted.

# FY2021 Expenditure Authorization Recommendation

- Quarterly Expenditures**

- Approved authorization - continuing resolution for operating expenditure budget (\$1,132,345,000)
- 25% of approved authorization: \$283,086,000
- Actual Run Rate (FY15 – FY19): 21.2%
- 21.2% of approved authorization: \$240,057,000
- FY2021 Q1 Actual expenditures: \$217,303,020

FY21 Q1 Expenditures	E&G Funds	Other Funds	Total
Salary and OPE (Benefits)	\$72,174,717	\$54,088,533	\$126,263,250
Supplies and Services	\$25,153,353	\$38,405,775	\$63,559,128
Capitalized Equipment	\$322,510	\$3,761,015	\$4,083,524
Student Aid	\$1,420,043	\$22,005,678	\$23,425,722
Net Transfers	\$1,332,547	(\$1,361,151)	(\$28,604)
<b>Total</b>	<b>\$100,403,170</b>	<b>\$116,899,850</b>	<b>\$217,303,020</b>

# FY2021 Expenditure Authorization Recommendation

- **Relevant Information**

- State Appropriation: legislature met in Special Session in August - PUSF protected from cuts
- Enrollment & Tuition: Total student enrollment down 3.6%; see FY21 Q1 E&G Fund projections for impact on finances
- Steps the university is taking to reduce expenditures:
  - Travel freeze, hiring freeze, and pay action freeze
  - Voluntary pay reductions – senior leadership (President, Provost, Vice Presidents, Deans, Athletic Director)
  - HR actions in Auxiliary Operations (LWOP with extended benefits)
  - Agreement with United Academics to extend collective bargaining agreement (with no annual salary increase) to June 2021 & support Progressive Pay Reduction Plan
  - Workshare program – summer FTE reduction program
  - Direction to limit Services and Supplies (“S&S”) expenditures to essential expenses
- No changes recommended to expenditure authorization

# Agenda

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- Quarterly Financial Report
- Annual & Quarterly Treasury Reports
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- Expenditure Authorization Update
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## FY20 Actuals Quarter 4 Report

## All Funds except Agency and Clearing

## Designated

	Education and General	Ops and Service Center	Auxiliaries	Grant Funds	Restricted Gift Funds	Other Funds	Plant Funds	Internal Bank	Total	Reporting Adj.	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		
<b>Total Revenue</b>	<b>\$ 545,470,658</b>	<b>\$ 85,780,602</b>	<b>\$ 227,577,636</b>	<b>\$ 167,338,953</b>	<b>\$ 98,033,554</b>	<b>\$ 449,897</b>	<b>\$ 395,222,505</b>	<b>\$ 48,853,628</b>	<b>\$ 1,568,727,434</b>		
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		
<b>Total Personnel Services</b>	<b>\$ 447,088,937</b>	<b>\$ 43,017,463</b>	<b>\$ 95,029,369</b>	<b>\$ 67,638,403</b>	<b>\$ 28,543,059</b>	<b>\$ -</b>	<b>\$ 13,300</b>	<b>\$ 298,873</b>	<b>\$ 681,629,405</b>		
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		
<b>Total General Expense</b>	<b>\$ 94,751,443</b>	<b>\$ 45,010,089</b>	<b>\$ 149,410,826</b>	<b>\$ 97,547,032</b>	<b>\$ 52,332,178</b>	<b>\$ 2,093,440</b>	<b>\$ 41,236,676</b>	<b>\$ 33,550,560</b>	<b>\$ 515,932,244</b>		
<b>Net Transfers Out/(In)</b>	<b>\$ 7,007,520</b>	<b>\$ 593,902</b>	<b>\$ 1,216,522</b>	<b>\$ 333,114</b>	<b>\$ 732,048</b>	<b>\$ 549,333</b>	<b>\$ (12,264,226)</b>	<b>\$ 1,831,786</b>	<b>\$ -</b>		
<b>Total Expense</b>	<b>\$ 548,847,900</b>	<b>\$ 88,621,455</b>	<b>\$ 245,656,717</b>	<b>\$ 165,518,550</b>	<b>\$ 81,607,284</b>	<b>\$ 2,642,773</b>	<b>\$ 28,985,750</b>	<b>\$ 35,681,219</b>	<b>\$ 1,197,561,649</b>		
<b>Net before CapEx</b>	<b>\$ (3,377,242)</b>	<b>\$ (2,840,853)</b>	<b>\$ (18,079,081)</b>	<b>\$ 1,820,404</b>	<b>\$ 16,426,270</b>	<b>\$ (2,192,877)</b>	<b>\$ 366,236,755</b>	<b>\$ 13,172,409</b>	<b>\$ 371,165,785</b>		
<b>Beginning Fund Balance</b>	<b>\$ 63,821,674</b>	<b>\$ 59,940,817</b>	<b>\$ 319,242,597</b>	<b>\$ (1,217,227)</b>	<b>\$ 12,601,887</b>	<b>\$ 7,754,280</b>	<b>\$ 688,287,700</b>	<b>\$ 36,993,215</b>	<b>\$ 1,187,424,943</b>		
<b>Capital Expenditures</b>	<b>\$ (3,721,532)</b>	<b>\$ (1,073,488)</b>	<b>\$ (661,453)</b>	<b>\$ (1,448,244)</b>	<b>\$ (1,876,342)</b>	<b>\$ -</b>	<b>\$ (452,136,088)</b>	<b>\$ -</b>	<b>\$ (460,917,148)</b>		
<b>Net (from above)</b>	<b>\$ (3,377,242)</b>	<b>\$ (2,840,853)</b>	<b>\$ (18,079,081)</b>	<b>\$ 1,820,404</b>	<b>\$ 16,426,270</b>	<b>\$ (2,192,877)</b>	<b>\$ 366,236,755</b>	<b>\$ 13,172,409</b>	<b>\$ 371,165,785</b>		
<b>Fund Additions/Deductions*</b>	<b>\$ (70,749)</b>	<b>\$ 598,250</b>	<b>\$ 293,340,326</b>	<b>\$ -</b>	<b>\$ (135,380)</b>	<b>\$ -</b>	<b>\$ 168,461,602</b>	<b>\$ -</b>	<b>\$ 462,194,050</b>	<b>\$ (285,968,269)</b>	
<b>Ending Fund Balance</b>	<b>\$ 56,652,151</b>	<b>\$ 56,624,726</b>	<b>\$ 593,842,389</b>	<b>\$ (845,068)</b>	<b>\$ 27,016,434</b>	<b>\$ 5,561,403</b>	<b>\$ 770,849,969</b>	<b>\$ 50,165,625</b>	<b>\$ 1,559,867,630</b>	<b>\$ (285,968,269)</b>	<b>\$ 1,273,899,361</b>
<b>Year-End Accounting Entries **</b>	<b>\$ (2,250,903)</b>	<b>\$ (181,947)</b>	<b>\$ (539,728)</b>	<b>\$ (291,587)</b>	<b>\$ (124,019)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ (2,588)</b>	<b>\$ (3,390,771)</b>		<b>\$ (3,390,771)</b>
<b>Net Capital Assets</b>	<b>\$ -</b>	<b>\$ 25,953,555</b>	<b>\$ 556,111,823</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 685,489,231</b>	<b>\$ (1,389,750)</b>	<b>\$ 1,266,164,859</b>	<b>\$ -</b>	<b>\$ 1,266,164,859</b>
<b>Other Restricted Net Assets</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ (1,136,654)</b>	<b>\$ 26,892,415</b>	<b>\$ 5,561,403</b>	<b>\$ 73,338,513</b>	<b>\$ -</b>	<b>\$ 104,655,678</b>	<b>\$ 350,684</b>	<b>\$ 105,006,362</b>
<b>Unrestricted Net Assets</b>	<b>\$ 54,401,248</b>	<b>\$ 30,489,225</b>	<b>\$ 37,190,838</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 12,022,225</b>	<b>\$ 51,552,787</b>	<b>\$ 185,656,322</b>	<b>\$ (286,318,953)</b>	<b>\$ (100,662,630)</b>
<b>Total Net Assets***</b>	<b>\$ 54,401,248</b>	<b>\$ 56,442,780</b>	<b>\$ 593,302,661</b>	<b>\$ (1,136,654)</b>	<b>\$ 26,892,415</b>	<b>\$ 5,561,403</b>	<b>\$ 770,849,969</b>	<b>\$ 50,163,036</b>	<b>\$ 1,556,476,859</b>	<b>\$ (285,968,269)</b>	<b>\$ 1,270,508,590</b>

\* - Due to Capital Improvements and Debt Accounting entries

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

## FY21 Initial Projection - All Funds except Agency and Clearing

	Designated Ops and Service				Restricted Gift		Plant Funds	Internal Bank	Total
	Education and General	Center	Auxiliaries	Grant Funds	Funds	Other Funds			
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	\$ 130,750,000	\$ -	\$ 83,000,000		\$ 358,620,000
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
<b>Total Revenue</b>	<b>\$ 537,363,619</b>	<b>\$ 79,906,000</b>	<b>\$ 173,747,000</b>	<b>\$ 174,249,800</b>	<b>\$ 130,855,000</b>	<b>\$ 100,000</b>	<b>\$ 97,500,000</b>	<b>\$ 41,150,000</b>	<b>\$ 1,234,871,419</b>
<b>Total Personnel Services</b>	<b>\$ 445,000,000</b>	<b>\$ 39,320,000</b>	<b>\$ 62,328,000</b>	<b>\$ 68,330,000</b>	<b>\$ 59,900,000</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 385,000</b>	<b>\$ 675,263,000</b>
Service & Supplies	\$ 94,000,000	\$ 17,080,000	\$ 91,185,000	\$ 30,100,000	\$ 18,500,000	\$ -	\$ 8,000,000	\$ 32,800,000	\$ 291,665,000
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	\$ 32,650,000	\$ 30,000	\$ -	\$ -	\$ 85,241,000
<b>Total General Expense</b>	<b>\$ 82,702,000</b>	<b>\$ 41,880,000</b>	<b>\$ 149,332,000</b>	<b>\$ 100,175,000</b>	<b>\$ 51,150,000</b>	<b>\$ 30,000</b>	<b>\$ 46,627,000</b>	<b>\$ 32,800,000</b>	<b>\$ 504,696,000</b>
<b>Net Transfers Out(In)</b>	<b>\$ 8,000,000</b>	<b>\$ 500,000</b>	<b>\$ 666,000</b>	<b>\$ 250,000</b>	<b>\$ 750,000</b>	<b>\$ -</b>	<b>\$ (12,166,000)</b>	<b>\$ 2,000,000</b>	<b>\$ -</b>
<b>Total Expense</b>	<b>\$ 535,702,000</b>	<b>\$ 81,700,000</b>	<b>\$ 212,326,000</b>	<b>\$ 168,755,000</b>	<b>\$ 111,800,000</b>	<b>\$ 30,000</b>	<b>\$ 34,461,000</b>	<b>\$ 35,185,000</b>	<b>\$ 1,179,959,000</b>
<b>Net before CapEx</b>	<b>\$ 1,661,619</b>	<b>\$ (1,794,000)</b>	<b>\$ (38,579,000)</b>	<b>\$ 5,494,800</b>	<b>\$ 19,055,000</b>	<b>\$ 70,000</b>	<b>\$ 63,039,000</b>	<b>\$ 5,965,000</b>	<b>\$ 54,912,419</b>
<b>Beginning Fund Balance</b>	<b>\$ 54,401,248</b>	<b>\$ 56,442,780</b>	<b>\$ 593,302,661</b>	<b>\$ (1,136,654)</b>	<b>\$ 26,892,415</b>	<b>\$ 5,561,403</b>	<b>\$ 770,849,969</b>	<b>\$ 50,163,036</b>	<b>\$ 1,556,476,859</b>
<b>Capital Expenditures</b>	<b>\$ (5,000,000)</b>	<b>\$ (750,000)</b>	<b>\$ (212,000)</b>	<b>\$ (2,600,000)</b>	<b>\$ (7,000,000)</b>	<b>\$ -</b>	<b>\$ (153,900,000)</b>		<b>\$ (169,462,000)</b>
<b>Net (from above)</b>	<b>\$ 1,661,619</b>	<b>\$ (1,794,000)</b>	<b>\$ (38,579,000)</b>	<b>\$ 5,494,800</b>	<b>\$ 19,055,000</b>	<b>\$ 70,000</b>	<b>\$ 63,039,000</b>	<b>\$ 5,965,000</b>	<b>\$ 54,912,419</b>
<b>Fund Additions/Deductions*</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 80,500,000</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 81,400,000</b>	<b>\$ -</b>	<b>\$ 161,900,000</b>
<b>Ending Fund Balance</b>	<b>\$ 51,062,867</b>	<b>\$ 53,898,780</b>	<b>\$ 635,011,661</b>	<b>\$ 1,758,146</b>	<b>\$ 38,947,415</b>	<b>\$ 5,631,403</b>	<b>\$ 761,388,969</b>	<b>\$ 56,128,036</b>	<b>\$ 1,603,827,278</b>
<b>Year-End Accounting Entries **</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>
<b>Net Capital Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>
<b>Other Restricted Net Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>
<b>Unrestricted Net Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>
<b>Total Net Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>

\* - 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 1 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	\$ 28,261,367	\$ 292,696	\$ 107,635	\$ 14,677	\$ -	\$ -	\$ -	\$ -	\$ 28,676,375	
Tuition and Fees	\$ 163,595,048	\$ 322,237	\$ 16,072,564	\$ -	\$ -	\$ -	\$ -	\$ 1,182,670	\$ 181,172,519	
Gifts Grants & Contracts	\$ 154,017	\$ 467,710	\$ -	\$ 27,859,729	\$ 14,770,550	\$ -	\$ 9,154,540	\$ -	\$ 52,406,546	
ICC Revenue	\$ 7,517,524	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 7,517,524	
Federal Student Aid	\$ -	\$ -	\$ -	\$ 6,348,489	\$ -	\$ -	\$ -	\$ -	\$ 6,348,489	
Interest and Investment	\$ 1,673,019	\$ 2,473,990	\$ 28,394	\$ 1,491	\$ 292	\$ 24,150	\$ 252,163	\$ (181,948)	\$ 4,271,550	
Internal Sales	\$ 72,772	\$ 11,486,170	\$ 2,806,106	\$ -	\$ -	\$ -	\$ -	\$ 6,369,201	\$ 20,734,248	
Sales & Services	\$ 942,966	\$ 1,232,878	\$ 18,404,028	\$ 6,032,978	\$ -	\$ -	\$ -	\$ -	\$ 26,612,850	
Other Revenues	\$ (131,641)	\$ 44,161	\$ 197,517	\$ -	\$ -	\$ -	\$ 25,704	\$ -	\$ 135,741	
Transfers From Ore State Agencies	\$ -	\$ -	\$ -	\$ 3,478,521	\$ -	\$ -	\$ 3,474,273	\$ -	\$ 6,952,794	
<b>Total Revenue</b>	<b>\$ 202,085,070</b>	<b>\$ 16,319,843</b>	<b>\$ 37,616,244</b>	<b>\$ 43,735,884</b>	<b>\$ 14,770,842</b>	<b>\$ 24,150</b>	<b>\$ 12,906,680</b>	<b>\$ 7,369,923</b>	<b>\$ 334,828,636</b>	
<b>Total Personnel Services</b>	<b>\$ 72,174,717</b>	<b>\$ 9,052,844</b>	<b>\$ 12,056,472</b>	<b>\$ 19,831,325</b>	<b>\$ 13,147,893</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 87,261</b>	<b>\$ 126,350,511</b>	
Service & Supplies	\$ 27,554,889	\$ 2,981,678	\$ 17,717,174	\$ 3,570,409	\$ 2,425,410	\$ 75	\$ 994,279	\$ (1,219,781)	\$ 54,024,133	
Merchandise-Resale/Redistribution	\$ (19,287)	\$ 2,327,490	\$ 381,458	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,689,661	
Internal Sales Reimbursements	\$ (2,384,926)	\$ -	\$ (65,599)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (2,450,525)	
Indirect Costs	\$ 2,678	\$ 518,373	\$ 878,276	\$ 7,671,031	\$ -	\$ -	\$ -	\$ -	\$ 9,070,357	
Depreciation/Amortization Expense	\$ -	\$ 1,042,444	\$ 10,117,653	\$ -	\$ -	\$ -	\$ 8,297,586	\$ -	\$ 19,457,683	
Student Aid	\$ 1,420,043	\$ 25,200	\$ 251,282	\$ 11,535,732	\$ 10,128,266	\$ 65,198	\$ -	\$ -	\$ 23,425,722	
<b>Total General Expense</b>	<b>\$ 26,573,396</b>	<b>\$ 6,895,185</b>	<b>\$ 29,280,244</b>	<b>\$ 22,777,171</b>	<b>\$ 12,553,676</b>	<b>\$ 65,273</b>	<b>\$ 9,291,865</b>	<b>\$ (1,219,781)</b>	<b>\$ 106,217,031</b>	
<b>Net Transfers Out/(In)</b>	<b>\$ 1,332,547</b>	<b>\$ (1,044,239)</b>	<b>\$ (551,989)</b>	<b>\$ (92,738)</b>	<b>\$ 327,816</b>	<b>\$ -</b>	<b>\$ (1,931,440)</b>	<b>\$ 1,960,044</b>	<b>\$ -</b>	
<b>Total Expense</b>	<b>\$ 100,080,660</b>	<b>\$ 14,903,790</b>	<b>\$ 40,784,727</b>	<b>\$ 42,515,758</b>	<b>\$ 26,029,385</b>	<b>\$ 65,273</b>	<b>\$ 7,360,425</b>	<b>\$ 827,524</b>	<b>\$ 232,567,541</b>	
<b>Net before CapEx</b>	<b>\$ 102,004,410</b>	<b>\$ 1,416,053</b>	<b>\$ (3,168,483)</b>	<b>\$ 1,220,127</b>	<b>\$ (11,258,542)</b>	<b>\$ (41,123)</b>	<b>\$ 5,546,255</b>	<b>\$ 6,542,399</b>	<b>\$ 102,261,094</b>	
<b>Beginning Fund Balance</b>	<b>\$ 54,401,248</b>	<b>\$ 56,442,780</b>	<b>\$ 593,302,661</b>	<b>\$ (1,136,654)</b>	<b>\$ 26,892,415</b>	<b>\$ 5,561,403</b>	<b>\$ 770,849,969</b>	<b>\$ 50,163,036</b>	<b>\$ 1,556,476,859</b>	
<b>Capital Expenditures</b>	<b>\$ (322,510)</b>	<b>\$ (54,095)</b>	<b>\$ (2,398)</b>	<b>\$ (1,139,260)</b>	<b>\$ (2,565,262)</b>	<b>\$ -</b>	<b>\$ (19,809,890)</b>	<b>\$ -</b>	<b>\$ (23,893,415)</b>	
<b>Net (from above)</b>	<b>\$ 102,004,410</b>	<b>\$ 1,416,053</b>	<b>\$ (3,168,483)</b>	<b>\$ 1,220,127</b>	<b>\$ (11,258,542)</b>	<b>\$ (41,123)</b>	<b>\$ 5,546,255</b>	<b>\$ 6,542,399</b>	<b>\$ 102,261,094</b>	
<b>Fund Additions/Deductions*</b>	<b>\$ 18,539</b>	<b>\$ (211,633)</b>	<b>\$ 192,500</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 6,510,191</b>	<b>\$ -</b>	<b>\$ 6,509,597</b>	
<b>Ending Fund Balance</b>	<b>\$ 156,101,688</b>	<b>\$ 57,593,104</b>	<b>\$ 590,324,279</b>	<b>\$ (1,055,787)</b>	<b>\$ 13,068,611</b>	<b>\$ 5,520,281</b>	<b>\$ 763,096,525</b>	<b>\$ 56,705,435</b>	<b>\$ 1,641,354,136</b>	
<b>Year-End Accounting Entries **</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	
<b>Net Capital Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	
<b>Other Restricted Net Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	
<b>Unrestricted Net Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	
<b>Total Net Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	

\* - 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 Actuals Quarter 1 Report

## Education and General

	FY21 Q1 Actual as %		FY21 Q1 inc/(dec) from FY20		FY21 Q1 Proj vs FY20 Total as %		FY21 Projection Q1
	FY21 Actual Q1	of Proj	FY20 Actual Q1	Q1	FY20 Total Actual		
State Appropriation	\$ 28,261,367	34.4%	\$ 28,259,608	0.0%	\$ 79,520,551	3.4%	\$ 82,243,619
Tuition and Fees	\$ 163,595,048	39.5%	\$ 168,246,619	-2.8%	\$ 425,005,337	-2.6%	\$ 414,000,000
Gifts Grants & Contracts	\$ 154,017	90.6%	\$ 815	18797.8%	\$ 136,496	24.5%	\$ 170,000
ICC Revenue	\$ 7,517,524	28.2%	\$ 7,460,617	0.8%	\$ 25,087,226	6.2%	\$ 26,650,000
Federal Student Aid	\$ -	-	\$ -	-	\$ -	-	\$ -
Interest and Investment	\$ 1,673,019	22.0%	\$ 1,824,106	-8.3%	\$ 7,124,366	6.7%	\$ 7,600,000
Internal Sales	\$ 72,772	6.6%	\$ 837,587	-91.3%	\$ 2,084,941	-47.2%	\$ 1,100,000
Sales & Services	\$ 942,966	30.4%	\$ 1,578,107	-40.2%	\$ 4,005,521	-22.6%	\$ 3,100,000
Other Revenues	\$ (131,641)	-5.3%	\$ 393,416	-133.5%	\$ 2,506,221	-0.2%	\$ 2,500,000
Transfers From Ore State Agencies	\$ -	-	\$ -	-	\$ -	-	\$ -
<b>Total Revenue</b>	<b>\$ 202,085,070</b>	<b>37.6%</b>	<b>\$ 208,600,875</b>	<b>-3.1%</b>	<b>\$ 545,470,658</b>	<b>-1.5%</b>	<b>\$ 537,363,619</b>
<b>Total Personnel Services</b>	<b>\$ 72,174,717</b>	<b>16.2%</b>	<b>\$ 70,333,894</b>	<b>2.6%</b>	<b>\$ 447,088,937</b>	<b>-0.5%</b>	<b>\$ 445,000,000</b>
Service & Supplies	\$ 27,554,889	29.3%	\$ 32,884,105	-16.21%	\$ 108,458,297	-13.3%	\$ 94,000,000
Merchandise-Resale/Redistribution	\$ (19,287)	-964.4%	\$ (97,854)	-80.3%	\$ 12,351	-83.8%	\$ 2,000
Internal Sales Reimbursements	\$ (2,384,926)	14.5%	\$ (4,380,788)	-45.6%	\$ (19,258,716)	-14.3%	\$ (16,500,000)
Indirect Costs	\$ 2,678	2.7%	\$ 15,762	-83.0%	\$ 24,246	312.4%	\$ 100,000
Depreciation/Amortization Expense	\$ -	-	\$ -	-	\$ -	-	\$ -
Student Aid	\$ 1,420,043	27.8%	\$ 1,926,387	-26.3%	\$ 5,515,265	-7.5%	\$ 5,100,000
<b>Total General Expense</b>	<b>\$ 26,573,396</b>	<b>32.1%</b>	<b>\$ 30,347,613</b>	<b>-12.4%</b>	<b>\$ 94,751,443</b>	<b>-12.7%</b>	<b>\$ 82,702,000</b>
<b>Net Transfers Out(In)</b>	<b>\$ 1,332,547</b>	<b>16.7%</b>	<b>\$ 847,300</b>	<b>57.3%</b>	<b>\$ 7,007,520</b>	<b>14.2%</b>	<b>\$ 8,000,000</b>
<b>Total Expense</b>	<b>\$ 100,080,660</b>	<b>18.7%</b>	<b>\$ 101,528,806</b>	<b>-1.4%</b>	<b>\$ 548,847,900</b>	<b>-2.4%</b>	<b>\$ 535,702,000</b>
<b>Net before CapEx</b>	<b>\$ 102,004,410</b>	<b>6138.9%</b>	<b>\$ 107,072,069</b>	<b>-4.7%</b>	<b>\$ (3,377,242)</b>	<b>-149.2%</b>	<b>\$ 1,661,619</b>
<b>Beginning Fund Balance</b>	<b>\$ 54,401,248</b>	<b>100.0%</b>	<b>\$ 63,821,674</b>	<b>-14.8%</b>	<b>\$ 63,821,674</b>	<b>-14.8%</b>	<b>\$ 54,401,248</b>
<b>Capital Expenditures</b>	<b>\$ (322,510)</b>	<b>6.5%</b>	<b>\$ (1,444,039)</b>	<b>-77.7%</b>	<b>\$ (3,721,532)</b>	<b>34.4%</b>	<b>\$ (5,000,000)</b>
<b>Net (from above)</b>	<b>\$ 102,004,410</b>	<b>6138.9%</b>	<b>\$ 107,072,069</b>	<b>-4.7%</b>	<b>\$ (3,377,242)</b>	<b>-149.2%</b>	<b>\$ 1,661,619</b>
<b>Fund Additions/Deductions*</b>	<b>\$ 18,539</b>	<b>-</b>	<b>\$ (445,815)</b>	<b>-104.2%</b>	<b>\$ (70,749)</b>	<b>-100.0%</b>	<b>\$ -</b>
<b>Year-End Accounting Entries</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ (2,250,903)</b>	<b>-100.0%</b>	<b>\$ -</b>
<b>Ending Fund Balance</b>	<b>\$ 156,101,688</b>	<b>305.7%</b>	<b>\$ 169,003,889</b>	<b>-7.6%</b>	<b>\$ 54,401,248</b>	<b>-6.1%</b>	<b>\$ 51,062,867</b>
<b>Year-End Accounting Entries **</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>
<b>Net Capital Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>
<b>Other Restricted Net Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>
<b>Unrestricted Net Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>
<b>Total Net Assets</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>

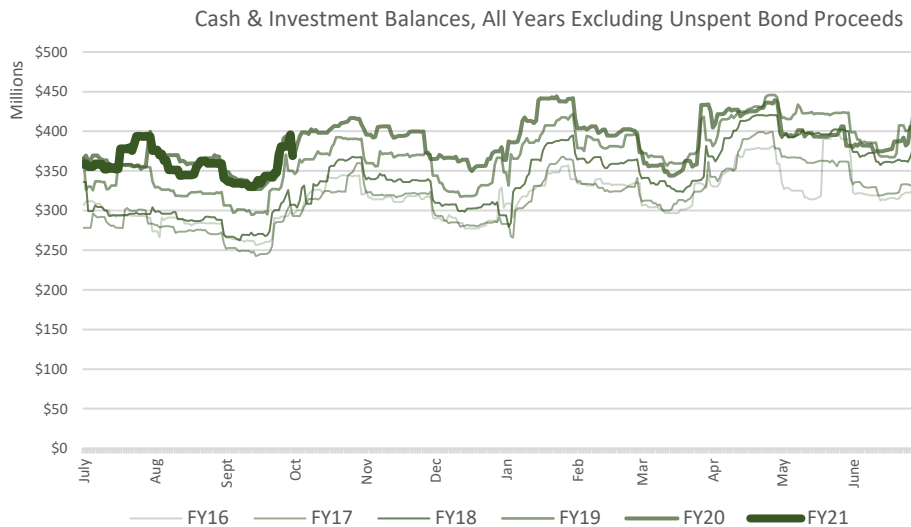
\* - Due to Capital Improvements and Debt Accounting entries

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

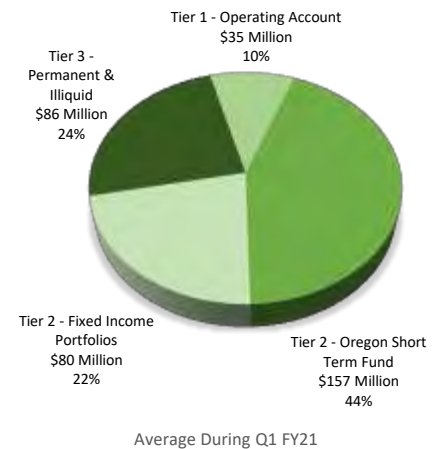
**FY21 Actuals Quarter 1 Report**
**Total All Fund Groups**

<b>Personnel Services</b>	<b>Total Dollars</b>			<b>Benefits as a % of Total Salary &amp; Leave</b>	
	<b>FY2020</b>	<b>FY2021</b>	<b>Yr/Yr % Inc</b>	<b>FY2019</b>	<b>FY2020</b>
Salary & Wages	\$80,087,247	\$76,224,771	-4.8%		
<b>Other Payroll Expense(OPE) and Leave</b>					
Personnel Leave	\$8,270,408	\$5,486,031	-33.7%	9.4%	6.7%
Medical Insurance	\$17,162,114	\$17,980,263	4.8%	19.4%	22.0%
Retirement	\$19,376,512	\$18,298,406	-5.6%	21.9%	22.4%
Other OPE	\$7,075,985	\$6,562,757	-7.3%	8.0%	8.0%
<b>Total OPE &amp; Leave</b>	<b>\$51,885,020</b>	<b>\$48,327,457</b>	<b>-6.9%</b>	<b>58.7%</b>	<b>59.1%</b>
<b>*Total Personnel Services</b>	<b>\$131,972,267</b>	<b>\$124,552,229</b>	<b>-5.6%</b>		

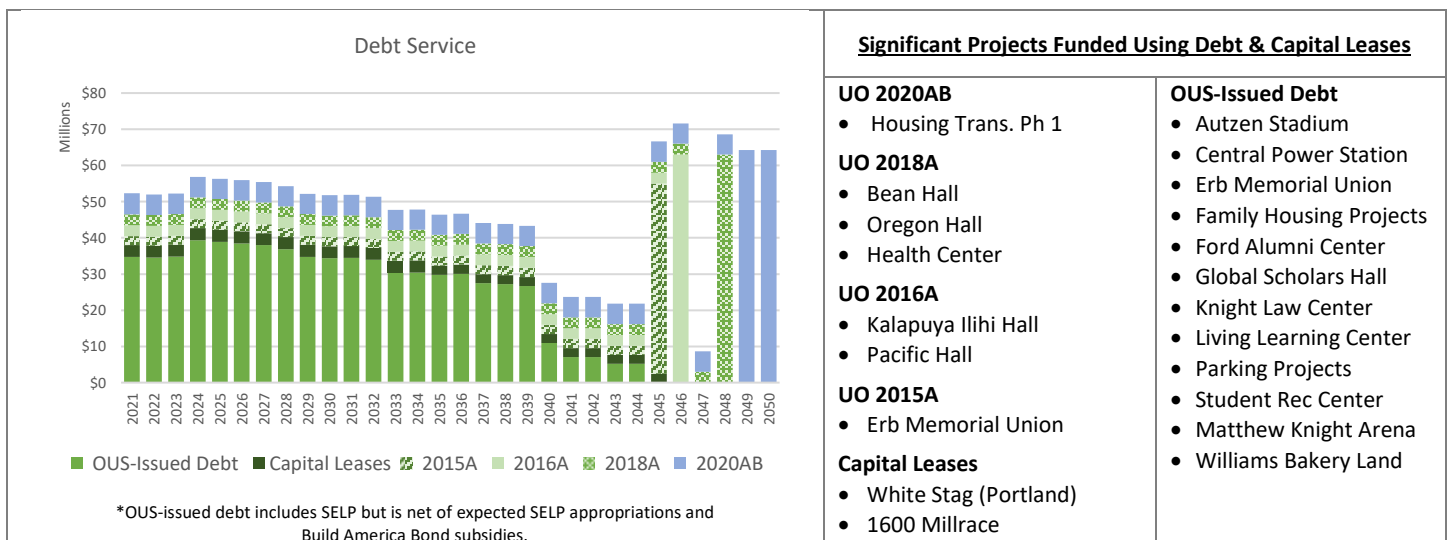
\* Data excludes OPE GE Remissions (Tuition, Fees & Benefits), Benefit Compensation and Year end accruals/adjustments

**Cash & Investment Pool**


Cash &amp; Investment Pool Allocation, Excluding Unspent Bond Proceeds



- The cash & investment pool averaged \$358 million during Q1 FY21, excluding all bond proceeds. Average balances for the quarter, excluding bond proceeds, were approximately the same as the same quarter in the previous fiscal year. At 9/30/2020 there were approximately \$124 million of unspent bond proceeds. UO is participating in the federal program to defer payroll tax payments and has accumulated \$9.9 million in cash balances through October 2020, included above, that is due December 31, 2021 and December 31, 2022.
- Liquidity remains very good, with an average of over \$400 million of cash and investments (including bond proceeds) accessible within one week.
- Estimated average accounting yield for the cash & investment pool was 1.29% for Q1 FY21. The Q1 FY20 yield was 2.23%.
- The T3 portfolio returned 4.1% in Q1 FY21 compared to the 60/40 stock/bond benchmark return of 5.2%. Detailed Q1 FY21 reports for the T3 portfolio will be distributed upon receipt from the University of Oregon Foundation.

**Debt Activities**


- The current principal balance of outstanding debt, including capital leases, is approximately \$814 million.
- Bond proceeds are loaned internally for capital projects. Borrowers are scheduled to repay their loans prior to the bullet payments due in 2045, 2046, 2048, 2049, and 2050 to ensure that the Internal Bank will have sufficient cash for the bullets.



# Treasury Operations Annual Update

December 2020

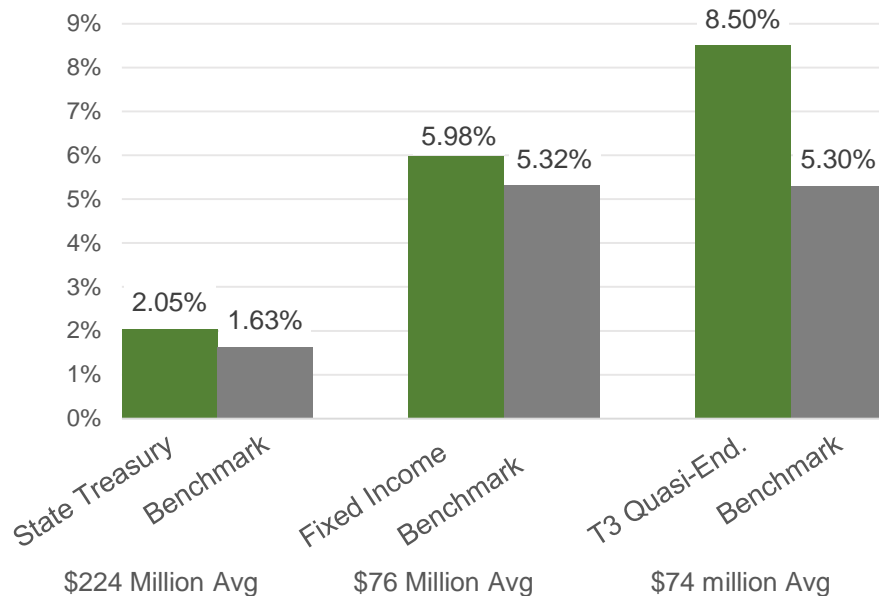
Jamie Moffitt, VPFA/CFO/Treasurer

Jeff Schumacher, Director of Treasury Operations

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

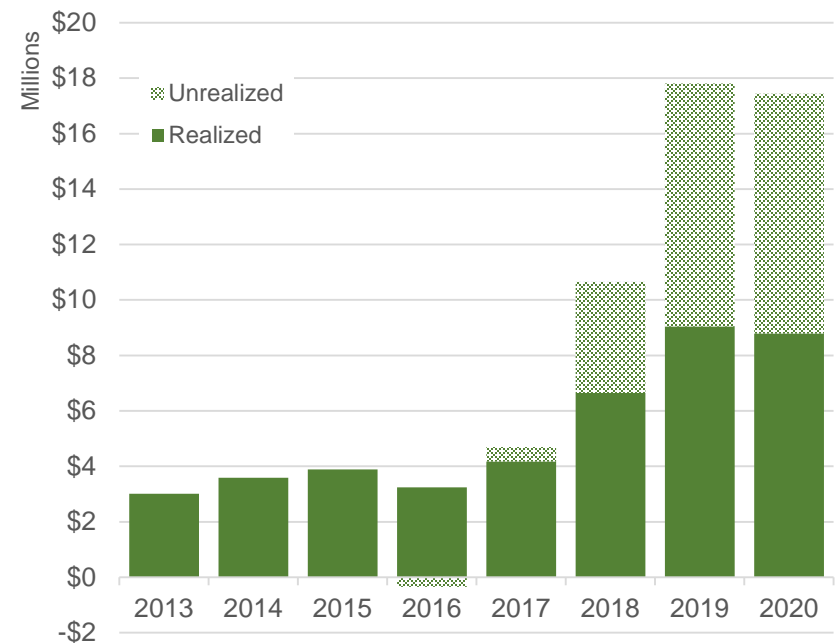
# Investments outperformed benchmarks and income declined slightly

Cash & Investment Pool FY20 Total Return as of 6/30/20

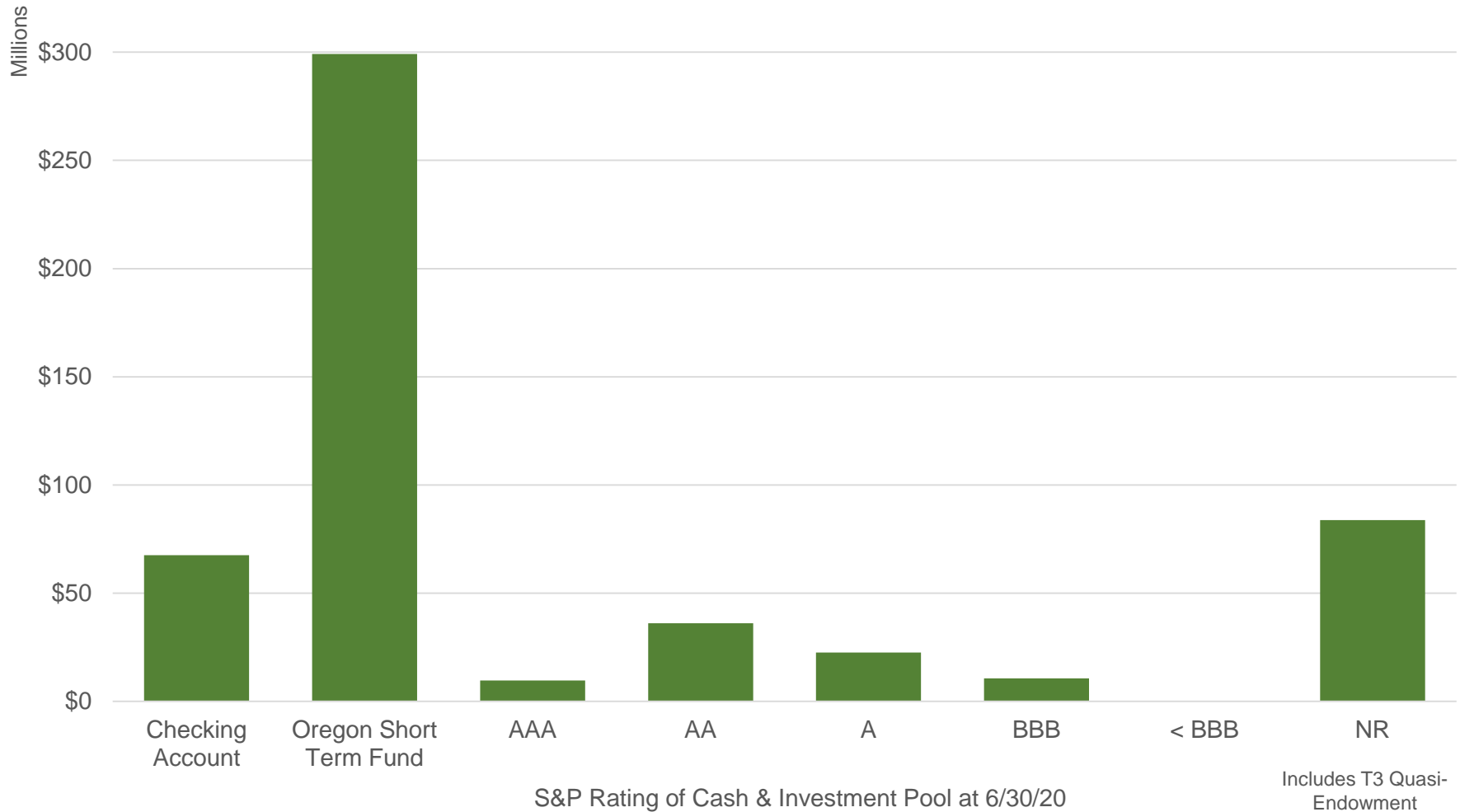


- Benchmark for State Treasury is BofA US 3-Month Treasury Index (G001).
- Benchmark for Fixed Income is BofA 1-5 year US Corporate & Government Index (BVA0).
- Benchmark for T3 Quasi-Endowment is 60% MSCI Equity index, 40% Barclays Bond index.

Total Investment Income

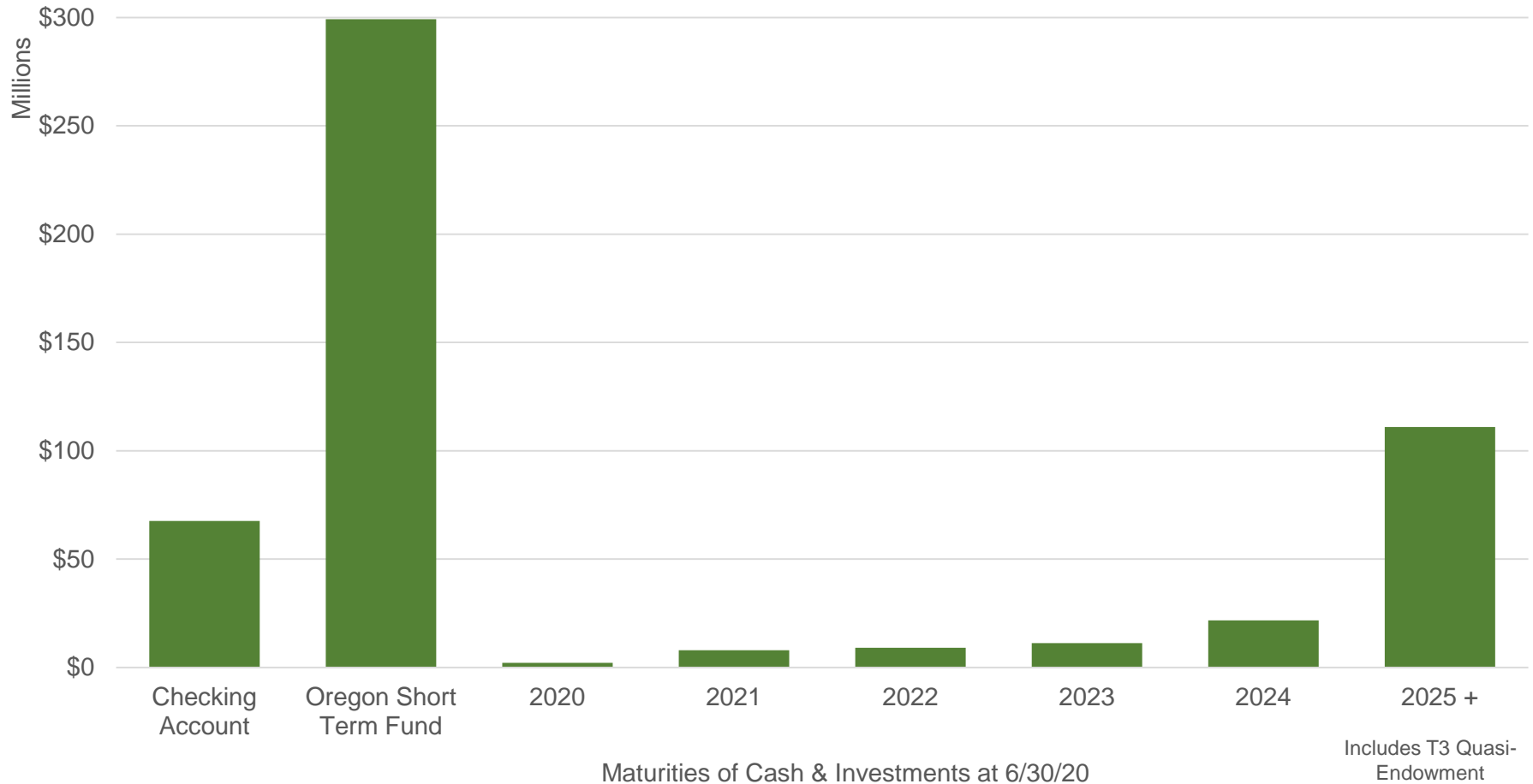


# Overall credit risk is low



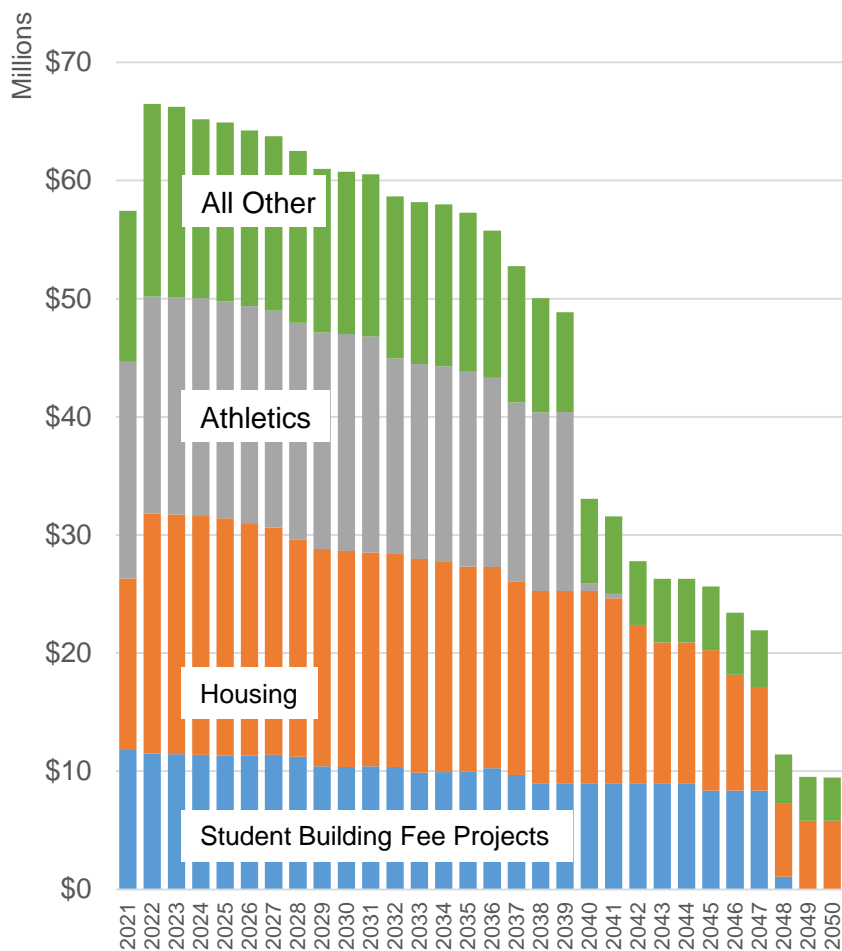
# Liquidity risk remains low

## Interest rate risk remains low

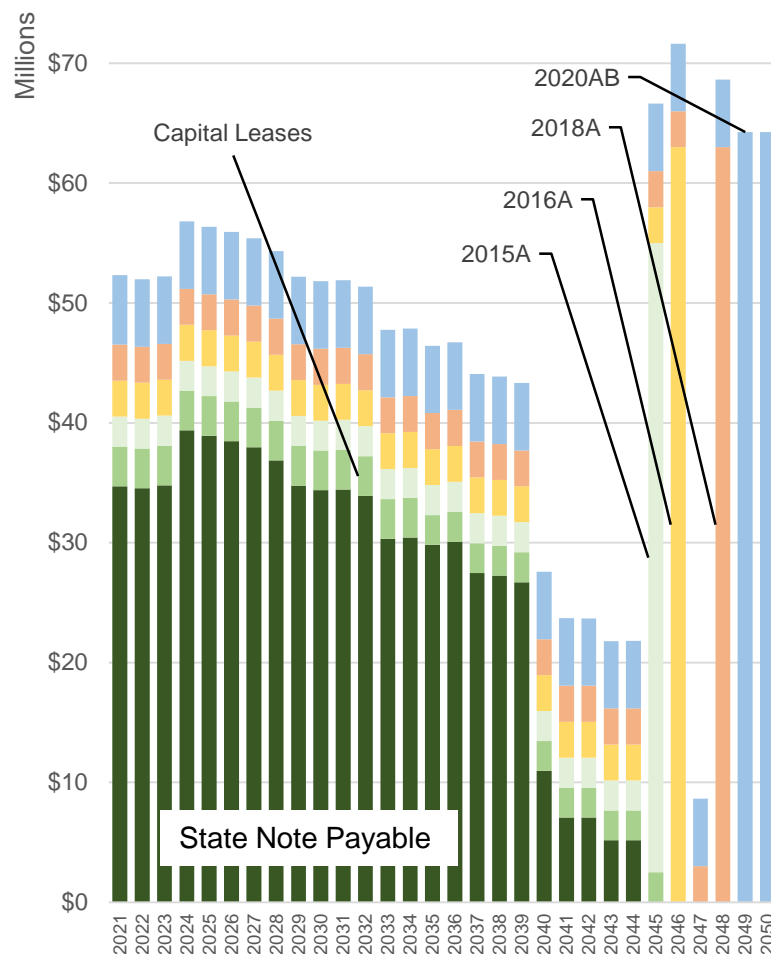




# Loans to debt-paying entities generate cash to cover debt service payments



Includes estimates for loans not yet fully advanced

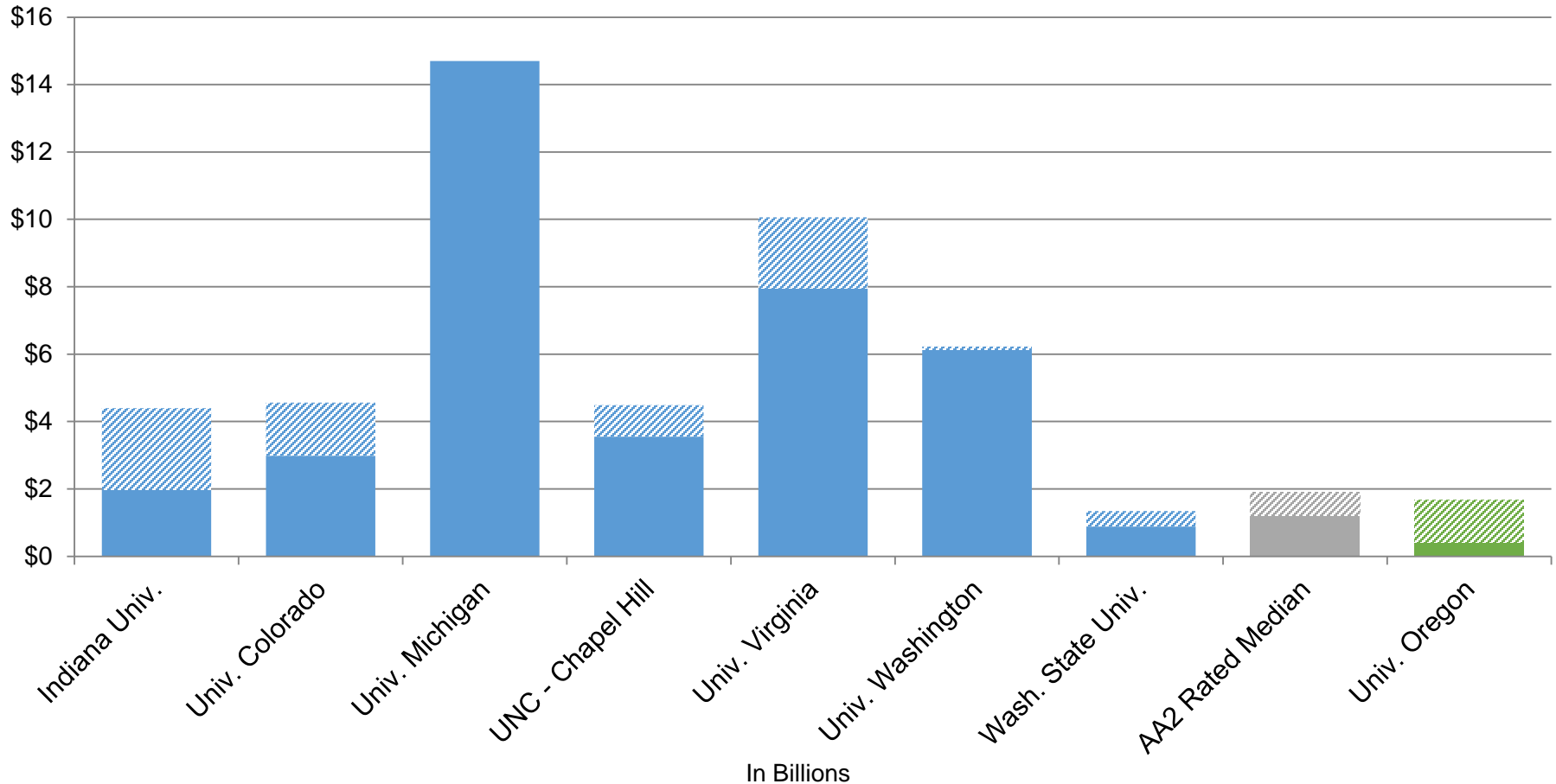


# Debt Characteristics

- All debt is fixed rate; no floating rate.
- In March 2020, S&P reaffirmed UO bonds' credit rating of AA-/stable and Moody's reaffirmed a rating of Aa2 with a change to negative outlook.
- In April 2020, S&P revised UO's outlook to negative, along with 115 other public and private universities, due to heightened financial risks attributed to COVID-19.
- UO revenue bonds have a 10-year par call.
- Most UO revenue bonds have been issued on a tax-exempt basis; \$20 million taxable issued March 2020.
- Debt that underlies the note payable to the state of Oregon includes a mixture of tax-exempt, taxable, and other tax-advantaged debt.

# Peer Comparison: Total Cash & Investments

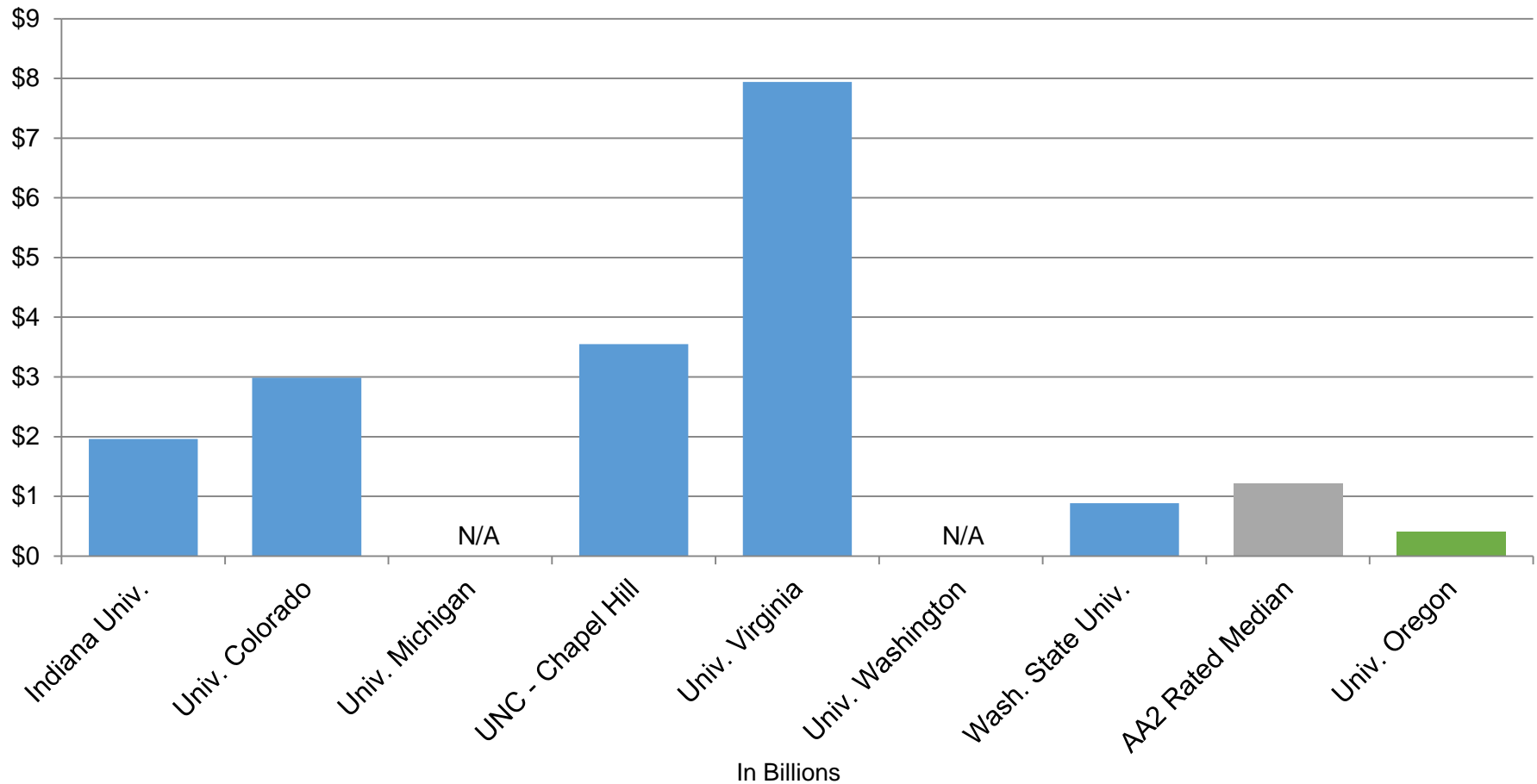
*Foundation assets shown in stripes*



Source: Moody's FY 2019 data provided by Bank of America

# Peer Comparison: University-Only Cash & Investments

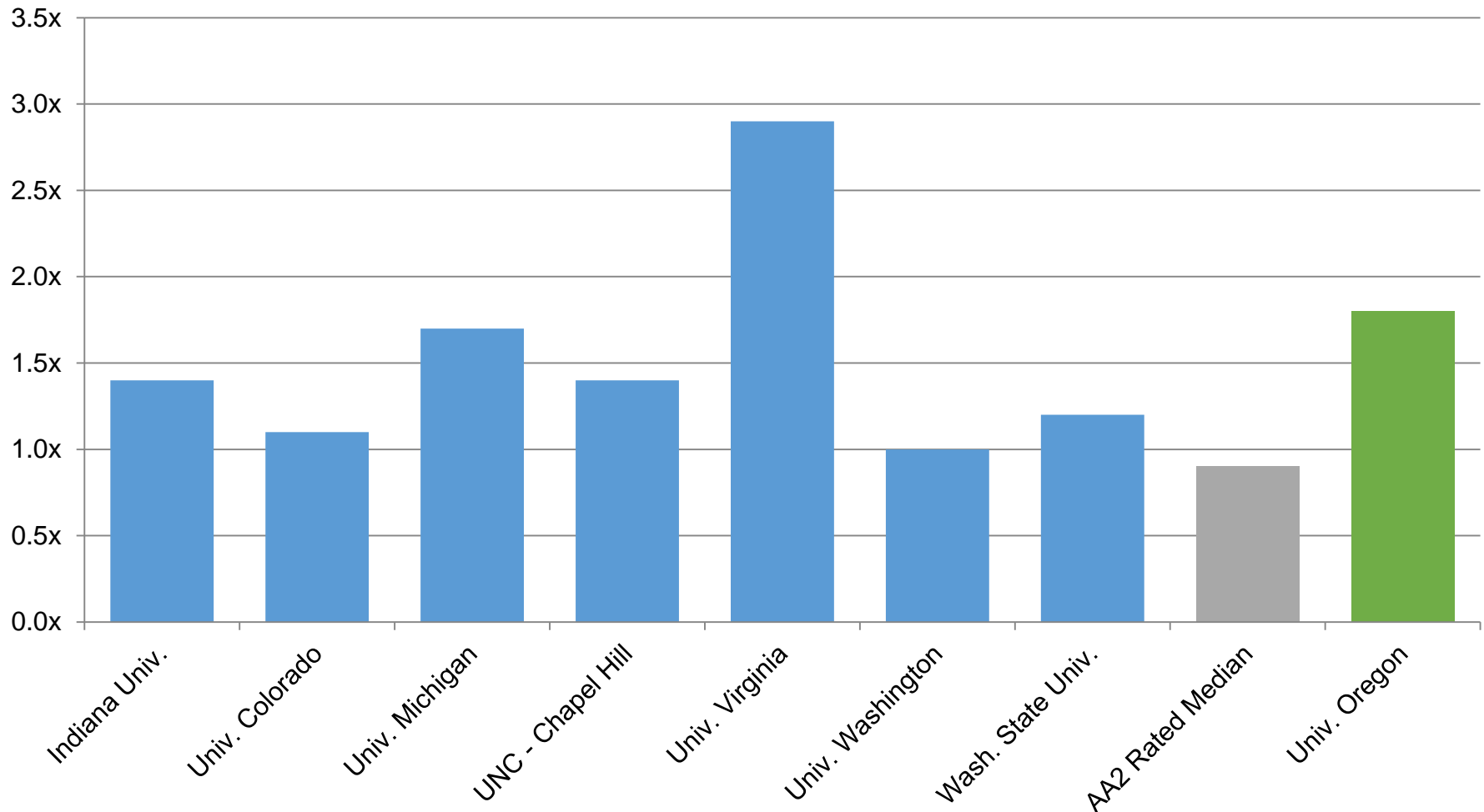
*Excludes foundation assets, N/A for universities without foundations*



Source: Moody's FY 2019 data provided by Bank of America

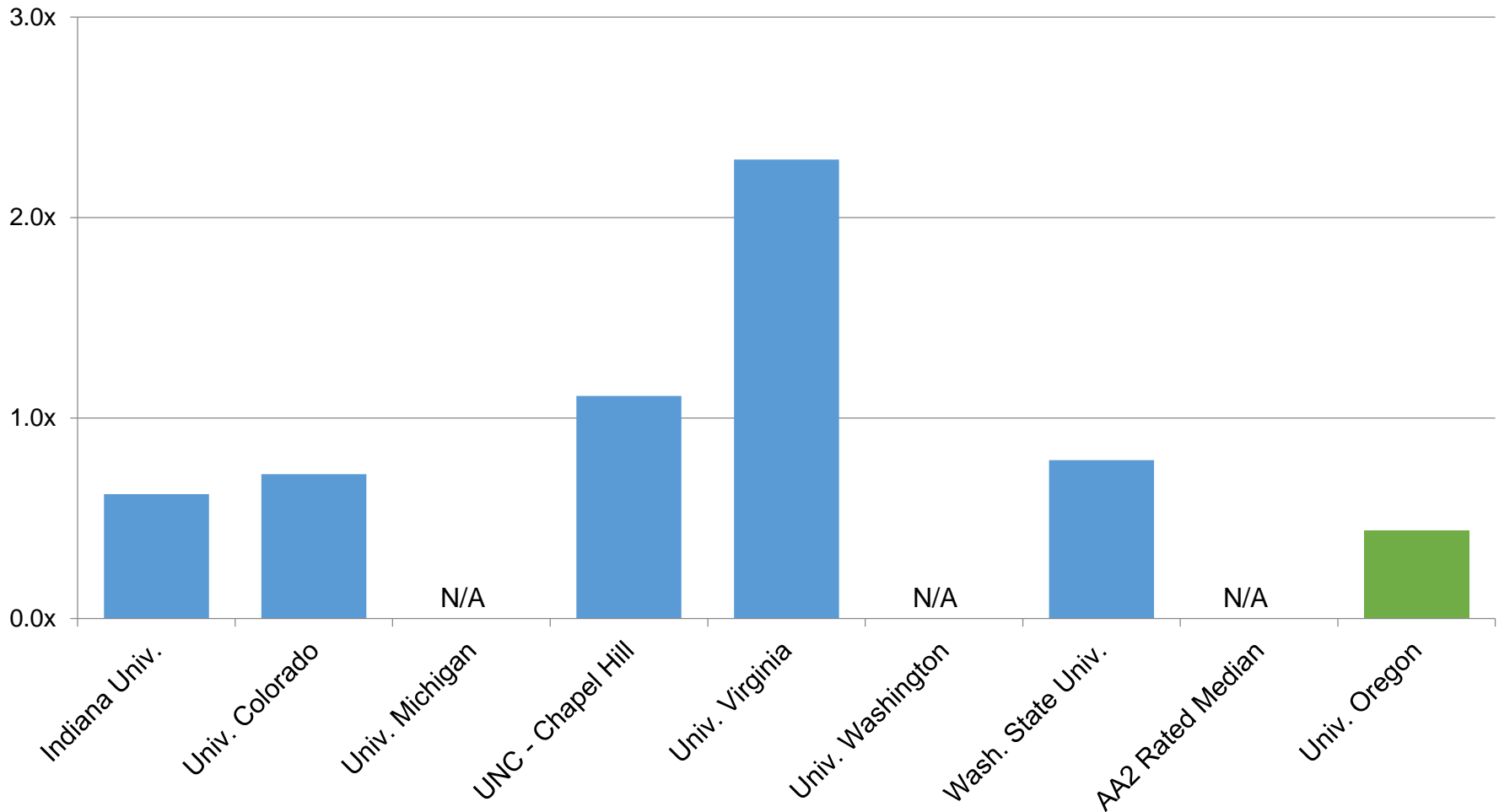
# Peer Comparison: Total Cash & Investments / Op Expense

*Includes foundation assets*



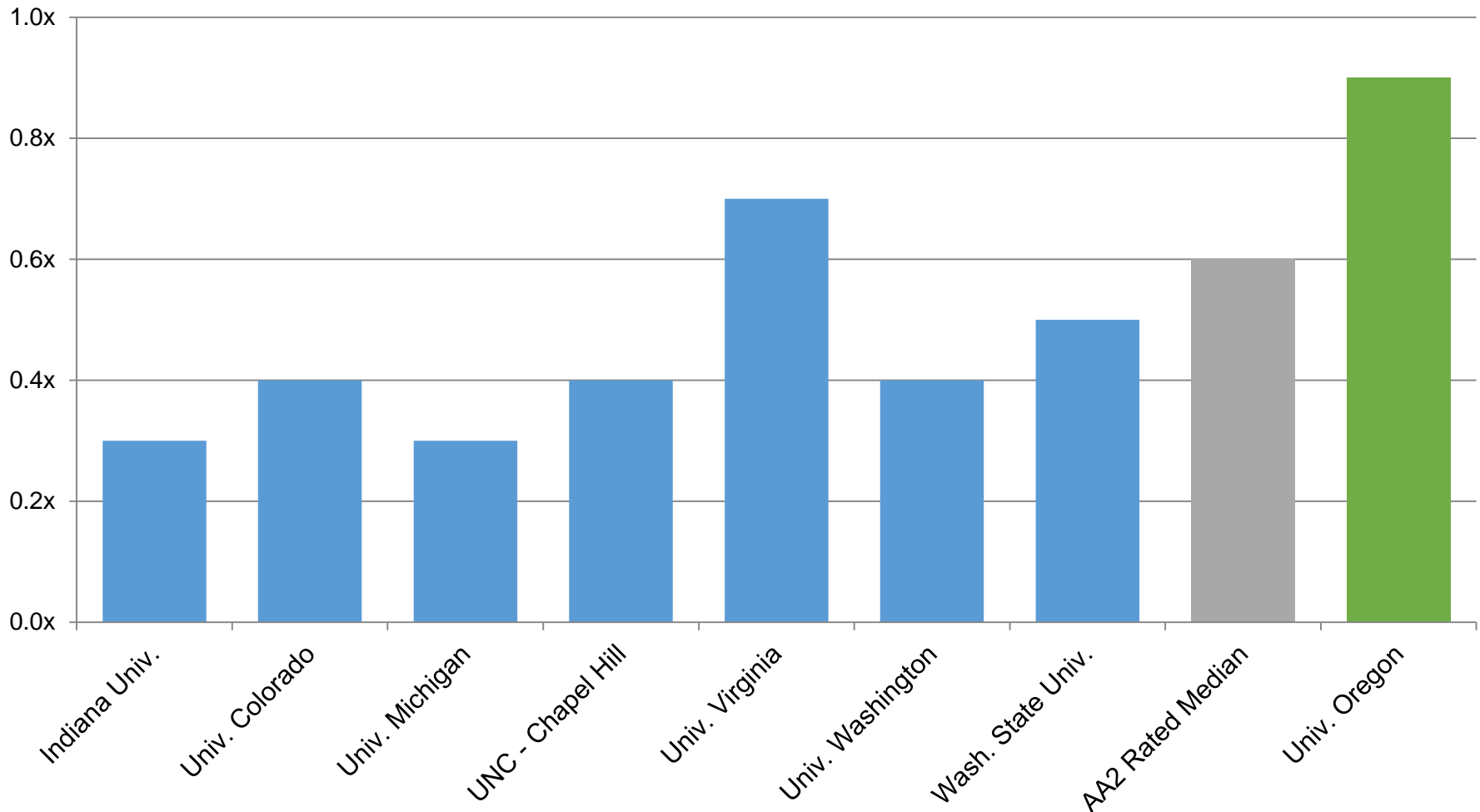
Source: Moody's FY 2019 data provided by Bank of America

# Peer Comparison: University Only Cash & Investments / Op. Expense



*Excludes foundation assets, N/A for universities without foundation*

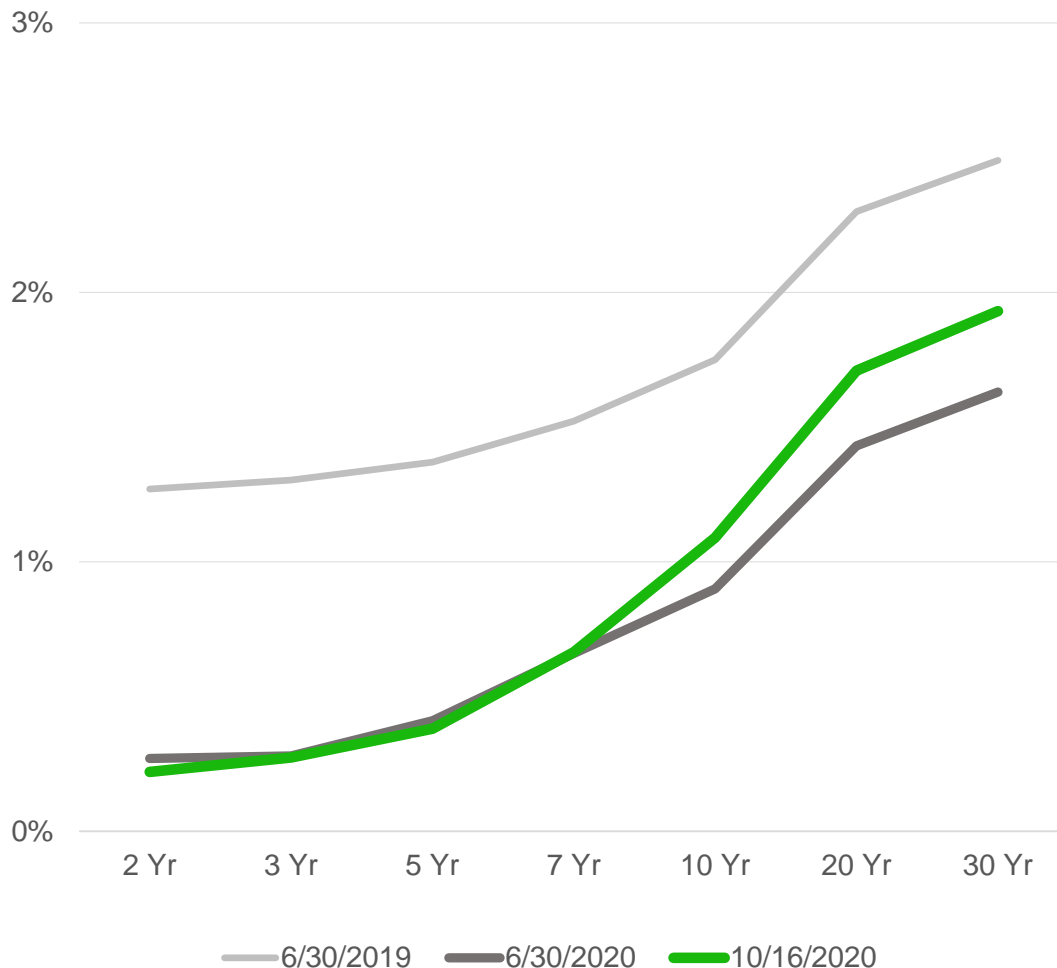
# Peer Comparison: Debt / Revenue



Source: Moody's FY 2019 data provided by Bank of America

# External Factors

Estimated MMD Yield Curve, AA Rating



- Bond rates have generally declined over the past 16 months, with long-term rates hitting historic lows.
- Short-term investment rates started falling in March 2020 and have continued to slide. General consensus is that rates will remain low for the foreseeable future with the Federal Reserve's latest economic forecasts suggesting the federal funds rate will remain near zero at least through 2023.
- Rating agencies changed outlooks for higher ed sector and many universities to negative based on fallout from the pandemic.



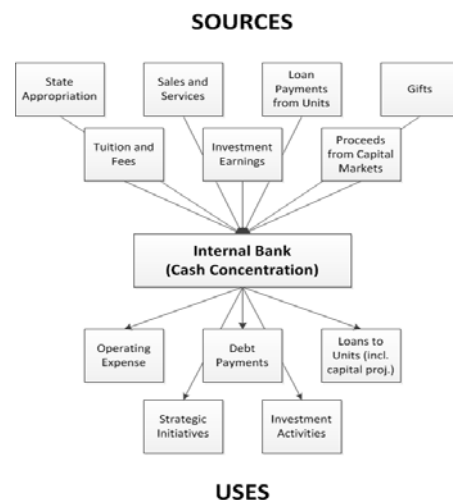
### Internal Bank Functional Responsibilities

There have been no changes made to the functional responsibilities of Treasury Operations or the Internal Bank during the past year. The Internal Bank continues to:

1. Manage the short-term cash position so the university can meet its obligations.
2. Manage long-term investments and long-term debt of the university.
3. Raise capital and provide funding to capital projects that need to borrow funds.
4. Manage banking relationships.
5. Guide payment system processes.

The Treasurer attests to the following policy-required items:

- There have been no policy exceptions.
- The Board authorized all financing transactions in excess of \$5 million.
- A copy of the Treasury Management Procedures has been made available for your information. Changes this year include recommendations to modify portions of the Tier 2 portfolio's duration and allocation limits, along with clarifications to other areas of the document. The Treasury Management Procedures makes no change to the internal bank borrowing rate of 5.25%.



### Update on Activities Since Last Annual Report

#### Cash and Investment Pool

- Investment portfolios comply with our stated quality, liquidity, and return objectives.
- Balances are closely monitored to maximize earnings despite the low rate environment.

#### Debt Activities

- Peer comparisons of cash & investments, operating expense coverage ratio, and debt-to-revenue for FY19 (the latest year available) are similar to FY18.
- The status of UO revenue bond proceeds as of September 30, 2020 are shown below:
  - 100% of 2015A revenue bond proceeds have been expended;
  - 99% of 2016A revenue bond proceeds have been expended;
  - 99% of 2018A revenue bond proceeds have been expended; and
  - 14% of 2020AB revenue bond proceeds have been expended.

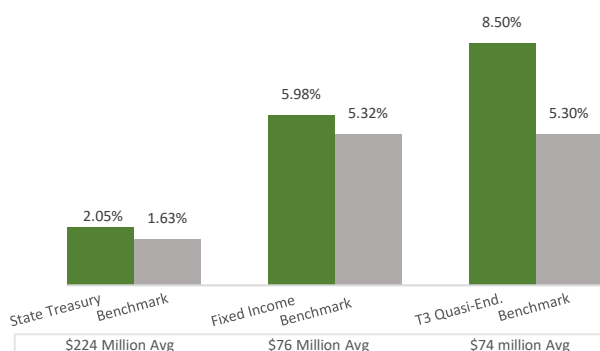
### Treasury Procedures

An excerpted version of the procedures, showing only the changed sections, has been included for reference. The full procedures can be found at <https://pages.uoregon.edu/baoforms/web/treasury/pdf/treasurymanagementprocedures-11-2020.pdf> and contain the following updates:

- Clarified short-term borrowing guidelines by removing 365-days-outstanding restriction. (p. 1)
- Removed duplication of limits on money market holding which are defined later in the document. (p. 7)
- Clarified that Tier 2 managed portfolios (outside of OSTF) will have a dollar-weighted average credit rating of AA- or higher. (p. 8)
- Added the ability to have up to 25% of Tier 2 managed portfolios with an average duration exceeding 4 years. (p. 8)
- Reduced Tier 2 & Tier 3 allocation limits for corporate debt (from 80% to 65%) and asset-backed securities (from 50% to 25%). (p. 9)
- Added minimum target of 5% present-value savings and 50% efficiency ratio for bond refundings. (p. 13)
- Other minor wording & organizational changes throughout.

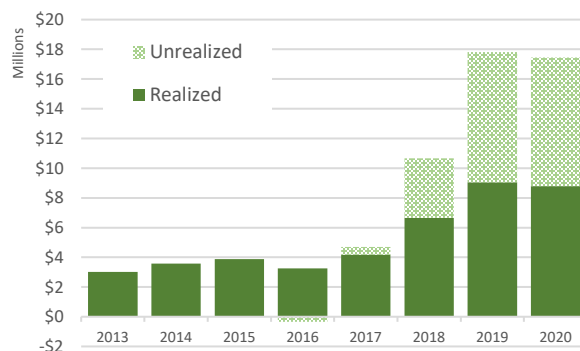
## Cash and Investment Pool Characteristics as of June 30, 2020

Cash & Investment Pool FY20 Total Return



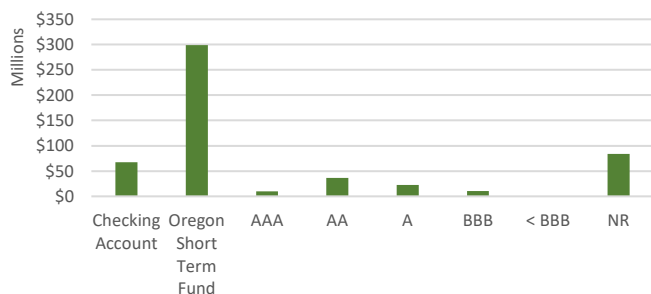
Benchmark for State Treasury is BAML US 3-Month Treasury Index (G001)  
 Benchmark for Fixed Income is BAML 1-5 year US Corporate & Government Index (BVA0)  
 Benchmark for T3 Quasi-Endowment is 60% MSCI Equity index, 40% Barclays Bond index

Total Investment Income



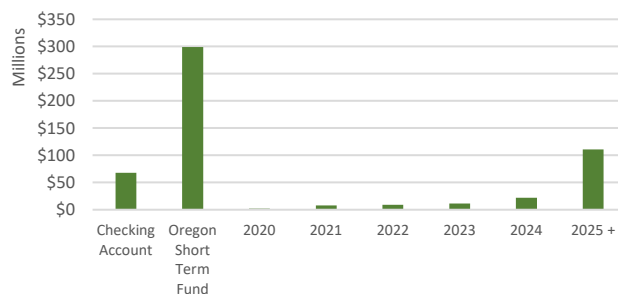
Investment income includes interest earnings, realized gains/losses, and unrealized gains/losses.

S&P Rating of Cash & Investments



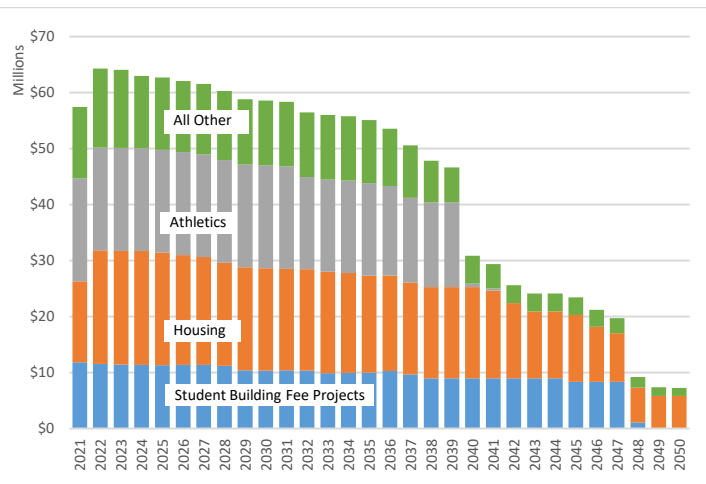
The T3 Quasi-Endowment is classified as "NR" above.

Maturities of Cash & Investments

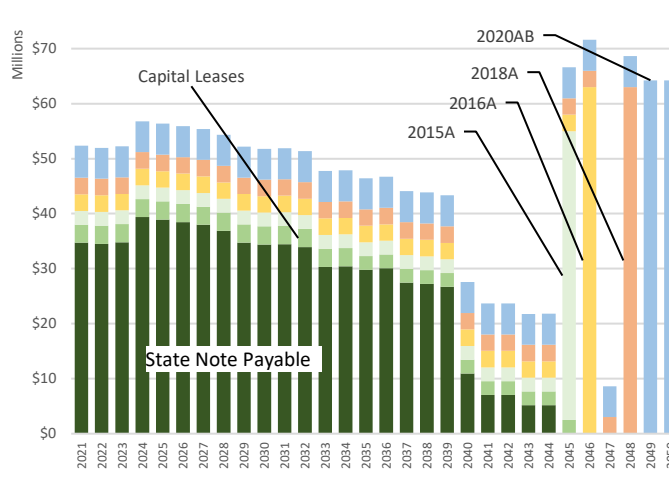


The T3 Quasi-Endowment is managed under an open-ended agreement and is included in the "2025+" data.

## Debt Characteristics as of June 30, 2020

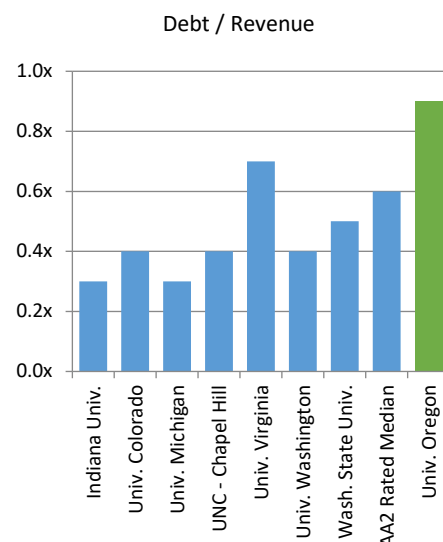
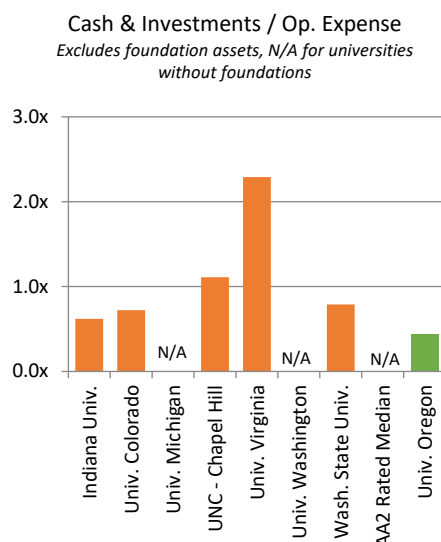
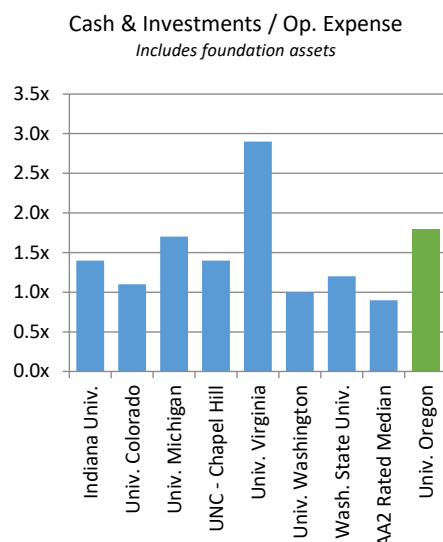
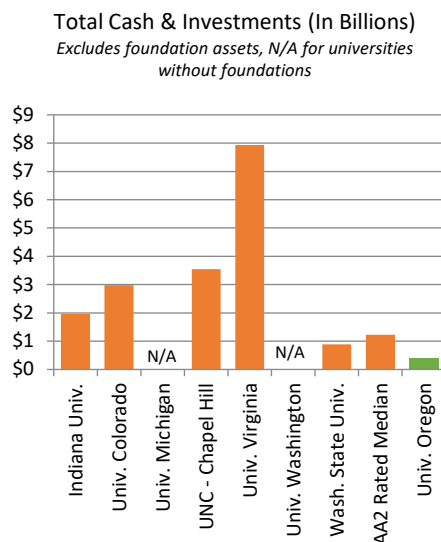
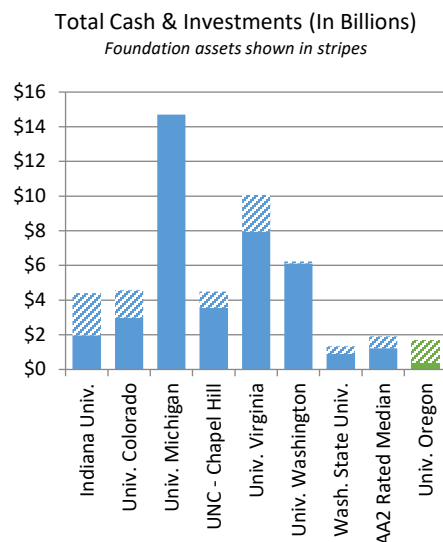


Includes estimates for loans not yet fully advanced



- All debt issued at a fixed rate; no floating rate.
- In March 2020, S&P reaffirmed UO bonds' credit rating of AA-/stable and Moody's reaffirmed a rating of Aa2 with a change to negative outlook.
- In April 2020, S&P revised UO's outlook to negative, along with 115 other public and private universities, due to heightened financial risks attributed to COVID-19.
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- Debt that underlies the note payable to the state of Oregon includes a mixture of tax-exempt, taxable, and other tax-advantaged debt.

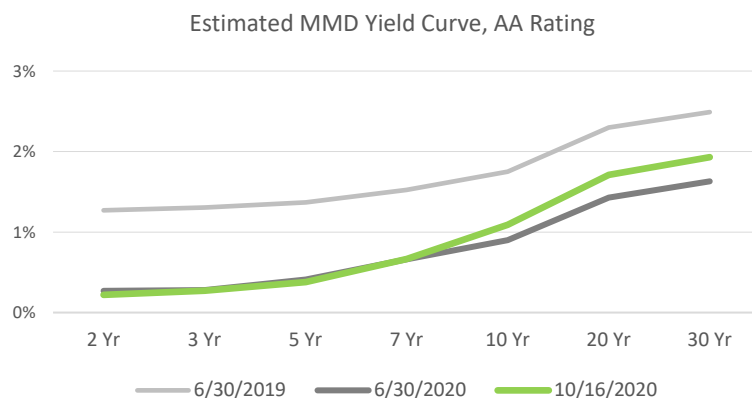
## Peer Comparisons



Source: Moody's FY 2019 data, provided by Bank of America Merrill Lynch

## External Factors

- Bond rates have generally declined over the past 16 months, with long-term rates hitting historic lows.
- Short-term investment rates started falling in March 2020 and have continued to slide. General consensus is that rates will remain low for the foreseeable future with the Federal Reserve's latest economic forecasts suggesting the federal funds rate will remain near zero at least through 2023.
- Rating agencies changed outlooks for higher ed sector and many universities to negative based on fallout from the pandemic.



## CENTRAL BANK PROCEDURES

**NOTE:** The full document is available at the following URL; sections without changes (redlines) are redacted in this publication - <https://ba.uoregon.edu/content/treasury-operations>.

### Roles and Responsibilities

[Redacted - no changes]

### Liquidity Management

The central bank will provide day-to-day liquidity for the university. The central bank may establish mechanisms, subject to Board approval as outlined in policy, to ensure that the university's obligations are met even in circumstances where there is insufficient cash to cover the obligation. Such overdrafts are considered routine and necessary to maximize the investment earnings of the university's Cash & Investment Pool. ~~No short-term borrowing may be outstanding for more than 365 consecutive days.~~

### Treasury Risk Management

~~Risk~~Risks related to ~~the optionality of~~ assets and liabilities will be reviewed by Treasury staff at least annually under various scenarios. The impact of such risks will be quantified and measured against the university's unrestricted net assets and net income. The analysis will include both a single year's analysis to assess the impact of an immediate event as well as a multi-year analysis to assess the impact of sustained economic stress on the university. At a minimum, the following risks will be evaluated:

- Interest Rate Risk: The exposure to changing nominal interest rates and volatility and how such changes impact investment returns and the cost of capital
- Credit Risk: The exposure to default risk and changing credit ratings and credit spreads and how such changes impact investment returns and the cost of capital.
- Liquidity Risk: The exposure to uncommitted financings or liquidity market failures and how such changes impact the operations and reputation of the university and the impact on investment returns and cost of capital.
- Counterparty Risk: The exposure that arises when counterparties fail to perform and how such changes impact the operations and reputation of the university and the impact on investment returns and cost of capital.
- Tax Risk: Understanding how potential changes in tax law or the university's standing as a tax-exempt entity may impact investment returns and the cost of capital.

### Central Bank Loans

[Redacted - no changes]

## **Management of the Central Bank**

[Redacted - no changes]

## **UNIVERSITY OF OREGON**

### **CASH & INVESTMENT OPERATIONAL PROCEDURES**

#### **Selection of Broker/Dealers, Investment Managers and Depository Banks**

[Redacted - no changes]

#### **Custody/Trust and Administration**

[Redacted - no changes]

#### **General Roles and Responsibilities Related to Investment Management**

[Redacted - no changes]

#### **Permitted investments – Tier 1**

*All Tier 1 investments will be denominated in U.S. dollars.*

*U.S. Treasury Obligations* - [Redacted - no changes]

*Negotiable Certificates of Deposit, Bank Deposit Notes and Non-Negotiable Certificates of Deposit / Time Deposits* - [Redacted - no changes]

*Bankers' Acceptances* - [Redacted - no changes]

*Commercial Paper* - [Redacted - no changes]

*Repurchase Agreements* - [Redacted - no changes]

*Money Market Mutual Funds (Open-Ended Investment Funds)* - Shares in open-ended, no-load, money market mutual funds ("MMMF's"), provided such funds are registered under the Federal Investment Company Act of 1940 and rated at least "AAAm" or the equivalent by an NRSRO. The mutual fund must comply with the diversification, quality, and maturity

requirements of Rule 2a-7, or any successor rule, under the Investment Company Act of 1940. ~~No more than 50 percent of the portfolio may be allocated to MMMF's with no more than 25 percent of the portfolio being invested with any Money Market Mutual Fund issuer.~~ The university's assets must not represent more than 10 percent of a fund's total assets.

## Permitted Investments – Tier 2

*Any investment eligible to be held in Tier 1*

*Federal Agency Obligations* - [Redacted - no changes]

*Asset-Backed Securities* – [Redacted - no changes]

*Corporate debt and municipal securities* will generally be of high quality (Aa2 by Moody's Investor Services, Inc., or AA by Standard and Poor's, Inc.). Lower grade bonds of investment quality (down to BBB-) may also be held but are limited ~~to not more than 20% of the Tier 2 portfolio by the guidelines shown under "Credit Risk" below. Investment in noninvestment grade bonds (bonds rated lower than BBB-) is prohibited without consent of the Board of Trustees.\* Unrated securities are not permitted.~~

~~\*Applies to the acquisition of securities. May be allowed as a subsequent event as described below.~~

The portfolio should be liquid and consist of readily saleable securities; 144A investments are permitted.

## Permitted Investments – Tier 3

[Redacted - no changes]

## Portfolio Risk Management

### *Interest Rate Risk*

Tier 1: Maximum average duration of 9 months, and a maximum stated maturity of 3 years

Tier 2: ~~Maximum~~ Excluding the Oregon Short Term Fund, a minimum of 75% of the portfolio will have a maximum average duration of 4 years, and a maximum stated maturity of 10 years. A maximum of 25% of the portfolio may be invested with an average duration exceeding 4 years but may not exceed 110% of the duration of the Bloomberg Barclay Aggregate Bond Index.

Tier 3: Portfolio is expected to be invested as Funds Functioning as Endowment or Quasi-Endowment and, consequently has no duration nor maturity limits

### *Credit Risk*

Tier 1: As provided above under Permitted Investments. In the event of a split rating, the lowest rating should be considered when determining the appropriate rating category.

~~Tier 2: As provided above under Permitted Investments. Tier 2: Excluding the Oregon Short Term Fund, the dollar weighted average credit rating of any managed portfolios will be AA- or better.~~ In the event of a split rating, the lowest rating should be considered when determining the appropriate rating category. When determining the average rating of an entire portfolio, it is permissible to use a composite approach that takes into account all ratings. ~~Unrated securities are not permitted in this portfolio.~~

Tier 3: No credit limitations

## Portfolio Benchmarks

[Redacted - no changes]

## Portfolio Diversification

The Cash & Investment Pool's investments shall be diversified by security type and institution. Concentrations in individual securities, industries, geographies, and economic sectors should not be so high as to subject the Cash & Investment Pool to undue risk. The maximum percentage of the asset allocation and issuer limit permitted in each eligible security shall be as follows:

<i>Sector limit / Issuer Limit</i>	<b>Tier 1 Portfolio*</b>	<b>Tier 2 Portfolio*</b>	<b>Tier 3 Portfolio*</b>
U.S. Treasury Obligations	100% / 100%	100% / 100%	100% / 100%
Oregon State Treasury	100% / 100%	100% / 100%	100% / 100%
Collateralized Bank Deposits	100% / 100%	10% / 10%	10% / 10%
Negotiable Certificates of Deposit and Bank Deposit Notes	100% / 100%	20% / 5%	20% / 5%
Commercial Paper	100% / 100%	20% / 5%	20% / 5%
Money Market Mutual Funds	100% / 100%	50% / 25%	50% / 25%
Repurchase Agreements	50% / 25%	50% / 25%	50% / 25%
Bankers' Acceptances	35% / 5%	35% / 5%	35% / 5%
Non-Negotiable Certificates of Deposit / Time Deposits	10% / 3%	20% / 3%	20% / 3%
Federal Agency Obligations	0%	100% / 40%	100% / 40%
Corporate Debt Obligations	0%	<del>50</del> 5% / 5%	<del>50</del> 5% / 5%
Asset-Backed Securities	0%	<del>20</del> 25% / 3%	<del>20</del> 25% / 3%
Municipal Obligations	0%	20% / 5%	20% / 5%
Other Investments	0%	0%	100% / 5%

\*These assets may be managed by third party investment management firms and subject to specific guidelines developed at the time the manager is engaged. If the State of Oregon is the manager for any of the portfolios, its policies govern and supersede any limits set forth in these investment procedures.

The sector and issuer limits shall be applied to each Portfolio at the date of acquisition. For all pooled investments, with the exception of pools managed by the Foundation or the Oregon State Treasury, the university's holdings must represent no more than 10 percent of the net assets of the pool.

***Subsequent Events*** - [Redacted - no changes]

#### **Prohibited Investments and Investment Practices**

[Redacted - no changes]

#### **Board Statement on Investment Philosophy**

[Redacted - no changes]

#### **Special Note on Derivative Activity**

[Redacted - no changes]

#### **Investment Parameter Examples**

[Redacted - no changes]

#### **Investment Income Distributions**

[Redacted - no changes]

#### **Other Operational Matters**

[Redacted - no changes]



## LIABILITY MANAGEMENT PROCEDURES

### General Considerations

Debt, or other capital financing, may be used for any purpose that furthers the mission of the university.

The university is not restricted to traditional municipal debt instruments. Other instruments such as mortgages, long-term leases, and other funding mechanisms that may emerge over time may also be considered.

When capital financing is being contemplated, the Treasurer will evaluate:

- How the funds raised will achieve the university's strategic objectives
- Alternative sources of funding and cost of funds
- How the financing affects the university's ability to meet its existing obligations
- The feasibility and appropriateness of the source of repayment
- How the financed project will affect the future fiscal health of the university

The base case assumption for all debt issuances is for tax-exempt, fully amortizing, fixed-rate, level debt service that matches the life of the underlying capital projects with a 10-year par call. Any structural deviations considered will be compared to this base case.

If variable rate debt is being considered, interest costs will be estimated using a range of two standard deviations based on historical volatility.

The university will use a professional financial advisor to provide advice on all contemplated debt and debt-related transactions.

Refundings of any outstanding debt may be pursued in order to achieve cost savings. ~~Refunding savings in excess of 5% or \$1 million/year should be captured as quickly as possible unless advised otherwise.~~ Cost savings should target a minimum of 5% present value savings and 50% refunding efficiency ratio. Should it be desirable and beneficial to the university, tax exempt bonds may be refunded as taxable bonds.

### Initial Disclosure Documents

Treasury Operations staff will consult with subject matter experts to ensure that all information contained in offering documents is materially complete and accurate. Treasury Operations staff or the university's financial advisor will schedule one or more meetings of the financing team working group (which includes Treasury Operations staff, the university's financial advisor (if used), General Counsel, Disclosure Counsel/Bond Counsel, the underwriter (if used) and their counsel, and other parties relevant to the financing), and will circulate and discuss new drafts of the offering documents. During this part of the process, there is substantial contact among Treasury Operations staff and other members of the financing team to discuss issues that may arise to determine the materiality of particular items and ascertain the prominence in which the items should be disclosed.

Disclosure documents will be reviewed by the following staff and officials, who are of sufficient seniority such that it is reasonable to believe that, collectively, they are in possession of material information relating to the university and its finances:

- Director of Treasury Operations for a cover-to-cover review and to ensure that each section is assigned to an appropriate subject matter expert for review
- Controller for financial reporting integrity and to obtain any auditor reviews needed
- CFO/Treasurer for a cover-to-cover review and to ensure new developments are disclosed
- Institutional Research for enrollment and staffing information
- General Counsel's office for cover-to-cover review
- The State of Oregon for information related specifically to the state such as updates related to PERS

Prior to distributing a preliminary offering document to potential investors, there will be one or more formal meetings or calls which includes Treasury Operations staff and the underwriters and their counsel, during which the offering document is reviewed in its entirety, page by page or section by section, to obtain final comments and to allow the underwriters to ask questions of the university's officials and staff. This is referred to as a "due diligence" meeting or call.

As a matter of practice, comments are routinely sought on all sections of the disclosure documents and the steps above are merely meant to represent the process of review. It is the practice of Treasury Operations to have all numbers and statements confirmed by a source outside of Treasury Operations. The university's Treasurer, with guidance from General Counsel, will attest to the material accuracy and completeness of the disclosure documents during due diligence and in a closing certificate.

Financial statements, when included, will be audited. Preliminary financial statements, or interim period financial information, also may be included if necessary for material completeness and accuracy of the audited financial information.

The following principles govern the work of the respective staffs that contribute information to the offering document:

- Treasury Operations staff involved in the disclosure process are responsible for being familiar with federal securities laws as they relate to disclosure. Treasury Operations staff should err on the side of raising issues when preparing or reviewing information for disclosure.
- Officials and staff are encouraged to consult with General Counsel and/or Disclosure Counsel if there are questions regarding whether an issue is material.
- Care should be taken not to shortcut or eliminate any steps outlined in these procedures on an ad hoc basis. However, these procedures are not necessarily intended to be a rigid list of procedural requirements, but instead to provide guidelines for disclosure review. From time to time, the university will consider revisions to these procedures, as warranted by experience during financings or because of additional Securities and Exchange Commission ("SEC") pronouncements or other reasons.

- Any concerns regarding the accuracy of an Official Statement should be immediately reported to the General Counsel and Bond Counsel or Disclosure Counsel.

### **Ongoing Training**

[Redacted - no changes]

### **Continuing Disclosure**

[Redacted - no changes]

### **Post-Issuance Compliance for Tax-Advantaged Bonds**

[Redacted - no changes]

### **State-Issued Bonds Reimbursement Requests**

[Redacted no changes]

**EXHIBIT A**  
**FORM OF POST-ISSUANCE COMPLIANCE POLICIES**

**Purpose**

[Redacted no changes]

**I. GENERAL POST-ISSUANCE COMPLIANCE REQUIREMENTS**

[Redacted no changes]

**II. POST-ISSUANCE TAX COMPLIANCE REQUIREMENTS**

[Redacted no changes]

**EXHIBIT B**  
**STATEMENT OF INVESTMENT PRINCIPLES**  
**BOARD OF TRUSTEES OF THE UNIVERSITY OF OREGON**

[Redacted no changes]

**EXHIBIT C**  
**BASIC UO INVESTMENT PARAMETERS**  
**SEPARATELY MANAGED TIER 2 FUNDS**

**Allowable Types of Investments**

• U.S. Treasury Obligations	100%
• Collateralized Bank Deposits	10%
• Certificates of Deposit	20%
• Bankers' Acceptances	35%
• Commercial Paper	20%
• Repurchase Agreements	50%
• Money Market Mutual Funds	50%
• Federal Agency Obligations	100%
• Corporate Debt	<del>80</del> 65%
• Asset-Backed Securities collateralized mortgage obligations)	<del>50</del> 25% (includes mortgage-backed, commercial mortgage-backed, and
• Municipal Obligations	20%

**Prohibited Investments and Investment Practices**

The University is expressly prohibited from the following investments and investment practices:

- a) Borrowing funds for the sole purpose of reinvesting the proceeds of such borrowing unless specifically authorized by the Board or its designated Committee;
- b) Speculative trading (repetitive buying and selling of the same or similar securities for the purpose of capital gains);
- c) Investment in complex derivatives such as range notes, dual index notes, inverse floating rate notes and leveraged notes, or notes linked to lagging indices or to long-term indices
- d) Investment in collateralized debt or loan obligations (CDOs and CLOs); and
- e) Investing in any security not specifically permitted by this Policy.

**Credit Risk – Tier 2**

- Asset-Backed securities - Must be rated AA or better by at least one Nationally Recognized Statistical Rating Organization (NRSRO). When a security is rated by more than one agency the lower rating will prevail.
- Securities rated below BBB- are not permitted.
- Unrated securities are not permitted.
- The dollar weighted average credit rating of the managed portfolio will be AA- or better. It is permissible to use a composite approach that takes into account all ratings by NRSROs when assessing average credit rating of a portfolio.

**Concentration Risk**

- Investment managers will consider geographic concentrations when selecting investments and provide geographic dispersion of risk.
- No single non-U.S. government issuer can be more than 5% of the portfolio.

**Interest Rate Risk – Tier 2**

- ~~Maximum duration of 4 years~~
- Maximum stated maturity of 10 years. Excluding the Oregon Short Term Fund, a minimum of 75% of the portfolio will have a maximum average duration of 4 years and a maximum stated maturity of 10 years. A maximum of 25% of the portfolio may be invested with an average duration exceeding 4 years but may not exceed 10% of the duration of the Bloomberg Barclay Aggregate Bond Index.

**Other**

- 144A investments are permitted
- The portfolio should be liquid and consist of readily saleable securities

**Subsequent Event**

Investment parameters apply at the time of purchase (settlement). If a subsequent event causes a compliance issue the issue will be promptly brought to the UO Treasurer's (or their designee) attention to determine what, if any, action should be taken. The compliance issue and any subsequent action taken will be reported to the Finance and Facilities Committee of the Board of Trustees. There is no requirement that a security be sold prior to maturity if it no longer meets the criteria but noncompliance is required to be reported to the University.

**EXHIBIT D**

## BASIC UO INVESTMENT PARAMETERS QUASI-ENDOWMENT TIER 3 FUNDS

**T3 GUIDING PRINCIPLES AND OBJECTIVES**

- T3 contains monies that are not permanently restricted and represent deep core assets of the University. T3 is expected to operate in perpetuity as a quasi-endowment for the general benefit of the university, but, as noted in the contract, the university reserves the right to liquidate its position in T3 by giving proper notice to UOF and in such a situation, would work with UOF to ensure orderly liquidation of T3, which would be expected to take time.
- In making investment strategy decisions for T3, the focus shall be on the long-term investment horizon and encompass complete business cycles which are often five- to seven-year cycles. Due to the long-term nature of the investment pool it is understood that a large portion of the pool may be illiquid. It is further understood that the pool will be subject to short-term market volatility and risk of loss.
- The primary investment objective of T3 is to generate the maximum rate of return given a prudent level of risk with an emphasis on capital appreciation over long periods of time since the T3 will operate in perpetuity. Achievement of this objective shall be done in a manner that provides investment returns that, over a long-term planning horizon, will meet the spending rate established in this document and maintains the purchasing power of the principal.
- The long-term objective, measured over rolling five-year periods is to generate at least 4% real net return in order to protect the purchasing power of the distribution policy. Real net return is defined as the sum of dividends, interest and capital appreciation (loss), less all manager fees and investment expenses, less inflation as measured by CPI-U plus 1%.
- The UO Board has fiduciary responsibility over these funds and has delegated to the university's Treasurer all

authority necessary to oversee the management of the university's funds. The UO Board may adopt future policies that will be applied to these funds.

#### ASSET ALLOCATION GUIDELINES

- The fund shall be diversified among investment options in varying proportions depending on market conditions and valuations with an underlying strong commitment to an actively-managed equity-like portfolio. Opportunities may be sought in alternative investments that provide additional portfolio diversification, reduce the volatility of investment returns, and hedge against inflation and deflation.
- The UO Treasurer will periodically review relevant capital market information and make appropriate modifications to long-term allocation targets within the long-term allocation ranges. Medium- or short-term allocation targets may deviate from the long-term targets based on asset class valuations and risk/return opportunities.
- Asset Allocation – Ranges and Targets

Asset Class	Low Range	Target	High Range
Growth Assets	50%	70%	<del>75%</del> 80%
US Equity			
International Equity			
Private Equity			
Diversifying Assets	<del>25%</del> 20%	30%	<del>45%</del> 50%
Fixed Income Cash			
Inflation Hedging	0%	0%	15%
Real Assets			

#### REBALANCING GUIDELINES

- UOF is authorized to allocate/rebalance among existing investments toward investment targets as deemed appropriate. Liquidity issues and asset valuations will always be considered.
- To rebalance the portfolio or meet distribution requirements, it is expected that assets may need to be liquidated or transferred among managers. Prior to liquidating assets, UOF may, at its discretion, ask if the university has capacity to add cash to the pool.

#### RISK GUIDELINES

- This portfolio is expected to be a long-term portfolio seeking high real rates of return with limited liquidity. The most important risk to be mitigated is the permanent loss of capital. Managers should be identified who employ a margin of safety in their investment activities and preference will be given to managers who have their own capital at risk. In addition, cash flows and liquidity will be monitored to provide adequate liquidity to fund the distribution plan and minimize the risk of having to sell assets at depressed values to meet liquidity needs.
- T<sub>3</sub> is expected to be diversified with respect to industry, geography, and other typical risks.
- On a cost basis, not more than 20% of the pool may be allocated to a single manager.
- In the event of severe market dislocations that cause liquidity or valuation concerns, UOF may temporarily suspend asset allocation targets and ranges and other guidelines to preserve capital while providing sufficient time to understand the changing circumstances and modify the targets as appropriate.

#### PERFORMANCE BENCHMARKS

- The primary objective is to maintain and grow long-term real purchasing power as measured over five-year rolling periods at the distribution rate plus inflation (CPI-U core plus 1%).
- Actual performance will also be compared to a passive policy benchmark that is weighted 60% MSCI ACWI Equity Index and 40% Barclays Aggregate Bond Index to measure added value versus a passively-managed portfolio over five-year rolling periods.

#### PROHIBITED ACTIVITIES AND OTHER LIMITATIONS

- May not collect any soft dollar commissions or credits, from mutual funds or others, in exchange for services provided
- Not more than \$10 million of the market value of any investment fund will be invested in any single issuer or security other than the U.S. Government or its agencies.
- No direct ownership of real property
- No artwork or other collectibles
- No borrowing of funds in the name of the University of Oregon

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## **Agenda Item #4**

### **Audit Reports**

- FY20 Audited Financial Statements\*
- External Auditor's Report\*\*
- Internal Audit Report

\*For file size, the FY20 Annual Report is not published in this packet, but is available at:  
[http://pages.uoregon.edu/baoforms/bao\\_drupal\\_6/sites/ba.uoregon.edu/files/fy2020UOafs.pdf](http://pages.uoregon.edu/baoforms/bao_drupal_6/sites/ba.uoregon.edu/files/fy2020UOafs.pdf)

\*\*Moss Adams' external auditor's report will be provided as a supplemental document



# FY2020 Audited Financial Statements

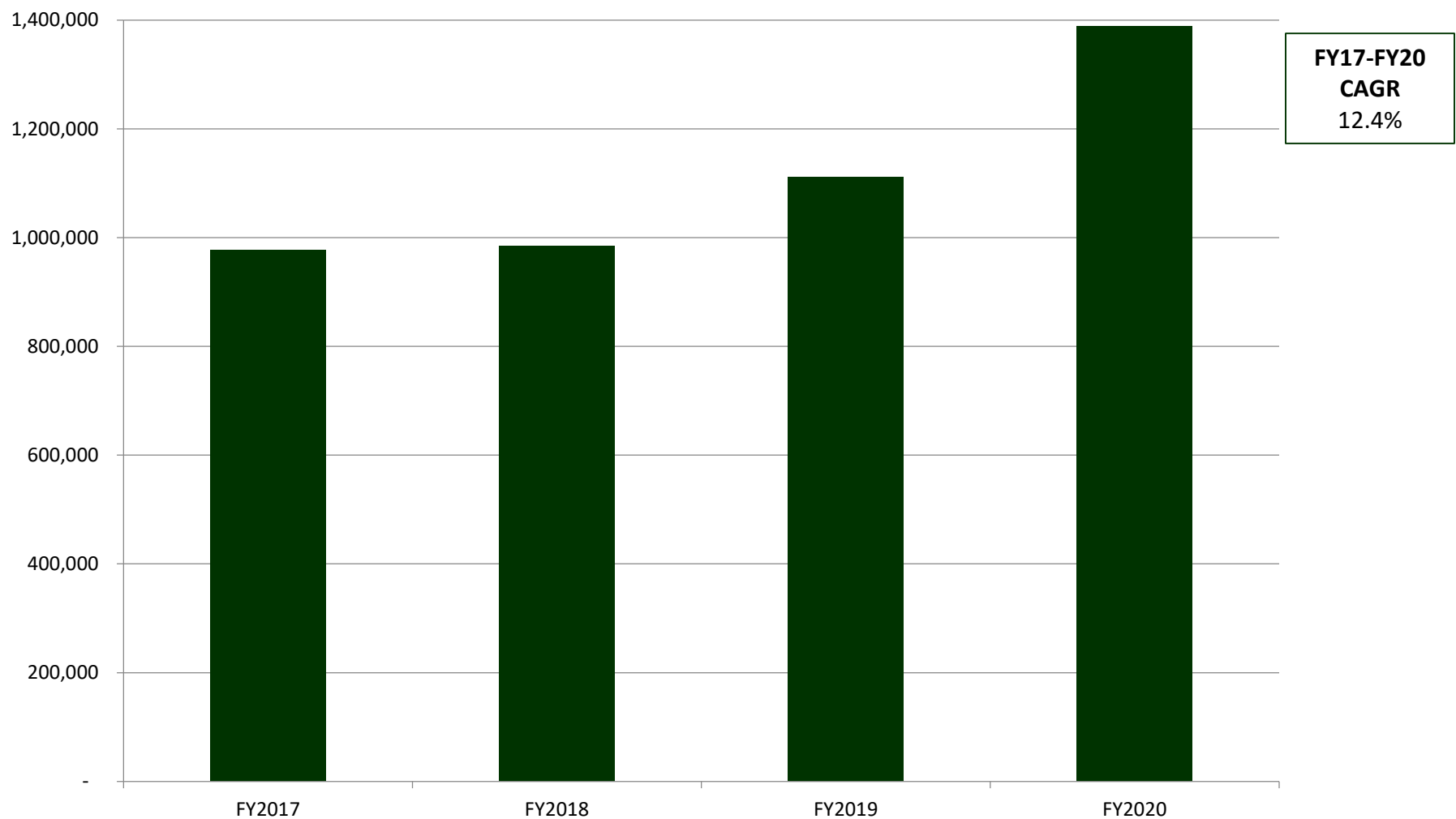
December 3, 2020

Jamie Moffitt, VPFA/CFO/Treasurer  
Kelly B. Wolf, AVP/Controller

# Executive Summary

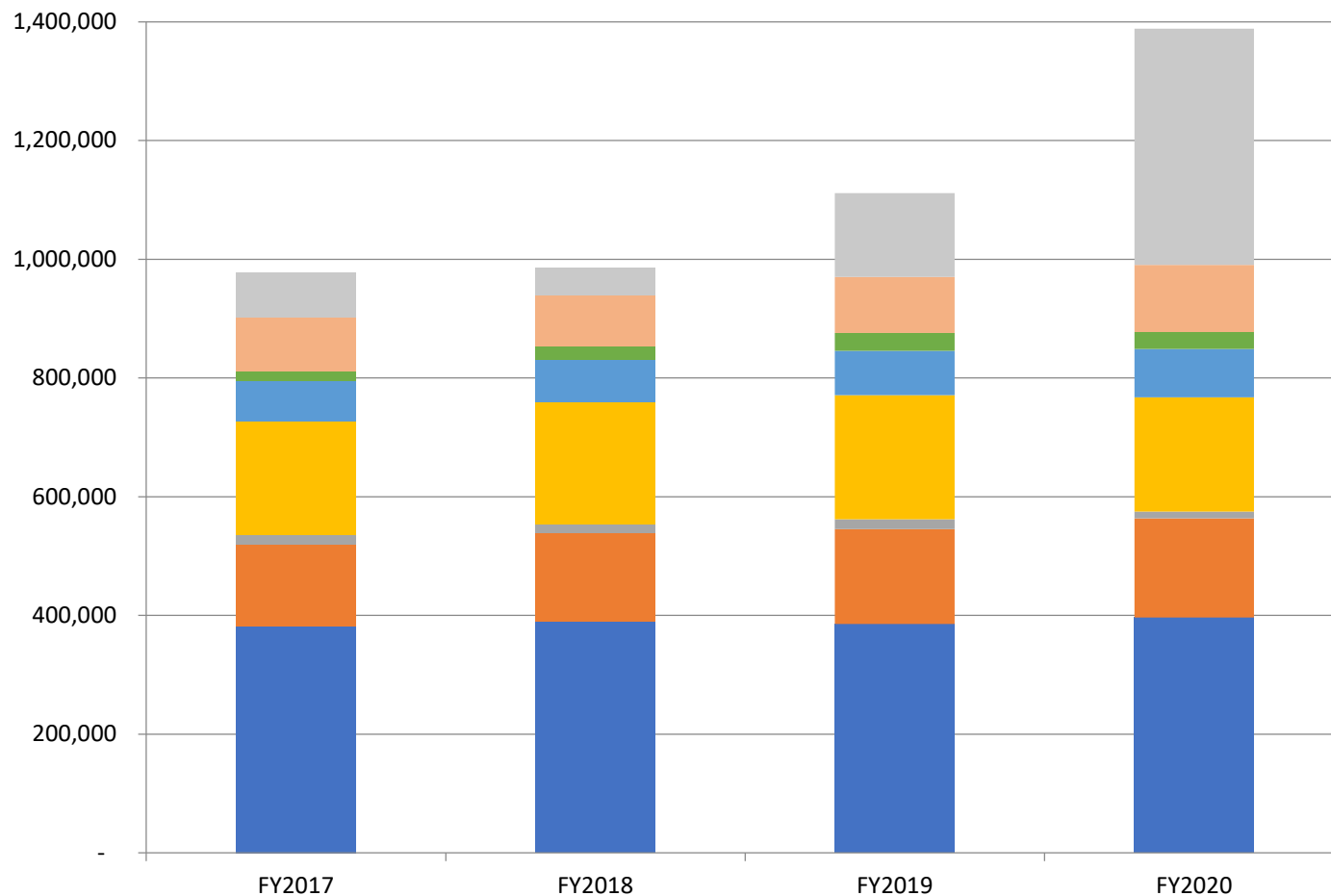
- Clean audit – No findings or management-letter comments from the auditors
- FY20 vs. FY19
  - Overall revenues increased 24.9%, primarily due to \$257 million increase in Capital Grants & Gifts. Excluding Hayward Field, overall revenue increase was 0.6%.
  - Overall expenses (excluding GASB pension/OPEB adjustments and special items) increased 2.1%.
  - Overall Net Position increased 32.5%, primarily due to \$387.6 million increase in Net Investment in Capital Assets. Major projects: Hayward Field (\$270.0), Bean Hall (\$44.8), Tykeson Hall (\$40.3), UHCC (\$18.5).
  - Unrestricted Net Assets (UNA) dropped by \$4.9 million (excluding GASB pension/OPEB adjustments).

# Four Year Revenue Trend (in thousands)



Note: FY2017 and FY2020 include extraordinary, non-cash gift revenue.

# Sources of Revenue (in thousands)

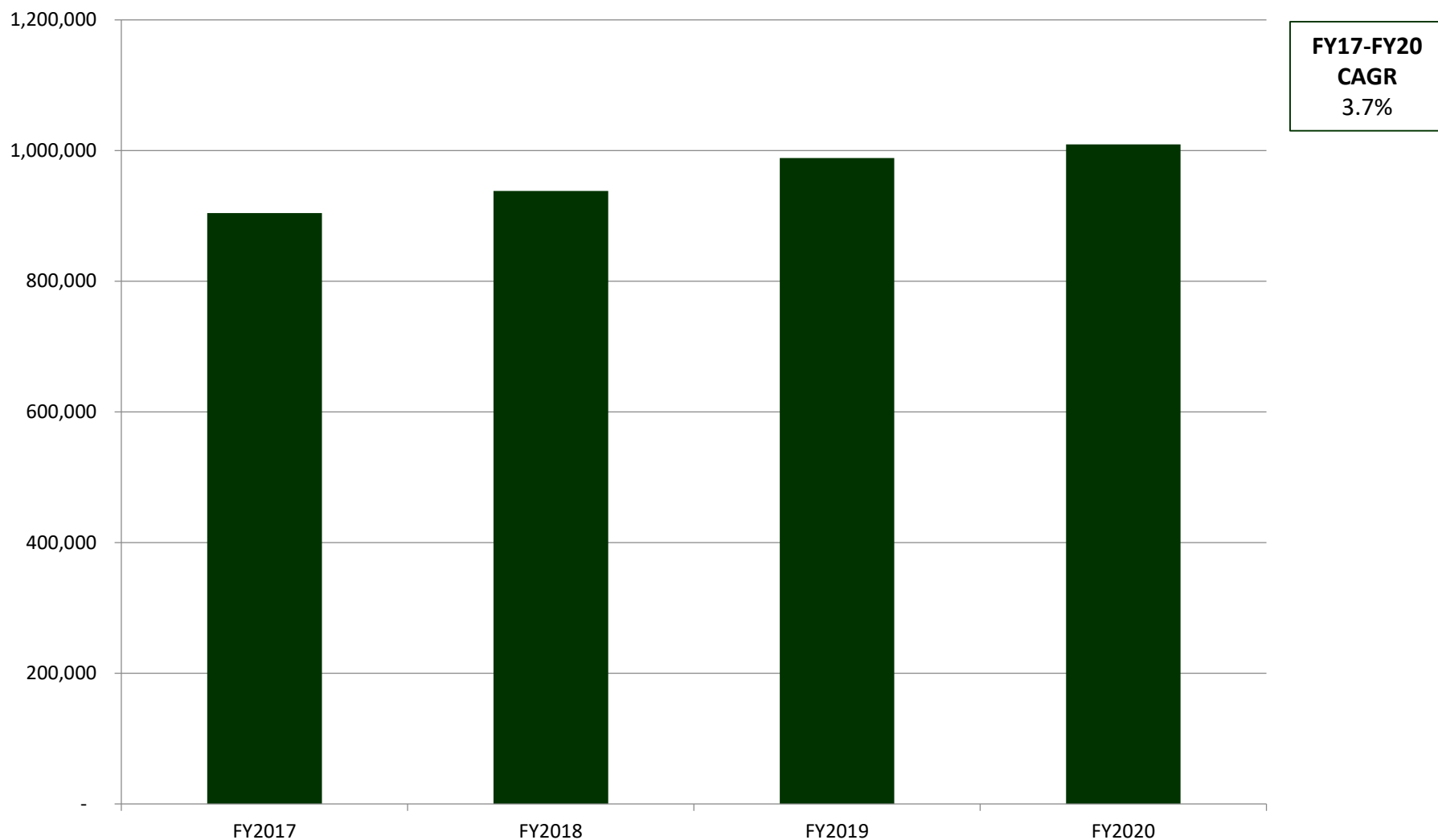


■ Student Tuition and Fees, net     ■ Grants and Contracts     ■ Educational Sales & Services  
■ Auxiliary Enterprises     ■ Government Appropriation     ■ Investment Activity  
■ Other Revenue     ■ Capital Grants and Gifts

FY17-FY20 CAGR	19/20
73.6%	181.8%
8.0%	20.3%
21.0%	-5.7%
5.9%	9.3%
0.3%	-8.2%
-9.7%	-30.5%
6.5%	4.7%
1.3%	2.8%

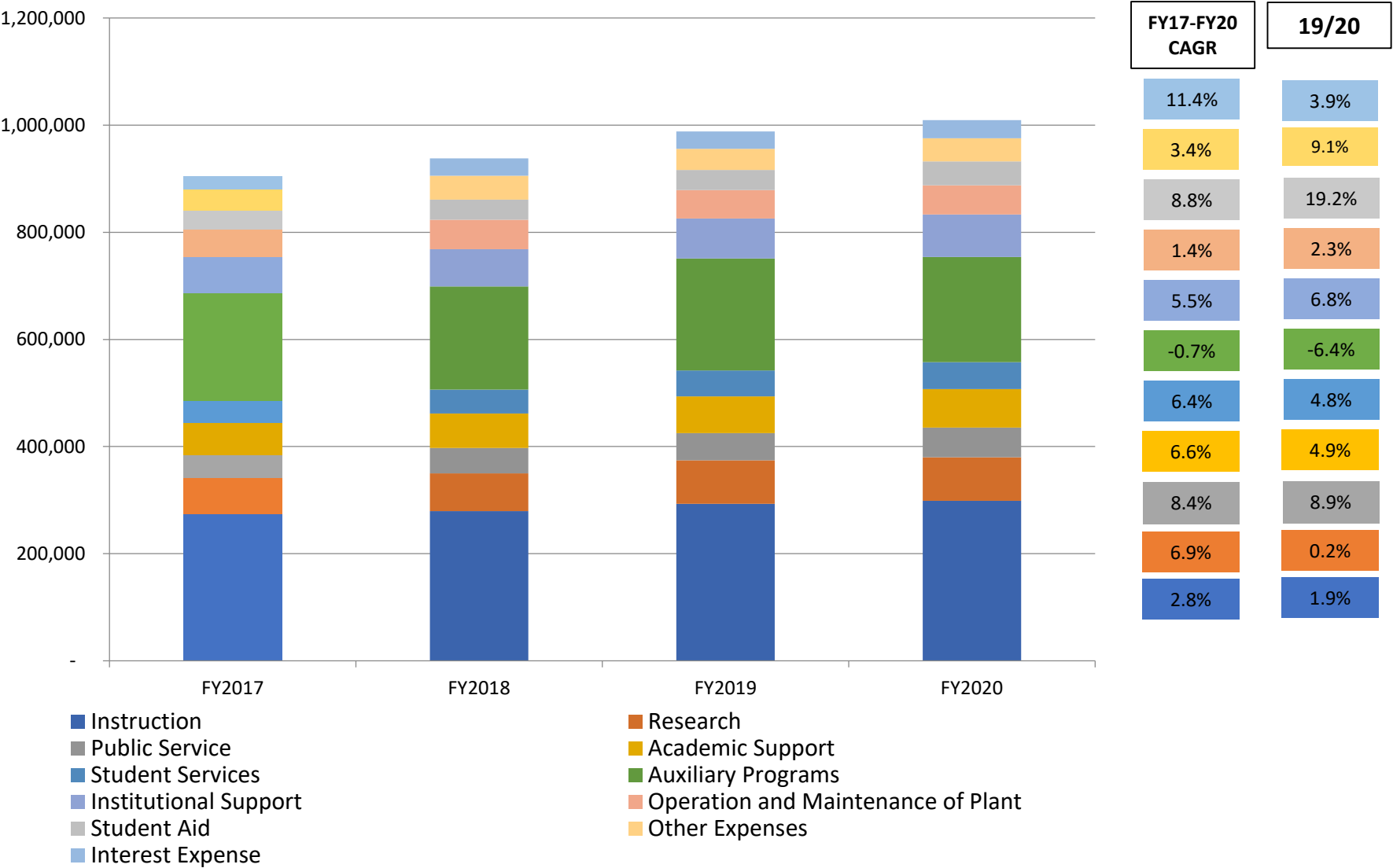
# Four Year Expense Trend

(in thousands, excluding GASB68/75 and Special Items)

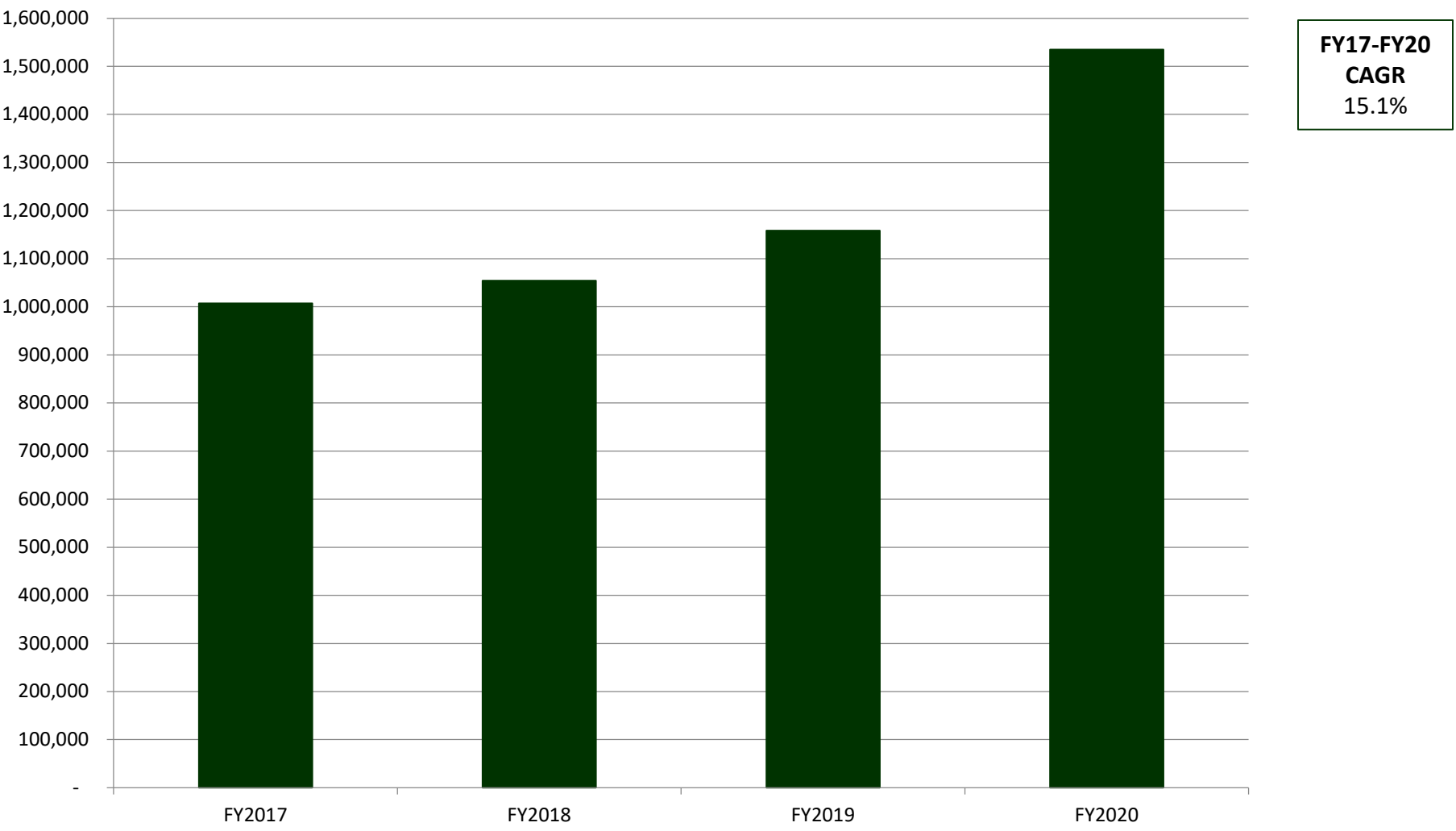


# Expenses by Programmatic Use

(in thousands, excluding GASB 68/75 and Special Items)



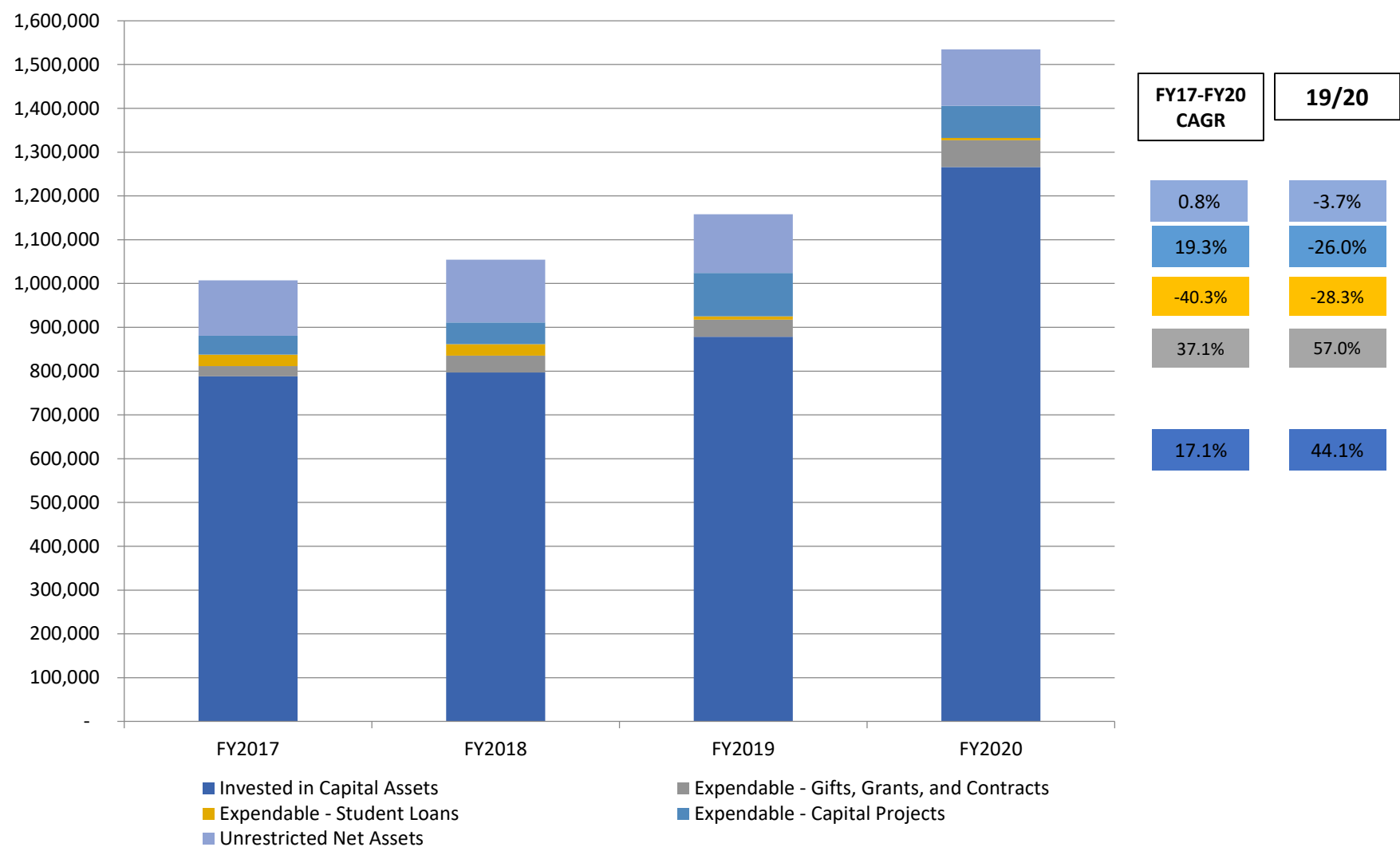
# Net Position (in thousands, excluding GASB 68/75)





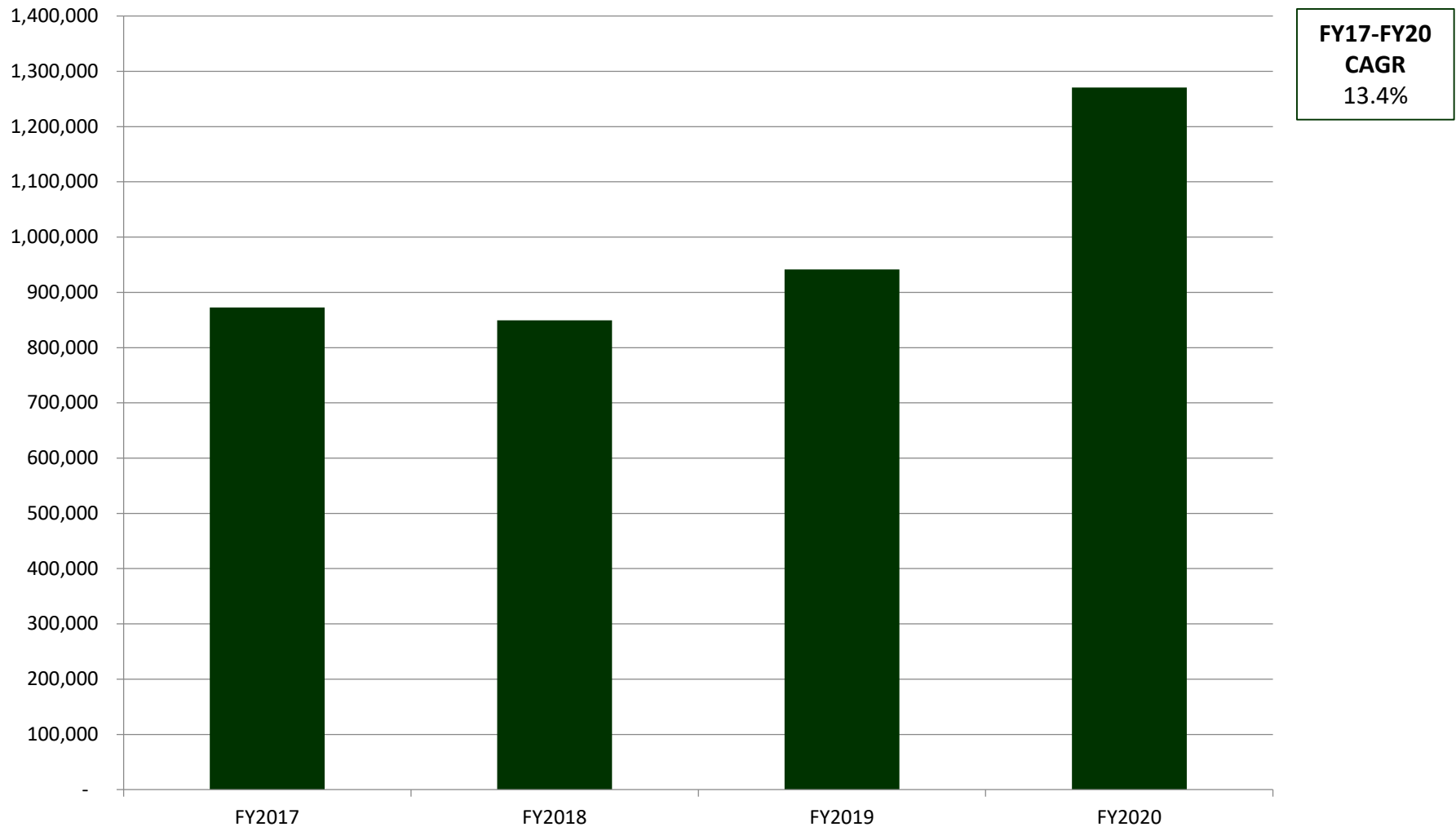
# Net Position by Category

(in thousands, excluding GASB 68/75)

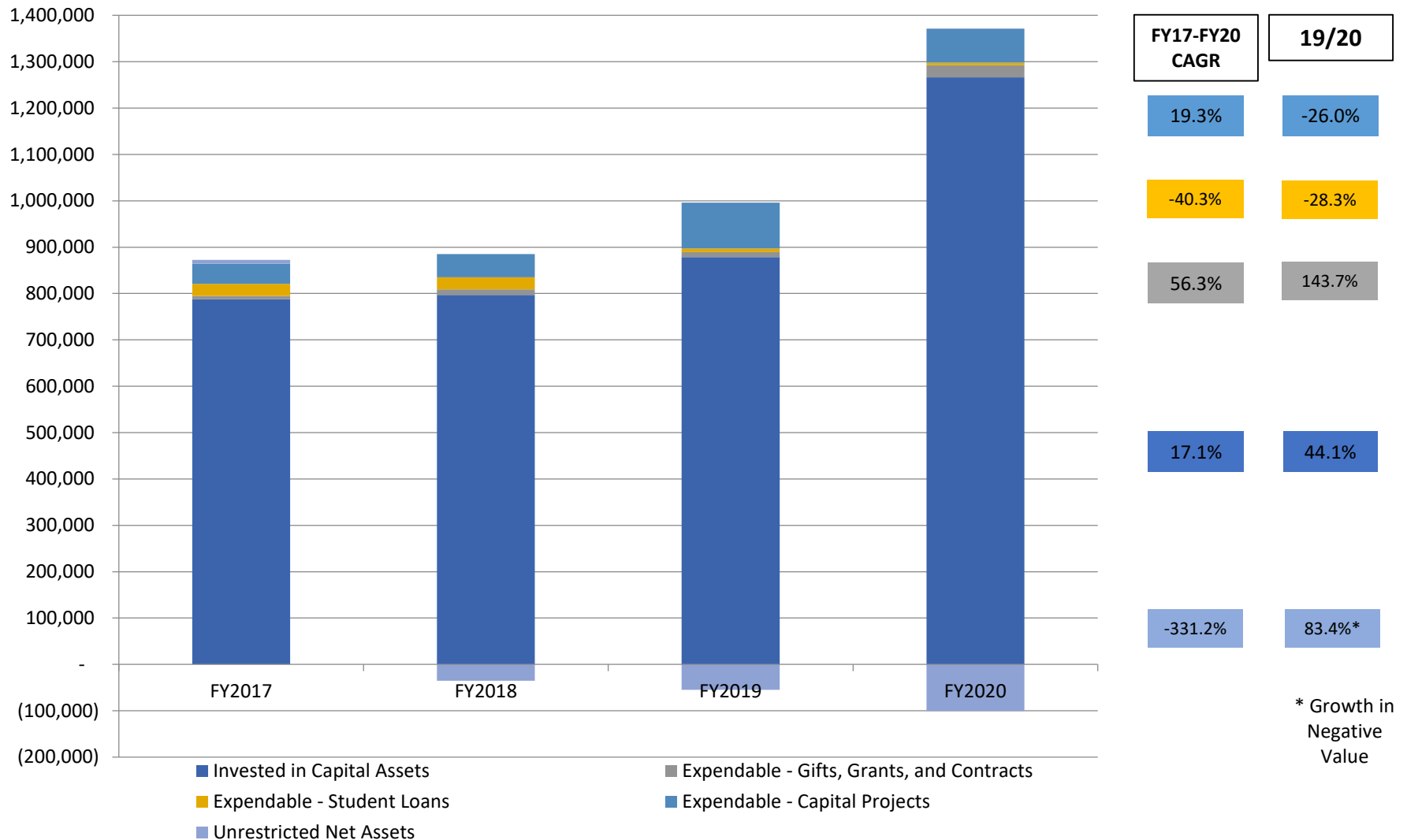


# Net Position

(in thousands, including GASB 68/75)



# Net Position by Category (in thousands, including GASB 68/75)



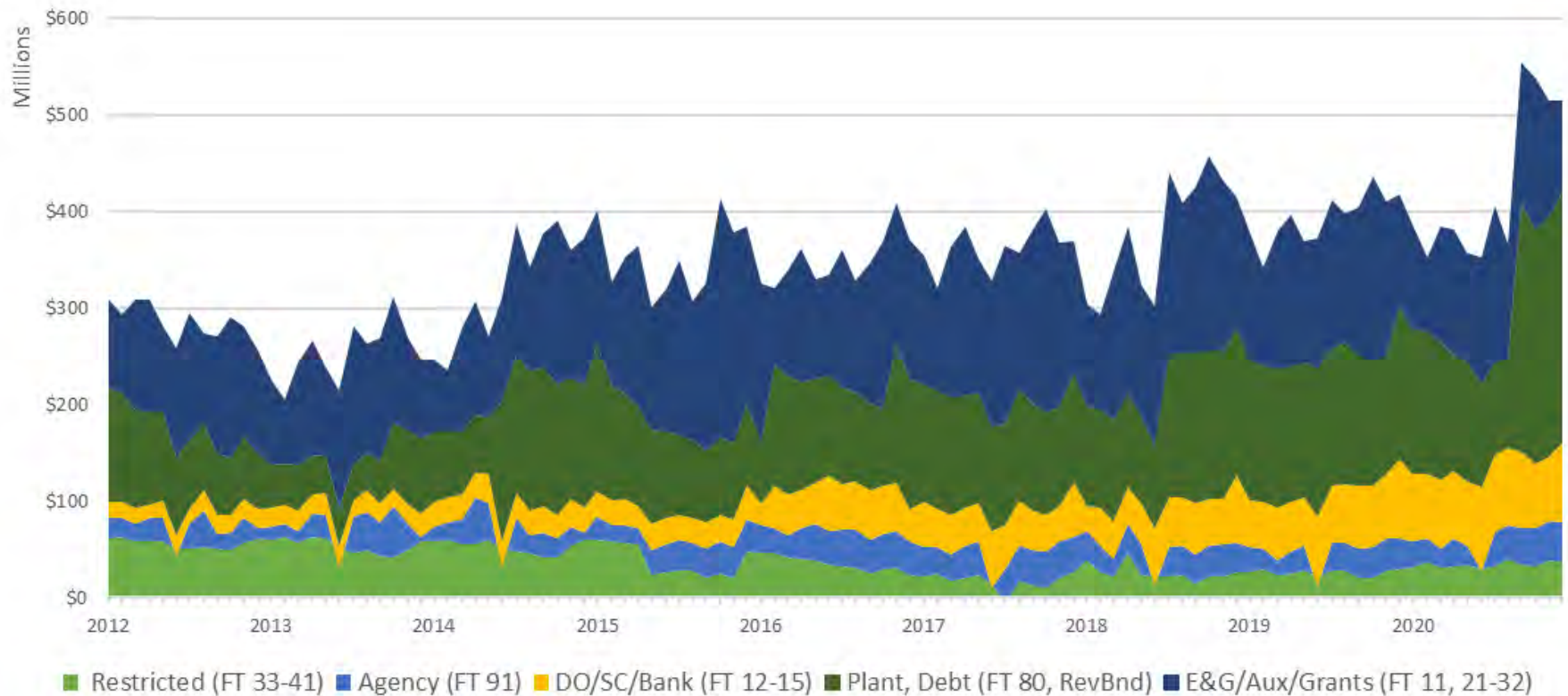
# Capital Assets (in thousands)

	<u><b>FY2017</b></u>	<u><b>FY2018</b></u>	<u><b>FY2019</b></u>	<u><b>FY2020</b></u>
Equipment	127,899	132,073	134,900	136,683
Collections	42,593	43,291	46,680	47,428
Library	131,877	133,369	135,122	136,671
Buildings	1,748,466	1,837,949	1,977,316	2,401,922
Land	100,240	93,812	97,370	112,550
IOTB	11,360	11,074	11,877	18,528
Infrastructure	53,445	53,893	55,731	58,902
Intangible Assets	15,844	15,934	15,934	15,934
	<u>2,231,724</u>	<u>2,321,395</u>	<u>2,474,930</u>	<u>2,928,618</u>
Accumulated Depreciation	(753,276)	(803,940)	(863,845)	(926,725)
Net Capital Assets	<u>1,478,448</u>	<u>1,517,455</u>	<u>1,611,085</u>	<u>2,001,893</u>
Unspent Bond Proceeds	28,723	47,439	12,832	131,439
Capital Debt	(719,201)	(767,783)	(745,346)	(867,168)
Invested in Capital Assets	<u>787,970</u>	<u>797,111</u>	<u>878,571</u>	<u>1,266,164</u>

# Four Year Summary Cash Flow (in thousands)

	FY2017	FY2018	FY2019	FY2020
<b>Sources:</b>				
Government Appropriations	68,532	72,698	74,397	81,291
Tuition and Fees	381,724	388,383	386,869	410,600
Gifts, Grants, and Contracts	255,636	261,200	368,623	377,533
Auxiliary Enterprises	189,527	198,240	211,933	189,629
Educational Department Sales & Services	15,430	15,905	16,835	11,219
Proceeds from Capital Debt Issuance	-	70,693	-	144,575
Investment Sales and Earnings	28,323	22,388	15,308	22,145
Other Operating Receipts	18,470	14,915	2,022	46,854
	<u>957,642</u>	<u>1,044,422</u>	<u>1,075,987</u>	<u>1,283,846</u>
<b>Uses:</b>				
Compensation and Benefits	(602,158)	(607,244)	(650,395)	(689,820)
Payments to Suppliers	(186,010)	(190,957)	(190,257)	(186,515)
Student Financial Aid	(33,675)	(36,420)	(36,953)	(43,788)
Purchase/Construction of Capital Assets	(103,404)	(110,330)	(153,723)	(186,153)
Federal Capital Contributions Returned (Perkins)	-	-	-	(20,211)
Payments on Capital Debt (P+I)	(22,809)	(53,725)	(55,580)	(55,743)
Purchases of Investments	(60,000)	(60,025)	(5,025)	(96)
	<u>(1,008,056)</u>	<u>(1,058,701)</u>	<u>(1,091,933)</u>	<u>(1,182,326)</u>
<b>Net Increase/(Decrease) in Cash and Cash Equivalents</b>	<b><u>(50,414)</u></b>	<b><u>(14,279)</u></b>	<b><u>(15,946)</u></b>	<b><u>101,520</u></b>
 Beginning Balance	 343,012	 292,598	 278,319	 262,373
<b>Ending Balance</b>	<b><u>292,598</u></b>	<b><u>278,319</u></b>	<b><u>262,373</u></b>	<b><u>363,893</u></b>

# Cash & Investment Pool Balance by Fund Type



# Primary Reserve Ratio

- Compares expendable net assets to total expenses
- Expendable net assets:
  - Restricted-Expendable for Gifts, Grants, and Contracts
  - Restricted-Expendable for Student Loans
  - Restricted-Expendable for Capital Projects
  - Unrestricted Net Assets
  - UOF Net Assets Without Donor Restrictions
  - UOF Net Assets Restricted by Purpose
  - UOF Net Assets Restricted by Time (including non-endowment pledges)
- Indicates how long the institution could function using its expendable reserves (including restricted monies for appropriate expenses) without relying on additional net assets generated by operations.
- A threshold level of .40x is recommended

# Primary Reserve Ratio

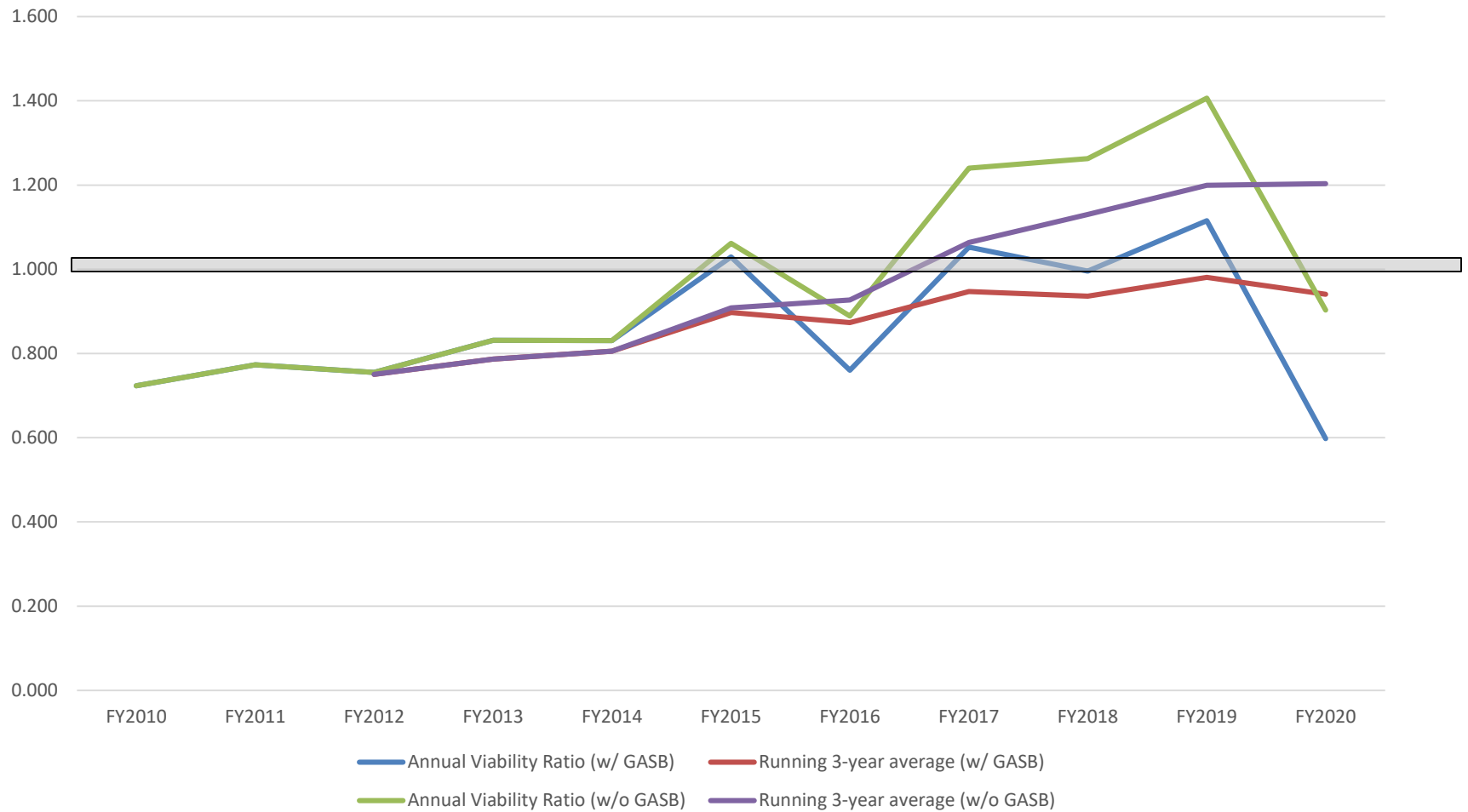




# Viability Ratio

- Compares expendable net assets (UO and UOF) to plant-related debt
- Indicates ability to settle long-term obligations as of the balance sheet date
- A ratio of 1:1 means full ability to cover debts at a specific date, but is not necessarily a firm or recommended threshold

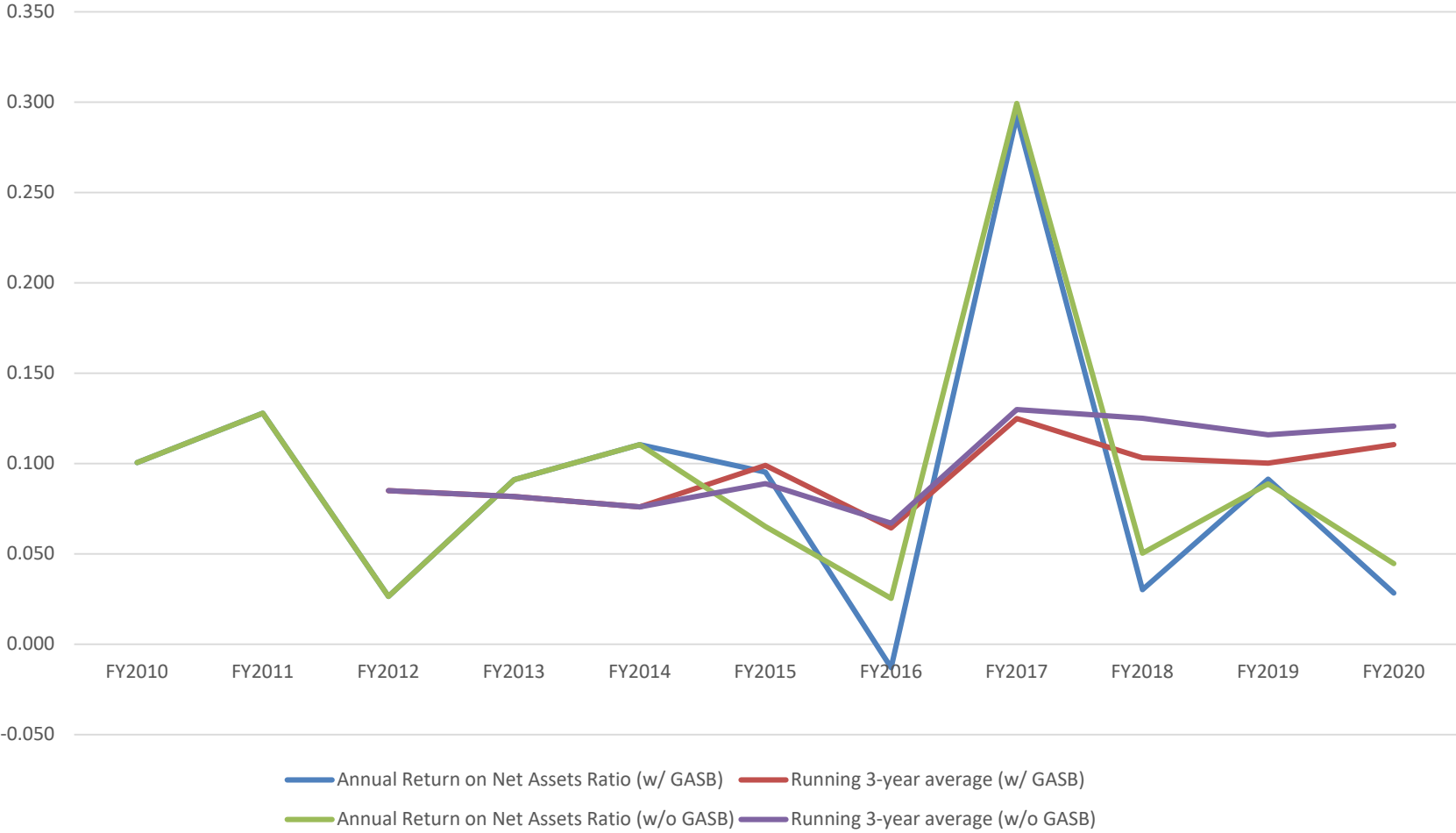
# Viability Ratio



# Return on Net Assets Ratio

- Compares the annual change in net assets to the total net assets at the beginning of the year
- Indicates total economic return of the institution
- There is no industry-specific recommended threshold. Rather, this ratio should be reviewed over an extended period and in terms of trend direction.
- Includes net assets of both the UO and UO Foundation

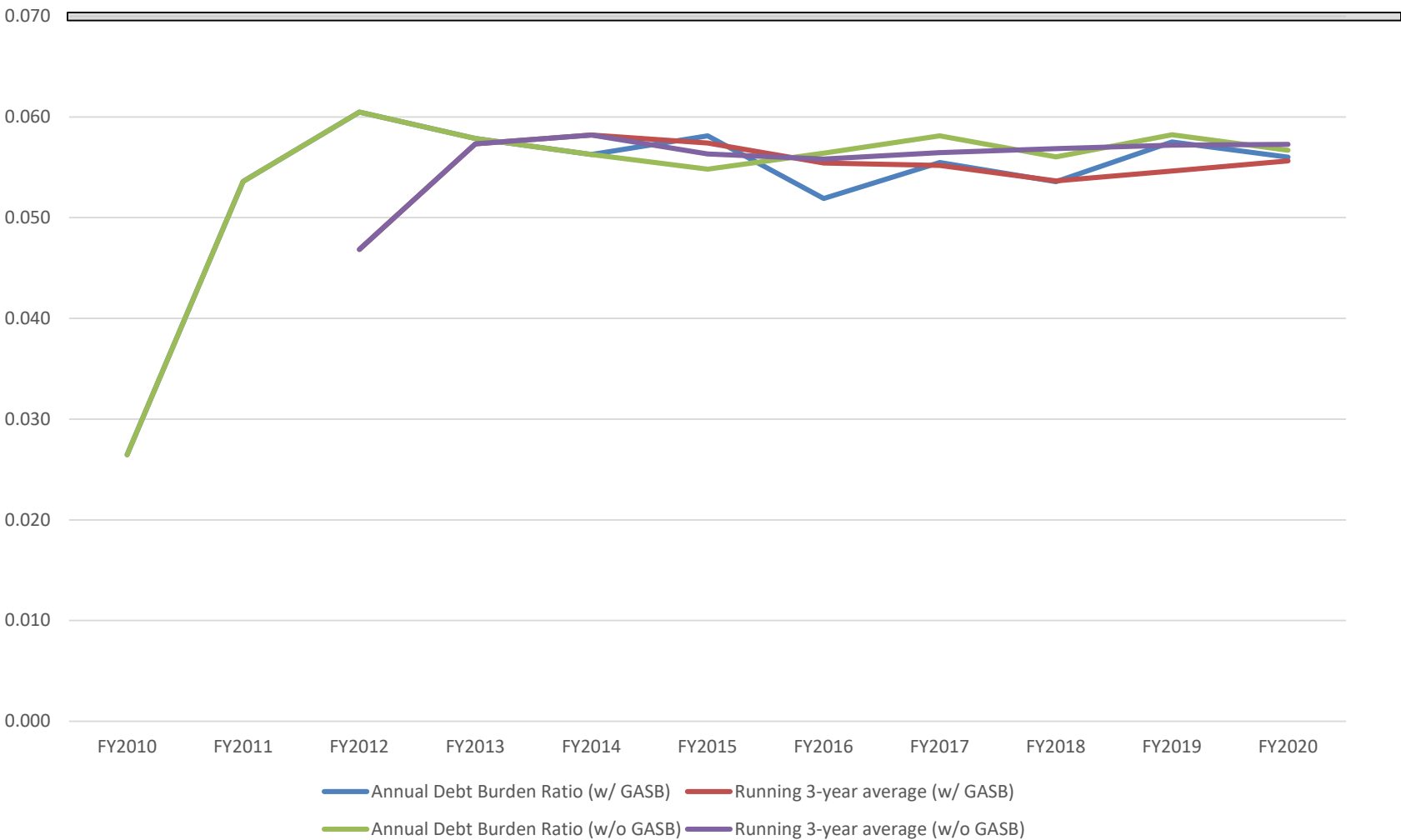
# Return on Net Assets Ratio



# Debt Burden Ratio

- Compares debt service payments to total expenditures.
- Measures affordability of debt, and the institution's reliance on debt to finance the mission.
- The industry generally considers a ratio value of .07 to be the long-term recommended threshold for this ratio. There are times the ratio may exceed .07 for strategic or mission-critical uses of debt.

# Debt Burden Ratio



# On the Horizon

- GASB delayed implementation of Statement 84 until FY2021. Changes accounting and reporting requirements for fiduciary activities (i.e., monies held by the university for the benefit of other organizations such as student groups).
  - Additional lines on SNP and Statement of Cash Flow
  - Two additional schedules

# On the Horizon

- GASB delayed implementation of Statement 87 until FY2022. Reclassifies all Leases to Long-Term Financing.
  - UO as Lessee
    - Effect on SNP – Creates an intangible capital asset and offsetting long-term liability
    - Effect on SRECNP – Changes Supplies and Services expense for lease payment to 1) Amortization Expense (principal) and 2) Interest Expense (imputed interest).
  - UO as Lessor
    - Effect on SNP – Creates Accounts Receivable and offsetting Deferred Inflow of Resources





Date: November 19, 2020

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

From: Leah Ladley  
Chief Auditor, University of Oregon

Re: December 2020 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:

- As UO continues to respond to the ongoing challenges of a world-wide pandemic, we find ourselves in uncharted territory. Within this environment are opportunities to assist with our skills and training that we could not have anticipated. Internal audit has responded to the pandemic by adjusting our processes (no formal risk assessment and 12-month audit plan this year), increasing our flexibility in response to stresses experienced by other units, and now, by volunteering for the Corona Corp. Two of your auditors have heard the call and responded to address the administrative needs of the team of student monitors responsible for outreach to the community known as contact tracing. This commitment is anticipated to normalize around 5-10 hours per week, per auditor, and allows the Corona Corp leadership to have capacity to increase focus on the sustainability of the program and the guidance from Lane County Public Health.
- The Sponsored Projects Services consultation has concluded.

Ongoing Reminders:

- As previously noted, pandemic response has limited our ability to perform formal risk assessment activities. Effective communication has occurred virtually with leaders in various areas at UO, and audit activities are being executed, as noted on the Audit Progress document provided in these materials. Audit Progress has been updated to reflect current work and planned work. As always, your flexibility is appreciated as is your acknowledgement that planned work may become deferred or cancelled, as risks fluctuate.
- Investigations update will be provided annually, in June, absent any urgent matters requiring timely discussion.



Date: November 19, 2020

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 greater visibility into completed and open recommendations.

**New Developments:**

The previously agreed-upon risk ratings have been incorporated into this Open Recommendations report. In particular, the Undergraduate Admissions results 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.

**Ongoing Reminders:**

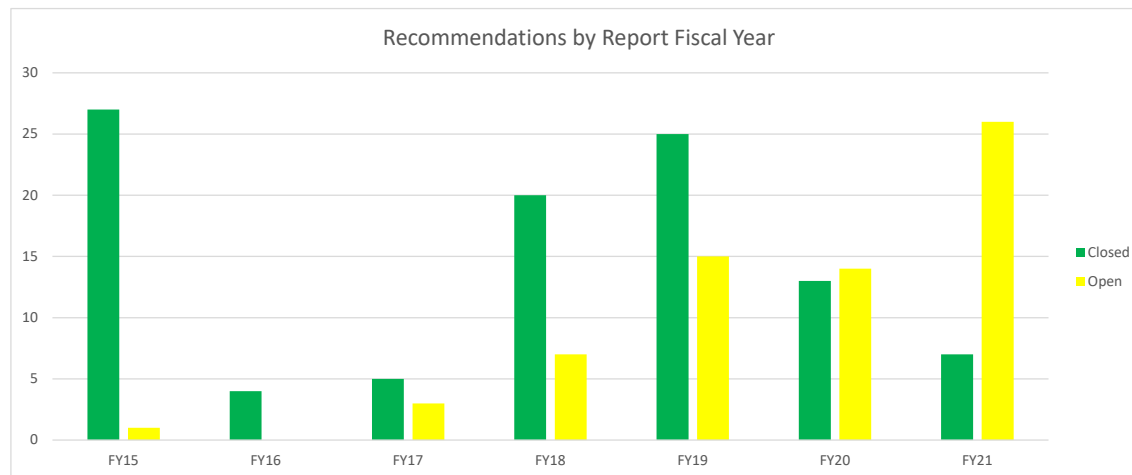
In order to provide the most relevant information, projects will no longer be listed in this schedule once all recommendations have been implemented. All recommendations are represented as open or closed in the graphical representation in the graph at the bottom of the schedule.

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
Sensitive Data	3/1/2017	3				3
Accounts Payable Practices and Controls	12/22/2017	11	9			2
Parking Permit Payroll Process	1/18/2018	6	5			1
Electronic Proposal Clearance System (E-PCS)	2/7/2018	4				4
Research Data Cybersecurity	7/31/2018	2	1			1
Athletics IT Risk Assessment	11/19/2018	7	2			5
Form I-9 Compliance	1/18/2019	10	6			4
Cash Handling Practices	2/22/2019	10	8			2
GLBA Compliance	6/27/2019	4	1			3
Health Center IT Risk Assessment	8/13/2019	6				6
Non-Retaliation Policy	8/30/2019	2				2
Inventory of Critical Business Functions	11/26/2019	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	3	2		19
Vendor Review	8/11/2020	6	1			5
SUBTOTALS				3	0	64

Projects with Open Recommendations:		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		L		L, L
SUBTOTALS						0	0	2
TOTALS						3	0	66

Since the September 2020 meeting, management has implemented 4 recommendations.





Date: November 19, 2020

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.

New Developments:

- The NCAA has approved a two-year waiver of Bylaw 20.9.9.3 releasing the minimum attendance requirements for an average of at least 15,000 in actual or paid attendance for home games. As such, the internal audit requirement for confirmation of home game attendance is not applicable during the referenced time.
- The exit meeting for Telemedicine has been scheduled for late November.
- The Title IX Compliance Review documentation has been submitted and we await commentary.

Ongoing Reminders:

- Ongoing risk conversations occur between internal audit and various UO leaders. This serves as the source for updating the audit plan until a more traditional risk assessment approach can be resumed. Your flexibility and understanding regarding the annual audit plan is appreciated.

Project	Current Phase					
	Contracting	Not Started	Planning	Fieldwork	Reporting	Report Date
<b>Internal Audit:</b>						
Vendor Contract Review (FY19 audit plan)						8/11/2020
Internal Audit Quality Assurance (self-assessment) FY20						6/30/2020
<b>Tier 1: (active)</b>						
*Telehealth Processes					X	Exit scheduled
University Health Center Inventory Processes, including Medications			X			
AIM Application ITGC (Accessible Education Center)					X	
***Lindeleaf Scholarship Eligibility Verification						9/29/2020
EC Cares			X			
Undergraduate Admissions					X	11/16/2020
<b>Tier 2: (pre-planning)</b>						
Health Center Financial Processes		X				
Compensation Review, Limited			X			
<b>Co-Sourced</b>						
<i>Baker Tilly:</i>						
Physical to Cyber (Assessment)						6/5/2020
Banner 9 Security		X				
<b>Outsourced</b>						
<i>Bond, Schoeneck and King:</i>						
NCAA Compliance Review						7/22/2020
<i>Moss Adams:</i>						
***Financial Statement Audit(s)						10/30/2020
Conformance with Retirement Plan Documents					X	
<b>Fortuitous</b>						
<i>National Aeronautics and Space Administration Office of Diversity and Equal Opportunity:</i>						
*** NASA Civil Rights Compliance Review				X		

\*Response to COVID19 Pandemic

Note: Other COVID19 response engagements are under preliminary discussion with various units.

\*\*\* REQUIRED



**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.*

## **Agenda Item #5**

### **Tuition-Setting Preview**



UNIVERSITY OF OREGON

# **Tuition & Fee Process Update**

## **December 2020**

Board of Trustees of the University of Oregon



# Agenda

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- Guaranteed Tuition Program
- Tuition and Fee Advisory Board
- FY22 Projected Cost Drivers

# Guaranteed Tuition Program

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- FY2021 Cohort: undergraduate tuition rates locked through spring term 2025. This includes:
  - Resident / nonresident tuition rates
  - Administratively controlled mandatory fees: EMU fee, rec center fee, health center fee, technology fee, building fee
  - Summer tuition rates
  - Honors college differential tuition
  - Business school differential tuition
  - International student fee
- All continuing undergraduate students: tuition and mandatory fee rates locked at 3% increase per year

# Tuition and Fee Advisory Board (TFAB)

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- Advisory group to the President, charged with
  - developing undergraduate tuition recommendations for the entering FY2022 cohort
  - reviewing mandatory fees, course fees, housing fees, and graduate tuition proposals each year
- Nineteen official members: students, faculty, and staff
  - Students: 2 ASUO officers, 2 undergrads, 1 grad
  - Two faculty: one drawn from Senate Budget Committee
  - Staff: VPs, AVPs, deans, and directors from the budget office, Humanities, Journalism and Communication, Music and Dance, Financial Aid, Institutional Research, Natural Sciences, Student Life, Undergraduate Education, and the Provost's Office
- TFAB meetings are open to the public; participants register to receive meeting access information

# Tuition and Fee Setting Process

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- Fall term: TFAB provided with training per HB 4141
  - Historical and comparative data & UO budget information
  - Background on Public University Support Fund
  - COVID-19 impact on UO finances, guaranteed tuition program, cost drivers, cost management plan
- Winter term:
  - TFAB reviews proposals: EMU, PE & Rec, graduate programs, Housing, Health & Counseling, course fees, discusses undergraduate tuition rates for fall FY2022 cohort
  - Student Forum on tuition (generally cohosted with ASUO)
  - TFAB makes recommendations to the president
  - President's tuition recommendations posted for community comment and feedback (including forum on tuition)
  - President finalizes recommendations for the March Board meeting

# Tuition Website

All information posted to the UO [tuition website](https://tuition.uoregon.edu)

A screenshot of the University of Oregon Tuition website. The browser address bar shows 'tuition.uoregon.edu'. The website has a green header with the 'O UNIVERSITY OF OREGON' logo and the word 'Tuition' in yellow. A navigation bar below the header contains links: 'Tuition and Fees', 'Tuition-Setting Process', 'State Appropriations', 'Cost Drivers', 'AAU Comparators', and 'Pac-12 Comparators'. Below the navigation bar is a large aerial photograph of the University of Oregon campus, showing various buildings, green spaces, and surrounding mountains. Below the photograph, a text block explains the university's revenue sources and financial aid.

The University of Oregon delivers a world-class education and exceptional experience to students from around the world. Tuition and state support are the two main sources of revenue that pay for the bulk of the university's operating costs, including faculty and staff salaries; classrooms and libraries; academic advising, information technology, facilities, fundraising, admissions, human resources, and over \$40 million in financial aid and scholarships that help ensure UO remains accessible to every qualified Oregonian who wants to attend.



# Tuition Website

tuition.uoregon.edu

## Tuition-Setting Process

The UO's tuition rate is determined by the University of Oregon Board of Trustees after reviewing recommendations from the administration.

The Tuition and Fee Advisory Board (TFAB), a group comprised of faculty, staff, and students, reviews and discusses relevant data and budgetary information and provides recommendations to the president on tuition rates and other costs of education. This advice and counsel is reviewed by the president before recommending a tuition and fees structure with the Board of Trustees.

Tuition-Setting Process

TFAB Meeting Schedule

TFAB Meeting Updates

tuition.uoregon.edu/tfab-schedule

## Tuition

### Tuition and Fee Advisory Board (TFAB) Schedule

#### General Meetings (all open to the public)

#### FALL MEETINGS

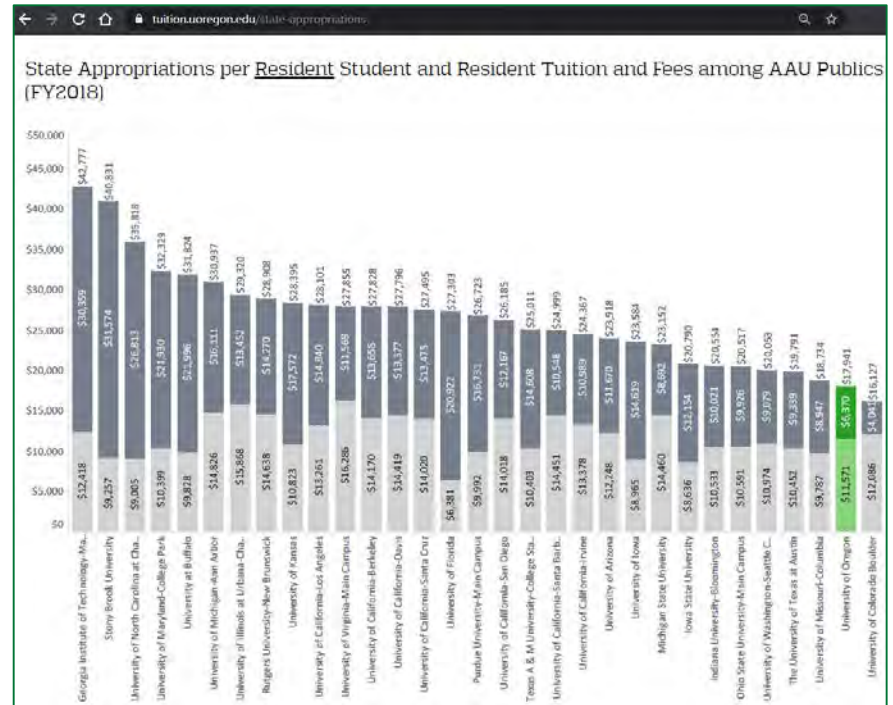
Fall meetings will be held virtually. Information on how to access the meetings will be uploaded soon.

**TFAB Orientation and Meeting:** Friday, October 23, 1–2pm

**TFAB Meeting:** Friday, October 30, 8:30–10am

**TFAB Meeting:** Friday, November 13, 9:30–11am

**TFAB Meeting:** Friday, November 20, 9:30–11am (Please [register for the meeting](#) in advance)



tuition.uoregon.edu/volunteer

## Tuition

Tuition and Fees | Tuition-Setting Process | State Appropriations | Cost Drivers | AAU Comparators | PAC-12 Comparators

### 2020-21 TFAB Meeting Notes and Updates

If you have questions about TFAB meetings or materials, contact Debbie Sharp at [dsarp@uoregon.edu](mailto:dsarp@uoregon.edu) or 503-446-3008

**Friday, November 20, 9:30-11:00am, virtual meeting**

Please [register for the meeting](#) in advance to receive the Zoom link and password information.

[Meeting agenda for November 20](#)

Materials will be posted following the meeting.

**Friday, November 13, 9:30-11:00am, virtual meeting**

[Meeting agenda for November 13](#)

[Guaranteed Tuition Program](#)

[Resident on Public University Support Funding \(RUPF\)](#)

[Meeting agenda for November 13](#)

# Summary – Major FY2022 E&G Fund Cost Drivers

Cost Driver	FY22 Cost Increase	Notes
Faculty, Staff and GE Salary and OPE	\$7.3 million	E&G employee increases based on collective bargaining agreement for approximately 1,231 graduate employees. Also includes estimates of increases for approximately 1,511 faculty, 679 classified staff and 1,232 unrepresented staff. Cost increase lower than previous years due to elimination of annual salary increases in January 2021 for faculty and unrepresented staff. Figures are for employees paid with E&G funds only.
Medical Costs	\$1.2 million	Annual increase due to rate increases and change in coverage mix. December 2020 PEBB increase at 0.5% was much lower than historical average. December 2021 increase assumed to be 3.0%.
Institutional Expenses	\$1.2 million	Increases related to utilities, insurance, debt for academic buildings, assessments, and leases.
Strategic Investments	600K	Annual \$2 million Strategic Investment Process cancelled due to COVID-19 and associated budget challenges. \$600K pre-committed to support Tykeson Advisors previously funded with one-time gift funds.
Minimum Wage Increase	\$320K	Increases per State of Oregon minimum wage increase to \$13.50/hr including associated OPE. Impacts student positions.

**Total Projected Cost Increases**      **\$10.6 million**

# Summary – Major FY2022 E&G Fund Cost Drivers

Cost Driver	FY21 Base	FY22 Cost Increase	FY22 % increase
Faculty, Staff and GE Salary and Wages	\$445 million	\$7.3 million	1.6%
Medical Costs	\$55.5 million	\$1.2 million	2.2%
Institutional Expenses	\$43.4 million	\$1.2 million	2.8%
Strategic Investments	\$541 million	\$600K	0.1%
Minimum Wage Increase	\$445 million	\$320K	0.1%
<b>Totals</b>	<b>\$541million</b>	<b>\$10.6 million</b>	<b>1.96%</b>



# Summary – Major FY2022 E&G Fund Cost Drivers

Cost Driver	Projected FY20 Cost Increase	Projected FY21 Cost Increase	Projected FY22 Cost Increase
Faculty, Staff and GE Salary and Wages	\$10.6 million	\$11.6 million	\$7.3 million
Medical Costs	\$1.9 million	\$2.5 million	\$1.2 million
Retirement Costs	\$7.1 million	(\$500K)	-
Institutional Expenses	\$1.0 million	\$1.5 million	\$1.2 million
Strategic Investments	\$2.0 million	\$2.0 million	\$600K
Minimum Wage Increase	\$1.0 million	\$1.9 million	\$320K
<b>Total Projected Cost Increases</b>	<b>\$23.6 million</b>	<b>\$19.0 million</b>	<b>\$10.6 million</b>

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