



NOTICE OF PUBLIC MEETING

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

Thursday, June 4, 2020, at 9:00 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 institutional planning and response related to COVID-19, demographics and higher education, revisions to the student conduct code, FY21 expenditure authorizations, a bioengineering graduate degree, recognition of a long-serving employee, a lease of the Romania property, and a report on the institution's research activities.

Livestream link: Available day of at <https://trustees.uoregon.edu/meetings>.

Public Teleconference Information: (888) 337-0215, Code - 7040421

Public Comment

Individuals wishing to provide public comment to the Board of Trustees may do so in writing via 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 June 3, 2020.

Board of Trustees
June 4, 2020 | 9:00 a.m. PT

Due to current orders regarding campus operations and social distancing, the meeting will be held remotely with a livestream and telephone line available for members of the media and the public. The livestream link and teleconference information will be available the morning of the meeting at: <https://trustees.uoregon.edu/meetings>.

Individuals wishing to provide public comment to the Board of Trustees may do so in writing via trustees@uoregon.edu. All comments will be shared with members of the board; to ensure comments are provided to trustees in *advance* of the meeting, they must be received by 5:00 p.m. PT on June 3.

Convene Public Meeting

- Call to order and verification of a quorum
 - Approval of minutes from March 2020 ASAC, FFC, and full Board meetings
1. **COVID-19 Impacts, Response and Planning.** Michael Schill, President; Patrick Phillips, Provost and Senior Vice President; André Le Duc, Associate Vice President and Chief Resilience Officer; others.
 2. **Research Report:** David Conover, Vice President for Research and Innovation
 3. **FY21 Expenditure Authorizations (Action):** Jamie Moffitt, Vice President for Finance and Administration and CFO
 4. **Presidential Evaluation Schedule Change (Action):** Chuck Lillis, Chair

Meeting Recessed Until 1:00 p.m. PT

5. **Higher Education Demand and Demographic Shifts:** Nathan Grawe, Professor of Economics and Ada M. Harrison Distinguished Teaching Professor of the Social Sciences at Carleton College
6. **Student Conduct Code Revisions (Action):** Erik Girvan, Professor of Law and Co-Chair of the Student Conduct and Community Standards Committee
7. **Graduate Degree in Bioengineering (Action):** Jim Hutchison, Senior Associate Vice President and Lokey-Harrington Chair in the Department of Chemistry and Biochemistry
8. **Romania Property Ground Lease (Action):** Mike Harwood, Associate Vice President and University Architect
9. **Employee Recognition – Dianne Nelson (Action):** Michael Schill, President; Jessie Minton, Vice Provost and Chief Information Officer

Meeting Adjourned

Written reports for the following items are provided in this packet after materials for the listed agenda items: ASUO President's Report, Quarterly Internal Audit Report, and Quarterly Finance & Treasury Reports.

BOARD OF TRUSTEES

6227 University of Oregon, Eugene OR 97403-1266 | (541) 346-3166 | trustees.uoregon.edu | trustees@uoregon.edu



Agenda Item #1

COVID-19 Impacts, Response & Planning

Supplemental slides for this section have been added to this packet, beginning on page 178.



Attached is a series of reports provided by various campus units. These written reports are meant to *supplement* the information you will receive live during the meeting's discussion. Thus, not every area on campus was asked to submit a report. These reports are meant to highlight key actions taken by the unit, ongoing initiatives relative to COVID-19 response, and significant challenges and opportunities facing the unit. These reports are not exhaustive of everything the unit has done or will do.

Following these reports, a summary of faculty led research related to COVID-19 and its implications is provided by Research and Innovation.

Additional information will be provided closer to the meeting to ensure it is as current as possible.

ACADEMIC PLANNING DURING THE COVID-19 PANDEMIC

At the outset of the pandemic, the Office of the Provost stood up its Academic Continuity team, which is focused on maintaining academic operations through disruptions in normal activities. This group includes broad representation across campus and partners with the University Senate's Academic Council. The team is led by EVP Janet Woodruff-Borden and AVP Ron Bramhall.

The **principles by which the team operated** included: maintaining academic continuity and standards; developing a system for faculty to move classes from in-person instruction to remote instruction; providing immediate and ongoing resources to faculty to continue to engage students academically in a meaningful way; and examining our response in order to make improvements systemwide.

Immediate Crisis Response

On March 11, it was announced that winter final exams would be given remotely, as a temporary safety measure. On March 19, the university announced that all spring courses would be taught remotely. During the immediate phase of the crisis, the Academic Continuity team focused on supporting faculty and students as they transitioned to remote finals and as they moved spring courses from in-person to remote formats. Over those first several weeks, the following actions occurred:

- Successfully concluded winter term after all finals were transitioned to remote operations.
- Consistent with public health guidance, moved more than 5,000 spring courses to fully remote instruction by March 30.
- Created the Faculty and GE Support Team to provide ongoing resources to assist in remote instruction, an approach that was unfamiliar to many instructors. The team developed workshops, web-based resources, and consultation services for [instructional support](#).
- UO Online, UESS, and IS collaborated to ensure students and faculty had adequate technology for remote instruction. This included the development of new tools for internet access, and the purchase and distribution of 200 laptops to support students with technology needs.
- A new [Academic Continuity web page](#) established on the provost's website.
- Adjusted attendance policies for winter/spring term.
- Moved to Pass/No Pass grading model for winter term finals and spring term.
- Ramped up resources, workshops, and other help for faculty to move toward a model of remote instruction that was based on heavy student engagement.
- Cancelled in-person exams for winter term.

Working with the University Senate's Academic Council, [academic policies for remote education](#) were adjusted. Highlights include:

- Requirement that all courses be published in Canvas, the UO's online learning management platform.
- Made sure instructors did not cancel classes unless a decision was made centrally.
- Reminded instructors to not ask students for doctors' notes or other documentation to verify absences.
- Required instructors with attendance or participation policies to modify those such that attendance is not counted in grades and participation points could be made up or waived.
- Required instructors to have make-ups or alternatives to exams.
- Required instructors to provide clear, consistent, and specific communication to students about any modifications to the course and changes to assignments and deadlines.
- Required the use of Canvas to conduct all communications with students through the summer.
- Extended by one year the tenure clock for all faculty who request it.

Sustained Academic Continuity

Following the immediate crisis response to move courses online, Academic Continuity efforts pivoted focus to sustaining academic quality of courses through ongoing instructor support, assessing student and instructor experiences, and planning for summer and fall terms. Improvements included:

- Integrating Zoom and Canvas fully into remote instruction across all schools and colleges.
- Conducting student and faculty surveys to determine where we needed to make necessary changes in instruction.
- New expectations clearly distinguishing between courses that were intended to be online and courses that were intended to be in person.
- Courses scheduled as in-person courses must have some live engagement with faculty and GEs, and between students during scheduled class time.
- Grading policy adjustments approved for spring term are continuing for summer term.

Summer term will be fully remote/online. Based on spring experiences and student/parent feedback, Academic Council [implemented policies regarding required levels of engagement](#) with students in remote courses. Instructional support will continue with increased focus on methods of engagement.

Fall planning work continues in collaboration with local, state, and federal health officials and guidelines. Working closely within IMT structure, the Academic Continuity group is developing modified fall course schedule for some in-person courses. Those plans will include:

- Courses of more than 50 students will be online
- Courses less than 50 will meet in a re-configured fall schedule based on CDC guidelines for space, social distancing, cleaning protocols, and time in group setting

The provost's Teaching Engagement Program and UO Online will continue to create faculty development and support resources for teaching remotely.

Task Force on Remote Education and Student Success

Provost Phillips established a task force to make recommendations regarding priority activities relative to online education at the UO. The task force issued a report on April 29 with priority recommendations, as well as recommendations relevant to a hybrid model (students return to campus in the fall with social distancing measures) or remote-only instruction should that be deemed necessary. High priority recommendations are listed below; a full version of the report is available upon request.

1. Pedagogy and course development

- 1.1 Accelerate the process of developing line versions of high-enrollment (Regularly offered large lecture courses that fulfill Core Ed or other requirements) and high-impact courses (multiple sections of required courses that impact large numbers of students).
- 1.2 Identify and communicate a set of universal design features to be implemented immediately for all remote courses.
- 1.3 Establish and communicate minimum standards for all courses (a floor, not a ceiling).

2. Student Support

- 2.1 Explore new ways of meeting the demand for laptops and other equipment for online education.
- 2.2 Expand [Class Encore](#) to include all high enrollment courses.

3. Faculty Support

- 3.1 Expand training for the Zoom Assistant Program for use in synchronous class sessions.
- 3.2 Create a library of instructional resources for face-to-face and online teaching.

4. Accelerated master's programs: Form a task force to begin planning for accelerated master's programs.

5. Communications

- 5.1 Clarify distinction between remote and online education.
- 5.2 Organize student support resources for remote and online learning (including all campus tutoring operations) in a central location on the UO website.

Undergraduate Education and Student Success

Summary of Response to COVID-19 Crisis

The Division of Undergraduate Education and Student Success (UESS) includes Academic Residential Communities, Accessible Education Center, Center for Multicultural Academic Excellence, Center for Undergraduate Research and Engagement, First Year Interest Groups, McNair Scholars Program, Office of Academic Advising, Office of Distinguished Scholarships, PathwayOregon, Summer Academy to Inspire Learning, TRiO Student Support Services, Tykeson College and Career Advising, Tutoring and Academic Engagement Center, and Undergraduate Research Symposium. UESS also leads institutional wide student success efforts.

Key Actions Taken

- a. Conducted calling and text outreach to all continuing undergraduate students (over 15,000 students contacted)
- b. Implemented accommodations for students with disabilities adapting to changing needs and new technologies
- c. Moved all student facing services and programs to remote format without disruption of services (including academic support and tutoring, accessibility advising, distinguished scholarships advising, first-year programming, undergraduate research advising, and academic advising)
- d. Instituted an advising requirement for students who are completely withdrawing from the term
- e. Adopted and improved technology (including helpdesk chat for students, texting platform for text communication with students, and campus wide support for expanded implementation of Navigate)

Ongoing Efforts

- a. Ensuring student engagement in remote and post-COVID environment through research and accessibility advising, student academic support services, academic advising and IMT Student Engagement Workgroup
- b. Increased ongoing outreach to and support of students including outreach to students who are at-risk, stopped out and have withdrawn
- c. Providing virtual workshops for students to navigate remote learning for success
- d. Integrating universal design in remote teaching and learning environment for summer and fall in close collaboration with UO Online, Teaching Engagement Program and Office of the Provost
- e. Providing modest just-in-time micro grants to ensure continued student enrollment
- f. Developing remote advising approaches to transform the student orientation advising experience so new freshmen and transfer students will be prepared for summer and fall term.
- g. Redesigning events and programs for remote/hybrid environment (e.g. Summer Academy to Inspire Learning (SAIL) summer programming, Common Reading, Undergraduate Research Symposium, and Convocation)
- h. Redesigning First-Year Experience in remote/hybrid environment to foster belonging for new first-year and transfer students (including revising new FIGs faculty and peer mentor training to reflect remote needs, developing Housing/Academic Residential Communities online community and first-year online Canvas resources and courses for new students)

Challenges and Opportunities

- a. Engaging students outside of virtual classrooms
- b. Increasing collaboration and partnerships with campus partners
- c. Integrating universal design and disability compliance in virtual classrooms
- d. New or heightened barriers students are experiencing in remote environment and during COVID-19 crisis (e.g. mental health, financial challenges, remote learning environment, balancing demands of academic, personal, and family needs)
- e. Building a campus-wide infrastructure to support success in the remote environment
 - Digital communication tools for student outreach (e.g. texting software, email marketing and communication management software)
 - Online administrative processes and tools (e.g. phone system for remote work, digital timesheet system, paper-based student facing processes)
 - Data sharing and data governance policies
 - Lack of student phone numbers on file
- f. Shifting student communication needs in remote environment

UO Human Resources - Board of Trustees - June 4, 2020

Human Resources Guiding Principles for COVID-19 response and fall planning:

- Safety and wellness of employees – physical and mental health
- Flexibility, empathy, compassion – focus on people and not just the process, seek to understand, recognize and embrace differences, lean on each other
- Employee Engagement
- Financial stewardship including sound workforce planning

Key Accomplishments:

- Created and implemented multiple benefit programs - emergency sick leave program, extended benefits program, CARES Act changes
- Negotiated required LOAs and an extension of the UA collective bargaining agreement that includes no pay increase for the next fiscal year
- Implemented a hiring and pay action freeze
- Developed COVID-19 specific webpage and resources which have been cited as a resource by CUPA HR, a national higher education human resources organization

Significant Actions Taken:

- Rapid response and support of moving employees to remote work, including transition from paper to digital processes
- Created supporting processes for new/adapted policies – emergency sick leave, personnel actions
- Development of guidance for adjusted UO policies and federal rule changes
- Assistance to HR Community and employee groups (Faculty, SEIU, OAs, Students, temporary) supervisors and UO leadership in navigating COVID environment
- Creation and deployment of numerous communications to campus, including web resources, FAQs, emails and virtual meetings to provide employees and supervisors with needed information regarding procedures, policies, guidance and resources related to COVID-19 and ongoing work.

Ongoing efforts:

- Employee engagement workgroup created as a branch of the larger IMT Engagement group.
- Engage with UO Leadership in workforce planning, communication and participation in University town hall meetings. Assembly of data and research for leadership understanding, decision making, and workforce planning
- Work to support scenario planning for return to increased on-campus operations in the fall, including leading a campus safety committee of employee representatives to provide input and feedback as planning continues
- Intensive work in supporting employees with needed accommodations
- Ongoing connection and relationship building with employee representatives including union leadership and OA Council
- Development of needed resources for continued support of and in response to questions from HR community, employees, supervisors, and student employees and the departments employing them
- Management of the hiring freeze, off-cycle pay actions freeze, and employee redeployment pool

Significant Opportunities:

- Employee engagement and morale in the face of both significant personal and professional stress and challenges
- Greater cohesion and collaboration among the university HR community
- Increased ways to connect to the campus community and disseminate information
- Increased acceptance of flexible work approaches and proven ability of our campus to adapt
- Leverage fiscal situations to drive greater innovation and use of positions across traditional organizational silos

Funding for Students in Crisis

Update for the University of Oregon Board of Trustees

	Coronavirus Aid, Relief, and Economic Security (CARES) Act	Students in Crisis Fund
What is this fund?	The CARES Act was signed into law on March 27, 2020 by the President of the United States.	Started 2 years ago by private donations. This fund is for students who find themselves in an involuntary financial crisis that is or as the potential to negatively impact their enrollment at UO.
How much is available?	The University of Oregon was allocated \$16,095,946. At least 50% of the funds have to provide emergency financial aid grants to students for expenses related to the disruption of campus operations due to coronavirus.	Original donation from two families was \$10,000 total. President Schill committed 1 million dollars in philanthropic support on March 30, 2020. So far, approximately \$800,000 have been raised by private donations to help support our UO students.
Eligibility	<p>Recipients must:</p> <ul style="list-style-type: none"> • Be eligible to file the Free Application for Federal Student Aid, but the FAFSA is not required. • Be eligible for federal student aid even though the program is not a Title IV program. This includes meeting all Title IV student aid eligibility criteria. • International students are not eligible. • Undocumented students are not eligible. 	<p>Students must:</p> <ul style="list-style-type: none"> • Be enrolled at the University of Oregon for the term the emergency aid is being requested • If applying between terms/semesters, have been enrolled during the previous term and are enrolled the following term. • Have temporary financial hardship resulting from a crisis or emergency • A student does not HAVE to qualify for or receive financial aid to be eligible, but should have exhausted all federal student aid options (if applicable). • As requested, be able to provide sufficient documentation of financial hardship
Requests for assistance	<p>As of 5/21/2020, we have received 2,260 completed applications for funds. These requests total \$4,991,498.</p> <ul style="list-style-type: none"> • Requests range from under \$100 to \$25,000. • Some of the requests will not be approved for funds based on guidance from the Department of Education. • We've awarded 944 grants totaling \$1,208,612. • A manual application review continues for received and incoming applications, with a 2-week turnaround time for processing. • Applications remain under review. 	<p>As of 5/21/2020, we've received 1,230 requests for assistance related to COVID19. These requests total \$1,364,983.</p> <ul style="list-style-type: none"> • Total funds approved to be distributed: \$558,036 • Awards are generally kept below \$700 per student. • 92 requests have been denied so far, 876 approved. • All applications are read by both the Dean of Students and the Assistant Dean of Students. If approved, students should receive funds within 10 business days of their application. Each student gets an outreach directly from a member of the DOS staff to tell them about the award, and check-in on their well-being. We continue to receive and review applications.
Demographics of those <u>requesting</u> assistance	<p>Undergraduate students: 84% Graduate students: 11% Law students: 5% Oregon residents: 70% Non-residents: 30% Seniors: 27% Juniors: 28% Sophomores: 25% Freshman: 20%</p>	<p>Undergraduate students: 89% Graduate students: 9% Law students: 2% Oregon residents: 69% Domestic non-resident: 27% Seniors: 46% Juniors: 29% Sophomores: 19% Freshman: 5% Pathway Oregon students: 26%</p>
Contact Office	Office of Student Financial Aid & Scholarships <i>Jim Brooks, Associate Vice President & Director of Student Financial Aid and Scholarships</i>	Office of the Dean of Students <i>Kris Winter, Associate Vice President & Dean of Students</i>

SUMMARY

Since the onset of the pandemic, states have looked to the Administration, federal agencies and Congress for guidance and emergency resources with mixed results. **Below is a table of federal actions with links to additional information.**

To date, Congress has made \$16 billion available directly to UO (at least half must be provided to Title IV eligible students as emergency grants). Flexibility for student aid and veterans' education assistance was also enacted. No comprehensive emergency relief for research grants has yet advanced. Federal Affairs has participated in dozens of engagements with the Oregon delegation and national higher education associations in close coordination with State Affairs and their focus on the Governor, legislative leadership, HECC and state agencies. Efforts to boost emergency relief for students and institutions to \$47 billion and provide \$26 billion for research workforce relief¹ continue as Congress now considers its fourth pandemic support package. Follow [our blog](#) and [UO Advocates](#) on social media for more information.

Priority Congressional and Advocacy Actions	Description	Date
HEROES Act (APLU analysis) NOTE: As introduced, the estimated allocation to UO is \$28 million (no requirement for student emergency grants)	HEROES, the fourth stimulus bill, passed the US House on a partisan vote with \$26.7 billion for public universities in a new program called State Fiscal Stabilization Fund. Disappointingly, only NIH is funded for research workforce relief. UO leadership appealed to the Oregon delegation for research workforce relief.	May 13
APLU priorities for 4th COVID-19	Letter and memo describing public university priorities	April 8
COVID-19 Research Priorities \$26 billion for research relief is sought (4 mos. of cost extensions)	R1 research priorities for a fourth COVID19 stimulus bill. UO is also highlighting Institute of Education Sciences as a priority agency given its outsize prominence in the UO research portfolio.	April 7
CARES Act (APLU analysis) \$47 billion (estimate of costs/losses and unmet student need) NOTE: The law allocated \$16 million to UO (at least half for emergency grants to students)	CARES, the third stimulus bill, became law at the end of March with \$16 billion in the Higher Education Emergency Relief Fund (HEERF). It was the first stimulus to provide emergency funds for institutions as well as students but fell far short of funds needed to stabilize students and institutions . US Senator Jeff Merkley (D-OR) played a key role in shaping the legislation.	March 28
Other COVID-19 advocacy priorities	Important issues in play include state maintenance of effort (to prevent disproportionate cuts to higher ed), state and local government relief , zero/no interest refinancing for institutional debt, flexibility on HEERF, and support COVID-19 research at UO .	On-going

OTHER FEDERAL ACTIONS:

Higher education associations implored US Department of Education Secretary Betsy DeVos [in a March letter](#) to delay further rule-making until campuses resume normal operations, the request was disregarded. Among issues to watch:

- Issues for international students are exacerbated by the on-going closure of consular services.
- The Supreme Court is expected to take action on DACA before the court's term ends. [The Presidents' Alliance on Higher Education & Immigration](#) has a campus toolkit to help prepare for a decision.
- The US Department of Education continues to make [changes to foreign gift reporting under Section 117](#) with revisions to the reporting portal expected for the next reporting deadline (July 31).
- The [Title IX rule was made final](#) with an implementation date of August 14, 2020.
- [UO worked closely](#) with local government and Census officials to support a Complete Count.
- Regular FY21 appropriations work by Congress continues separate from COVID-19 emergency legislating.

¹ Research projects funded by federal grants continue to pay expenses (e.g., personnel, space, supplies) but have had work—and thus results—from those projects significantly slowed, perhaps to the point where funds will run out before the research is concluded. Research work relief would help supplement existing grants with funds in recognition of this. While welcome, no-cost extensions granted by federal research agencies will not prevent research workforce lay-offs.

To: University of Oregon Board of Trustees
From: Libby Batlan & Hans Bernard, State and Community Affairs
Subject: State and Community Affairs Response to COVID-19 (May 2020)

State and Community Affairs (SCA) is engaging with the executive and legislative branches about the impacts of COVID-19, assisting campus units as they plan for possible state budget scenarios, and facilitating opportunities for partnership/investment in strategic areas of pandemic recovery. Concurrently, the portfolio's standard activity moves forward. This includes stewarding the UO's capital construction and consolidated funding request submissions to the HECC for the 2021-23 biennium as required by law.

Coordination with Executive Action: On March 19, Governor Brown issued [Executive Order 20-09](#), which suspended in-person instruction and established other restrictions at institutions of higher education through June 13. Unprecedented levels of coordination continue between universities and community colleges to develop a re-opening framework for instruction, research, and residential activities. This framework requires approval by Oregon Health Authority (OHA) before the UO develops its own detailed reopening plan in consultation and collaboration with students and employee groups.

Communicating Impact and Need: We have hosted three virtual briefings for policymakers about the pandemic and its impact on students and the university. We are highlighting how the UO is partnering with Lane County and the State to contribute to a resilient recovery, including promoting faculty research, increasing local testing capacity, and supporting vulnerable students, including DACA students.

We have worked closely with federal colleagues and the Oregon Council of Presidents to advocate for federal funding and engage a broad coalition of stakeholders. At the appropriate time, we will call our UO Advocates to action to protect funding for higher education, arguing it should not take a disproportionate cut compared to other sectors of the budget as it did during the 2008 Great Recession. Finally, we are pursuing a potential investment for COVID-19 testing and tracing programs and investment in capital construction projects to buoy the economy and create local, living-wage jobs.

State Budget Outlook: The [June 2020 revenue forecast](#) projects a reduction of \$2.7 billion in General Funds in the wake of the pandemic, with an additional loss of \$4.4 billion next biennium. SCA has worked with Human Resources, Employee Labor Relations, and the Vice President for Finance and Administration on plans for how the UO would navigate a possible reduction in state support. All state agencies were asked to submit plans for a 17% reduction in funding for FY21, which would equate to a \$13.9 million hit to the UO. This reduction level does not factor in the Legislature using any of its \$2 billion in reserves or distribution of federal CARES Act dollars.

Going Forward: Preparing for a special session to rebalance the budget and possibly invest in capital projects. We will interface with state officials and our partners in labor, business community, and student association regarding reopening as public health indicators allow.

Outside of instruction, research, and residence halls, we have facilitated briefings between UO and OSU athletics administration staff, PAC-12 staff, and OHA to develop a plan for how campuses and student-athletes will return to practice/training and ultimately competition within public health guidelines.

Office of the Vice President for Research and Innovation (OVPRI): COVID-19 Response and Recovery
OPVRI established the Research Operations Incident Management Team (IMT) on March 2, 2020.

Research Response and Planning:

Continuity Plans: On 3/4, the Research IMT asked Principal Investigators (PIs), Research Core Facilities, and Research Administration Units to prepare and submit continuity plans that covered various scenarios ranging from modest disruption to entirely remote work and only essential functions on campus. To address the urgent need for filesharing among personnel working remotely, OVPRI worked with Information Services (IS) to purchase an institutional Dropbox license.

Communications: The Research COVID-Response webpage went live on 3/12, and includes FAQs, which have been updated weekly. OVPRI and Research IMT hosted 2 Q&A sessions and 11 virtual town halls.

Changes in Human Subjects Research (HSR): On 3/17, all HSR transitioned to remote engagement (where possible) and face-to-face HSR was prohibited (1 exemption). Research Compliance Services (RCS) has approved 60+ Institutional Review Board (IRB) protocols.

Restrictions to On-Campus Research: In a 3/17 communication, OVPRI instructed lab-based researchers to prepare for major restrictions to on-campus activities. On 3/23, in line with the Executive Order for higher education, all on-campus research was restricted to essential activities. Personnel coming to campus are required to complete an On-Campus Research Form, which is integrated with a Campus Map Geographic Information System (GIS) tool of all on-campus activities used to inform cleaning, security, etc.

Research Core Facilities (RCFs): The Center for Advanced Materials Characterization in Oregon (CAMCOR), Genomics & Cell Characterization Core Facility (GC3F), and Technical Science Administration (TSA) have all provided critical services to support over 22 external companies working on COVID-19 related research.

Personal Protective Equipment (PPE) Donations and Fabrication: Over 40 research groups donated PPE, which [EHS distributed to Lane County Public Health](#). Research IMT also identified research teams with fabrication and 3D printing capacity for PPE and other critical supplies. TSA designed a [prototype face shield](#) (the most pressing need) and has distributed 1,115 shields to health care professionals and first responders.

Diagnostic Testing: The Research and Logistics IMTs worked in close partnership from early March to identify and acquire capital equipment needed for COVID-19 testing. These instruments are being used by McKenzie Willamette Medical Center (MWMC) to process samples. UO research personnel, including GC3F staff, consulted with MWMC staff in installing, testing, and training on the equipment. Diagnostic testing began on 4/21. Currently, this system can process ~500 tests per day.

Testing for Community Monitoring and Assessment: In partnership with the Testing IMT, faculty are working closely with GC3F, the University Health Center, University Housing, Lane County Public Health and many others to implement the COVID-19 Monitoring and Assessment Program (COVID-19 MAP). This effort, which began collecting samples on 5/18, aims to assess the prevalence of COVID-19 among students, wider UO community and beyond and use findings to support decision-making.

Research Recovery: On 4/30, Research IMT and OVPRI published a [Phased Approach for Restarting Research Activity](#), informed by UO researchers, EHS, and best practices from peer institutions. Phase 0.5 (current phase) allows for critical research activities after approval of a PI plan. Development of plan requirements for Phase 1 is underway.

University Counseling Center

Shelly Kerr, Director

[A unit of the Division of Student Services and Enrollment Management]

KEY ACTIONS TAKEN SO FAR

- Transitioned to individual teletherapy for students in Oregon and other states as allowed for the duration permitted by those states, with attention to best practices (clinicians participating in continuing education on teletherapy practice), privacy issues (ensuring access to HIPAA-secure Zoom, working with IT to ensure secure transmission of web-based forms), and legal issues (practicing in states where we can do so without violating those state laws).
- Added new digital resources to our existing resources (i.e., our own mental health-related podcasts).
- Revised the University Counseling Center website temporarily to ensure that updated information is very easy to find.

KEY ONGOING EFFORT

- Working on adapting other programs and services to remote formats while we are exclusively remote and to allow for a hybrid of in-person and online/videoconferencing services for the next year.

SIGNIFICANT CHALLENGES

- State laws regulate the provision of mental health services based on where the client (not therapist) is physically located. We can provide teletherapy outside of Oregon, but only as long as a state of emergency is in place in those states. Because therapists must adhere to the laws of the state in which they are providing teletherapy, they must be familiar with and follow multiple state laws, most of which differ from Oregon law.
- Due to “Zoom fatigue,” students are getting tired of spending so much time in front of a screen and have been less likely to engage in teletherapy. This is a national trend and not unique to the UO.

SIGNIFICANT OPPORTUNITIES

- A chance to reshape how, when, and where we provide campus mental health programs and services.
 - The capacity to provide teletherapy to students physically in Oregon allows us to maintain connections with some students during extended breaks (i.e., winter break, summer) and to provide services that are less dependent on having adequate space and less dependent on typical operating hours (without concern about adequate staffing for safety and security).
 - Adding digital resources offers different ways for students to address mental health needs that do not rely on a physical or virtual meeting with a therapist. The addition of these resources could reshape the type of services we provide.

University Health Center

Debra Beck, Executive Director

[A unit of the Division of Student Services and Enrollment Management]

KEY ACTIONS TAKEN SO FAR

MEDICAL AND NURSING:

- Universal screening was established, with symptoms and temperature check for everyone entering the building to comply with CDC best care practices for a health center.
- Separation of care was provided, by creating a Viral Clinic with separate entry/exit and a unique staffing model to ensure appropriate evidence-based patient care while providing more safety for staff.
- Telemedicine was implemented, to increase access to care for Oregon-based students who cannot or should not come to the health center in person.

FINANCE AND BUSINESS:

- Worked remotely in variety of departments and assisted in proper access to emergency paid sick leave.
- Created online timekeeping documents for remote work.
- Maintained building cleanliness according to CDC guidelines.
- Worked with vendors despite shortages to procure needed personal protective equipment supplies.
- Forecast rolling revenue and expenditure outlook for the current and next fiscal years.

UO STUDENT HEALTH BENEFITS PLAN (SHBP):

- Waived the \$100 fee typically associated with late premium payments and extended the deadline for full premium payments by five months to allow flexibility for this expense.

LAB/RADIOLOGY:

- Worked with medical staff to provide critical diagnostic tools for management of COVID-19 and other respiratory illnesses.
- Collaborated with UO partners to develop a Clinical Lab Improvements Amendment (CLIA) certified and compliant lab for expanded COVID-19 testing capabilities.
- Expanded testing capabilities in-house to improve diagnostic capabilities.

PHARMACY:

- Provided curb-side delivery of prescriptions to reduce transmission risk for students and staff.
- Enhanced vaccine delivery model in anticipation of a COVID-19 vaccine.
- Expanded services to include filling of prescriptions for UO faculty and staff as well as their dependents.

DENTAL CLINIC:

- Following a six-weeks closure, re-opened staying in compliance with the Oregon Board of Dentistry, to provide emergency and routine services to students in a safe manner.
- Patient care volumes will be determined by personal protective equipment that is availability.

HEALTH INITIATIVES:

- Provided remote Duck Nest Wellness Center programming, with notifications going out primarily via social and remote.uoregon.edu website.
- Enhanced student isolation process in collaboration for University Housing.
- Created an online tour of the University Health Center.

SIGNIFICANT OPPORTUNITIES:

- Became involved with COVID-19 research efforts on campus.
- Positioned the University Health Center as a central voice for COVID-19 surveillance, prevention, diagnosis, and treatment for students as well as staff and faculty.
- Need an update of IT infrastructure to support the electronic health record.
- Took a leadership role in the university's contribution to contact tracing.

Student Orientation Programs

Cora Bennett, Director

[An office of the Division of Student Services and Enrollment Management]

SUMMARY

IntroDUCKtion 2020 will be offered in a hybrid format—largely live, remote programming over the summer with in-person components in the fall.

KEY ACTIONS TAKEN SO FAR

Note: this year's IntroDUCKtion program will be much different than we've ever seen.

- For the first time, all domestic undergraduate admits will be permitted to participate until Decision Day (September 1).
- Because no deposit is required to attend IntroDUCKtion, we will place a heavy emphasis on yielding the entering class and meeting our enrollment goals.
- The parent and family program will be open to all during remote sessions. Title IX prevention sessions, and sessions focused on diversity, equity and inclusion, among others, will take place during move-in week and will adhere to all in-person gathering restrictions and guidelines.

KEY ONGOING EFFORTS

As of May 15, 2020, the framework of IntroDUCKtion 2020 is:

- Build community amongst admitted students and develop attachment to the University (Jun–Sep)
 - Led by Student Orientation Staff (SOSers), offer weekly “Flock” meetings will cover resilience, the student experience, student safety, preparing for academic advising, finding your place
 - Led by SOSers and campus partners, present regular identity-based programming
 - Led by SOSers and regional alumni and/or parent volunteers, host regionally based programs
- Build community among parents and family and develop confidence in the University of Oregon (Jun–Sep)
 - Led by directors of orientation and parent and family programs, host regular, informal Q/A programs, live and recorded, plus social hangouts and trivia nights for families
- Educate students, their parents and families about resources, clubs, organizations, programs, and the people who provide them (Jul–Sep)
 - Present 1 or 2 weekly live broadcasts featuring excellent faculty members who teach first-year students
 - Present 1 or 2 weekly live broadcasts featuring campus resources and experts on health and wellness, crisis management, housing and dining, safety and prevention, tutoring and academic engagement, student clubs and organizations, financial aid and billing, earning a degree, parent and family programs, new safety protocols, and community expectations
- Provide excellent academic advising and ensure registration experience is a positive one (Aug–Sep)
 - Scaffold academic advising experience with educational modules, workshops on using resources, and individualize advising appointments
- Maintain our personal touch with critical in-person programs for students and families in September (Sep–Oct)
 - Present Your Story, Our Story (equity and inclusion) and Prevention Play (Title IX programming)

University Housing

Michael Griffel, Assistant Vice President, Director for University Housing
[A unit of the Division of Student Services and Enrollment Management]

SUMMARY

Following President Schill's announcement of remote instruction for the first three weeks of spring term 2020, University Housing immediately offered students the opportunity to modify their residence hall agreement to match.

On March 19, Oregon Governor Kate Brown announced the "Stay Home, Save Lives" executive order. President Schill announced remote instruction for spring term and determined that residence halls could remain open for students who would be without housing if required to leave and for those whose travel restrictions/safety precluded them from going home. University Housing immediately allowed students to cancel their residence hall contracts for spring term without penalty.

- At the end of winter term 2019 there were 4,561 residence hall students; the number decreased to 240 residence hall students in spring term 2020.
- Lack of work and finances led to extended leave/layoff notices/action for 168 University Housing employees.
- Spring term estimated \$20.2 million gross loss; summer estimated \$2 million gross loss.
- Family Housing and University Apartments occupancy has been relatively unaffected.

KEY ACTIONS TAKEN SO FAR

- University Housing, following CDC, OHA, and Lane County principles, provided new single room with private bathroom assignments to the 240 spring term residents.
- Quarantine and isolation protocols were developed and implemented.
- University Housing assisted more than 2,400 out-of-state students move, using the following options:
 - Have a proxy (friend, private company) pack and ship/store belongings;
 - Have University Housing pack and ship/store (\$300 + shipping); or
 - Store in room until June 12 (\$300).
- Residential dining immediately transitioned to take-out only, enacting strict physical distancing and following OHA health and safety standards and practices.
- By May 4, dining was consolidated to Global Scholars Hall FreshMarket Café and Chipotle in the EMU.

Staff have been focusing and working especially hard in a number of ways:

- Keeping connections, supporting academics and wellbeing with spring term residents.
- Continuing to meet regularly to maintain connections, as Academic Residential Communities.
- Hosting virtual office hours and programs, by University Housing faculty in residence and faculty fellows.
- Assisting with the COVID19 "surveillance" research and testing.
- Assisting and supporting admitted incoming fall 2020 students as they decide on fall plans.
- Preparing to facilitate a strong fall term for students within CDC, OHA, Lane County guidance, with integrated learning, personal and social connections, and friendships and relationships in community.

UO Advancement Response to COVID-19 – Spring 2020

University Advancement engages donors, alumni, government policy makers, and members of the community to enable the UO to continue its purpose of life-transforming education and world-class research.

Development/Fundraising

- Beginning in late March, and likely through the remainder of the fiscal year, all major gift discussions (\$100k +) were put into a soft ask/hold stage. Specifically, approximately 3,000 current and prospective major gift donors have been called to engage in dialogue related to the campus's response to COVID-19. Staff have also solicited these donors and prospective donors for a gift in support of the Student Crisis Fund. Some donors have chosen to continue conversations, others have welcomed the hold.
- The Annual Philanthropy/Giving team launched an unprecedented online (crowdfunding) campaign in support of the Student Crisis Fund. Through multiple emails, social media sourcing, and individual phone calls **over 1,400** donors contributed to the campaign raising approximately **\$800k** in support of the president's \$1 million goal.
- Beginning on May 15, the fundraising effort has pivoted to launch a new fundraising campaign in support of the COVID-19 MAP (Monitoring and Assessment Program) by the university. This effort is currently underway and will target local businesses in Lane County.
- Additionally, the Development office is working with the Office of the Provost to promote and highlight a growing list of faculty research and teaching related to COVID-19. Included, will be a lecture series featuring faculty speakers in a series of virtual events. The goal is to bring awareness to how the university is directly responding to public health challenges arising from the pandemic and to identify individual donors who may wish to support their research & teaching efforts.

UO Alumni Association/Alumni Engagement

- The UOAA has transitioned its robust event schedule to virtual events. Chapters and Affinity Groups are working with staff to maintain alumni engagement throughout the Stay at home order and beyond.
- The UOAA Alumni Career Network continues to provide career advising, networking, and job search programming to alumni. The team is currently evaluating a plan to expand these services with a specific focus on the graduating class of 2020.
- The UOAA & Regional Alumni Engagement team has launched a series of virtual events to bring alumni together. Two highlighted events: Science Communication: In the time of COVID19 (Professor Ellen Peters) & Behind the Film Score (Duck parent, Harry Gregson Williams) both garnered several hundred participants each.
- The UOAA launched the Duck Nest, a weekly alumni email newsletter sharing various ways to stay engaged with the university.

Government Affairs (Please reference individual reports)

- Advancement fosters exceptional coordination and leverage between the UOAA, Development, and Government Affairs teams to support and enhance their collective effort. Donors and volunteers in addition to their own giving have advocated and applied appropriate pressures on elected leaders at all levels of government to support the mission and position of the university.

Advancement

- Advancement staff made **over 2,000** calls to domestic and international students as part of the efforts to reach out to our current student body.
- Advancement Senior Staff is actively working to evaluate and plan for both short and long term impacts on external relations work as a result of the COVID-19 pandemic. The summer will be utilized to develop an FY21 plan as well as a three to five-year road map to add changes in our industry. Ongoing discussions are being conducted with many of our AAU peer Advancement colleagues.

UO Division of Global Engagement

Summary of Responses to COVID-19 for UO Board of Trustees, May 2020

The [Division of Global Engagement](#) (manages: visas & support for 1600 int'l students, study abroad (28% of UO students), 17 international research centers & programs, campus internationalization, and UO global presence) is a bit like a small island off the shore of mainland UO. The coronavirus crisis hit us early (February 2020 when we pulled students from study abroad in China). We've had more time than many to work through impacts and begin to reposition ourselves for the new landscape of higher education, as follows:

1. Key Impacts

- Help ~30 int'l students stuck in China return to US (~30 in Feb-Mar); help ~100 int'l students get home as crisis grew in US (April). Spring int'l student retention: above 98%.
- Withdrawal of ~90 students from winter term study abroad in China and Korea; cancellation of spring term study abroad for ~200 students; cancellation of summer study abroad (so far through mid-August), impacting about 700 students.
- Net losses from spring study abroad cancellation and student reimbursements = \$1.5 million; Lost revenue from summer program cancellation = \$3 million.

2. Ongoing Efforts & Immediate Opportunities

- [International student outreach and retention efforts:](#)
 - Calling campaign (in add'n to all-student campaign), DGE & Advancement staff.
 - Daily social media message, in Chinese, to Chinese students on WeChat (in English on WhatsApp and Line to all other int'l students. New candor in responses.
 - 19-week retention campaign, with weekly academic, career, social support themes.
- [#NoPassportNeeded](#) remote global education offerings for summer 2020. Low-cost prep for later travel experiences, via courses with local experts, remote homestays, remote internships, remote excursions. 60% retention for virtual int'l internships.
- Development of [#NoVisaNeeded](#) remote programming, int'l internships, and courses offered at UO study abroad sites for int'l students who cannot re-enter US in fall 2020.
- [Student Corps to Combat Coronavirus](#) (SCCC): in partnership with West Coast and Pacific Rim universities, UO students study public health response to covid-19, can train to become contact tracers (supervised by Lane County Dept of Public Health and Oregon Health Authority). Remote peer-learning across many states and countries builds professional networks and global resilience for next pandemic.

3. Longer-term Opportunities

- Shift most outreach to int'l students to social media, via short video & in home language.
- Remote global ed as long term means to expand access to & prep for study abroad.
- SCCC = example of how to marry liberal arts ed with public service mission, restoring higher ed value proposition.
- Using crisis to streamline standard operation procedures, restructure, create efficiencies

Division of Equity and Inclusion

UO Board of Trustees Update on COVID-19 Related Activity

As UO strives to maintain its commitment to the pursuit of academic excellence amidst the global pandemic, the crisis is reinforcing equity as an imperative to continuity, engagement & recovery. Leading into the novel coronavirus environment, DEI was finalizing the findings of 30 individualized Diversity Action Plans ([IDEAL Framework](#)). Building upon this scalable foundation, the UO IDEAL Equity Lens links, aligns & leverages national and campus best practices into current decision-making. In partnership with UO leadership, the following three recommendations are offered:

- Use **disaggregated data** to identify trends and invest limited resources where they are most needed.
- Use the **IDEAL Equity Lens** tool in decision-making with an eye toward facilitating success in student access, faculty excellence and the student experience.
- Use an **ethic of care** in making tough-minded decisions.

Priorities and Highlighted Areas of Action

1. *Institutional Wellness*. Partnering around the anti-discrimination campaign in community with our Asian / Asian-American students & colleagues; coordinating efforts of equity partners across campus to address related concerns and resources; redesigned website to highlight equity data, IDEAL tools and self-care resources.
2. *Student Success and Access*. Deliver remote high touch advising, support and outreach (Center for Multicultural Academic Excellence). Provide remote support, programming and leadership development (Multicultural Center). Ensure URM graduates and prospective students have a signature experiences.
3. *Faculty/Staff Engagement and Retention*. Partnering with the Office of the Provost to lead an Active Retention Team dedicated to retaining URM TT/NTTF faculty; partnering with HR to develop coordinated continuity and engagement plan and messaging. Planning signature virtual programming and community building platforms for AY21.
4. *Climate and Leadership*. National thought leader around COVID-19 and equity in higher education; collaborating with HECC on statewide policy guidance; recalibrating PDACC to advance 3 continuity & engagement deliverables: student mentoring & outreach; alumni engagement; and research, policy & legislation; and partnering with the Equity Community Consortium to advance local, community-based priorities.

An IDEAL Campus: Next Steps

- **Link** equity lens to IMT and decision-making bodies; provide related leadership, professional development, and support.
- **Align** DEI's student, faculty and staff advisory bodies as assets for action related to UO continuity and engagement priorities.
- **Leverage** partnerships and resources creatively to assist with nimble, low-cost action.

COVID-19 MITIGATION EFFORTS – PURCHASING AND CONTRACTING SERVICES

UNIVERSITY WIDE

- Established a partnership with McKenzie-Willamette Regional Medical Center to increase testing capacity in Lane County by up to 500 tests a day. Lane County officials recognized this partnership was a critical piece of infrastructure that allowed Lane County to start the opening process.
- Acted early to order testing equipment and reagents that became unavailable nationally shortly after our order.
- Ensured a steady supply of reagents and consumables for the MKW testing program.
- Established a pathway to source swabs directly from the factory in China, in partnership with a local biotech firm.
- Strategic sourcing of PPE and related supplies to meet campus needs and minimize cost impact.
- Leveraged UO's relationships with local and regional businesses and agencies to procure "hard-to-get" items.
- Playing a lead role in establishing and scaling the COVID-19 MAP testing project.

UO HEALTH CENTER

- Issued orders for equipment and reagents to test for COVID-19 on UHC's point of care testing equipment.
- Executed contracts for telemedicine services.
- Executed medical billing agreements that allow students to access services through their separate insurance carriers.

INFORMATION SERVICES

- Negotiated contracts with AWS, Zoom, and Dropbox, with HIPAA and FERPA provisions, to protect sensitive data while supporting remote operations during the Stay Home Stay Safe order.
- Contracted for SaaS platform to expedite application processes for coming admission cycle.
- Working with Enrollment Management to deploy CRM platform by August 1, 2020 to advance undergraduate and graduate enrollment.

DUCK DEPOT/PCARD

- To lessen exposure to COVID-19, purchases and deliveries of necessary goods were expedited to off campus and home locations through UO's Duck Depot e-Procurement system.
- Implemented changes in PCard process to minimize interruptions and mitigate fraud in connection with work from home requirements.

MITIGATION OF CONTRACT LIABILITIES

- Provided guidance and undertake contractual mitigation efforts in roughly 100 transactions to minimize the costs of event cancelations, group gatherings, and contractual obligations that have been abridged and/or frustrated in purpose by COVID-19.

Information Technology COVID-19 Response

Opportunities

- Seismic cultural shift around view of centralized leadership of technology, including strategy and projects – working to capitalize on this momentum via final phases of Transform IT.
- Stay at home order has moved university more quickly to embrace opportunities and feasibility of telework, especially in space constrained units like IT. We have proven to be highly efficient.
- Rapid expansion and adoption of cloud services accelerates the need to continue exploration and articulation of a broader cloud strategy.

Challenges

- Cybersecurity, especially with financial uncertainty and strategic funding process postponement.
- Data management, governance needs emerging as new business intelligence requests arise related to remote instruction data.
- Cloud services challenge our current financial model, as they typically have low one-time implementation costs and higher recurring costs.

Key Actions Taken

- **VPN upgrade** – 85% user capacity increase and 10x bandwidth increase
- **Zoom implementation** – integrated with learning management system, providing virtual breakout rooms, lecture, presentation, and webinar capabilities. **Stats as of May 21:** 112,389 meetings, 10,428 active users, and 43M meeting minutes recorded. Participants' locations include Canada, Japan, China, UK, Germany, Taiwan, France, Ecuador, and Italy.
- **Telehealth support** – HIPAA compliant Zoom instance and secure virtual desktop enabling health center, counseling center, and psychology clinic to continue seeing patients.
- **Student loaner program** – laptops, webcams, and hotspots ensured that no student was without resources to continue their education.
- **Resource guides** - <https://is.uoregon.edu/remote>; including tracking free and low cost services to ensure no student is without access.
- **Dropbox launch** – compliant file storage and collaboration service available to all faculty.
- **Remote tech desk** – moved the tech support walk-up desk virtual, keeping services to faculty, staff, and students intact while continuing to provide employment for students.
- **Created virtual computer labs** - one tailored for Design and one broad for all disciplines to ensure all students could access specialty software from home.

Ongoing Efforts

- Automated proctoring options for faculty
- Remote call center and routing for contact centers (student services, advancement, athletics, etc.)
- Expansion of telehealth support to HEDCO Clinic and other HIPAA covered entities
- Dropbox accounts for students, move on campus file storage to Dropbox
- Two-factor authentication in place for all by July 29
- Virtual desktop infrastructure move to the cloud

PAGE LEFT BLANK INTENTIONALLY

COVID-19 Research Activities

Faculty across the university are conducting timely and urgent research examining COVID-19. To date, there are 15 active projects underway on campus, of which 4 have already received external funding totaling \$824,550. Researchers have submitted an additional 12 external grants to supplement existing studies or to conduct new research. At least an additional 10 proposals are currently in development. In addition to experimental studies, numerous faculty are developing or have published peer-reviewed manuscripts and opinion pieces.

Summary of Ongoing Activities:

PI: Jennifer Ablow (Psychology)

Title: Prenatal Nutrition, Adiposity and Stress: Modifiable Targets for the Biobehavioral Development of the Infant (PEAPOD)

The researchers recently received IRB approval to include PEAPOD participants in a new study called "COVID-19 Study for New and Expecting Moms," nicknamed COPE. This assessment consists of a survey with questions about how the current pandemic is affecting their experience of pregnancy or having an infant.

Media: <https://around.uoregon.edu/content/new-study-looks-pregnancy-during-covid-19-pandemic>

PI: Charlotte Alverson (College of Education)

Title: Lived experiences in receiving special education services via distance learning

Due to COVID-19, schools began delivering special education services via distance learning, along with other forms of instruction typically provided in a traditional, typical, face-to-face format of the school environment. How students with disabilities, their families, and support network react, adapt, manage or not, the COVID-19 experience is unknown. The purpose of this study is to learn and understand the lived experiences of students with disabilities, their families, and others key to their support (e.g., teachers, transition specialists, administrators, personal service workers, or paraprofessionals) receiving special education services via distance learning.

PI: Bill Cresko (Biology, Institute of Evolution and Ecology, Data Science Initiative) and Leslie Leve (College of Education, Prevention Science Institute)

Title: Covid-19 Monitoring and Assessment Program (COVID-19 MAP)

The UO, like most universities nationwide, is discussing solutions to promote the health and safety of the community when the campus re-opens for in-person instructional activities and onsite residential housing and dining. Currently, a very reduced number of students are residing in campus housing, with no known positive cases of COVID-19 to date. This subsample of students could provide valuable information regarding the spread and prevalence of COVID-19 within the campus community, as they reflect the general demographic characteristics of the larger student body, are living in a high-density housing situation (the residence halls), and frequent off-campus business and social settings. The project plan seeks to create a baseline understanding of the prevalence of COVID-19 in our community and to employ epidemiological modeling to forecast the spread and prevalence of the virus in the local population. This modeling will help to inform suppression strategies and assist in identifying groups and individuals at risk for spreading the virus. COVID-19 MAP represents coordinated efforts by faculty and administrators in Prevention Science Institute, the Institute for Ecology and Evolution, the Knight Campus, the Institute of Molecular Biology, the Department of Anthropology, the Data Science Initiative, OVPRI,

the University Health Center, University Housing, Purchasing and Contracting Services, the Office of General Counsel, and Lane County Public Health.

PI: Phil Fisher (Psychology, Center for Translational Neuroscience)

Title: rCOVID-19 Rapid Response Research

External Funding: JB and MK Pritzker Family Foundation (\$100,000); Heising-Simons Foundation (\$300,004); Valhalla Charitable Foundation (\$115,000)

With new rapid funding from three foundations, researchers are examining the ongoing effects of the coronavirus pandemic on early childhood family well-being. The aim of the project is to gather essential information, via surveys, on unmet needs and health promoting behaviors for the well-being of children and families and to distribute that information immediately to key stakeholders, advocacy groups, family facing organizations, and families themselves.

Media: <https://around.uoregon.edu/content/research-team-addresses-coronavirus-impact-families>

PI: Rebecca Lewis (Planning, Public Policy and Management)

Title: Moving Eugene More Sustainably: What Affects Transportation Choices in Downtown Eugene?

This project, initially launched with funding from the UO Resilience Initiative, intended to study transportation attitudes and decisions in downtown Eugene. Following the outbreak, the team transitioned to examine the implications for the future of transportation practices and address how environmental attitudes affect the likelihood of continuing transportation practices post-COVID-19.

PI: Rebecca Lewis (PPPM)

Title: SCC RAPID: Consumer Responses to Household Provisioning During COVID-19 Crisis and Recovery

External Funding: NSF (Portland State University is prime institution); \$16,886 awarded to UO

Using consumer surveys, researchers will collect information about consumer shopping behavior for household provisioning during the period of pandemic crisis and recovery, with an emphasis on capturing the role of technology as well as the barriers to its use. Overall, findings may reveal trends in consumer behaviors and gaps in access to technology that can aid planners in preparation for crisis and recovery, mitigate equity gaps that persist during more stable times, as well as promote the health and well-being of the community by seeking to find ways to meet household needs while minimizing risk, promoting efficiencies, and supporting shelter in place

PI: Jun Li (Computer and Information Science , Center for Cyber Security and Privacy)

Title: Traffic Analysis during COVID-19 Pandemic

Together with collaborators, this team is conducting a thorough study of network traffic of different applications at different times to different destinations from the perspective of a large Internet exchange point. The goal of this study is to investigate the contrast of network traffic volume, patterns, and anomalies before and during the pandemic and analyze the underlying causes. This will develop novel insights for future research in network management and security.

PI: Shawn Lockery (Biology, Institute of Neuroscience)

Title: Zebrafish cardiac toxicity testing

All potential vaccines and drugs must be tested for cardiac toxicity including, and perhaps especially, COVID-19 therapeutics, as this virus can impact cardiovascular health. Dr. Lockery developed a novel experimental approach that may possibly accelerate this type of testing using zebrafish. This project is partially funded by Innovation Partnership Services.

PI: Stilianos Louca (Biology, Institute of Evolution and Ecology)

Title: RAPID: Improved phylogenetic approaches for characterizing the epidemiological dynamics of COVID-19

External Funding: NSF, \$105,309

Recent findings suggest that many commonly used mathematical models of disease evolution may yield highly inaccurate parameter estimates and may severely underestimate the associated uncertainty, thus potentially leading to sub-optimal policy decisions that are either ineffective or needlessly disruptive. This project, funded by NSF, will clarify precisely what epidemiological insights can be reliably inferred from phylogenetic trees and will develop new approaches to robustly characterize the spatial and temporal spread of COVID-19.

Media: <https://around.uoregon.edu/content/uo-researcher-hopes-improve-covid-19-disease-models>

PI: Kathryn Mills (Psychology)

Title: Social connection, digital technology use, and anxiety in adolescents during the COVID-19 pandemic

This study applies longitudinal methods to investigate how adolescents are responding to the COVID-19 pandemic and how social connections and digital technology use relate to feelings of anxiety.

PI: Ken-Ichi Noma (Biology, Institute of Molecular Biology)

Title: Development of a novel genomic method to quantify cytosolic chromatin fragments

The Noma lab focuses on cellular senescence and aging, specifically on cytoplasmic chromatin fragments (CCFs). CCFs are known to trigger an acute immune response, which researchers believe is a critical factor in COVID-19 mortality, particularly among older adults. The Noma lab is partnering with collaborators at the University of Pennsylvania to understand the role of CCFs in the immune response to COVID-19 infection and are preparing a supplement to NIH/NIA.

PI: Ellen Peters (School of Journalism and Communication, Center for Science Communication Research)

Title: RAPID: A Longitudinal Study of Public Responses to the Coronavirus

External Funding: NSF, \$187,351

Ellen Peters and colleagues in SOJC and the Department of Psychology received NSF RAPID funding to learn about how people perceive risk around COVID-19 illness and how that affects their decision-making, which in turn may help policy-makers better communicate around the crisis. The team is studying how people perceive and react to the crisis, what information they pay attention to, who they trust and who they don't, and how the crisis affects future plans, choices of preventive and treatment options and support for policy options.

Media: <https://around.uoregon.edu/content/study-will-look-perceived-risk-new-coronavirus-real-time>

PI: Jennifer Pfeifer (Psychology)

Title: Supplement to Puberty, Neural Systems for Social Processes, and Early Adolescent Mental Health: A Longitudinal Neuroimaging Study

This team developed a new survey for adolescents in their established cohort designed to assess self-reported changes in social connection and support (or lack thereof), stress, coping, mental health, and lifestyle, in response to the coronavirus crisis. In addition to additional monthly surveys, Dr. Pfeifer applied for NIH supplemental funding to collect new data from smartphones about mood, social connection, and other objective behaviors, as well as additional samples of their gut microbiome and immune responses to measure indicators of stress and other health variables related to the changes to daily life caused by COVID-19.

PI: Jennifer Pfeifer (Psychology, Center for Translational Neuroscience)

Title: Tracking the Social, Cognitive and Mental Health Impact of COVID-19 from the Womb to Old Age

In partnership with colleagues at the University of New South Wales, Dr. Pfeifer is contributing to a study aiming to understand the impact of COVID-19 related mental health stressors on the general population to customize the scale, timing, and type of response. To address this urgent need, the proposed study aims to record the impact of existential threat and social isolation by tracking changes in mental health, as well as social and cognitive functioning.

PI: Kevin Van Den Wymelenberg (College of Design, Institute for Health in the Built Environment)

Title: Guiding Healthcare Building Operations, Infection Control Procedures, and PPE Practices through Environmental Monitoring and Identification of SARS-CoV-2 in the Built Environment

A new direction launched out of funding from the OHSU-UO Collaborative Seed Grant, researchers are monitoring conditions in hospital wards at OHSU treating COVID-19 patients to test effectiveness of enhanced building engineering operations practices to reduce viral transmission potential and guide refinements of PPE practices and procedures in healthcare settings. The research has the potential to protect healthcare providers and patients by reducing the potential for transmission through built environment mediated pathways with enhanced situational awareness and proven building operations engineering protocols. The team is also working with industry to co-develop new technologies, including real-time biologic air and surface monitoring that would inform building administrators making occupancy decisions or trigger deep cleaning, integrate with building automation systems to enact enhanced operational protocols, and support contact tracing programs.



Agenda Item #2

Research Report



FY20 Research and Innovation Annual Report



June 4, 2020

UNIVERSITY OF
OREGON

Office of the Vice President
for Research and Innovation



FY20 Sponsored Project Metrics

<u>Description</u>	<u>FY20*</u>	<u>% change from previous year</u>
Number of Proposals Submitted	1022	17%
Dollar Amounts of Proposals Submitted	\$186.9 million	39%
Number of Awards	523	5%
Value of Authorized Spending	\$130.6 million	19%
Total Expenditures	\$103.9 million	4%
Total Research Expenditures	\$70.1 million	0%
F&A Recovered	\$20.8 million	4%

*As of April 30, 2020. FY20 data not available until June 30, 2020

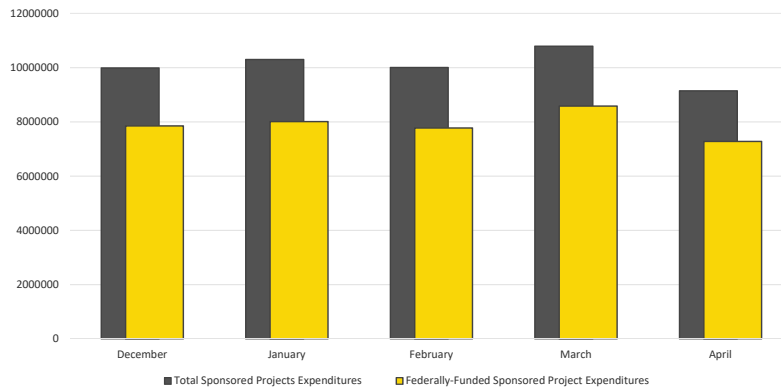
UNIVERSITY OF
OREGON

Office of the Vice President
for Research and Innovation



Monthly Expenditures

Sponsored Projects Expenditures by Month
December 2019 - April 2020

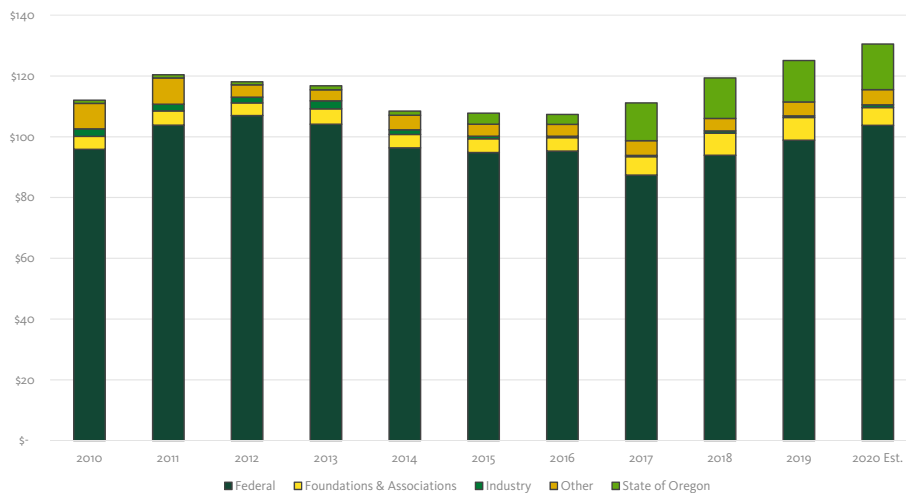


UNIVERSITY OF
OREGON

Office of the Vice President
for Research and Innovation



FY11-20 Total Expenditures



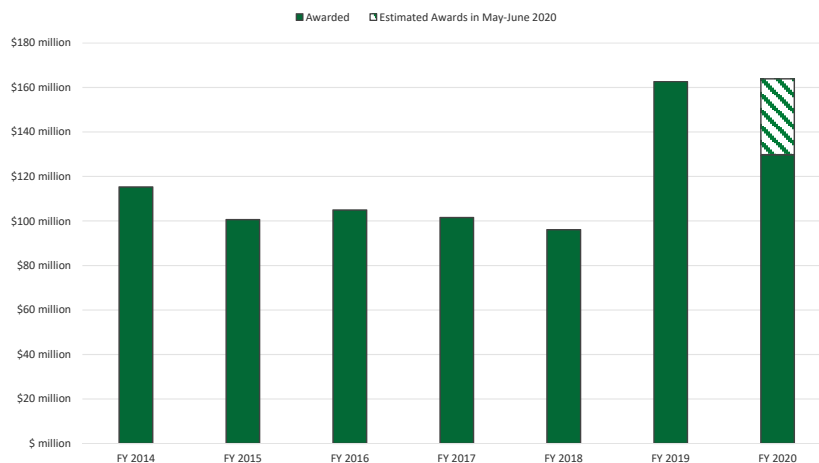
*Estimated total for FY20. Data
not available until June 30, 2020

UNIVERSITY OF
OREGON

Office of the Vice President
for Research and Innovation



New Multi-year Award Commitments



All values in millions of dollars. Amounts reflect total award value across all years of a project at the time it was funded.

UNIVERSITY OF
OREGON

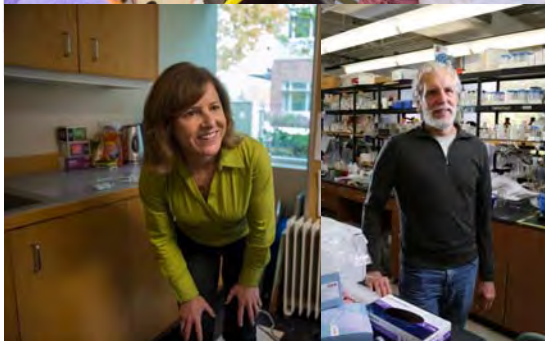
Office of the Vice President
for Research and Innovation



Major Awards over \$5 million



Judith Newman —
EC Cares / Oregon
Dept. of Ed. / \$11.7
million



Leslie Leve, Phillip
Fisher —
Parenting among opioid
users / NIH / \$10.1
million

Monte Westerfield —
ZIRC modernization
and expansion / NIH /
\$ 8.0 million

*Not including 8.0 million CARES
ACT to support UO



COVID-19 Research

APRIL 30, 2020



UO researcher hopes to improve COVID-19 disease models

MARCH 24, 2020



UO's indoor research center takes aim at COVID-19 risks

APRIL 2, 2020



UO geography prof urges change in pandemic fund oversight

APRIL 15, 2020



UO joins with partner to provide critical coronavirus testing

MAY 4, 2020



UO partners with state to house N95 mask decontamination unit

MARCH 10, 2020



UO researchers are providing expertise on new coronavirus

APRIL 6, 2020



UO shop to begin fabricating much-needed face shields

APRIL 22, 2020



Research team addresses coronavirus impact on families

UNIVERSITY OF
OREGON

Office of the Vice President
for Research and Innovation



Four Years of Progress on Innovation

#1

2019 AAU Licensing Ranking (number)
(1386)



#5

2019 AAU Licensing Ranking (per \$)



Ksana Health grew out of research by UO's Nick Allen.

From FY16 to FY19, UO saw:

10% increase in licensing income

Doubling of Disclosures:
FY16 (22) to FY19 (49)

6x Patent filings: FY16 (2) to
FY19 (13)

Innovation Fund- \$400K
awarded to emerging
companies in a little over
a year:

- SupraSensor II
- Ksana Health
- Sports Concussion Certification
- Perceptivo
- Penderia

UNIVERSITY OF
OREGON

Office of the Vice President
for Research and Innovation



How have we expanded our research engine?

- **Hiring more tenure track faculty**
- **Larger grants especially in COE**
- **Expansion of Research Development Services (RDS)**
 - Proposal development
 - Pivot external funding search tool
- **New Core Facilities and Infrastructure**
 - High-performance computing
 - High-speed internet connectivity
 - Major lab renovations
 - Major research equipment acquisitions
- **Knight Campus**
- **Seed Funding Initiatives**
 - Total investments in FY20 > \$1M
- **New partnerships**
 - OHSU
 - Industry: ThermoFisher Scientific



UNIVERSITY OF
OREGON

Office of the Vice President
for Research and Innovation



What is it?

A data-sharing consortium of U.S. research universities

- 31 member universities
- Members provide data about federal grants, personnel, and grant expenditures
- IRIS aggregates data from member universities and connects it to other data sets such as the U.S. Census

Purpose: demonstrate the direct economic impact of federal research grants

IRIS provides reports on two key questions:

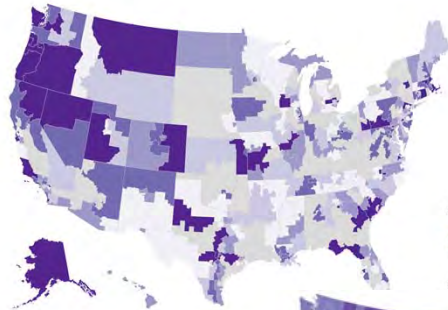
- How much and where do grant expenditures flow off campus to support businesses?
- How does employment on grants contribute to workforce development?

UNIVERSITY OF
OREGON

Office of the Vice President
for Research and Innovation



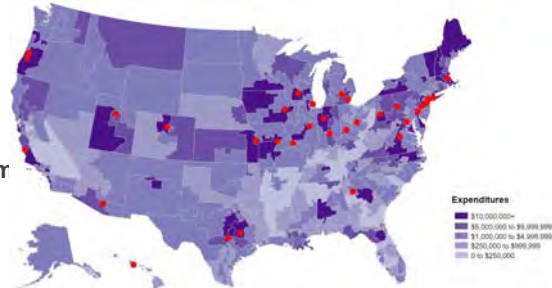
Federal Grant Spending by Congressional District 2019



40% of our external research expenditures go to vendors in Oregon*

*excludes salaries and payments to other parts of UO

Nationwide distribution of research expenditures from 33 of America's leading research universities



Workforce Destinations / Earnings

44% of graduate students paid from grants go on to work in Oregon

University of Oregon employees find employment across the U.S.

Top employee destinations by state with employee count

- Oregon (963)
- California (313)
- Washington (156)
- Colorado (53)
- New York (53)
- Texas (47)
- Florida (46)
- Illinois (41)
- Massachusetts (35)
- Pennsylvania (34)



Looking Ahead

Outlook for Federal Funding

- The UO is well-positioned for continued growth
- For FY 20 the federal science agencies remain fully funded
- Extra funds allocated for COVID-19 Research
- Research universities across the Nation have stepped up to address the challenges of COVID-19
- Will there be extra funds for supplementing existing grants?
- National security issues will further constrain international engagement
- Strong bipartisan Congressional support for increased investment in science agencies (e.g., Endless Frontiers Act)

UNIVERSITY OF
OREGON

Office of the Vice President
for Research and Innovation



Questions



UNIVERSITY OF
OREGON

Office of the Vice President
for Research and Innovation



Agenda Item #3

Fiscal Year 2021 Expenditure Authorizations (Action)

The Board of Trustees has the responsibility to approve expenditure authorizations for the institution for each fiscal year. The 2021 fiscal year (FY21) begins July 1, 2020 and runs through June 30, 2021. Attached is a resolution related to capital and operating expenditure authorizations for FY21.

This is a time of tremendous uncertainty for the University, particularly as it relates to possible financial impacts resulting from the global pandemic. Unfortunately, these impacts are not—and will not be—known when the fiscal year begins. In fact, the full impact of the pandemic on this upcoming fiscal year likely will not be known for many months. Additionally, knowledge about these impacts will come in waves as various milestones are reached or legislative decisions are made. All of this makes planning for FY21 expenditure levels extraordinarily difficult.

This summary will take each authorization—capital and operating—in turn. Materials following this summary include the resolution, a slide deck with key information, and supporting financial data.

Capital Expenditure Authorization

The first portion of the resolution before the board includes authorization for FY21 capital expenditures. The request at this time covers (i) those projects previously approved by the board (for projects in excess of \$5 million) where funding is known or secured, (ii) projects between \$1 million and \$5 million that have been deemed critical for FY21 action because of timeliness, safety, or mission critical initiatives, and for which funding is known or secured, (iii) state funded deferred maintenance projects, and (iv) an allotment for miscellaneous small departmental projects. If additional funds are deemed necessary as the year progresses, the CFO may ask for an increase to this authorization, weighing such a request against then-current knowledge of the UO's financial picture for FY21 and beyond.

<u>Project List</u>	<u>FY21 Budget</u>
Housing Transformation Project	\$73,000,000
Knight Campus (includes parking garage)	\$52,000,000
Autzen Audio/Video Project	\$ 7,500,000
Human Physiology	\$ 4,000,000
Klamath Hall 3 rd Floor	\$ 3,000,000
Tykeson Hall – Renovation of Vacated Space	\$ 2,800,000
JSMA Fire Suppression System	\$ 2,100,000
Klamath Hall 2 nd Floor Renovation	\$ 2,000,000

LISB-LCNI Magnet Bay	\$ 1,000,000
University Health Center Expansion	\$ 1,000,000
State-Funded Deferred Maintenance	\$ 7,000,000
<u>Misc. Departmental Projects</u>	<u>\$ 5,000,000</u>
Total expenditure authorization request (capital):	\$160,400,000

Operating Expense Authorization

At this time, the administration seeks authorization from the Board for FY21 operating expenditures at a level equal to FY20. In addition, the resolution includes language requiring the CFO to provide—as part of her quarterly finance report—an update on the following things: (1) how quarterly expenditures compare to the annual expenditure authorization, (2) whether the state has implemented any cuts on state appropriation and/or the university projects declines in tuition revenue due to enrollment challenges, (3) steps the university is taking to reduce expenditures, and (4) whether the current authorization remains appropriate or should be adjusted. This ensures a quarterly discussion with the board about whether the authorization should be maintained or adjusted (up or down) as more information about available resources is confirmed throughout the year.

Over the last four years, the University’s total operating expenditures have increased an average of 5.0% per year (4.0% per year for the E&G fund). If the institution were following normal expenditure growth patterns, the expenditure authorization for the university would be expected to increase in line with historical trends. Prior to COVID-19, projected expenditure increases for FY21 included bargained-for salary increases, minimum wage law increases, benefit cost increases, increases to grant, gift and auxiliary funded activity, and other key investments. Thus, a flat spending authorization for FY21 actually reflects an elimination of normal expenditure growth. This flat spending authorization contemplates the possible—and likely—decrease in previously-anticipated revenue. Revenue declines could come from lower than expected tuition or fee collections, a cut or cuts to the state’s allocation, reduced athletic activity (live or televised), changes in philanthropic plans, reductions in other miscellaneous revenue sources, or, more likely, a combination thereof.

At this point, it is impossible to predict an exact level of revenue available in FY21. Thus, a continuation of current operating expenditure levels with routine checks to validate or adjust authorized spending levels is the most prudent path forward at this time.

Total operating expenditure authorization request: \$1,132,345,000.

Board of Trustees of the University of Oregon

Resolution: FY21 Capital and Operating Expenditure Authorizations

Whereas, ORS 352.102(1) provides that, the Board of Trustees (“Board”) of the University of Oregon (“University”) may authorize, establish, collect, manage, use in any manner and expend all revenue derived from tuition and mandatory enrollment fees, and ORS 352.087(1)(a) provides that the Board may, among other things, hold, keep, pledge, control, convey, manage, use, lend, expend and invest all moneys, appropriations, gifts, bequests, stock and revenue from any source;

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

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

Whereas, the Board wishes to approve expenditure authorizations for fiscal year 2021 (FY21) prior to FY21 commencing on July 1, 2020;

Whereas, the Board recognizes the indeterminate nature of the institution’s finances for the upcoming fiscal year due to the uncertainty surrounding the ongoing global pandemic and broad implications stemming therefrom, and wishes to balance this ambiguity with the need to authorize some level of expenditures for institutional activities;

Now, therefore, the Board of Trustees of the University of Oregon hereby adopts the following:

1. RESOLVED, an operating budget in the sum of \$1,132,345,000 is adopted for FY21. During FY21, the Treasurer of the University may expend or authorize the expenditure of this sum plus three percent, subject to applicable law. At each quarterly meeting of the Board during FY21, the Treasurer shall report to the Board on any significant changes in known or anticipated revenue or expenses such that the Board can evaluate whether this authorization level remains appropriate, becomes insufficient to meet operating requirements, or becomes excessive when compared to known or anticipated revenue. The Board may at any time vote to adjust this authorization.
2. RESOLVED, a capital budget in the sum of \$160,400,000 is adopted for FY21. During FY21, the Treasurer of the University may expend or authorize the expenditure of this sum plus three percent, subject to applicable law. In the event that such expenditure authority is insufficient, the Treasurer may seek additional expenditure authority from the Board of Trustees or its Executive and Audit Committee.
3. RESOLVED, the Treasurer may provide for the further delegation of the authority set forth in paragraphs 1 and 2 as necessary and proper.

Moved: _____

Seconded: _____

Trustee	Vote	Trustee	Vote
Aaron		Kari	
Ballmer		Lillis	
Bragdon		McIntyre	
Colas		Murray	
Ford		Ralph	
Gonyea		Wilcox	
Hornecker		Wishnia	

Dated: _____

Recorded: _____

PAGE LEFT BLANK INTENTIONALLY



FY21 Expenditure Authorization

**UO Board of Trustees
June 4th, 2020**

Agenda

- Summary Recommendations
- FY20 Expenditure Authorization
- FY20 Expenditures through Q3
- Five Year Summary: Expenditure data
- Five Year Summary: Quarterly Run Rate data
- FY21 Proposed Capital Expenditures

Summary Recommendations

- **FY2021 Operating Expenditure Authorization**
 - Maintain at FY2020 level. Due to COVID-19 pandemic, do not increase authorization to cover normal annual expected cost increases (averaged 5.0% / year over last four years)
 - Proposed authorization: \$1,132,345,000
 - Quarterly review by Board of YTD expenditures, updated state appropriation and tuition projections, and whether operating expenditure authorization should be adjusted
- **FY2021 Capital Expenditure Authorization**
 - Proposed authorization: \$160,400,000
 - Based on specific project list for FY2021

FY20 Operating Expenditure Authorization: \$1,132,345,000

FY20 Expenditure Base Data	E&G Funds	Other Funds	Total
Salary and OPE (Benefits)	\$442,074,000	\$237,177,000	\$679,251,000
Supplies and Services	\$99,617,000	\$251,260,000	\$350,877,000
Capitalized Equipment	\$5,300,000	\$3,718,000	\$9,018,000
Student Aid	\$6,000,000	\$74,707,000	\$80,707,000
Net Transfers	\$11,000,000	\$1,492,000	\$12,492,000
Total	\$563,991,000	\$568,354,000	\$1,132,345,000

FY20 Expenditures Through Q3

FY20 Expenditures Through Q3	E&G Funds	% Spent	Other Funds	% Spent	Total	% Spent
Salary and OPE (Benefits)	\$327,013,086	74.0%	\$179,364,762	75.6%	\$506,377,848	74.5%
Supplies and Services	\$70,650,684	70.9%	\$170,384,049	67.8%	\$241,034,733	68.7%
Capitalized Equipment	\$2,991,282	56.4%	\$4,396,518	118.2%	\$7,387,801	81.9%
Student Aid	\$4,965,138	82.8%	\$66,996,163	89.7%	\$71,961,301	89.2%
Net Transfers	\$4,515,230	41.0%	\$788,414	52.8%	\$5,303,643	42.5%
Total	\$410,135,420	72.7%	\$421,929,907	74.2%	\$832,065,326	73.5%

5-Year Summary

E&G Expenditures	FY15	FY16	FY17	FY18	FY19	Avg.
Salary and OPE (Benefits)	\$ 373,227,474	\$ 391,038,443	\$ 395,952,228	\$ 413,007,070	\$ 424,936,751	
Supplies and Services	\$ 74,150,169	\$ 76,386,030	\$ 79,327,868	\$ 83,444,653	\$ 96,141,367	
Capitalized Equipment	\$ 5,776,409	\$ 6,324,405	\$ 7,437,754	\$ 5,011,157	\$ 5,215,820	
Student Aid	\$ 4,527,042	\$ 3,657,165	\$ 4,444,108	\$ 5,430,091	\$ 5,882,527	
Net Transfers	\$ 7,290,091	\$ 10,910,450	\$ 20,542,861	\$ 13,045,334	\$ 11,829,666	
Total	\$464,971,185	\$488,316,492	\$ 507,704,819	\$ 519,938,304	\$ 544,006,130	
YoY % Increase		5.0%	4.0%	2.4%	4.6%	4.0%

Other Funds Expenditures	FY15	FY16	FY17	FY18	FY19	
Salary and OPE (Benefits)	\$ 186,415,117	\$ 185,647,426	\$ 206,440,096	\$ 202,015,208	\$ 226,935,965	
Supplies and Services	\$ 194,601,721	\$ 188,680,455	\$ 213,143,899	\$ 225,495,530	\$ 245,459,518	
Capitalized Equipment	\$ 4,346,125	\$ 6,596,310	\$ 2,924,867	\$ 8,258,929	\$ 3,667,334	
Student Aid	\$ 62,049,537	\$ 64,949,710	\$ 63,842,919	\$ 66,548,865	\$ 92,215,158	
Net Transfers	\$ 4,993,342	\$ 887,669	\$ 9,555,327	\$ 3,567,000	\$ 1,492,386	
Total	\$452,405,842	\$446,761,571	\$ 495,907,107	\$ 505,885,532	\$ 569,770,361	
YoY % Increase		-1.2%	11.0%	2.0%	12.6%	6.1%

All Funds Expenditures	FY15	FY16	FY17	FY18	FY19	
Salary and OPE (Benefits)	\$ 559,642,591	\$ 576,685,869	\$ 602,392,324	\$ 615,022,278	\$ 651,872,716	
Supplies and Services	\$ 268,751,890	\$ 265,066,485	\$ 292,471,767	\$ 308,940,182	\$ 341,600,885	
Capitalized Equipment	\$ 10,122,534	\$ 12,920,715	\$ 10,362,621	\$ 13,270,086	\$ 8,883,154	
Student Aid	\$ 66,576,579	\$ 68,606,875	\$ 68,287,026	\$ 71,978,956	\$ 98,097,685	
Net Transfers	\$ 12,283,433	\$ 11,798,119	\$ 30,098,188	\$ 16,612,334	\$ 13,322,052	
Total	\$917,377,027	\$935,078,063	\$1,003,611,926	\$1,025,823,836	\$1,113,776,492	
YoY % Increase		1.9%	7.3%	2.2%	8.6%	5.0%

Quarterly Run-Rate Summary

	Quarter One			Quarter Two			Quarter Three			Quarter Four		
	E&G	Other	Total	E&G	Other	Total	E&G	Other	Total	E&G	Other	Total
FY19 % of Annual	17.8%	23.0%	20.4%	45.7%	49.6%	47.7%	72.7%	71.2%	71.9%	100.0%	100.0%	100.0%
FY18 % of Annual	19.1%	22.3%	20.7%	44.9%	50.5%	47.6%	72.1%	74.3%	73.2%	100.0%	100.0%	100.0%
FY17 % of Annual	19.0%	23.8%	21.4%	45.2%	49.8%	47.4%	72.3%	75.6%	73.9%	100.0%	100.0%	100.0%
FY16 % of Annual	18.8%	23.8%	21.2%	45.0%	51.9%	48.3%	73.6%	77.1%	75.3%	100.0%	100.0%	100.0%
FY15 % of Annual	19.0%	25.3%	22.1%	46.6%	57.9%	52.2%	73.5%	75.8%	74.6%	100.0%	100.0%	100.0%
5-year Avg. % of Annual	18.7%	23.6%	21.2%	45.5%	51.9%	48.7%	72.9%	74.8%	73.8%	100.0%	100.0%	100.0%

FY21 Capital Spend Plan

Project	FY21 Budget	Expected Source of Project Funds
Housing Transformation Project	\$73,000,000	Gifts (\$6.0M)/Department Funds (\$1.0M)/UO Bonds (\$66M)
Knight Campus (includes Parking Garage)	\$52,000,000	Gifts (\$39M)/State Bonds (\$5.5M)/UO Bonds (\$6.0M)/Plant Funds (\$1.5M)
Autzen Scoreboard	\$7,500,000	Gifts (\$7.5M)
Human Physiology	\$4,000,000	Gifts (\$3M)/Plant Funds (\$1M)
Klamath Hall 3rd Floor	\$3,000,000	Gifts (\$2.0)/UO Bonds (\$1M)
Tykeson - Renovation of Vacated Space	\$2,800,000	Previously committed institutional funds (\$2.8 M)
JSMA – Fire Suppression System	\$2,100,000	UO Bonds (\$1.8 M); State Bonds (0.25M)
Klamath Hall 2nd Floor Renovation	\$2,000,000	Gifts (\$1.5M)/ ICC Funds (\$500K)
LISB-LCNI Magnet Bay	\$1,000,000	ICC Funds (\$1.0M)
University Health Expansion	\$1,000,000	UO Bonds (\$1.0M)
State Funded – Deferred Maintenance Projects	\$7,000,000	State Bonds (\$7M)
Misc. Departmental Projects	\$5,000,000	TBD
	\$ 160,400,000	

**FY20 Projected Operating Budget Expenditures**

FY20 Expenditures Base Data	E&G Funds	Other Funds	Total
Salary and OPE (Benefits)	\$442,074,000	\$237,177,000	\$679,251,000
Supplies and Services	\$99,617,000	\$251,260,000	\$350,877,000
Capitalized Equipment	\$5,300,000	\$3,718,000	\$9,018,000
Student Aid	\$6,000,000	\$74,707,000	\$80,707,000
Net Transfers	\$11,000,000	\$1,492,000	\$12,492,000
Total	\$563,991,000	\$568,354,000	\$1,132,345,000



FY20 Expenditures Through Q3	E&G Funds	% Spent	Other Funds	% Spent	Total	% Spent
Salary and OPE (Benefits)	\$327,013,086	74.0%	\$179,364,762	75.6%	\$506,377,848	74.5%
Supplies and Services	\$70,650,684	70.9%	\$170,384,049	67.8%	\$241,034,733	68.7%
Capitalized Equipment	\$2,991,282	56.4%	\$4,396,518	118.2%	\$7,387,801	81.9%
Student Aid	\$4,965,138	82.8%	\$66,996,163	89.7%	\$71,961,301	89.2%
Net Transfers	\$4,515,230	41.0%	\$788,414	52.8%	\$5,303,643	42.5%
Total	\$410,135,420	72.7%	\$421,929,907	74.2%	\$832,065,326	73.5%

**FY18-19 Operating Expenditures**

FY19 Actual Expenditures	E&G Funds	Other Funds	Total
Salary and OPE (Benefits)	\$424,936,751	\$226,935,965	\$651,872,716
Supplies and Services	\$96,141,367	\$245,459,518	\$341,600,885
Capitalized Equipment	\$5,215,820	\$3,667,334	\$8,883,154
Student Aid	\$5,882,527	\$92,215,158	\$98,097,685
Net Transfers	\$11,829,666	\$1,492,386	\$13,322,052
Total	\$544,006,130	\$569,770,361	\$1,113,776,492

FY18 Actual Expenditures	E&G Funds	Other Funds	Total
Salary and OPE (Benefits)	\$413,007,070	\$202,015,208	\$615,022,278
Supplies and Services	\$83,444,653	\$225,495,530	\$308,940,182
Capitalized Equipment	\$5,011,157	\$8,258,929	\$13,270,086
Student Aid	\$5,430,091	\$66,548,865	\$71,978,956
Net Transfers	\$13,045,334	\$3,567,000	\$16,612,334
Total	\$519,938,304	\$505,885,532	\$1,025,823,836

**FY15-17 Operating Expenditures**

FY17 Actual Expenditures	E&G Funds	Other Funds	Total
Salary and OPE (Benefits)	\$ 395,952,228	\$ 206,440,096	\$602,392,324
Supplies and Services	\$ 79,327,868	\$ 213,143,899	\$292,471,767
Capitalized Equipment	\$ 7,437,754	\$ 2,924,867	\$10,362,621
Student Aid	\$ 4,444,108	\$ 63,842,919	\$68,287,026
Net Transfers	\$ 20,542,861	\$ 9,555,327	\$30,098,188
Total	\$ 507,704,819	\$ 495,907,107	\$1,003,611,926

FY16 Actual Expenditures	E&G Funds	Other Funds	Total
Salary and OPE (Benefits)	\$ 391,038,443	\$ 185,647,426	\$576,685,869
Supplies and Services	\$ 76,386,030	\$ 188,680,455	\$265,066,485
Capitalized Equipment	\$ 6,324,405	\$ 6,596,310	\$12,920,715
Student Aid	\$ 3,657,165	\$ 64,949,710	\$68,606,875
Net Transfers	\$ 10,910,450	\$ 887,669	\$11,798,119
Total	\$ 488,316,492	\$ 446,761,571	\$935,078,063

FY15 Actual Expenditures	E&G Funds	Other Funds	Total
Salary and OPE (Benefits)	\$ 373,227,474	\$ 186,415,117	\$559,642,591
Supplies and Services	\$ 74,150,169	\$ 194,601,721	\$268,751,890
Capitalized Equipment	\$ 5,776,409	\$ 4,346,125	\$10,122,534
Student Aid	\$ 4,527,042	\$ 62,049,537	\$66,576,579
Net Transfers	\$ 7,290,091	\$ 4,993,342	\$12,283,433
Total	\$ 464,971,185	\$ 452,405,842	\$917,377,027

5-Year Quarterly Expenditure Comparison

	Quarter One			Quarter Two			Quarter Three			Quarter Four		
	E&G	Other	Total	E&G	Other	Total	E&G	Other	Total	E&G	Other	Total
FY19 - Expenditures	\$96,581,139	\$130,871,190	\$227,452,329	\$248,733,406	\$282,618,337	\$531,351,743	\$395,675,337	\$405,537,633	\$801,212,970	\$544,006,130	\$569,770,361	\$ 1,113,776,491
FY19 - % of Annual Total	17.8%	23.0%	20.4%	45.7%	49.6%	47.7%	72.7%	71.2%	71.9%	100.0%	100.0%	100.0%
FY18 - Expenditures	\$99,121,121	\$112,825,661	\$211,946,782	\$233,428,815	\$255,329,141	\$488,757,956	\$374,949,122	\$375,713,591	\$750,662,713	\$519,938,304	\$505,885,532	\$ 1,025,823,836
FY18 - % of Annual Total	19.1%	22.3%	20.7%	44.9%	50.5%	47.6%	72.1%	74.3%	73.2%	100.0%	100.0%	100.0%
FY17 - Expenditures	\$96,501,232	\$118,209,325	\$214,710,557	\$229,437,976	\$246,758,161	\$476,196,137	\$367,173,443	\$374,689,209	\$741,862,652	\$507,704,818	\$495,907,107	\$ 1,003,611,925
FY17 - % of Annual Total	19.0%	23.8%	21.4%	45.2%	49.8%	47.4%	72.3%	75.6%	73.9%	100.0%	100.0%	100.0%
FY16 - Expenditures	\$91,765,806	\$106,287,436	\$198,053,242	\$219,935,329	\$231,962,077	\$451,897,406	\$359,508,630	\$344,489,920	\$703,998,550	\$488,316,492	\$446,761,571	\$ 935,078,063
FY16 - % of Annual Total	18.8%	23.8%	21.2%	45.0%	51.9%	48.3%	73.6%	77.1%	75.3%	100.0%	100.0%	100.0%
FY15 - Expenditures	\$88,493,360	\$114,406,239	\$202,899,599	\$216,526,547	\$262,029,842	\$478,556,389	\$341,601,847	\$342,952,971	\$684,554,818	\$464,971,185	\$452,405,842	\$ 917,377,027
FY15 - % of Annual Total	19.0%	25.3%	22.1%	46.6%	57.9%	52.2%	73.5%	75.8%	74.6%	100.0%	100.0%	100.0%
5-year Avg. % of Annual	18.7%	23.6%	21.2%	45.5%	51.9%	48.7%	72.9%	74.8%	73.8%	100.0%	100.0%	100.0%

**FY21 Capital Project Expenditures**

The budgets represent the FY21 expenditure budget not the full budget for each project

Project	FY21 Budget	Expected Sources of Project Funds
Housing Transformation Project	\$ 73,000,000	Gifts(\$6.0M)/Department Funds (\$1.0M)/UO Bonds(\$66M)
Knight Campus (includes Parking Garage)	\$ 52,000,000	Gifts(\$39M)/State Bonds(\$5.5M)/UO Bonds(\$6.0M)/Plant Funds (\$1.5M)
Autzen Scoreboard	\$ 7,500,000	Gifts(\$7.5M)
Human Physiology	\$ 4,000,000	Gifts(\$3M)/Plant Funds (\$1M)
Klamath Hall 3rd Floor	\$ 3,000,000	Gifts(\$2.0)/UO Bonds(\$1M)
Tykeson - Renovation of Vacated Space	\$ 2,800,000	Previously committed institutional funds (\$2.8 M)
JSMA - Fire System	\$ 2,100,000	UO Bonds (\$1.8 M); State Bonds (0.25M)
Klamath Hall 2nd Floor Renovation	\$ 2,000,000	Gifts(\$1.5M)/ ICC Funds (\$500K)
LISB-LCNI Magnet Bay	\$ 1,000,000	ICC Funds (\$1.0M)
University Health Expansion	\$ 1,000,000	UO Bonds(\$1.0M)
State Funded - Deferred Maintenance Projects	\$ 7,000,000	State Bonds(\$7M)
Misc. Departmental Projects	\$ 5,000,000	TBD
	\$ 160,400,000	



Agenda Item #4

Presidential Evaluation (Action)

In March 2016, the Board of Trustees adopted a board policy on presidential review and evaluation¹. This policy stipulates that “[t]he Board shall undertake a comprehensive evaluation and review (the ‘Comprehensive Review’) at least every five years of a president’s tenure during a timeframe specified by the Chair and Vice Chair of the Board, with consideration of the academic calendar and meetings of the Board.” (Section 2.2.)

A comprehensive review of President Schill was slated for spring and summer 2020, as this is the end of his fifth year in the position.

Due to current circumstances, including severely disrupted operations on campus and the focus of many on current events, the Chair and the Vice Chair recommend postponing the comprehensive review.

In lieu of a comprehensive review in 2020, they would conduct an annual review. The comprehensive review would take place in 2021, though the attached resolution gives the Chair and Vice Chair authority to delay it again if pandemic related closures persist.

¹ The policy is in this packet following the resolution.

Board of Trustees of the University of Oregon

Resolution: Delay of Comprehensive Presidential Review

Whereas, the Board of Trustees (“Board”) of the University of Oregon (“UO” or “University”) has established a Board policy on the review and evaluation of the university’s president which calls for a comprehensive review of the president at least once every five years of the president’s term;

Whereas, spring 2020 was the planned time for a comprehensive review as it is the end of the president’s fifth year in that office;

Whereas, the University’s operations are severely disrupted at this point in time due to the global pandemic, with a limited number of individuals on campus;

Whereas, many students, faculty, and staff are navigating unique circumstances and balancing new challenges that take additional time and attention;

Whereas, the Board wishes to have robust campus engagement in this comprehensive review and believes that engagement would be limited due to the current situation and resulting disruptions; and

Whereas, the Chair and Vice Chair recommend that the comprehensive review be delayed, with an annual evaluation to be conducted in its place.

Now, therefore, notwithstanding the Board’s policy on presidential review and evaluation, the Board of Trustees of the University of Oregon hereby grants the Chair of the Board authority to delay the comprehensive review of President Michael Schill, until 2021 or such time as soon as possible thereafter when a robust and thorough review can be completed.

Moved: _____

Seconded: _____

Trustee	Vote	Trustee	Vote
Aaron		Kari	
Ballmer		Lillis	
Bragdon		McIntyre	
Colas		Murray	
Ford		Ralph	
Gonyea		Wilcox	
Hornecker		Wishnia	

Dated: _____

Recorded: _____

Presidential Review & Evaluation Policy

The Board of Trustees of the University of Oregon (the “Board”) will evaluate the university President on a regular basis to facilitate clear communication, reflect best practices and promote the effective execution of the University’s strategic plans. To accomplish this, the Board, its committees and its members shall adhere to the following Policy on Presidential Review and Evaluation:

1.0 Guiding Principles

- 1.1 Evaluating the President is a non-delegable responsibility of the Board of Trustees. While various viewpoints will be solicited and considered, the Board must take direct responsibility for the evaluation.
- 1.2 A review of the President should be based on the University’s values and the objectives set forth in its mission, goals and strategic plans.
- 1.3 Objectivity and candor, as well as a well-defined and timely process, are critical to an effective evaluation.
- 1.4 Nothing in the establishment of annual or comprehensive review policies and processes should imply that informal, ongoing evaluations cannot, should not or will not occur; ongoing, reciprocal communication between the President and the Trustees is important to effective governance of the University.

2.0 Timelines

- 2.1 Annual Review – The Board shall undertake a performance evaluation of the President on at least an annual basis (the “Annual Review”). The Annual Review shall take place during a timeframe specified by the Chair and Vice Chair of the Board, with consideration of the academic calendar and meetings of the Board. Typically, this timeframe would fall between May and September.
- 2.2 Comprehensive Review – The Board shall undertake a comprehensive evaluation and review (the “Comprehensive Review”) at least every five years of a president’s tenure during a timeframe specified by the Chair and Vice Chair of the Board, with consideration of the academic calendar and meetings of the Board.

3.0 Committee

The Executive and Audit Committee or its designee(s) (“the Committee”) shall be responsible for managing and executing this Policy.

4.0 Components of the Annual Review

- 4.1 President’s Annual Self-Assessment – The President shall complete an annual self-evaluation, due to the Board at a date specified by the Chair. The self-evaluation shall include a retrospective component and a prospective component as described below.

4.1.1 The *retrospective* portion will customarily include, but is not limited to: institutional achievements and the President's role(s) therewith; assessment of the President's relationships with the Board, university leadership, and other key stakeholders; a review of goals previously established under Section 6.0 of this policy and progress made toward those goals; and identification of significant institutional or personal challenges faced throughout the preceding year, with particular focus on those likely to persist into the future.

4.1.2 The *prospective* portion will customarily include, but is not limited to: goals the President proposes for him/herself and the University over the course of (i) the next year and (ii) the next five years; professional development plans or objectives; an assessment of the University's primary opportunities, challenges, strengths and needs, especially as those items relate to the University's strategic plan; and areas in which the President seeks the Board's assistance.

4.2 Presidential Review Feedback – The Committee (or designee) shall solicit feedback from trustees, vice presidents, the President's direct reports, and academic deans. The Committee (or designee) may, at its (their) discretion, ask other persons to provide feedback. The feedback shall be shared with the Board and the President in accordance with the requirements of Sections 2.0 and 8.0.

4.3 Solicitation of Other Information and Material – The Committee (or designee) shall solicit information on the President's performance from other members of the university community and, where appropriate, external constituencies. Nothing in this section is meant to imply an obligation by the Board or any committee of the Board to solicit or accept information or material from any particular individual, organization or position. All material collected or obtained shall be provided to the President.

5.0 Components of the Comprehensive Review

Prior to the commencement of each Comprehensive Review, the Committee (or designee) shall establish the components and related processes not otherwise specified in this Policy by which the Comprehensive Review shall be administered. The Comprehensive Review shall supplement, and not replace, the Annual Review.

6.0 Reporting

6.1 Annual Review – Following the completion of each Annual Review, the Committee (or designee) shall prepare a report summarizing its findings and any associated recommendations, goals or action items for the President, the Committee and/or the Board. Such findings and recommendations may include consideration of presidential compensation. This report shall be presented to the Board at the first regular meeting of the Board following completion of the Annual Review.

6.2 Following the completion of each Comprehensive Review, the Committee (or designee) shall prepare a report summarizing its findings and any associated recommendations,

goals or action items for President, the Committee and/or the Board. This report shall be presented to the Board at the first regular meeting of the Board following completion of the Comprehensive Review.

7.0 Establishment of Goals and Expectations

Upon completion of the Annual Review, but not later than thirty (30) days following the Board's acceptance of the report required in section 6.1, the Committee, in consultation with the Board Chair and the President, will establish and memorialize in writing the President's performance goals and expectations for the upcoming year.

8.0 Confidentiality

Oregon law governs the confidentiality of the President's review(s) and related materials. Evaluative information shall be received and maintained in a manner that is consistent with the personnel records standards outlined in ORS 351.065 and associated University policies.



Agenda Item #5

Demographics and Higher Education



Dr. Nathan Grawe

**Professor of Economics, Ada M. Harrison Distinguished Teaching Professor of the Social Sciences
Carleton College**

Dr. Nathan Grawe is a labor economist with particular interests in how family background shapes educational and employment outcomes. Many of his works study whether access to financial resources significantly limit these important measures of success. His recent publication, [Demographics and The Demand for Higher Education](#) (Johns Hopkins University Press, 2018), examines how recent demographic shifts might affect demand for higher education. On-going work examines a wide range of responses taken by colleges and universities that are proactively preparing for demographic change.

Dr. Grawe has participated in the leadership of Carleton's [Quantitative Inquiry, Reasoning, and Knowledge \(QuIRK\) initiative](#) and has shared what Carleton has learned through this initiative through invited talks and professional development workshops at dozens of colleges and universities across the US and Canada.

The Board of Trustees invited Dr. Grawe to visit the University of Oregon for a conversation with members of the UO community about his demographic analyses and potential implications to higher education.

For decades, demographic forces have been reshaping the composition of the population of traditional-aged college students. Now, a recent decline in fertility points to additional disruption as prospective student pools shrink in the mid-2020s. After examining these forces and their potential to disrupt markets for higher education, Dr. Grawe will share examples of how various colleges and universities are proactively engaging these demographic challenges.

Demographics and the Demand for Higher Education

Nathan Grawe
Professor of Economics, Carleton College

Year When Whites Become Minority by Age Group

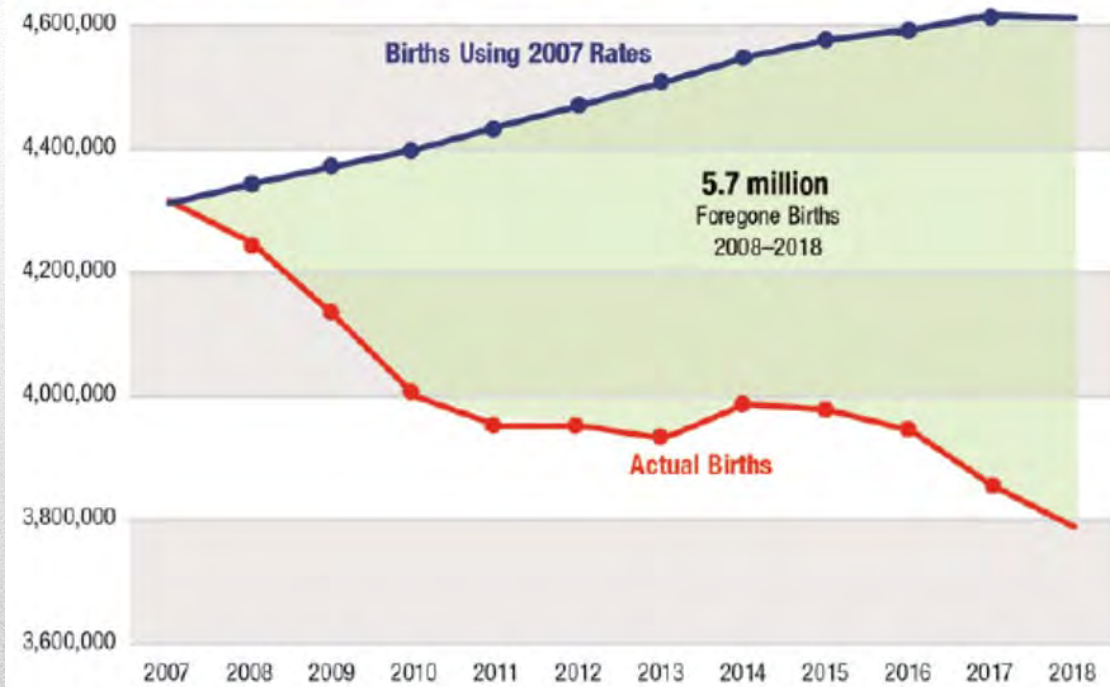


Source: William H Frey analysis of U.S. Census population projections released March 13, 2018 and revised September 6, 2018



Metropolitan Policy Program
at BROOKINGS

ACTUAL BIRTHS COMPARED TO BIRTHS USING 2007 BIRTH RATES, 2007 TO 2018



Source: National Center for Health Statistics, 2018

Source: Kenneth M. Johnson (2019)

“Until just a few years ago, colleges could anticipate classes of high-school graduates each bigger than the last.... But those days are over.”

Sara Lipka,

Chronicle of Higher Education (2014)

HIGHER EDUCATION DEMAND INDEX

Example:

Person A: Asian-American woman living in Boston with both parents who each hold a BA and earn \$125,000

Person B: Hispanic man living in rural California with his mother who holds no degree and earns \$40,000

Probability of attending four-year college or university:

Person A = 96%

Person B = 9%

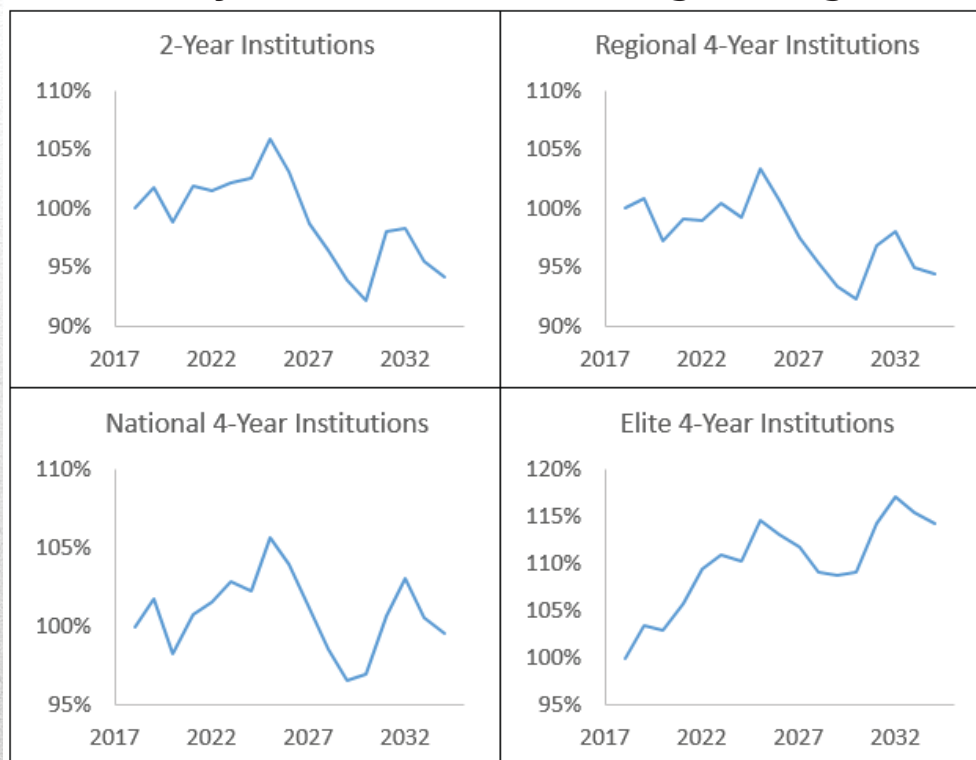
Probability of attending four-year college or university ranked among top 50:

Person A = 73%

Person B = 2%

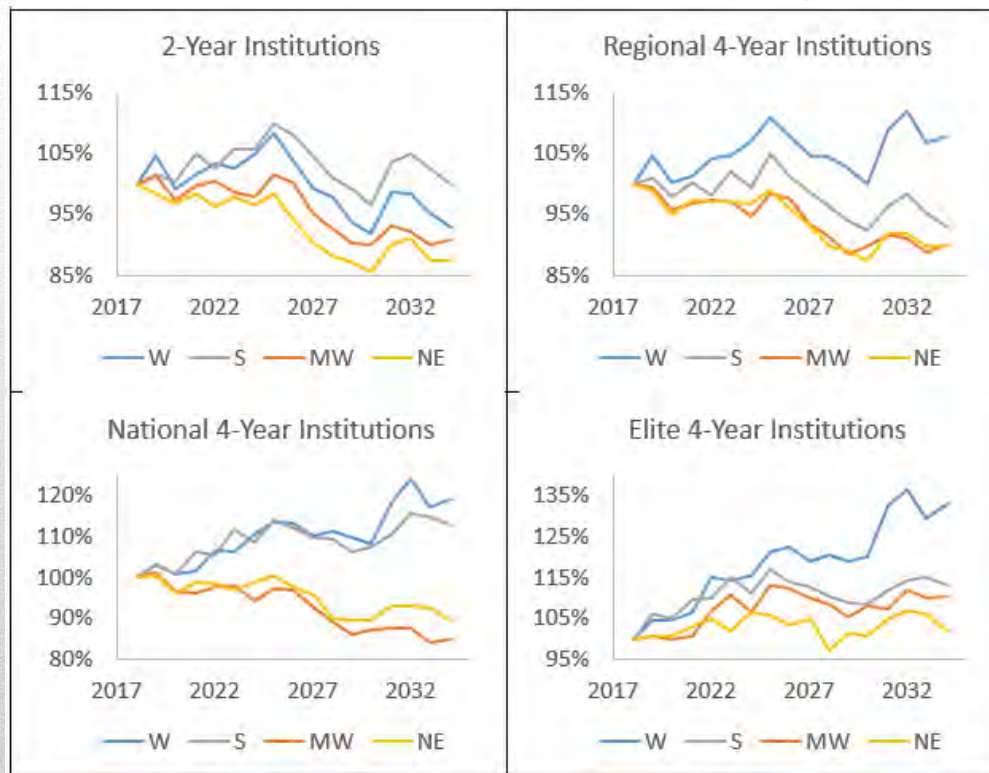
Source: Author's calculations based on data from the 2002 Education Longitudinal Study

Projected Number of College-Going



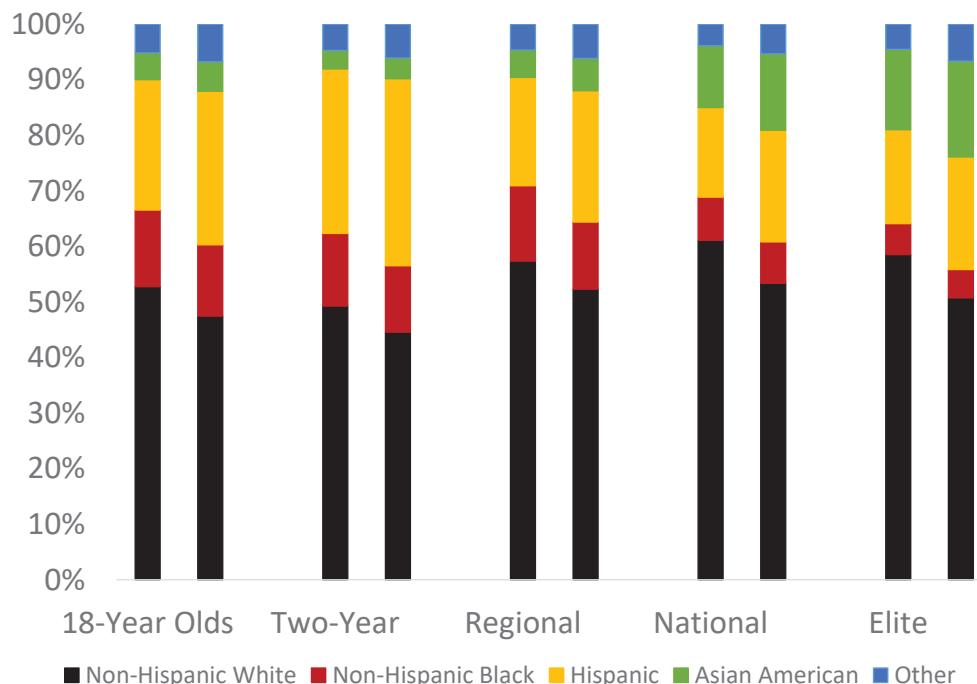
Source: Author's calculations based on data from the American Community Survey (2017), Centers for Disease Control and Prevention National Vital Statistics Reports (2018, 67(7)), 2009 High School Longitudinal Study (restricted and unrestricted), and the Panel Study of Income Dynamics (2011; 2015)

Projected Number of College-Going, by Region



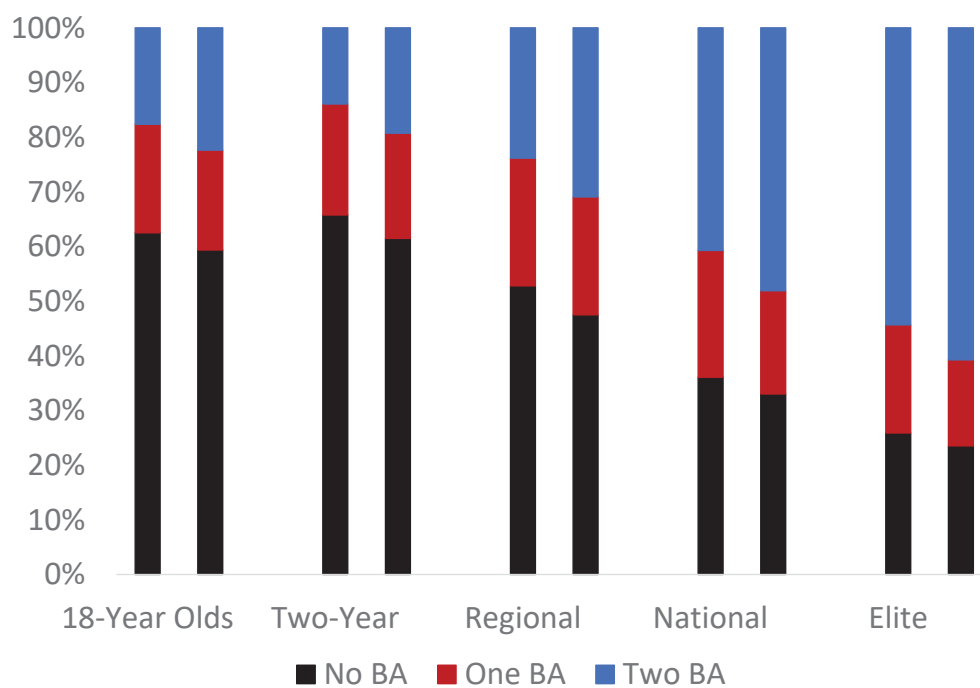
Source: Author's calculations based on data from the American Community Survey (2017), Centers for Disease Control and Prevention National Vital Statistics Reports (2018, 67(7)), 2009 High School Longitudinal Study (restricted and unrestricted), and the Panel Study of Income Dynamics (2011; 2015)

Race/Ethnicity Distribution of College-Going Students, 2018/19 and 2033/34



Source: Author's calculations based on data from the American Community Survey (2017), Centers for Disease Control and Prevention National Vital Statistics Reports (2018, 67(7)), 2009 High School Longitudinal Study (restricted and unrestricted), and the Panel Study of Income Dynamics (2011; 2015)

Parent Education Distribution of College-Going Students, 2018/19 and 2033/34



Source: Author's calculations based on data from the American Community Survey (2017), Centers for Disease Control and Prevention National Vital Statistics Reports (2018, 67(7)), 2009 High School Longitudinal Study (restricted and unrestricted), and the Panel Study of Income Dynamics (2011; 2015)

Topline Takeaways

- Demographic change promises real challenges (Can't ignore WICHE.)
- Increasing return to prestige...if attitudes don't change
- Public & privates generally in same boat.
- Race/ethnicity compositional changes aren't huge, but are persistent; for some it's about Hispanic share, for others Asian share
- Declining 1st-gen share

Higher Ed Responses

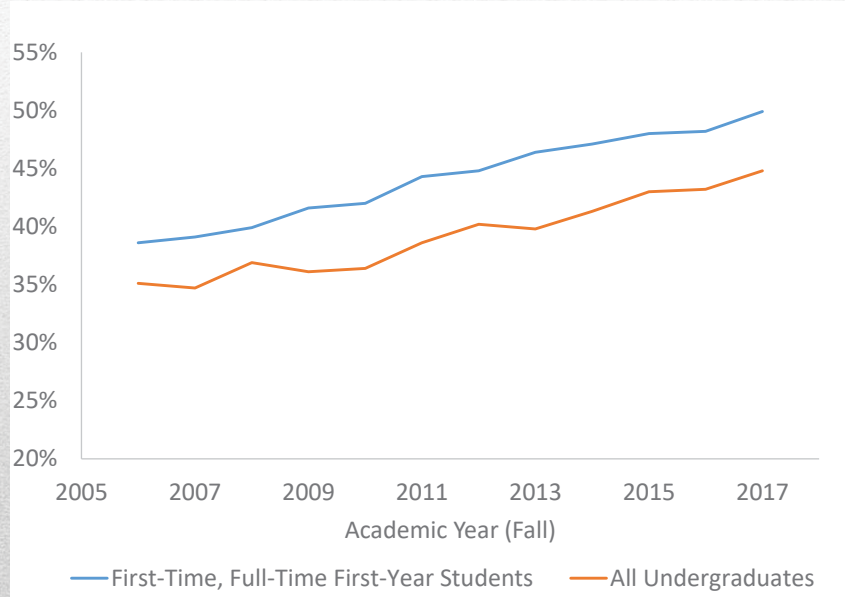
Context

Zemsky et al. (2020), 2008-2016:

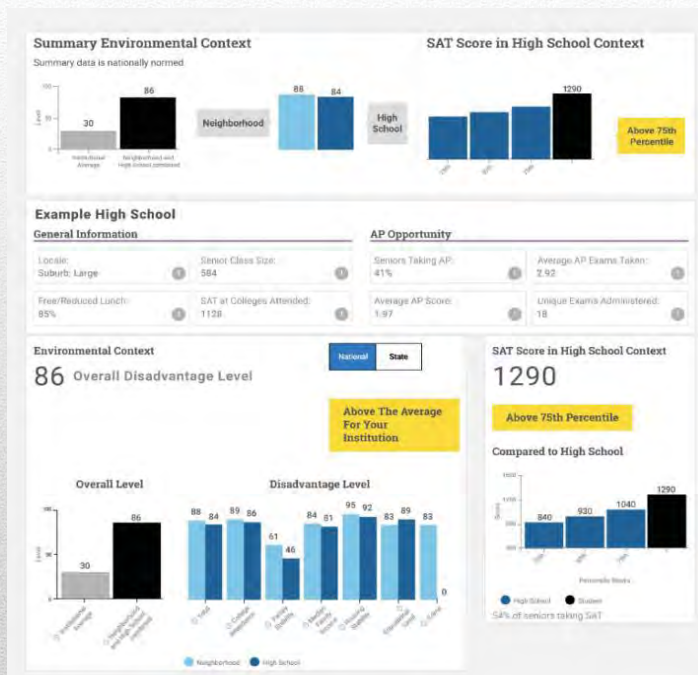
	2-Year	Public 4-Year	Private 4-Year
Overall Enrollment	+1%	+9%	+8%
Institutional enrollment decline	61%	38%	45%
Institutional enrollment decline >10%	41%	21%	29%
Great Lakes	62%	31%	41%
Middle Atlantic	47%	26%	35%

Price Competition

Average Discount Rates in NACUBO (2018) Survey

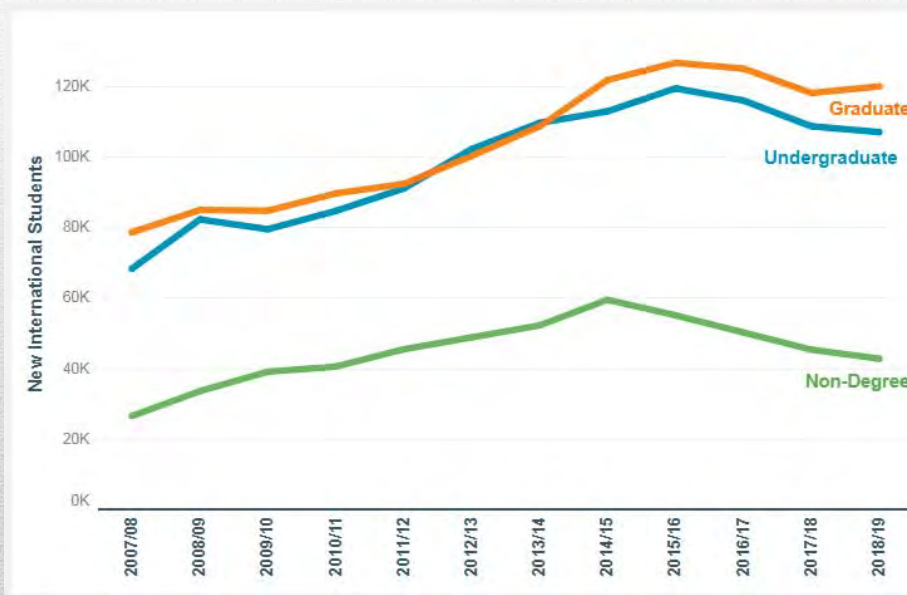


Renewed Urgency to Access Agenda



International Student Recruitment

New International Student Enrollments 2007/08-2018/19



Source: Institute of International Education

Academic Programming



Attention on Retention

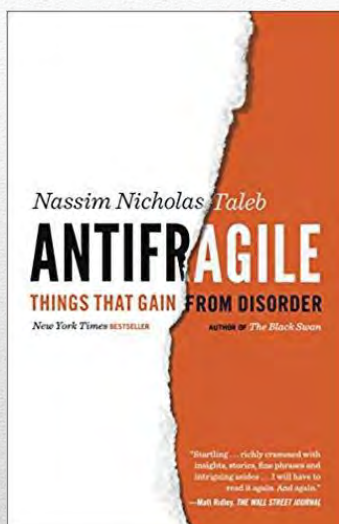


Susquehanna
UNIVERSITY

STUDENT ENGAGEMENT & CAMPUS PROGRAMS

HOME CAMPUS PROGRAMS GET INVOLVED ABOUT US CALENDAR

W wheaton
college
massachusetts



“Antifragility is beyond resilience or robustness. The resilient resists shocks and stays the same; the antifragile gets better.”

PAGE LEFT BLANK INTENTIONALLY



Agenda Item #6

Student Conduct Code Revisions (Action)

The UO's Student Conduct Committee ("Committee") and the Office of the Dean of Students seek Board of Trustees approval for revisions to the Student Conduct Code ("Code"), UO Policy III.01.01. Authority to amend the Code is not delegated.

The Committee identified the need for a new Code in spring of 2019. The current iteration of the Code was written and adopted as former Oregon Administrative Rule by the State Board of Higher Education. Since then, edits have been made, but the majority of the Code remains the same. Some changes created contradictions and overlap, which has led to more confusion than clarification. It was clear that continuing to make edits was not sustainable and that a new Code should be written from scratch.

With the Committee's support, the Office of Student Conduct and Community Standards (OCCS) embarked on a year-long process to create a clear, concise, and student-centered Code, which is now presented to the Board of Trustees.

Below is some additional information. Attached to this summary are, in order:

1. The resolution
2. The proposed Code – Exhibit A (Note: Due to the scope of this rewrite, a redlined version was impractical. The current Code is available on the UO Policy for comparison.¹)
3. Executive summary of a 2019 report from D. Stafford & Associates (DSA)
4. Supporting documents referenced in this summary:
 - a. Examples of proposed language and structural changes
 - b. University Appeals Board overview
 - c. Student Conduct Advisory Committee overview
 - d. Points of past controversy
5. Entire DSA report issued November 2019

Guiding Principles

As a guiding framework for its review of and consideration of revisions to the Code, the Committee identified a set of four principles for the Code:

- Be understandable to and usable by students;
- Have and reflect an educational focus;
- Primarily articulate policy, with specific procedures provided separately in accessible documents; and,

¹ <https://policies.uoregon.edu/vol-3-administration-student-affairs/ch-1-conduct/student-conduct-code>

- Provide clarity and transparency regarding authority for establishing, interpreting, and amending its provisions.

Significant and Illustrative Changes

If the Board of Trustees approves and adopts the proposed Code, the following significant changes would occur:

- Language and structural changes would underscore the educational purpose of the conduct process and to make the Code clear and readable to the primary audience of the Code: students. Examples of how this would be accomplished include the consolidation of definitions, the organization of the prohibited conduct section, and the removal of unnecessary legalistic language. (See “Examples of Proposed Language and Structural Changes” pages.)
- An informational meeting would be added to the process, before the Administrative Conference, to ensure that Respondents understand their rights, the process, the information the complaint is based upon, and their options for resolution. This student-centered practice promotes equity amongst Respondents and ensures they receive the same level of information regardless of their identity, familiarity with the process, or their socio-economic status.
- The majority of the procedures previously outlined in the Code, would now live in procedural documents. We currently use this practice in regards to our Title IX process. Different types of cases and processes require different procedures. Pulling most procedures out was recommended by DSA as a national best practice which allows the Code to be generally applicable across the board. Examples of specific areas this would apply to include:
 - Case management timelines would be found in the procedures for each case type to reduce confusion about which timeline applies to an individual case;
 - The Alternative Dispute Resolution Processes section would be simplified to allow for the fluidity and creativity required for successful ADR practices; and,
 - The University Appeals Board, only one of the current appellate bodies, would be established in a separate document. (See “University Appeals Board Overview” page.)
- The Student Conduct Committee would be renamed to the Student Conduct Advisory Committee and its scope would broaden to “advise, advocate, and advance” the UO student conduct system. The SCCS Director would provide the Committee an annual report which includes the current procedures and an overview of the previous year. (See “Student Conduct Advisory Committee” page.)

Points of Past Controversy

The Committee was methodical in its review and chose to consider concerns and perspectives from the past several years. While the Committee unanimously agreed to these changes and

recommendations – and therefore does not anticipate controversy – the Committee has highlighted the areas which have been controversial in the past for the Board’s review. (See “Points of Past Controversy” page.)

2019 – 2020 Student Conduct Committee Membership

Student Membership:

Miles Larson (Co-chair) – Undergraduate Student and ASUO Student Senator
Nicole Koehmstedt – Undergraduate Student and ASUO Student Conduct Coordinator
Christina Sailer – Law Student

Faculty Membership:

Erik Girvan (Co-chair) – Associate Professor of Law and CRES Faculty Co-Director
Ryan Hildebrand – Associate Librarian, Special Collections and Authorities Cataloger
Jennifer Reynolds – Associate Professor of Law and ADR Center Faculty Director
Michael Tomcal – Senior Instructor I of Accounting

Timeline of Work

- Spring 2019: The Committee decided that a new Code should be created. The Board was given notice of this decision at its spring 2019 board meeting.
- Spring – Fall 2019: Focus groups with students and faculty about the existing code and process facilitated by SCCS.
- October 2019: Comprehensive review of the existing code, practices, and procedures.
- December 2019 – May 2020: The Committee worked from the draft document provided by DSA to write a proposed Code with input from UO General Counsel, University Housing, the Title IX Coordinator, and SCCS.
- May 15, 2019: The Committee approved the proposed Code to be recommended to the Board for approval and adoption.

Board of Trustees of the University of Oregon

Resolution: Adopted of Proposed Changes to the Student Conduct Code

Whereas, the University of Oregon has a Student Conduct Code, UO Policy III.01.01, the primary mission of which is to “set forth the community standards and procedures necessary to maintain and protect an environment conducive to learning”;

Whereas, to be effective, the Student Conduct Code must be easy to navigate and understand, reflect current practices, and align with applicable laws and standards;

Whereas, the current Student Conduct Code is convoluted and difficult to understand, thus necessitating a structural rewrite, but is also in need of some policy updates as well;

Whereas, the Student Conduct Committee, comprised of students, faculty and staff, worked collaboratively and diligently throughout the 2019-2020 academic year to update and rewrite the code to improve clarity and better reflect current goals and practices; and,

Whereas, the Student Conduct Committee recommends, and the University’s administration supports, adoption of a rewritten Student Conduct Code.

Now, therefore, the Board of Trustees of the University of Oregon hereby adopts the revised Student Conduct Code attached hereto as Exhibit A with an effective date of August 15, 2020.

Moved: _____

Seconded: _____

Trustee	Vote	Trustee	Vote
Aaron		Kari	
Ballmer		Lillis	
Bragdon		McIntyre	
Colas		Murray	
Ford		Ralph	
Gonyea		Wilcox	
Hornecker		Wishnia	

Dated: _____

Recorded: _____

Policy

Section I: Introduction

The University of Oregon's mission statement states, "The University of Oregon is a comprehensive public research university committed to exceptional teaching, discovery, and service. We work at a human scale to generate big ideas. As a community of scholars, we help individuals question critically, think logically, reason effectively, communicate clearly, act creatively, and live ethically." As a community of scholars,

- We value the passions, aspirations, individuality, and success of the students, faculty, and staff who learn and work here.
- We value academic freedom, creative expression, and intellectual discourse.
- We value our diversity and seek to foster equity and inclusion in a welcoming, safe, and respectful community.
- We value, and endeavor to learn from, the unique history and cultures of Oregon that shape our identity and spirit.
- We value our shared charge to steward resources sustainably and responsibly.

The Student Conduct Code sets forth the community standards and procedures that maintain and protect an environment that is conducive to learning and supports the educational objectives of the University of Oregon.

Section II: Definitions

1. "Cannabis" means the parts, product, and derivatives of the plant *Cannabis sativa*, *indica*, *ruderalis*, and hybrid strains, regardless of the delta-9-tetrahydrocannabinol level, and is a federally controlled substance. Pursuant to federal law, the use of cannabis, including medical use, is prohibited on University Premises and at University Sponsored Activities. Cannabis, for the purpose of this policy, does not include FDA approved substances or industrial hemp as permitted by federal law.
2. "Case Manager" means a University employee who is designated by the Director to investigate and/or determine the appropriate resolution of an alleged violation of the Student Conduct Code.
3. "Complainant" generally means the University. In reports of discrimination or harassment, Complainant may also mean the Student that has been the subject of another Student's alleged

misconduct. A Student Complainant has the same opportunities under the Student Conduct Code as are provided to the Respondent.

4. "Director of Student Conduct and Community Standards" is the person designated by the University to be responsible for the administration and interpretation of the Student Conduct Code, or their designee. This person may be referred to as "Director".
5. "Person Reporting" means any person who reports an allegation. This person is not automatically considered the Complainant.
6. "Policy" means the written rules and regulations of the University.
7. "Respondent" means any Student or Student Organization reported to have violated the Student Conduct Code.
8. "Student" means any person registered or enrolled in a University academic course or program, and any person admitted to the University who is on University Premises for any purpose related to the person's registration or enrollment, or any person who participates in University programs that require Student status. Student includes any person who was a student in the previous term and is eligible for registration.
9. "Student Organization" means any group of University of Oregon Students meeting the University's criteria for organizational recognition or registration established by the University or its units, colleges, or departments.
10. "Support Person" means any person who accompanies a Respondent or Complainant for the purpose of providing support, advice, or guidance. Any limitations on the scope of a support person are defined in written procedures or other relevant University policy. Witnesses or other Respondents are not allowed to serve as Support Persons.
11. "University Appellate Body" means the person or persons designated to consider an appeal from the outcome of an administrative conference. The appellate body for Discriminatory Misconduct and Student Organization conduct cases will be designated by the Vice President for Student Life. The appellate body for all other conduct cases will be designated by the University President.
12. "University Official" means a person having assigned University responsibilities who is performing their University duties. This includes Students who have been authorized to act on behalf of the University, such as resident assistants.
13. "University Premises" includes all land, buildings, or grounds owned, leased, operated, controlled, or supervised by the University and adjacent sidewalks and streets.
14. "University Sponsored Activity" means any activity that is directly initiated or supervised by the University or a Student Organization, on or off University Premises.

Section III: Scope, Authority, and Jurisdiction

1. The Director of Student Conduct and Community Standards (Director) develops procedures for the administration of the student conduct system.
2. Allegations of misconduct may be reported to the Director at any time, whether or not the Respondent is currently enrolled or registered. The Director has the authority to determine whether or not the allegation merits further response, including referral to the University student conduct system.
3. The Student Conduct Code applies to each Student for behavior that occurs from the time of admission, registration, or enrollment (whichever occurs first) through the actual awarding of a degree or complete withdrawal as defined by the University, regardless of when the behavior is reported.
 - a. It applies to behavior that occurs during periods of suspension from the University.
 - b. It applies even if the Respondent subsequently withdraws from the University.
 - c. It applies to behavior that occurs between periods of enrollment unless the Respondent completely withdraws before the deadline to register for the next term. For Students enrolled in the spring term, jurisdiction is maintained until the deadline to register for the fall term.
4. The Student Conduct Code applies to all activities on University Premises and during any University Sponsored Activity regardless of location. The University may apply the Student Conduct Code to Students whose off-campus behavior has a significant adverse impact on the University community, its members, and/or the pursuit of its mission and educational objectives. The University may also apply the Student Conduct Code to conduct that would have violated the Student Conduct Code if it occurred on University Premises and a) involved violence; or b) involved academic work or any University records, documents, or identifications.
5. Proceedings under the Student Conduct Code are separate from civil or criminal proceedings and may, at the discretion of the Director, be carried out prior to, simultaneously with, or following civil or criminal proceedings.
6. Allegations of misconduct by Student Organizations will be managed using the same process as individual Students.

Section IV: Prohibited Conduct

1. Academic Misconduct

- a. Assisting in the commission of academic misconduct: Any intentional action that helps, or is intended to help, another engage in academic misconduct.
- b. Cheating: Unauthorized collaboration, accessing, or using of unauthorized materials, information, tools, or study aids.

- c. Fabrication: Making up data or results and recording, reporting, or using them as authentic.
- d. Multiple submissions of work: Using or submitting the same or substantially the same academic work for credit more than once, unless specifically authorized by the instructor of record for the course in which it's being submitted for credit. If authorized, appropriate disclosure and citation is required.
- e. Plagiarism: Presenting another's material as one's own, including using another's words, results, processes or ideas, in whole or in part, without giving appropriate credit.
- f. Unauthorized recording and/or use: Recording and/or dissemination of instructional content, or other intellectual property, without the express written permission of the instructor(s), intellectual property owner or the Accessible Education Center.

2. Substance Use Misconduct

- a. Alcohol.
 - i. Possession or consumption of alcohol by those under the legal drinking age.
 - ii. Furnishing of alcohol to a person under the legal drinking age.
 - iii. Possession or consumption of alcohol by a person of the legal drinking age in unauthorized areas or furnishing of an alcoholic beverage to any person in unauthorized areas.
 - iv. Causing another to ingest alcohol without consent.
- b. Cannabis.
 - i. Use, possession, or procurement of cannabis except as expressly permitted by both State and Federal law. Per Oregon law, possession of cannabis by someone under the age of 21 includes possession by consumption, permitted the consumption occurred within the past 24 hours.
 - ii. Furnishing, cultivation, manufacturing, distributing, or selling cannabis except as expressly permitted by both State and Federal law.
 - iii. Causing another to ingest cannabis without consent.
- c. Other controlled substances.
 - i. Use, possession, or procurement of a Controlled Substance except as expressly permitted by both State and Federal law.
 - ii. Furnishing, cultivation, manufacturing, distributing, or selling of a Controlled Substance, except as expressly permitted by both state and federal law.
 - iii. Causing another to ingest a controlled substance without consent.

- d. Smoking and tobacco.
 - i. Smoking and tobacco use, including “vaping,” is prohibited on University owned or controlled property by University Policy.
 - ii. Possession of tobacco products and inhalant delivery systems (“e-cigarettes”) by those under 21 years of age on University Premises or at a University Sponsored Activity, is prohibited in accordance with state law. This does not prohibit the use or possession of products that have been approved by the United States Food and Drug Administration for sale as a tobacco cessation product, provided the product is marketed, sold, and used solely for the approved purpose.

3. General Misconduct

- a. Attempts, threats, or inciting others: Attempting to, threatening to, or inciting others to engage in any of the conduct prohibited by this Code.
- b. Damage and/or destruction: Damage to or destruction of University property or the property of another.
- c. Disruptive behavior: Engaging in behavior that could reasonably be foreseen to cause, or that causes, the disruption of, obstruction of, or interference with:
 - i. the process of instruction, research, service, administration, administering the Student Conduct Code, or any other University Sponsored Activities,
 - ii. an environment conducive to learning, or
 - iii. freedom of movement on University Premises, either pedestrian or vehicular.
- d. Failure to comply: Failure to comply with any reasonable directive of University or public officials in the performance of their duties. This includes but is not limited to, failures to: adhere to no-contact-directives, remove oneself from University Premises, complete conduct sanctions, and cease and desist.
- e. Falsification: Knowingly providing/presenting, creating, or possessing falsified or forged materials, records, or documents. Additionally, intentionally initiating any false report or providing false or misleading information to a University or public official.
- f. Gambling: Any activity not approved by the University in which a person stakes or risks something of value upon the outcome of a contest of chance or a future contingent event not under the control or influence of the person, upon an agreement or understanding that the person or someone else will receive something of value in the event of a certain outcome, except as permitted by law.
- g. Harassment: Engaging in behavior that is sufficiently severe, pervasive, and objectively offensive to a degree that it interferes with a reasonable person’s ability to work, learn,

live, participate in, or benefit from the services, activities, or privileges provided by the University.

- h. Hazing: Intentionally subjecting another to a situation or action that a reasonable person would foresee as causing mental or physical discomfort, embarrassment, injury, or ridicule. Individual acceptance of or acquiescence to any activity does not affect a determination of whether the activity constitutes hazing. This includes compelled participation in behavior which would violate the law and/or University Policy. Hazing may include, but is not limited to, sleep deprivation or causing excessive fatigue, physical or psychological shock, compelled ingestion of a substance, and other activities not consistent with the parent organization's rules and regulations.
- i. Physical contact: Physical contact that endangers or harms the health or safety of any person. This may include "Violent Behavior" as defined by the Campus Violence Prevention Policy.
- j. Retaliation or Obstruction: Any adverse action taken toward a person who is, or is perceived to be, engaged in an investigation, a report, or student conduct process, because that person participated in the University's process, or to deter a person from participating in the University's process. Includes retaliation as defined by the Discrimination Complaint and Response Policy.
- k. Safety hazard: Tampering with firefighting equipment or smoke detectors, causing a false alarm, or endangering the health or safety of others.
- l. Theft: Unauthorized taking or possession of property of another, including goods, services, and other valuables.
- m. Threatening behavior: Behavior that constitutes a threat, as defined by the Campus Violence Prevention Policy.
- n. Unauthorized access or use: Unauthorized entry to or use of property or physical or virtual space, or misuse of access privileges or means of access. This includes conduct which violates the Access Control Policy and the Facilities Scheduling Policy.
- o. Unwanted contact: Repeated contact or communication to another person when the contacting person knows or should know that the contact or communication is unwanted by the other person and:
 - i. The contact would cause a reasonable person fear of physical harm; or
 - ii. The contacting person knows or should know that the contact or communication significantly impacts the other person's ability to perform the activities of daily life.
- p. Misuse of computing resources: Violation of UO acceptable use of computing resources policy pertaining to use of computing or network resources, including:

- i. Unauthorized access to, or sharing of information necessary to access, accounts, courses, course materials, or computer labs;
 - ii. Commercial or illegal use of electronic or computer resources; or
 - iii. Violation of copyright law.
- q. Violation of law: Any action or behavior, that violates federal, state, or local law. Generally, "Violation of law" will be applied in lieu of, rather than in addition to, another applicable provision of prohibited conduct.
- r. Violation of University Policy: Any action or behavior, by a Student that violates current, official Policy published by the University.
- s. Weapons.
 - i. Possession of explosive materials, firearms, ammunition or other dangerous weapons is prohibited on University Premises and at University Sponsored Activities, unless expressly authorized by law and applicable University Policy. Includes violation of the Firearm Policy.
 - ii. Use of explosive materials, firearms, ammunition, other dangerous weapons, or any object or substance used as a weapon is prohibited on University Premises and at University Sponsored Activities, unless expressly authorized by law and applicable University Policy.
 - iii. Weapons, possessed, used, or handled off-campus in a manner that is unlawful or contributes to any other violation of the Code is also prohibited.

4. Discriminatory Misconduct

- a. Violation of the Discrimination Complaint and Response Policy.
- b. Sexual Misconduct: Non-consensual sexual activity or contact, including: penetration, sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature that is unwelcome and sufficiently severe, pervasive, and objectively offensive that interferes with work or access to educational benefits and opportunities because it has created an intimidating, hostile, or degrading environment and would have such an effect on a reasonable person of the Complainant's status. For the purpose of this provision, explicit consent means voluntary, non-coerced, and clear communication indicating a willingness to engage in a particular act. Includes an affirmative verbal request or response, or voluntary acts unmistakable in their meaning.
 - i. Non-consensual penetration: Penetration by a person upon another person without explicit consent. Penetration includes any vaginal or anal penetration by a penis, object, tongue, or finger and mouth-to-genital contact no matter how slight the penetration or contact.

- ii. **Non-consensual sexual contact:** Including, but not limited to, kissing, touching intimate body parts, and fondling without first obtaining explicit consent to the specific activity. It includes intentionally touching part of another person's body without explicit consent when under the circumstances, a reasonable person would know that the other person regards it to be an intimate body part, including but not limited to the other person's genitals, breasts, groin, or buttocks; intentionally causing a person to touch an intimate part of another person; or, intentionally causing a person to touch their own intimate part. Touching includes contact made with bodily fluids.
- iii. **Sex and gender-based harassment:** As defined by the University Discrimination Complaint and Response policy. Includes sex and gender-based stalking, sex and gender-based harassment and bullying, dating violence, and domestic violence.
- c. **Sexual exploitation:** Taking sexual advantage of another for one's benefit, or to benefit or advantage anyone other than the one being exploited, by:
 - i. Viewing, possessing, producing, or distributing child pornography;
 - ii. Non-consensual recording or copying of images, photography, video, or audio recording of sexual activity or nudity conducted in a private space; or
 - iii. Purposefully exposing another individual to a sexually transmitted infection, or sexually transmitted disease, without their knowledge.

Section V: Resolution Process

1. **Report.** The Director determines within a reasonable time whether a report alleges a potential violation of the Student Conduct Code and whether the matter should proceed through the conduct process.
2. **Student Rights.** If the matter will proceed through the conduct process, the Respondent will:
 - a. Be informed of the alleged violation(s) and the alleged misconduct upon which the report is based.
 - b. Be informed of the process.
 - c. Have the opportunity to meet, in person or virtually, with a Case Manager to review the report, the process, and options for disposition of the case in advance of an administrative conference.
 - d. Have the opportunity to access, prior to an administrative conference, any documentation in possession of the Director that may be relied upon in decision making, subject to limitations from policies, regulations, and State and Federal law.

What documentation is available, and how it may be accessed, is defined by written procedure.

- e. Have the opportunity to respond to the allegations to the Director or their designee in an administrative conference and
 - i. Have a reasonable amount of time to prepare for the conference;
 - ii. Have the opportunity to propose relevant witnesses;
 - iii. Have the opportunity to submit questions to the Director for witnesses involved; and
 - iv. Have the opportunity to be accompanied by a Support Person

3. Notice and Administrative Conference.

- a. The Director assesses whether an informal resolution, alternative resolution, formal student conduct action, or other process is appropriate. If the Director deems formal student conduct action to be appropriate, the Director will issue a written notice to the Respondent via Respondent's official University of Oregon e-mail address. All communications sent by the Director are considered received when sent. In cases involving Student Organizations, the notice will be emailed to the organization's representative (normally the president on file with ASUO, the Office of Fraternity & Sorority Life, or the Center for Student Involvement).
- b. **Notice.** The notice will identify whether the Respondent may be subject to suspension, expulsion, or negative transcript notation. If the Director receives additional information which could elevate the potential sanction to suspension, expulsion, or transcript notation, the Director will issue a new notice to the Respondent informing them of the additional information and potential sanction(s).
- c. The Case Manager will schedule an informational meeting as a part of the above notice. The informational meeting is a meeting between a Respondent and a Case Manager to review the report and relevant information, explain the student conduct process, and review possible options for resolving the matter. Respondents need not provide a response to the allegation(s) in this meeting.
- d. After the informational meeting, the Case Manager will determine whether the case requires an administrative conference. The Respondent may also request an administrative conference. A Student who agrees to resolve violations without an administrative conference may waive their right to appeal. Such a waiver will be knowing, voluntary, and explicit.
- e. If the Respondent, after receiving notice of the administrative conference does not appear for the conference, the conference will proceed without the Respondent.

- f. Following the administrative conference, the Case Manager, applying a preponderance of the evidence standard, will determine if any violation of the Student Conduct Code occurred. The Case Manager will determine any sanctions(s) to be imposed for violation(s). In cases involving allegations of Discriminatory Misconduct, the sanction decision will be made by the Director.
 - g. In determining if a Student Organization is in violation, in addition to the above, the Case Manager may consider whether:
 - i. The violation arises out of a group-sponsored, organized, financed, or endorsed activity or event;
 - ii. The organization provides the impetus for the violation;
 - iii. The violation occurs on the premises owned or operated by the group;
 - iv. A group leader has knowledge of the violation being likely to occur before it occurs and fails to take corrective action; or
 - v. A pattern of individual violations is found to have existed without proper and appropriate group control, remedy, or sanction
- 4. Alternate Dispute Resolution Processes.** The Director and Respondent may determine that an alternate dispute resolution process (facilitated dialogue, mediation, etc.) is appropriate. Any case resolved through an alternate dispute resolution process may not be appealed and does not result in a finding of a conduct violation.
- 5. Accommodations for Students with Disabilities.** A Student requesting an accommodation must follow the appropriate process for requesting an accommodation through the Accessible Education Center. The Accessible Education Center will make a determination regarding the request and notify the appropriate parties.
- 6. Action Plan.** When a Student or Student Organization is found to be in violation of the Student Conduct Code, the Director will develop an action plan intended to promote personal reflection and growth, repair any harm caused, and help the Student or Student Organization realign with institutional values. The following describes the outcomes and sanctions that may be imposed, individually or in various combinations, on any Student or Student Organization as part of an action plan. An administrative sanction may be deferred for a designated length of time.
- a. Outcomes.
 - i. Educational Outcome: The Student or Student Organization is required to complete a project or activity designed to promote learning and prompt changes to Student behavior and prevent further misconduct. Educational outcomes may include, but are not limited to, workshops, seminars, meetings, assignments, and substance abuse assessments.

- ii. Reflective Outcome: The Student or Student Organization is required to complete a project or activity designed to promote self-reflection on one's actions and the impact of those actions on others.
 - iii. Restorative Outcome: The Student or Student Organization is required to complete a project or activity designed to address the impact of the behavior and repair harm caused to any person and/or community.
- b. Administrative Sanctions.
- i. Conduct Warning. The Student or Student Organization is given written notice that the conduct engaged in is inconsistent with University standards and expectations and informed that future violations of the Student Conduct Code may result in the imposition of more serious sanctions.
 - ii. Disciplinary Probation. A period of probation may be imposed during which any violations of the Student Conduct Code will result in more serious sanctions than might be otherwise imposed. A Student or Student Organization on probation may lose designated privileges during the period of probation.
 - iii. Suspension.
 - 1. Individual Suspension. The Student is separated from the University for a specified period. A Student who has been suspended from the University shall not be permitted to reside in University-owned or operated facilities and may not participate in any University Sponsored Activity.
 - 2. Group Suspension. A Student Organization loses University recognition or registration and all associated privileges for a specified period.
 - iv. Expulsion. The Student is permanently separated from the University. A Student who has been expelled from the University shall not be permitted to reside in University-owned or operated facilities.
 - v. Revocation of Degree. An academic degree previously awarded by the University may be revoked if it was obtained by fraud or a significant part of the work submitted in fulfillment of, and indispensable to, the requirements for such degree constitutes academic misconduct. The Academic Requirements Committee may, upon appeal, stipulate the requirements for obtaining a degree.
 - vi. University Housing Transfer or Eviction. As a result of a Student Conduct Code violation, the University may administratively transfer a resident to an alternate housing assignment, or may evict the resident from their housing assignment. Students who are evicted due to a conduct violation are no longer eligible for University Housing.

- vii. **Negative Notation on Transcript.** Entry of the fact of violation on the Student's permanent academic record may be imposed at the discretion of the Director. After the expiration of the period of time, if any, set by the Director, the notation is removed.
- viii. **Exclusion.** The Student is not permitted to participate in University Sponsored Activities, or appear at or be present on all, or a specified portion of, University Premises without advance written permission from the Director.
- ix. **Loss of Privileges.** The Student or Student Organization is denied specified privileges normally associated with Student status or recognized Student Organization status, such as participation in or sponsorship of University activities, use of University facilities or services, or living in University-owned or supervised housing.
- x. **Restitution.** The Student or Student Organization is required to replace or restore damaged, stolen, or misappropriated property.

7. Appeals. A Respondent may choose to appeal an administrative conference decision within ten business days. The appeal goes to the designated University Appellate Body. In cases involving Discriminatory Misconduct, the Complainant may also appeal the decision to the designated University Appellate Body. Faculty may appeal an academic misconduct finding when they are the Person Reporting or the instructor of record. Appeals must be in writing, state the basis for the appeal, and be delivered as directed to the Office of Student Conduct and Community Standards.

- a. Except for new information, an appeal is limited to the case file. An appeal will only be accepted for one or more of the following purposes (Basis for Appeal):
 - i. To determine whether there was any procedural irregularity that affected the outcome of the matter;
 - ii. To determine whether the action plan imposed was appropriate for the violation(s);
 - iii. To determine whether the finding is not supported by the preponderance of the evidence; and/or
 - iv. To consider new information that could alter a decision, only if such information could not have been known to the appealing party at the time of the administrative conference.
- b. After considering an appeal, the University Appellate Body may either modify the action plan or send the matter back to the Director with a recommendation for additional fact finding, other resolution, or dismissal of the case. If the University Appellate Body grants an appeal on the basis of "new information" the only action the University Appellate

Body may take is to send it back to the Director with a recommendation for additional fact finding, other resolution, or dismissal of the case.

Section VI: Interim Action

The Director may impose an interim action(s) regarding a Student or Student Organization when, in the professional judgement of the Director or designee, it is necessary to address a substantial and immediate threat of harm to persons or property.

1. Interim action may include, but is not limited to:
 - a. Interim removal/suspension of the Student from the University;
 - b. Interim removal from, or relocation within, University-owned or operated housing facilities;
 - c. Restrictions on the Student's presence on University Premises or at University Sponsored Activities; and/or
 - d. An administrative hold which would prevent registration and the Student from obtaining an official copy of the Student's transcript.
2. When the interim action takes place, the Director will:
 - a. Inform the Respondent of the reason for the interim action;
 - b. Schedule a preliminary meeting and inform the Respondent of its date, place, and time. At the preliminary meeting, Respondent has the opportunity to explain why interim action should or should not be taken.
3. Within two business days of the interim action, the preliminary meeting takes place. The Respondent may have a Support Person in attendance.
4. Based on the reasonable evaluation of the information presented at the preliminary meeting, the Director will notify the Respondent of the decision, no later than the following business day, to:
 - a. Dissolve the interim action and take no further action;
 - b. Dissolve the interim action but proceed to an administrative conference; or
 - c. Sustain or modify the interim action until such time as a resolution is reached following an administrative conference.
5. An interim action is reviewed by Vice President for Student Life's Designee at the request of the Respondent. The review provides an opportunity for the requesting party to explain in writing why an interim action need no longer be imposed, or should be altered. Subsequent review of the same emergency action may be requested, at most, every ten business days.

Section VII: Academic Misconduct Procedures

Regardless of the method of resolution, relevant University Officials, including faculty members, are required to file a written report of any academic misconduct with the Director.

1. Faculty Resolution.

- a. If a faculty member suspects Academic Misconduct has occurred, that person should contact the Respondent directly.
- b. **Acknowledged Case.** If the Respondent acknowledges the academic misconduct occurred, the faculty member must provide written notice of the resolution, including any academic sanction, to the Respondent. This notice, and a written report of the academic misconduct must then be sent to the Director within 5 business days. The Director may initiate additional action based on the circumstances or Respondent's conduct history.
- c. **Contested Case.** If the Respondent does not agree that academic misconduct occurred, or does not agree to discuss the matter, the faculty member, will make a written report to the Director for resolution.
 - i. If the Respondent responds to the faculty member, this report must occur within 5 business days of meeting with the Respondent.
 - ii. If the Respondent does not respond to the faculty member, within 5 business days, a written report must be submitted to the Director for resolution within 5 additional business days.

2. Director Resolution.

- a. For cases which are not resolved through Faculty Resolution, and cases which are reported by other relevant University Officials, the case resolution will be conducted in accordance with the procedures established in this Code.

3. Academic Sanction.

- a. If the Respondent admits, or is found, to have engaged in academic misconduct in a course, in addition to the Action Plan imposed through the regular student conduct procedures, the faculty member may assign an appropriate academic sanction, up to and including an "F" or "N" for the course.
- b. The Respondent may appeal an academic sanction to the designated University Official within the department, college, or school from which the academic sanction originated.
- c. If there is a finding that the Respondent did not engage in academic misconduct, no academic sanction may be imposed.

4. Withdrawing from a Course.

- a. A Respondent may not drop or withdraw from a course that is pending after the Respondent has been made aware of the alleged academic misconduct by the faculty member, or University Official, or after the Respondent receives notice from the Director.
- b. If a Respondent's academic misconduct does not result in an academic sanction, the Respondent may withdraw from the course or change the course's grading option no later than five business days after the decision or termination of Student Conduct Code proceedings without sanction.

Section VIII: Retention of Student Conduct Records

1. **Student Conduct Records and Files.** Case reports will result in the development of a student conduct record in the name of the Respondent and Complainant, if applicable. These records will be maintained for a minimum of seven years in accordance with State of Oregon records policies and in compliance with federal legislation such as FERPA, the Clery Act, and Title IX.
2. **Petition for non-reportable records.** Respondents may, under some circumstances, petition to the Director for a conduct record to be considered "non-reportable." The Director's decision is discretionary and may not be appealed. If the Director is compelled to report the record by lawful order, the approved petition will not apply.

Section IX: Student Conduct Code Adoption and Revision

1. Any question of interpretation regarding the Student Conduct Code shall be referred to the Director for final determination.
2. The Student Conduct Advisory Committee provides peer perspective on matters of student conduct and academic integrity at the University of Oregon. The Committee of Students, faculty, and staff serves a tripartite purpose for supporting the university student conduct system: Advising, Advocating, and Advancing.
 - a. The Committee will assist the Director by:
 - i. Advising. Review and make recommendations for changes to the Code and related procedures.
 - ii. Advocating. Provide educational outreach to university students, faculty, and staff.
 - iii. Advancing. Explore new and innovative ways to increase student and faculty awareness of and involvement in the student conduct program.

- b. The Director will provide the Committee with an annual report which includes:
 - i. Articulation of currently published procedures
 - ii. Overview of previous year, including the activities of the Committee, trends regarding student behavior, and recommendations for the committee's review.
- 3. Upon approval by the Board of Trustees of the University of Oregon, this Student Conduct Code becomes effective and supersedes all previous policies pertaining to student discipline at the University of Oregon.
- 4. This Code is not a contract, express or implied, between any applicant, student, staff or faculty member. This Code may be amended by the Board of Trustees of the University of Oregon, consistent with the Policy on Retention and Delegation of Authority.

PROPOSED

Executive Summary – DSA Report

This report documents a comprehensive review of the current student conduct practices and procedures at UO. The review, conducted by D. Stafford & Associates (DSA), encompassed an off-site review of the UO student conduct code and an on-site review which occurred in early October. DSA held 15 meetings with campus constituents including but not limited to Executive Leadership, Athletics, Employee and Labor Relations, Eugene and University Police, The Office of Investigations and Civil Rights Compliance, and the Office of the General Counsel. Procedural efficiencies, congruence between written Student Conduct Code procedures and actual procedures, areas of weakness/concerns identified by stakeholders, and comparing best and emergent practices in student conduct administration were examined.

Key Themes and Recommendations:

DSA identifies several key themes which emerged during the on-site visit. These themes, in addition to prominent practices in student conduct, informed their finding and recommendations. Highlights from include:

- Legalistic nature and burdensome process of the current student conduct code: Constituents overwhelmingly support a major overhaul. DSA provides comments and suggestions for the Code to be both educational and compliant with legislative expectations. These suggestions include:
 - Use clear, non-legalistic language. Student codes should be written with the student as the intended audience. This includes suggestions for changes to violations and definitions.
 - Change the policy outline to assist with flow and readability.
 - Adjust the purpose, membership, and authority of the Student Conduct Committee.
 - Clarify student rights versus philosophical or process statements which are actually not rights.
 - Create efficient timelines to support educational impact, help in collecting information, and reduce student stress.
 - Remove discriminatory language regarding students with mental health concerns.
 - Work with campus stakeholders to develop a new academic integrity process.
 - Bringing record retention into compliance with the requirements of the Clery Act.
- The Office of Student Conduct and Community Standards (SCCS): DSA heard that constituents have confidence in SCCS but are concerned about the capacity of the office. DSA recommends UO continue to review available budgetary resources and to offer resources needed to enhance skillsets as well as provide support in areas such as vicarious trauma.
- Equity and inclusion: DSA heard concerns from constituents regarding equity of resources during the conduct process for Title IX respondents, international students, and students with disabilities. DSA encourages UO to provide SCCS with the means to create extensive and collaborative restorative practices.
- Live hearings: DSA states the current administrative conference model allows for students to be heard and provides an excellent opportunity to engage with students. They also acknowledge there is a national conversation regarding “live hearings.” DSA makes several recommendations for if a hearing or in-person administrative review is added to the process.

Other topics from the report include the housing contract/conduct process, academic misconduct, the responsible action protocol, Title IX, the fee system, and student organizations.

For more detail, please review the attached full report.

Examples of Proposed Language and Structural Changes

In line with their guiding principles, the Committee determined that a primary goal of the Code rewrite was making it clear and readable for students. Below are a few examples of the proposed changes which align with that goal.

Example 1: Violations vs. definitions

In the current Code, a student must look in multiple sections, including definitions *and* violations, of the code to understand what behavior constitutes a violation. In the proposed Code, a student would generally only need to look in the Prohibited Conduct section. Here is a side-by-side of what a student would need to review to understand just one type of Academic Misconduct – *cheating*.

Current Code	Proposed Code
<p><u>Section 1, II. Definitions</u></p> <p>1. “Academic Misconduct” means the violation of university policies involving academic integrity. Examples include, but are not limited to:</p> <ul style="list-style-type: none"> a. ... b. ... c. Cheating, as defined in this code; d. ... <p>4. “Cheating” means any act of deception by which a student misrepresents or misleadingly demonstrates that the student has mastered information on an academic exercise that the student has not mastered. Examples include but are not limited to:</p> <ul style="list-style-type: none"> a. Giving or receiving unauthorized help in an academic exercise; b. Use of sources or resources beyond those authorized by the instructor in writing papers, preparing reports, solving problems, or carrying out other assignments; c. Acquisition, without permission, of tests or other academic material belonging to a member of the University faculty or staff; and d. Engaging in any behavior specifically prohibited by a faculty member in the course syllabus or class discussion. <p><u>Section 1, V. Student Conduct Code Violations</u></p> <p>1. Standards Relative to Academic and Personal Integrity. Integrity is a bedrock value of the University community and includes respect for open and honest intellectual exchange as well as respect for University records and for the Student Conduct Code itself. The following conduct violates standards of academic integrity:</p> <ul style="list-style-type: none"> a. Cheating; b. ... 	<p><u>Section IV, 1. Academic Misconduct</u></p> <p>b. Cheating: Unauthorized collaboration, accessing, or using of unauthorized materials, information, tools, or study aids.</p>

Example 2: ORS statutes

In the current Code, many of the listed conduct violations reference or mirror Oregon Revised Statute crimes. The proposed code removes unnecessary legalistic language and uses language designed for a student audience. The Committee decided references to the law should only be included when absolutely necessary. Examples:

Current Code	Proposed Code
<u>Section 1, V. Student Conduct Code Violations</u> Gambling, as defined and prohibited in ORS167.108 to 167.164 except as authorized by ORS464.270 to 464.530.	<u>Section IV, 3. General Misconduct</u> f. Gambling: Any activity not approved by the University in which a person stakes or risks something of value upon the outcome of a contest of chance or a future contingent event not under the control or influence of the person, upon an agreement or understanding that the person or someone else will receive something of value in the event of a certain outcome, except as permitted by law.
<u>Section 1, V. Student Conduct Code Violations</u> Lewd or indecent conduct on University Premises or at a University Sponsored Activity. Lewd or indecent conduct includes, but is not limited to, any unauthorized use of electronic or other devices to make an audio or video record that would be an invasion of privacy pursuant to ORS163.700. This includes, but is not limited to, surreptitiously taking pictures of another person in a gym, locker room, or restroom.	<u>Section IV, 3. Discriminatory Misconduct</u> c. ii. Non-consensual recording or copying of images, photography, video, or audio recording of sexual activity or nudity conducted in a private space;

Example 3: Intentional language choice and structure

The Committee identified that language choice influences the tone of the conduct process. While the current Code uses language that promotes an adversarial process, the Committee recommends changes in the proposed Code to highlight the educational nature of the process. Examples:

Current Code	Proposed Code
Administrator or Hearings Officer	Case Manager
Accused Student	Respondent
Advisor	Support Person

The educational purpose is also highlighted by the structure of the proposed Code. For example, in the “Action Plan” section, educational, reflective and restorative outcomes are listed first and the administrative sanctions are listed in order of severity. The current code, Expulsion is the listed first. This small structural change supports the reality that the overwhelming majority of conduct matters are resolved with a Conduct Warning and individualized outcomes, not separation from the University as many students fear.

University Appeals Board Overview

The University Appeals Board (UAB) is an appeals body within the University of Oregon student conduct program. The UAB is responsible for reviewing substantive and/or procedural appeals from decision issues following an administrative conference, consistent with the Student Conduct Code.

Recruitment, training and facilitation of the UAB is the responsibility of the Office of Student Conduct and Community Standards (SCCS), in collaboration with the University Senate, OA Council, and the ASUO.

1. Membership and Training.

UAB members come from a variety of areas on campus and serve a two-year term. Before participating in an Appeal Review, members complete an orientation and training on the student conduct program, procedural due process, and administrative review. Membership may be renewed indefinitely, permitted the member completes bi-annual training and participated in at least one appeal during their most recent term.

2. Recruitment and Recommendations.

SCCS will coordinate annual, spring recruitment with the University Senate, OA Council, and the ASUO. In addition to recommendations made directly to the President from shared governance bodies, SCCS will facilitate an application process. All faculty, professional staff, and students are eligible for UAB membership consideration. Successful applicants will be recommended to the President for appointment consideration.

3. Appointment.

UAB members are appointed by the President each spring term. Appointments begin the subsequent fall term. Temporary members may be appointed during the summer term or at such other times as are necessary.

4. Appeal Review.

An Appeal Review consists of three UAB members, and includes at least one faculty person and one student. The three members are drawn in rotation from the current pool of faculty, professional staff, and students. A chair will be selected amongst the three members for each Appeal Review.

5. Procedures.

SCCS will publish procedures for UAB annually, including Appeal Review procedures, during the summer term.

Student Conduct Advisory Committee Overview

The Student Conduct Advisory Committee (SCAC) provides peer perspective on matters of student conduct and academic integrity at the University of Oregon. The Committee of students, faculty, and professional staff serves a three-tiered purpose for supporting the university student conduct system: Advise, Advocate, and Advance. In accordance with the Student Conduct Code, the SCAC will assist the Director by:

- Advising. Review and make recommendations for changes to the Code and related procedures.
- Advocating. Provide educational outreach to university students, faculty, and staff.
- Advancing. Explore new and innovative ways to increase student and faculty awareness of and involvement in the student conduct program.

The Director will provide the Committee with an annual report which includes: articulation of currently published procedures, anticipated policy and/or procedural changes, and an overview of the previous year, including any changes made.

Recruitment, training and facilitation of the SCAC is the responsibility of the Office of Student Conduct and Community Standards (SCCS), in collaboration with the University Senate, OA Council, and the ASUO.

1. Membership and Training.

SCAC membership is comprised of three faculty, three professional staff, and four students (including at least one graduate or law student). Members serve staggered two-year terms, which may be renewed for no more than two consecutive terms. New members will receive training on the student conduct program, the Student Conduct Code, and current procedures.

2. Recruitment and Recommendations

SCCS will coordinate annual, spring recruitment with the University Senate, OA Council, and the ASUO. If there is a need to supplement recommendations made directly to the President from shared governance bodies, SCCS will facilitate an application process. Successful applicants will be recommended to the President for appointment consideration.

3. Appointment.

SCAC members are appointed by the President each spring term. Appointments begin the subsequent fall term. Temporary members may be appointed at such times as are necessary.

Points of Past Controversy

The Committee does not anticipate controversy in response to this proposed Code. All changes and recommendations were unanimously agreed upon by the Committee. However, the Committee does recognize that there have been points of disagreement and controversy over the past several years. The Committee reviewed these areas of concern during the review process to inform their decisions for this proposed Code. Areas of past controversy are highlighted here for the Board's review:

Past Points of Controversy	Current Code	Proposed Code
<p><u>Off-campus jurisdiction</u></p> <p>The current Committee agreed that off-campus jurisdiction is important and that the University should address off-campus behavior. The Committee found the current jurisdictional qualifiers confusing for students and agreed upon a clear and concise jurisdictional statement which includes both on-campus and off-campus locations.</p>	<p>Jurisdictional Boundaries</p> <ol style="list-style-type: none"> a. On-Campus. The Student Conduct Code routinely applies to actions which occur on University Premises or at a University Sponsored Activity. b. Off-Campus. The University extends jurisdiction without exception to off-campus sexual misconduct that consists of unwanted penetration or non-consensual personal contact as defined in Section 1, II (29) of this code. The University shall have discretion to extend jurisdiction over conduct that occurs other than on University Premises or at a University Sponsored Activity. In determining whether or not to extend jurisdiction, the University will consider its ability to gather information, including testimony of witnesses. The University may extend jurisdiction if the alleged conduct would have violated the Student Code of Conduct if the conduct had occurred on campus and: <ol style="list-style-type: none"> I. Adversely and significantly affects the learning or living environment; or II. Involved violence or produced a reasonable fear of physical harm; or III. Involved academic work or any records, documents, or identifications of the University. 	<p>The Student Conduct Code applies to all activities on University Premises and during any University Sponsored Activity regardless of location. The University may apply the Student Conduct Code to Students whose off-campus behavior has a significant adverse impact on the University community, its members, and/or the pursuit of its mission and educational objectives. The University may also apply the Student Conduct Code to conduct that would have violated the Student Conduct Code if it occurred on University Premises and a) involved violence; or b) involved academic work or any University records, documents, or identifications.</p>
<p><u>Violation of Law</u></p> <p>The current Committee agreed that Violation of Law should remain in the Code. They recommend a slight change to the language.</p>	<p>Violation of Law: Actions and behaviors that violate local, state, or federal law, but are not expressly defined in the standards above, which negatively and significantly impact the university community and its members, may also be addressed through the procedures set forth in this code.</p>	<p>Violation of law: Any action or behavior, that violates federal, state, or local law. Generally, "Violation of law" will be applied in lieu of, rather than in addition to, another applicable provision of prohibited conduct.</p>



The Student Conduct Code and Process Review of the University of Oregon

Reviewed and Submitted By: Catherine Cocks

(Additional Reviewer: Dr. Michael DeBowes)

November 18, 2019

Background and Scope of Work

D. Stafford & Associates (DSA) conducted a comprehensive review of the current University of Oregon's practices and procedures related to the resolution of alleged student misconduct. Procedural efficiencies, congruence between written Student Conduct Code procedures and actual procedures, areas of weakness/concerns identified by stakeholders, and comparing best and emergent practices in student conduct administration were examined.

The review encompassed an off-site review of the institution's Student Conduct Code and an on-site review. The on-site visit occurred on October 7 and 8, 2019. Over the course of fifteen meetings, DSA met with representatives from the following constituent groups:

- Executive/University Leadership
- Associate Vice President and Dean of Students
- Athletics
- Confidential Support
- Residence Life
- Student Conduct and Community Standards
- Employee and Labor Relations
- Eugene Police
- Office of Investigations and Civil Rights Compliance
- Office of Student Advocacy
- Office of the Dean of Students
- Office of the General Counsel
- Oregon Liquor Control Commission
- Parent and Family Programs
- Registrar's Office
- Student Leaders
- University Housing
- University of Oregon Police
- University of Oregon Safety and Risk
- Various Campus Colleagues

In addition to this written report that summarizes our key findings and recommendations, we are providing the University with a "revised copy" of all proposed changes and additions to the code to illustrate recommended flow, wording, and process. Given the extent of the recommendations, this revised copy will provide the best opportunity to understand all of the proposed changes. The

revised copy also contains several narrative comments to supplement the explanations contained in this report.

The involvement of so many constituent groups reflects the University's commitment to a strong and fundamentally fair student conduct process. DSA extends our gratitude to the participants for providing their insights. The reviewers are aware that two days, however immersive, cannot provide a complete picture of the University's culture. While our recommendations should be thoughtfully considered, we trust University officials to best know the University's mission, vision, and values as well as the general ethos of the campus community as it relates to the resolution of alleged student misconduct. Therefore, while all proposed changes should be considered, the University should evaluate our proposed revisions through the lens of institutional culture and the awareness University officials have regarding the inner workings of the student conduct process and its intersection with other institutional policies.

In addition to vetting proposed changes with shared governance groups through established procedures, we also encourage the University to review the proposed changes with legal counsel prior to the adoption of any changes to ensure compliance with all applicable local, State of Oregon, and federal laws.

Key Themes from the On-Site Visit

Several key themes emerged throughout the visit. These themes, in addition to prominent practices in student conduct, have informed our findings and recommendations.

Legalistic Nature and Burdensome Process of the Student Conduct Code

It was explained that the Student Conduct Code (the Code) was originally a statewide document which evolved into a specific document for the University of Oregon. Though it has been revised previously, there is a need for a major rewrite. A significant concern from constituents is the overly-legalistic nature of the Code. DSA agrees with that sentiment. Codes can be fundamentally fair and developmental without reading like a law or statute. Though Codes have multiple audiences, including faculty, staff, attorneys, and families, the primary audience is the student population. Codes should be written in a manner that students can easily understand.

In addition to the landmark case *Dixon v. Alabama State Board of Education*¹ where the Fifth Circuit determined that college students were entitled to due process in the form of notice and hearing, the Western District of Missouri court declared in 1968,

The discipline of students in the educational community, is in all but the case of irrevocable expulsion, a part of the teaching process. In the case of irrevocable expulsion for misconduct, the process is not punitive or deterrent in the criminal law sense, but the process is rather the determination that the student is unqualified to continue as a member of the educational community. Even then, the disciplinary process is not equivalent to the criminal law processes of federal or state criminal

¹ *Dixon v. Alabama State Board of Education*, 294 F. 2d 150 (5th Cir. 1961).

law. For, while the expelled student may suffer damaging effects, sometimes irreparable, to his educational, social and economic future, he or she may not be imprisoned, fined, disenfranchised, or subjected to probationary supervision. The attempted analogy of student discipline to criminal proceedings against adults and juveniles is not sound.²

More than 50 years later, this remains a fundamental principle of student conduct processes. Conduct processes are institutional procedures to manage issues within the community. They should neither resemble nor take the place of criminal or civil court systems. They also should not take on a litigious tone.

In each interview, the subject of a major revision was raised and there appears to be an overwhelming desire for such a rewrite. Specific recommendations are presented later in this report.

Confidence in the Office of Student Conduct and Community Standards

“If we get it to Student Conduct and Community Standards, they will manage it” was a statement made early in the DSA visit and reflected by participants throughout the visit. For Senior Conduct Directors, a statement such as that is what they strive for and they want to be known as the person who manages whatever comes their way. The Director of Student Conduct and Community Standards (the Director) has a positive national reputation and more importantly, a positive campus reputation. It was very clear that Katy Larkin does her job well and has built positive relationships on campus.

Due to some staffing departures and restructuring, the Associate Vice President and Dean of Students was able to increase K. Larkin’s staff. These smart, dedicated, and caring staff members will be invaluable as K. Larkin continues to build a strong vision for Student Conduct and Community Standards. In addition, the collaboration between K. Larkin and Shelby Wieners, Assistant Director of Residence Life, is key to creating a shared vision between the Office of Student Conduct and Community Standards and Residence Life.

Capacity of the Office of Student Conduct and Community Standards

The capacity of the office to manage the load and expectations was raised by several groups. Many of their colleagues shared that the additional staffing in Student Conduct and Community Standards was welcomed; yet, they are still concerned about the capacity of the office. One participant mused that they wondered if student conduct offices are not “on the radar” unless they are “above the fold.” From a national perspective, many student conduct directors would agree with this statement. We recommend the University of Oregon assess available budgetary resources and anticipated needs (e.g., any increases in reporting, housing capacity, student enrollment) to consider the demanding and complex nature of student conduct work and the need for well-resourced operations.

² District Court, Kansas City, MO. Western District of Missouri. (1968). *General order on judicial standards of procedure and substance in review of student discipline in tax-supported institutions of higher education.*

In addition to contemplating resources for staffing, we encourage the University to consider the staff's educational needs and the impact of the work on the staff. Student conduct management is an expertise that requires continuous education regarding equity and inclusion, due process, compliance issues, investigative techniques, conflict resolution, student development theory, higher education trends, threat assessment, psychological issues, and restorative practices. There is also the issue of vicarious trauma of staff. Student conduct staff work with students who are at the lowest points in their lives and there is a toll on working with students who have experienced significant trauma or distress. The impact on staff during this work is part of a national conversation on resilience and retention. We encourage the University to engage in such conversations.

Creating One Student Conduct System

The Housing Contract is not part of the Code but Residence Life follows the same process. We recommend there be one transparent system. A common practice is to have a violation in the Code specific to violating the Housing Contract. The Housing Contract may still contain prohibited conduct specific to the residence halls. Residence Life staff would still manage the conduct but it would be under the auspices of the Code and the same process would be followed. We recommend this for several reasons. First, students should be able to expect a consistent³ process for behavioral concerns regardless of where the incident occurred. Second, it reinforces that community expectations are University expectations and every department represents the University. Third, having all conduct matters ultimately fall under the Code enables the Director to ensure that the process is followed and there are no compliance issues.

Fee System

Assessing fees and/or fines in student conduct processes is both a philosophical decision and a realistic one. It is not within the scope of this review to assess budgets or to recommend to the University how to provide financial support. In this section, we are offering points for consideration.

There is not a standard practice nationally related to fees/fines. It is common to charge for programs such as Choices. Decisions on fees related to students found in violation are institution specific. Fees can have a detrimental impact on the educational nature of the student conduct process as students can focus on the fee which can create a more adversarial atmosphere in an administrative conference. Fees also can have a disproportionate impact depending on a student's economic status. We recognize the reality of funding and that student conduct processes are typically not well-funded throughout the country. We encourage the University to consider that all community members benefit from a strong student conduct process as resolving behavioral issues is an important component to creating an academic community where people feel safe, welcomed, and can trust the University to manage issues.

It is our understanding that the fees are different depending on whether it is managed by Student Conduct and Community Standards or Residence Life. We recommend having a common fee

³ It is important to note that we consider "consistent" to be using the same decision-making process and weighing the same types of factors. Consistency in a student conduct process is not making the exact same decision or issuing the same sanction regardless of aggravating or mitigating factors.

system with the same amount for either department which reinforces that student conduct is a University issue and not just one department. We also recommend providing information, if this does not currently exist, as to what the fee funds so that the University is transparent.

In addition, we recommend having a protocol to waive a fee if a student has a financial need as the fee may be disproportionately harmful to that student.

Utilizing Restorative Practices

Effective student conduct processes have strong structures and are also nimble enough to recognize that different situations may need different resolutions. Throughout the visit, the possibility of utilizing restorative justice and alternate dispute resolutions were raised. We support the implementation of restorative practices. We intentionally use “restorative practices” rather than “restorative justice” to stress that restorative practice is both proactive and reactive. Restorative justice is a subset of restorative practice to respond to a harm. Common restorative practices can be used to build community, set expectations, and increase communication either before or after a harmful situation.⁴

To successfully implement a restorative practices program, resources are needed. These resources include staffing, training, time, and appropriate space. We have recommended removing the Alternate Dispute Resolution (ADR) section in the Code and adding a brief statement allowing for it not because we do not support ADRs but because to do it effectively requires a significant infrastructure. We encourage the University to provide Student Conduct and Community Standards and Residence Life with the means to create extensive and collaborative Restorative Practices.

Equity and Inclusion

There were varying degrees of understanding among interviewees regarding students who are minoritized⁵ and their experiences at the University. Prior to coming to college, minoritized students often have had experiences with authority, discipline processes, and possibly legal systems that work to keep them minoritized. This is one of the reasons we recommend having a student conduct process that is not modeled on court systems and why restorative practices are more inclusive and educational.

Concerns were raised regarding the equity of resources provided to the Respondents. For example, some individuals indicated that the Office of Student Advocacy can choose which students to assist which can result in a denial of equitable resources.

We heard from several groups the desire to have the Code translated. Though this was framed for international students, we encourage the University to consider offering translations and

⁴ An excellent article on restorative practices can be found at https://www.iirp.edu/images/pdf/Defining-Restorative_Nov-2016.pdf.

⁵ We use the adjective “minoritized” rather than the noun “minority” as it more clearly demonstrates that people are minoritized because of an identity not because they are part of a group with few numbers. An excellent article on this difference can be found at <https://www.theodysseyonline.com/minority-vs-minoritize>.

supporting materials that would also benefit students whose first language, or that of their parents/guardians, is not English. Consideration should be paid to the reality that translations do not always reflect the meaning of the document and therefore, materials should be developed to assist with understanding the Code and related policies.

The National Center for Education Statistics reported that in 2015-16, nineteen percent of undergraduate students reported having a disability.⁶ There is no indication that this is decreasing but it is likely to be increasing. In addition to the recommendations that are provided regarding the Code, we recommend continued education for all case managers, including Residence Life staff, on disability issues with an emphasis on students on the Autism spectrum. When asked, some case managers indicated that this was not an area taken into consideration when they were meeting with students.

Title IX and the Code

Across the country, colleges and universities are struggling with Title IX-related guidance, proposed regulations, recent court decisions, etc. How Title IX-related cases intersect with conduct processes is challenging. Universities must be in compliance and provide processes that are fair and understandable.

A common point made throughout the visit was confusion as to the Title IX process, how it intersects with the student conduct process, and its effectiveness. It is important to note that more than any other type of conduct, sexual misconduct cases are often viewed through the lens of the individual's role. A lawyer may view the process through the lens of lawsuits. A complainant's advocate is victim/survivor-centered. A respondent's advocate may look for cracks in the process. The public views the process through the limited lens of what the media may report. None of the views are more valid than the others and therefore, we do not judge the views but share them for consideration.

Similar to concerns about the current Code, there is a sense that the process is legalistic to the point of it not being understandable to students, particularly considering the distress, trauma, and impact on the involved parties. Consider the difficulty of a student, often traditionally aged, recounting the incident to an investigator and then being expected to continue on with their academics during an investigation (at times, literally having to go to class after an investigation meeting). We recognize that this is unavoidable but encourage the University to ensure its procedures are effective and efficient.

There was a concern raised as to whether Respondents are provided equitable resources. It is the understanding of the reviewer that a Respondent resource person is .6 of a position while Complainants have multiple individuals available for support. We recommend the University evaluate the resources made available to the parties and adjust accordingly for equity.

There appears to be some misunderstanding as to the communication with Complainants. A Complainant may perceive that they are "charging" a student and/or authorizing charges when in

⁶ <https://nces.ed.gov/fastfacts/display.asp?id=60>

reality, the University is working to ensure the student understands the process and alleged violations. A common misunderstanding on the national level is that colleges and universities are usurping the criminal process and making decisions on whether or not a crime was committed. This is inaccurate as neither a student conduct nor Title IX process makes such a determination. These institutional processes determine if a University policy was violated. The alleged behavior may also be criminal in nature but that is not the purpose of these processes or investigations. We recommend to continue to stress in education and practice that the student conduct process is not determining criminal violations.

Additionally, just as Title IX establishes a framework for how reports of alleged sex-based discrimination should be investigated and remedied, so, too, does the Clery Act with respect to incidents involving Dating Violence, Domestic Violence, Sexual Assault, and Stalking (“VAWA Offenses”). Although the review of the University’s Discrimination Complaint and Response Policy was beyond the scope of our review and we understand it is currently being revised, we strongly encourage the University to assess the degree to which the institution has incorporated into the Discrimination Complaint and Response Policy the required procedural components for institutional disciplinary action in cases of alleged dating violence, domestic violence, sexual assault, or stalking. There are required procedures the institution must follow in these cases pursuant to the Violence Against Women Act amendments to the Clery Act (we offer a comment in the track-changed version of the Code as to the applicability of these procedures to interim actions, but a more complete review by the University is warranted). We also encourage the University to examine recent court decisions regarding due process to serve as a guide.

Academic Misconduct

Though we have made some suggestions in the Code, we believe it is critical for faculty and Student Conduct and Community Standards to develop the academic misconduct process collaboratively. Based on information gleaned in the review, we encourage that input is received from other impacted parties such as the Registrar’s Office who often have a role towards the end of the process. Their input regarding process and timelines should be taken into consideration when revising any academic misconduct policies or procedures. It is also important to note that staffing resources are needed in managing proactive initiatives and response.

Student Organizations

We recommend considering whether the current structure is the best course of action given national concerns around student organizations and whether self-governance has been effective. If a University recognizes and provides support to organizations, it would seem to be the role of Student Conduct and Community Standards to manage institutional expectations/policies. Internal rules and regulations of an organization could be managed by the organizations but conduct that also violates the Student Conduct Code should not be managed internally by self-governing groups outside of the procedures established in the Code. We also recommend using the same conduct process for organizations as individual students. Students need to be able to navigate one process.

Responsible Action Protocol

One group indicated that the Responsible Action Protocol was not well-known or understood. This was not a concern raised by others and the reviewer was able to easily access the protocol via the web and it appeared quite clear.

“Live Hearings”

The current administrative conference allows for students to have an opportunity to be heard in person. It is also an excellent opportunity to engage with the student in a dialogue as to their viewpoints on what violations may have occurred as well as the response.

There is a national conversation on whether institutions should have a “live hearing.” We encourage the University to consider whether there needs to be an additional opportunity to be heard in a hearing-like setting for those situations in which a student disputes the allegation(s) and the sanction could result in a suspension or expulsion. This recommendation has more to do with philosophical considerations rather than recent court decisions, though those decisions should not be ignored. The on-going discussion and various rulings on cross-examination warrant consideration, and it is realistic to believe that cross-examination will be included in the final regulations for Title IX. An in-person review or hearing is more than cross-examination. It speaks to the heart of a higher education student conduct process: fundamental fairness. Much of this is currently accomplished in the administrative conferences, but there is room to grow in this area.

If the University ultimately adds a hearing or in-person administrative review, we recommend using a hybrid model where an investigation is conducted prior to the hearing and the hearing provides the parties with an opportunity to review the results of the investigation. An in-person administrative review does not need to be a rehashing of the investigation nor an undermining of the work done by the investigator. It is an opportunity for the administrative review committee⁷ to ensure that the investigation was conducted in a fair, impartial, and reliable manner; the information is sufficient to support the factual findings; and there is a rational basis, applying a preponderance of the evidence standard, for the alleged violation(s). It also provides for the student participants to respond either by presenting a written or verbal response which allows for the most complete response. The response should be directed to the investigation report and findings as it is not a retelling of the incident. There is also tremendous value in having an investigator be present to answer questions and for an administrative review committee to interact with the participants to convey that the review is not a perfunctory process. We do not recommend using hearing boards of the past with students and faculty that last for hours in a trial-like setting. Review/hearing bodies of one to two highly trained and seasoned professionals with expertise in this area are more appropriate given the sensitive nature of student conduct cases.⁸

It is also important to note that the vast majority of cases would still be handled through the administrative conferences⁹ as hearings could focus on those potential suspension or expulsion cases. Such a change would require an examination of needed staffing resources.

⁷ The “committee” should be comprised of one or two trained and experienced staff members.

⁸ There are a number of institutions with this hybrid investigation/hearing model which DSA can explain as needed.

⁹ When speaking with Directors across the country, it appears that most institutions see 3-5% of their cases resolved in a hearing.

Summary of Recommendations Related to the Themes

1. Code recommendations are explained in the next section.
2. Continue to examine resources needed by Student Conduct and Community Standards to enhance their knowledge and skillsets as well as provide support in areas such as vicarious trauma.
3. Create one student conduct process by having Residence Life staff manage student conduct under the auspices of the Code.
4. Assess the fee structure and minimally implement one fee for violating the Code regardless of whether it is managed by Residence Life or Student Conduct and Community Standards.
5. Develop a written protocol to manage requests for a fee to be waived.
6. Develop a restorative practice program with the appropriate resources.
7. Translate the Code and related educational materials into common languages for international students and students whose first language may not be English.
8. Provide education for all case managers on disability issues.
9. Evaluate the resources made available to both Respondents and Complainants and adjust accordingly for equity.
10. Engage key constituents in revising the current academic misconduct process. This will need to include resource allocation.
11. Manage student organization misconduct using the same process as is used with individual student respondents.
12. Consider implementing a live hearing option for those cases that could result in a suspension or expulsion utilizing staff members as hearing officers to supplement the existing administrative conference in cases where the respondent denies the allegations.

Key Student Conduct Code Findings and Recommendations

As mentioned previously, the Code appears to utilize legalistic language in a manner that may be unclear to students and may inadvertently minimize the educational and non-adversarial nature of student conduct processes. We offer comments and suggestions for the Code to be both educational and compliant with legislative expectations.

The track-changed version of the Code includes many comments and proposed revisions for the University to consider. These suggestions are meant to provide clarification to the reader and to consider terms and procedures that enhance the student development aspect, address and anticipate governmental guidance, and be current with industry valued practices. Given the number of suggestions regarding the layout and structure of the Code, we provided a “revised” version as well as a redline version, as we recognize that the redline version is difficult to follow.

Reference to Law and Statutes

We encourage the University to consider whether referencing various Oregon statutes are essential or productive. There are several places that note an Oregon or federal statute which would have little meaning to a student. Student codes should be written with the student as the intended audience. We recommend identifying and quoting the specific issue in the reference rather than referring to a statute that would then require a student to look up the stated statute. In the revised copy, the reviewer has made every effort to include such items. The Code explains the expectations as to institutional policies and therefore, we recommend writing them as such.

Title IX-related Items

Title IX-related information, such as definitions, can be found in multiple places. We recommend removing items from the Code that are located in the Discrimination Complaint and Response policy (several individuals expressed support for this idea during the on-site visit). This lessens confusion and the risk of having inconsistent information in one of the documents.

Outline

To assist with flow and readability, we offer the following outline for consideration:

Section 1: Introduction

We recommend changing the “Mission” section to an Introduction/Preamble section. The introduction to the Code is an opportunity to connect the University’s mission and values to the Code. Though we have offered a sample statement, we have found it to be a helpful exercise to engage community members in developing a Code’s introductory statement. This statement can also be helpful in outreach efforts to explain the purpose of the Code.

Section 2: Scope, Authority, and Jurisdiction

We recommend combining Delegation and Authority with Jurisdiction. This section appears overly bureaucratic and students typically do not read a Code to understand the delegations and sub-delegations but rather they read it, usually after an incident, to understand how the process is going to impact them.

Regarding the Student Conduct Committee (also called the Community Standards Committee at times in the Code), we recommend moving the information to a procedural document rather than the Code. During the on-site visit, it was unclear as to why the Vice President of Student Life or designee is not responsible for recommending revisions to the Board of Trustees. The Vice President and his staff are the experts in the field and connected to national trends and issues. They are responsible for staying updated on legislative issues and pertinent court decisions. University culture and traditions are important considerations for changes in conjunction with the expertise of the staff.

There is no staff voting representation on the committee. Staff are members of the community and are the individuals who work with students on behavioral and developmental issues. It would seem that they should have a voice as well. We also offer for consideration moving from a voting structure to a consensus model.

There are several non-voting ex-officio members on this committee, including a non-University employee (Director of the Office of Student Advocacy). The role of the Director is unclear as the Director is not listed as a member in one section but another section indicates they may serve as the secretary. This could appear to make the Director a subordinate rather than the person with the most expertise in this area. We also understand that the Director of the Office of Student Advocacy is not an actual University employee but a contracted individual by the ASUO. We would encourage the University to examine whether a conflict of interest exists with this individual serving in such an active role.

We strongly recommend the removal of “Sub-delegation of Authority to alternative processes and hearing officers” as a practice. The process for managing student conduct should remain within the Code. To have alternative processes outside of the Code diminishes the authority of the Code and poses the risk of not providing the same rights to students.

As described in the theme section, we recommend that student organizations are managed in the same manner as individual students within the student conduct process.

We have provided suggested language regarding the scope of time when a student is responsible under the Code, the process if a student withdraws, off-campus jurisdiction, and the University’s ability to proceed despite criminal proceedings.

Section 3: Definitions

The current definitions section contains items that are actually prohibited conduct, contained elsewhere such as the Discrimination Complaint and Response policy, or common terms. We recommend moving or removing a number of items and maintaining the definition section to explain terms used in the Code.

Section 4: Prohibited Conduct

The term “Prohibited Conduct” places the emphasis on the behaviors that are not appropriate within the community. Several items reference federal or state statutes. We recommend providing the relevant definitions or information from those statutes. We also recommend minimizing examples as people have a tendency to focus solely on those examples rather than seeing them as illustrative in nature.

We also recommend removing the specific items related to the Discrimination Complaint and Response Policy and referring to the policy specifically.

Section 5: Resolution Process

The current Students Rights section contains rights and philosophical or process statements that are actually not rights. The rights of students should be clearly stated and we have made some recommended statements and have placed them within this section.

We have made some suggestions related to order and clarity. There was a consensus among interviewees during the on-site visit that the timelines listed in the Code were inefficient and prolonged the student conduct process. General timelines are more appropriate for procedural documents. The current process places the onus on the student to schedule an administrative conference. We recommend that the meeting is scheduled by the case manager which will streamline the process and provides for an interaction closer to the incident which is helpful in collecting information and having an educational impact. The longer time between an incident and a resolution can place stress on a student and/or diminish the seriousness of the situation.

The current code has two provisions under Administrative Conferences which we recommend removing related to potential mental and disabilities:

In cases where the Director of Student Conduct and Community Standards concludes that a Student accused of any offense under the Student Conduct Code lacks the mental capacity to respond to the complaint, the Director shall stay the proceeding until such time that the Director concludes that the Student may adequately respond. A stay granted pursuant to this section shall not in any manner preclude a proceeding for medical leave under OAR Chapter 571, Division 23. If the student has been accused of Academic Misconduct, no academic sanction may be imposed during a stay granted pursuant to this section, but the faculty member for the coursework out of which the complaint of Academic Misconduct arose shall request the Registrar to assign a grade of “I” until the disciplinary proceeding has been completed.

No sanctions shall be imposed against a Student who acknowledges engaging in the specific conduct alleged and who submits a written statement from a Student Health Center psychiatrist or a Counseling Center psychologist stating that, as a result of mental disorder at the time of the offense, the Student did not appreciate the wrongfulness of the conduct or could not conform his or her behavior to the requirements of the Code. The Student may submit any other supplemental information pertinent to his or her mental condition to the Director of Student Conduct and Community Standards. If, based upon all information received, the Director decides that the conduct of the Student resulted from mental disorder, the Director shall seek professional assistance and advice, and, if appropriate and legally authorized, consult with the Student’s parent or guardian or take other measures to assure a fair disposition of the case. If the Student has been accused of Academic Misconduct, the faculty member for the coursework in which the Academic Misconduct took place shall assign an appropriate grade.¹⁰

The Director of Student Conduct and Community Standards should not be making an assessment regarding a student’s mental health condition. The University’s Accessible Education Center is the designated entity to determine if an accommodation should be granted. A reasonable accommodation is not to stay a proceeding and allow a student to continue with their education nor to withhold a sanction. The student must be otherwise qualified.¹¹ In student conduct matters this means the ability to abide by University policies and procedures.

We encourage the University to separate the “administrative sanctions” from other sanctions to stress the difference.

An appeal is not a rehearing of the case. Appeals should be limited in nature. As stated in Stoner and Lowery’s Model Student Code,

¹⁰ The Reviewer attempted to find the rule referenced in the first paragraph as a student would likely (via the internet) and was unsuccessful.

¹¹ An otherwise qualified person can be “one who is able to meet all of a program’s requirements in spite of her disability.” Pickard v. Potter, 2003 U.S. Dist.

The appellate body should review the Student Conduct Board's decision in order to determine whether it was supported by substantial information or, synonymously legally speaking, substantial evidence. Substantial evidence is "more than a mere scintilla. It means such relevant evidence as a reasonable mind might accept as adequate to support a conclusion." In making such a determination, the Appellate Board should not substitute its judgment for the judgment of the Student Conduct Board. Instead, it should respect the credibility judgments made by the Student Conduct Board and review the Student Conduct Board's determination only to see whether there was information before the Student Conduct Board that supported the result it reached.¹²

Feedback received during the on-site visit included the concern that the appeals board is a more complex entity than the spirit of an appeal process. Very few cases result in an appeal which is typical nationally; however, it may also be worth exploring if the amount of time taken to impose this appeal process is a deterrent as well.

We offer for consideration moving to an individual appellate body. This is a fairly common practice and one that will likely continue to grow. The appeal is a critical aspect of ensuring that the process was followed, the student received the rights afforded to them, and that there exists a checks and balance system. Concerns around bias, preparation, and timeliness may all exist with a large appeal process.

Section 6: Interim Action

The emergency action section is strong and consistent with recent court decisions such as *Haidak v. UMass-Amherst*.¹³ The University may want to consider changing the term "emergency action" to "interim action." Interim action is a more commonly used term and is more illustrative that this is a temporary measure rather than an emergency.

We recommend removing the allowance for the Director to consider a medical or psychological evaluation. As previously stated, the Director is not the appropriate person to review such an evaluation. Also, an interim action should not be taken due to an individual's medical or mental health status. That could be argued as discriminatory. Interim actions should be taken due to the concern of a continued or imminent threat.

In the current Code, it states that a student is allowed to be represented. We would encourage the University to determine if that should be "advised" or "accompanied by a support person." If a student can be represented in an interim action then it would seem they could be represented in other conduct proceedings. It bears noting that, per the VAWA Amendment to the Clery Act, both a complainant and respondent must be permitted to have an "advisor of their choice"¹⁴ in cases of alleged Dating Violence, Domestic Violence, Sexual Assault, and

¹² Stoner, E. N., & Lowery, J. W. (2004). Navigating Past the "Spirit of Insubordination": A Twenty-First Century Model Student Code with a Model Hearing Script. *Journal of College and University Law*, 31(1), 60-62.

¹³ *Haidak v. UMass-Amherst* 18-1248P (1st Cir. 2019) August 6, 2019

¹⁴ 34 C.F.R. §668.46(k)(2)(iii)

Stalking, and such an advisor may include an attorney, but institutions are nevertheless permitted to impose “restrictions regarding the extent to which the advisor may participate in the proceedings, as long as the restrictions apply equally to both parties”¹⁵.

Section 7: Academic Misconduct Procedures

Though we have made some suggestions in the Code, we believe it is critical for faculty and Student Conduct and Community Standards to develop the academic integrity process collaboratively with additional input from entities such as the Registrar’s Office.

Section 8: Review and Retention of Student Conduct Records

We recommend placing all information regarding student records in this section towards the end of the document. The current Code allows for the destruction of records for students found “not responsible.” We do not recommend this method as failure to retain records supporting the accuracy and completeness of the institution’s annual crime statistics, which includes reports of alleged student misconduct, would violate the 7-year record-keeping requirement of the Clery Act. Student conduct records are typically maintained separately from other education records which assists in protecting a student’s privacy.

Section 9: Student Conduct Code Adoption and Revision

We recommend some minor wording changes regarding the process of revising the Code. We also recommend adding a statement indicating the Director is responsible for interpreting the Code.

Conclusion

We extend a deep gratitude to all participants in the University of Oregon review. The care and commitment of the University community is evident. The suggested changes should not be regarded as deficiencies but rather opportunities to build on the process and to revise a Code that is truly reflective of the University of Oregon. Providing a “revised version” is not meant to indicate a final document. It is provided to clearly articulate our recommendations. We hope that the University’s review and continued discussions lead to a revised Code and process that will serve the Oregon community well and emphasize the important and educational nature of the student conduct process.

If the University wishes to further understand the rationale for any proposed changes, DSA can elaborate upon request.

¹⁵ 34 C.F.R. §668.46(k)(2)(iv)

PAGE LEFT BLANK INTENTIONALLY



Agenda Item #7

PhD in Bioengineering Proposal (Action)

The UO seeks approval from the Board of Trustees' for a PhD in Bioengineering, with an MS in passing, offered through the College of Arts and Sciences and the Knight Campus, and jointly with OSU. The new program would take effect fall 2020, with the first cohort of recruited students expected fall 2021. Board approval is required before this new program is submitted to the Higher Education Coordinating Commission (HECC).

The below information is provided by the College of Arts and Sciences, the Knight Campus, and the Office of the Provost. All appropriate University committees, the University Senate, and the Provost have approved the proposed program. Following this summary are the resolution and a brief slide deck. Detailed information (e.g., associated coursework, exam schedules and degree obtainment progression timelines) is available upon request.

1. Describe the purpose and relationship of the proposed program to the institution's mission and strategic plan.

The proposed joint UO/OSU graduate program in bioengineering will support the mission and goals of UO and OSU through education, research, and service by providing graduates with interdisciplinary training in bioengineering. The joint program will support a number of aspects of the strategic plans of both institutions, including creation of new and transformative courses and programs enabled by a unique partnership of regional research institutions that can serve as a model for future expansion of both this program and others in the future.

2. What evidence of need does the institution have for the program?

Current applications for PhD positions in the Northwest far exceed the number of available positions. This was recently highlighted in the 2015 external review of the OSU graduate program in bioengineering. The current program at OSU has helped satisfy some of the existing demand. Creating a joint UO/OSU program will further increase the existing capacity for graduate students in the state and help accommodate the large demand for placement in graduate programs in this field. Additionally, the Oregon Bioscience Association has reported on the importance of the bioscience industry to Oregon's economy and highlighted the strong growth in jobs within the sector.¹ This joint program will help prepare well-qualified graduates and strengthen the bioengineering workforce in the state.

3. Are there similar programs in the state? If so, how does the proposed program supplement, complement, or collaborate with those programs?

¹ See: <https://www.oregonbio.org/wp-content/uploads/2019/07/Oregon-Bio-Final-FULL-Report-2019-1.pdf>

The current proposal is for the University of Oregon to join the existing graduate program in bioengineering at OSU. Other than the existing OSU program, the most closely related program in the state of Oregon is the Biomedical Engineering (BME) graduate program (MS and PhD) at the Oregon Health & Science University (OHSU). The existing OSU bioengineering graduate program was developed with the collaboration and full support of OHSU and was designed to be complementary to the BME program at OHSU rather than competitive. Creating a joint UO/OSU graduate program in bioengineering is expected to further enhance the synergies between the UO, OSU, and OHSU programs. The research activities at OHSU are focused squarely on engineering for unmet clinical needs while the bioengineering research threads at UO and OSU encompass a wider range of bioscience-based technologies beyond the focus of clinical need. OHSU representatives, including the BME Department Chair, have expressed support for the joint UO/OSU bioengineering graduate program. It is anticipated that the proposed joint program and the BME program at OHSU will collaborate extensively in research, education, and graduate student recruiting. This past year all three universities partnered in recruiting students into the existing BIOE and BME programs in the state.

4. What new resources will be needed initially and on a recurring basis to implement the program? How will the institution provide these resources? What efficiencies or revenue enhancements are achieved with this program, including consolidation or elimination of programs over time, if any?

The proposed PhD bioengineering program provides a unique mechanism to leverage the significant philanthropic and statewide investments in the Knight Campus and across the UO. The program will harness existing Knight Campus investments in bioengineering faculty who can contribute to the required instructional needs. The expected teaching load of the current and planned bioengineering-related faculty are sufficient to cover the core and elective course offerings of the bioengineering graduate program with no additional instructional costs.

The current proposal requires minimal financial resources beyond investments that are already committed as part of the Knight Campus initiative. Support for the recruitment and advising position will be provided by the Knight Campus. Other administrative support for the program will also be provided by the Knight Campus. Most of this infrastructure has already been established in support of the Knight Campus Internships Program. There is potential to combine the responsibilities of these roles with similar roles that will be part of the recently approved undergraduate bioengineering program.

No additional facilities are needed to support this program. The main educational facilities that will be needed to support the program are active learning classrooms. The graduate program will utilize spaces designated for the Knight Campus Graduate Internship Program (KCGIP). These spaces are heavily utilized during the summer but are able to accommodate BIOE usage during fall, winter, and spring terms. Because the course sizes are expected to remain small (entering cohorts of 8-20 students), these spaces should be sufficient for the foreseeable future.

Board of Trustees of the University of Oregon

Resolution: Bioengineering Graduate Degree Authorization

Whereas, the University of Oregon (University) benefits from a cross-section of high quality, well-designed academic degree programs at both the graduate and undergraduate levels;

Whereas, the University wishes to offer a PhD in Bioengineering with an Master of Science in passing, offered through the College of Arts and Sciences and the Knight Campus for Accelerating Scientific Impact and jointly with Oregon State University;

Whereas, this program will help meet demand for a growing field of study, one for which current applications for PhD positions in the northwest far exceed the number of available positions;

Whereas, this program is highly interdisciplinary and will help prepare individuals for a variety of scholarly pursuits and career opportunities, while also strengthening the bioengineering workforce in the state; and,

Whereas, this programs have been approved by the provost, relevant institutional units and committees, and the University Senate; and,

Now, therefore, the Board of Trustees of the University of Oregon hereby approves the PhD in Bioengineering with a MS in passing as proposed in the provided documentation.

Moved: _____

Seconded: _____

Trustee	Vote	Trustee	Vote
Aaron		Kari	
Ballmer		Lillis	
Bragdon		McIntyre	
Colas		Murray	
Ford		Ralph	
Gonyea		Wilcox	
Hornecker		Wishnia	

Dated: _____

Recorded: _____

UO/OSU Joint Graduate Program in Bioengineering

Ultimate Goal

- Establish a nationally prominent graduate bioengineering program at UO
- Build regional excellence in bioengineering in partnership with OSU and OHSU

Immediate Goal

- Establish cutting-edge research training program in bioengineering
- Recruit outstanding graduate students into faculty research programs

Proposal

- Seeking approval to establish Joint UO/OSU Graduate Program (PhD, MS in passing)

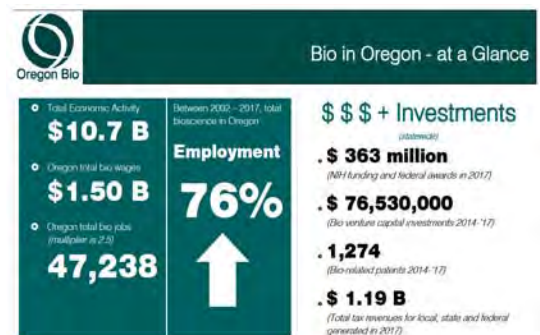
Benefits to UO and Oregon

UO

- Focus on applied science and engineering programs – strengthen sciences at UO
- Recruit outstanding graduate students: Essential to launch careers of young faculty
- Establish a culture of innovation: Fuel the impact cycle
- Wide benefit to other disciplinary programs (recruiting, research collaborations, course enrollment)
- Complements recently approved UG program in bioengineering – synergistic opportunities

State

- High impact opportunity area for Oregon industry and the economy
- Builds a strong ecosystem for bioengineering across the state



Demand is high among students

Demand for PhD placement at top programs along the West Coast far exceeds capacity

- UW receives ~600 applications for 20-25 openings (2015)
- UCSF/UCB 2,000+ applications for 40 openings (2019)



Students frustrated trying to get into UW's competitive engineering program

The Seattle Times

February 24, 2017

A moment in time: An incredible opportunity

\$500 M investment in Knight Campus

- Facilities and equipment
- Recruitment of bioengineers to campus
 - Five on campus and three to arrive in fall

+

Existing strengths in chemistry, biology, human physiology and business/innovation

+

Strong partnerships with OSU and OHSU to grow bioengineering and biomedical engineering strength in Oregon



Stronger together: Leveraging partnership with OSU

Joint programs are a best practice in graduate bioengineering programs

Leverage OSU Colleges of Engineering and Pharmacy; UO Knight Campus, College of Business, and CAS

Together, elevate national brand, recruiting, prestige and bioengineering strength in Oregon



COMBINING STRENGTHS IN BIOENGINEERING

In Oregon, we're combining Oregon State University's legacy in engineering with the University of Oregon's infrastructure and facilities, highlighted by the \$1 billion Phil and Penny Knight Campus for Accelerating Scientific Impact, to leverage the resources of an entire state and region toward making a positive impact on society.

To learn more about Oregon's Combined Strengths, visit: engineering.oregonstate.edu/bioengineering
accelerate.uoregon.edu

Friday, Nov. 22
9 a.m. to 6:30 p.m.
Oregon State University

Featured Speakers

- Tim Gardner**
University of Oregon
High Precision Interplay to Brain and Nerve
- Elaine Fu**
Oregon State University
Formal Microfluidic Sensors for Field Use
- Summer Giblin**
Oregon Health & Science University
Fluorescence Guided Surgery for Improved Clinical Outcomes
- Matt Johnson**
Oregon State University
Emerging Tools for Integrated Electronic Biosensors
- Peter Jacobs**
Oregon Health & Science University
Precision Drug Delivery through AI and Integrated Sensing
- Mike Pluth**
University of Oregon
Chemical Tools for Detection and Delivery of Therapeutic Lipid Nanoparticles

OREGON STATE UNIVERSITY
UNIVERSITY OF OREGON
OREGON HEALTH & SCIENCE UNIVERSITY

Phil and Penny Knight
Campus for Accelerating Scientific Impact

A catalyst for impact

The Joint Graduate Program in Bioengineering will:

- Leverage KC resources → benefit the UO campus and society
- Fuel high-impact, collaborative research → increase research funding
- Forge new graduate training approaches → attract top talent
- Fuel the impact cycle → translational research and new company generation

Phil and Penny Knight
Campus for Accelerating Scientific Impact

PAGE LEFT BLANK INTENTIONALLY



Agenda Item #8

Romania Property Ground Lease (Action)

The Board of Trustees is asked to consider approval of a non-binding term sheet for a future ground lease agreement to redevelop the University's east campus Romania lot. This non-binding term sheet has been prepared to establish a framework of terms for future negotiations. This term sheet's anticipated terms and conditions would also provide the developer with a project outline to present to potential equity investors and to secure debt financing.

Although the term sheet is not binding on either the University or the developer, the scale and scope of the project warrants Board approval before proceeding further. If the developer secures sufficient capital, the University would then negotiate the ground lease. Because the full and final terms of the ground lease have not been negotiated yet, the terms of the lease may evolve from those in this term sheet. After negotiating the final terms of the ground lease, the University would present the lease to the Board for review and approval.

The attached resolution includes the proposed non-binding term sheet (see Exhibit A to the resolution). A summary of the project and non-binding term sheet follows.

Project Overview

The University proposes to lease the Romania lot for a mixed-use commercial development to generate rent revenue for the University and to revitalize the area on Franklin Boulevard between I-5 and the University campus. The proposed development would be located on a four-acre lot south of Franklin Boulevard between Orchard and Walnut streets known as the former Lew Williams or Joe Romania car dealership or the Romania lot.

The plan for the project includes a boutique hotel, offices, residential apartments, a restaurant, retail stores, a gathering space, and parking facilities. The project would be a "first class" mixed-use development geared toward premium services, spaces, and accommodations in a location closer to the campus than other comparable options. The project and the University's community, visitors, and guests would all benefit from a broader variety of services at the University's doorstep.

In addition, offering premium commercial options at this location would invigorate an area that has been identified by the U.S. Treasury Department and the Eugene City Council as an Opportunity Zone that warrants new commercial investment. This project would spur the revitalization of the gateway corridor connecting I-5 to the University's campus.

Brief History of the Project

In the fall of 2017, the University began exploring options for private development to revitalize the Romania property and provide a new revenue stream to the institution. In a collaboration involving Campus Planning and Facilities Management, Purchasing and Contracting Services, Business Affairs, and the Office of the General Counsel, the University published a nationwide request for qualified developers to submit proposals for a mixed-use commercial development. The University selected the developer who met the University's

pre-established requirements for experience and financial stability to deliver a successful project.

Selected Developer

The University selected Project^, based in Portland, Oregon and led by Tom Cody, as the developer of the project. Project^ has constructed numerous successful development projects throughout Oregon, including projects in Portland, Eugene, Bend, and Corvallis. Project^ is familiar with the market forces of the Eugene area with three previously completed projects close to campus, including two near the Romania property. In addition, Project^ has experience constructing developments in recession and post-recession market conditions.

Negotiated Terms

Lease Term: The initial lease term would be for 55 years starting on the date of substantial completion of construction. The developer would have unilateral options to extend the initial term for up to two periods of 10 years each (20 years total).

Rent:

- Initial period rent: Monthly rent of \$2,500 while the developer secures permits and finishes any remaining environmental reviews and remediation. This period cannot exceed one year.
- Construction period rent: Monthly rent of \$5,000 while the developer constructs the project according to a pre-established schedule. If construction continues beyond the pre-established date of substantial completion, monthly rent would escalate to \$15,000 until substantial completion of project.
- Base rent and stabilization period rent: Monthly rent of \$44,649, totaling \$535,789 annually. [REDACTED]
[REDACTED] Base rent would begin at a discounted rate and gradually increase over the first 18 months after substantial completion while the project's operations stabilize. After that period, the full monthly rent would begin.
- Rent increases: The base rent would increase by [REDACTED] annually beginning with the date of substantial completion of construction.

Construction Timeline: Construction is anticipated to last up to three years after the execution of a final ground lease with the developer.

State Prevailing Wage Requirements: The developer would be required to comply with the State of Oregon's prevailing wage laws applicable to University-owned land under ORS 279C.800 - .875.

Preservation of the Historic Structure: The developer would be required to preserve and incorporate the former Romania car dealership showroom into the project. The showroom is an example of so-called "googie" architecture that was popular in the late 1950s and early 1960s. The showroom is designated as a historic site by the City of Eugene and included in the National Register of Historic Places. The developer must comply with the City's regulations for preservation of historic sites.

University Approval Rights: The University would have the right to approve the following elements of the project to ensure the quality of the project: the project architect, the design of the project, the general contractor, the construction schedule, any material

alterations to the project's plan, the hotel operator, and any future purchaser of the project.

Potential University Office Lease: The University would have the option to lease 33,000 square feet of office space in the project. The University has not committed to lease this space, and any decision to lease the space at some future time would be dependent on the cost of rent and University space needs.

Referral Arrangement: The University would refer visitors, guests, and others to the hotel and apartments for accommodations. The University would also refer third parties seeking business office space to the project. The University would also consider the project for its own residential, office, and hotel needs, if any. The hotel would be referred to as the "flagship" hotel of the University.

Additional Notes

Recoup on Initial Expenditures: The University paid for initial environmental assessments of the property to evaluate its suitability for a project of this type. These assessments were completed by the end of 2019. The University's initial revenue forecasts indicate that the University would recoup these and any other initial diligence expenditures by the end of the 2025 fiscal year.

Required Project Approvals and Coordination: Project^ has received approval from the City of Eugene and the State Historic Preservation Office for its alteration plans for the historic Romania showroom. Project^ has also presented its preliminary project designs to the University's Campus Planning Committee, held a public open house at the Romania lot on April 5, 2019, and met with the Fairmount Neighborhood Association.

Projected Use of Space: Project^'s initial projections for allocation of space in the project and parking are as follows:

Summary of Initial Projected Allocation of Square Footage*:

Use	Gross Square Feet	Parking
Retail	40,924	plus 55 parking stalls
Office	105,589	plus 143 parking stalls
Hotel	120,581 (193 keys)	plus 86 parking stalls
Residential	159,188 (257 units)	plus 115 parking stalls

*Allocations subject to change

Estimated Project Value: Project^ has estimated the completed project value at \$200M.

Tentative Construction Start Date: Project^ has tentatively set January 15, 2022 as the date for the start of construction. Timelines may change based on future ground lease negotiations and market conditions, including COVID-19 impacts on the market.

Certain trade secrets have been redacted from this summary.

Romania Development

Proposed Ground Lease Terms & Conditions

June 4, 2020

Presentation to the Board of Trustees

Michael Harwood, AIA
AVP for Campus Planning and Facilities Management

Overview

- Purpose - University desires to enter into a long term ground lease for a mixed-use development on the Romania lot that provides a new revenue stream to the institution
- Project uses - includes a hotel, offices, residential apartments, retail spaces, restaurant and parking to support all uses
- Location - 4.1 acres on Franklin Blvd between Walnut and Orchard
- History - Solicited proposals through a national competitive process
- Developer - Project^ led by Tom Cody, located in Portland with experience in Eugene

Terms & Conditions

- Lease Duration - 55 years with two 10 year renewals
- Income to University - nominal rent during construction, base rent of \$535,789 per year, with annual increases, begins after construction
- Timing - construction is expected to begin in early 2022 and last up to 3 years to complete
- Prevailing Wage - will be required for all construction contracts
- Historic preservation - City has already approved the developer's plan to save the historic Romania showroom
- Office space - University has an option to lease up to 33,000 sf, if desired
- Referral Arrangement - University would refer visitors, guests and others to hotel and apartments for accommodations, and refer to the hotel as the University's flagship hotel







Proposed Board Resolution

- Board of Trustees authorize the President (or his designee) to sign the Terms Sheet
- Board further authorizes the President to enter into negotiations for a ground lease with Project^
- If negotiated, the proposed ground lease will be submitted to the Board for approval at a future meeting date

Board of Trustees of the University of Oregon

Resolution: Authorization for Ground Lease of Romania Property

Whereas, the University of Oregon (“University”) wishes to lease a four-acre lot south of Franklin Boulevard between Orchard and Walnut streets, commonly referred to as the Romania lot (“Romania Property”) for purposes of mixed-use development;

Whereas, development of the Romania Property would enhance the institution and the community through the provision of additional parking, housing, office space, retail and service providers, and other accommodations available to community members and visitors;

Whereas, leasing the property to a third party for such development is the most prudent course of action when factoring in planning, longevity, ongoing management, finances, and the ability for the institution to realize a new revenue stream;

Whereas, the University has explored options for private development of the Romania property since 2017 and, after a competitive national process, identified Project^, a Portland based company, as a partner in this endeavor;

Whereas, the University and Project^ have established key terms relative to this partnership (attached hereto as Exhibit A) which would be favorable to the institution and wish to move forward toward a formal lease agreement;

Whereas, controlling public contracting laws and prevailing wage rules would apply to the project where appropriate; and,

Whereas, the significance and scope of this development and the associated ground lease warrant early authorization by the Board of Trustees, recognizing that this early authorization does not preclude the need for further authorization of final, or substantially final, terms of the lease instrument per the Policy on the Retention and Delegation of Authority.

Now, therefore, the Board of Trustees of the University of Oregon hereby authorizes the President or his designee(s) to execute the term sheet and negotiate a ground lease with Project^ for purposes of third party development and management of the university property known as the Romania site, with terms for such an agreement substantially similar to those articulated in the summary and exhibits associated with this resolution. If negotiated, a final lease agreement would be presented to the Board of Trustees for authorization. Further, the Board authorizes the president, the vice president for finance and administration, and their designee(s) to take actions necessary to execute the authorization within this resolution.

Vote recorded on the following page.

Moved: _____

Seconded: _____

Trustee	Vote	Trustee	Vote
Aaron		Kari	
Ballmer		Lillis	
Bragdon		McIntyre	
Colas		Murray	
Ford		Ralph	
Gonyea		Wilcox	
Hornecker		Wishnia	

Dated: _____

Recorded: _____

NONBINDING GROUND LEASE TERM SHEET

University Village, Eugene, Oregon

May 21, 2020

The following is a nonbinding summary of the basic terms of the proposed ground lease for the University Village project land. Neither party is bound to enter into this proposed transaction unless a formal, comprehensive ground lease agreement (the “**Lease**”) is signed and delivered by both parties.

1. **Landlord.** University of Oregon (or “**University**”).
2. **Tenant.** University Village, LLC, an Oregon limited liability company.
3. **Land.** Approximately 4.13 acres of land and certain improvements thereon (including the historic car dealership showroom that will remain as part of the Project, defined hereafter) located at 2020 Franklin Boulevard, Eugene, Oregon 97403 (the “**Land**”).
4. **Project.** A mixed-use project comprised of office, hotel, retail, residential and parking components to be constructed by Tenant (the “**Project**”) in accordance with the Lease. The Land and Project are sometimes referred to herein as the “**Property**.” The Project excludes subtenant improvements.
5. **Use.** Tenant may use the Property for any lawful purpose consistent with the operation of the Project as a first-class mixed-use project, excluding certain specified prohibited uses (such as adult or cannabis businesses).
6. **Lease Term.** Commencing on the date of mutual execution of the Lease (the “**Effective Date**”) and ending on the date that is fifty-five (55) years after the date of substantial completion (definition to be bargained later) of the Project, as may be extended or renewed (the “**Term**”).
7. **Options to Renew.** Tenant may extend the Term for up to two (2) periods of ten (10) years each (i.e., 20 years total) by giving Landlord not less than twelve (12) months prior written notice of such extension, on all the same terms as set forth in the Lease (including Base Rent escalation). Renewal options may be exercised by Tenant at any time.
8. **Inspection/Initial Period.** Tenant will have a period of one (1) year after the Effective Date, or, if earlier, until the date construction of the Project commences (the “**Initial Period**”), to satisfy itself regarding all aspects and conditions of the Land and to obtain all approvals, permits, consents and rights deemed necessary or desirable by Tenant to develop, construct and operate the Project (“**Entitlements**”). For purposes of the preceding sentence, “construction” does not include environmental remediation, including removal of underground storage tanks. During the Initial Period, Tenant may conduct such investigations and inspections, and pursue such Entitlements, as Tenant deems necessary or desirable for the Project, and Landlord will cooperate with such efforts (without out-of-pocket costs to Landlord). If Tenant (in its sole discretion) determines the Land is not

suitable or the Project is not feasible, or Tenant does not receive the Entitlements, Tenant at its option may terminate the Lease by giving written notice thereof to Landlord at any time prior to expiration of the Initial Period. Tenant shall provide Landlord with copies of all final reports ordered by the Tenant including but not limited to surveys, environmental studies, and geotech reports, and copies of all final applications and approvals for land use issues and permits received by the Tenant.

9. **Initial Period Rent.** From the Effective Date until the day before the Initial Period ends, Tenant will pay \$2,500 per month (“**Initial Period Rent**”).
10. **Construction Period Rent.** From the end of the Initial Period until the day before the outside completion date as determined in the construction schedule, subject to extensions as described below with respect to the construction schedule (the “**Construction Period**”), Tenant will pay \$5,000 per month (“**Construction Period Rent**”). If the Project has not reached substantial completion by the outside completion date subject to the extensions described below, in addition to any other Landlord remedies, the Construction Period Rent will increase to and remain at \$15,000 per month until substantial completion.
11. **Stabilization Rent:** Tenant shall pay reduced Base Rent during a stabilization period of 18 months beginning on the date of substantial completion (“**Project Stabilization Period**”) as follows: (i) Tenant shall pay monthly rent equal to one-quarter of monthly Base Rent for months one through six; (ii) Tenant shall pay monthly rent equal to one-half of monthly Base Rent for months seven through 12; and (iii) Tenant shall pay monthly rent equal to three-quarters of monthly Base Rent for months 12 through 18. Rent during the Project Stabilization Period is “**Stabilization Rent**.”
12. **Base Rent:** Commencing on the day after the end of the Project Stabilization Period (“**Base Rent Commencement Date**”), Tenant shall pay annual base rent (“**Base Rent**”) of \$535,789.00 [REDACTED]
[REDACTED] Base Rent will be payable in equal monthly installments of \$44,649.00 per month. Base Rent is subject to adjustment as follows:

Adjustments to Base Rent. Base Rent shall be increased by [REDACTED] on the first anniversary of the Base Rent Commencement Date and on each such anniversary thereafter during the Term.
13. **Construction Rights.** Tenant may design, construct and alter the Project from time to time during the Term without Landlord’s approval, subject only to the University Approval Rights described below. Landlord will reasonably cooperate (without incurring out-of-pocket costs) with Tenant’s efforts to obtain the Entitlements for the Project, including signing easements, dedications, permit applications, and other documents and possibly meeting with governmental authorities. Tenant may demolish all existing improvements upon receipt of all entitlements, so long as the demolition is contemplated in the Schematic Design Package for Initial Tenant Improvements (excluding the historic former car dealership showroom which will remain and be improved in accordance with historic preservation requirements as

part of Project). To the extent required by applicable law, the construction of the Project will comply with Oregon's prevailing wage rates for public works.

14. **University Approval Rights.** During University of Oregon's ownership of the Land, Landlord will have the following consent or approval rights ("**University Approval Rights**"):

- a. The Project architect; provided that ZGF Architects is pre-approved.
- b. The Project general contractor; provided that Walsh Construction Co., Lease Crutcher Lewis and Hoffman Construction Company are pre-approved.
- c. The schematic, design and construction drawings for the Project, and material changes thereto.
- d. The initial construction schedule for the Project mutually approved by Landlord and Tenant, and material changes (definition to be bargained later) thereto.
- e. Alterations to the Project that materially change (definition to be bargained later) the original site plan, building exterior or building structure.
- f. Hotel operator.
- g. Assignee of Tenant's interests in the Property, subject to the terms of Section 21 below.

All University consent or approval rights shall to the maximum extent possible be subject to reasonable and objective standards and criteria set forth in the Lease, and approvals may not be unreasonably withheld, conditioned or delayed. The Lease will provide for "deemed consent" if Landlord does not respond after two (2) notices providing for reasonable fixed periods (definition to be bargained later) to respond. In the case of disapproval, Landlord will provide all reasonable grounds for the disapproval and specify such changes, if applicable, that would cause Landlord to grant its approval.

15. **Construction Schedule.** Tenant will reach substantial completion of the Project in conformance with a construction schedule mutually approved by Landlord and Tenant as described in the Lease, subject to Force Majeure Delays (defined below) and mutually-agreed change orders or modifications to the construction schedule. Tenant will have 60 business days to cure any impermissible delay, subject to Force Majeure Delays. In addition, during the Construction Period, Tenant will not stop construction for any continuous period in excess of 60 business days, subject to Force Majeure Delays. In the event of breach by Tenant, Landlord may exercise any applicable rights described in the Lease after expiration of any applicable notice and cure period provided therein.

As used herein, "**Force Majeure Delays**" means any delay arising from or on account of any cause whatsoever beyond Tenant's reasonable control, including without limitation strikes, acts of God, inability to obtain required labor or materials (this does not include any inability

due to cost increases), enemy action, civil commotion, fire, losses, accidents, unknown subsurface conditions, and delays caused by Landlord or any third party.

16. **Construction Completion Guaranty.** A copy of the construction completion guaranty for the Project in favor of Tenant's leasehold lender shall be provided to Landlord prior to the commencement of the Construction Period. Tenant will provide such a guaranty to Landlord only if there is no such guaranty in favor of Tenant's leasehold lender. Any guaranty shall terminate upon Substantial Completion of the Project. No other guaranties are contemplated by the Tenant. Tenant will also provide a \$250,000 cash deposit or letter of credit to Landlord at the execution of the Lease as security for Tenant's performance of its Lease obligations through the Construction Period, provided such deposit or letter of credit will be reduced to \$150,000 upon substantial completion of the Project and held as a refundable security deposit under the Lease (and the balance of \$100,000 will be refunded to Tenant at the end of the Construction Period).

17. **Leasehold Financing.** Tenant will have the right from time to time without Landlord's consent to mortgage, pledge or otherwise encumber Tenant's leasehold estate under the Lease and its interest in the Project to secure construction, permanent or other financing (up to a maximum of 75% of Tenant's interest in the Property). Any such leasehold financing shall not attach to the Landlord's fee estate. The Lease and any subleases (and all amendments, renewals and extensions to either) will not be affected by or subject to Landlord's fee mortgages (if any). Landlord's fee and reversionary interests will not be affected by or subject to Tenant's leasehold mortgage.

Upon request, Landlord will enter into a leasehold mortgage protection agreement with Tenant's lender. Such an agreement may include the following provisions: right to notices; opportunity to cure (excluding defaults that are not susceptible to cure by Tenant's lender); lender's control over Tenant's negotiation of and rights pursuant to Lease amendments, modifications, terminations, and certain other Tenant rights under the Lease; right to "new lease" on substantially the same terms as this Lease for the remaining Term if the Lease terminates; control over Tenant's conduct of certain bankruptcy proceedings; after payment of all rents then due, Landlord will permit proceeds of casualty insurance and condemnation to be first applied to restoration of Project; and other normal and customary protections. In addition, if Tenant's lender requires any modifications of the Lease as a condition to advancing a loan to Tenant, Landlord will from time to time execute and deliver a commercially reasonable modification agreement as may be required to make the Lease "financeable" to an institutional or capital market lender, provided that such agreement does not adversely affect Landlord in any material respect as determined by Landlord in its reasonable discretion or reduce any payment to Landlord.

18. **Net Lease.** The Lease will be a "net" lease, meaning that Tenant will be responsible for all taxes, insurance, utilities, maintenance, and all other Property expenses (except for certain exclusions relating to Landlord's ownership of the fee). Tenant controls all operations, leasing, tax protests, etc.

19. **AS-IS Condition.** Unless the Lease is previously terminated or as otherwise provided, Tenant will accept the Land at the expiration of the Initial Period in its "as-is" condition as of

such date. Landlord makes no warranties or representations of any kind with respect to the Land. Notwithstanding the foregoing, the Initial Period Rent, Construction Period Rent, Stabilization Rent, and Base Rent (as applicable) shall be reduced by an amount equal to the amortized costs incurred by Tenant to remediate unknown environmental conditions identified prior to substantial completion of the Project not discovered during the Initial Period. Such costs shall be amortized over twenty-four (24) months; provided the maximum aggregate rent reduction will not exceed \$200,000. Landlord is responsible for the costs of abatement of asbestos in the existing buildings on the Land prior to demolition by Tenant. For reference, the geotechnical and environmental reports available to both Landlord and Tenant as of the date of the Term Sheet are:

Report	Company	Date of Report
Report of Geotechnical Engineering Services	GeoDesign	February 13, 2019
Phase I & Phase II Environmental Site Assessments & Limited Asbestos Survey	GeoDesign	March 2, 2005
Limited Phase II Environmental Site Assessment	GeoDesign	December 16, 2019
Asbestos Survey Report (REVISED)	University of Oregon	January 22, 2019

20. **Lease Assignment.** Tenant may assign all or portion of the Lease and its other rights in the Property to an Affiliate assignee, to a permitted assignee (as described hereafter), to its leasehold lender in connection with leasehold financing, or to another entity with the consent of Landlord.

Landlord may refuse to give consent if a potential assignee does not meet standards for: (i) sufficient successful operating and ownership experience to perform lessee's Lease obligations (to be defined in the Lease); (ii) financial strength (to be defined in the Lease); and, (iii) whose character and values do not conflict with Landlord's standards (to be defined in the Lease). Landlord's consent or rejection of a potential assignee based on character and values must be limited to the following considerations:

- 1) an overall positive history and reputation for safe operations with regard to real estate investments;
- 2) an overall positive history and reputation for ethical practices with regard to real estate investments;
- 3) inclusion on the List of Specially Designated Nationals and Blocked Persons maintained by OFAC, and that it does not reside in, and is not organized or chartered under the laws of,
 - a. a jurisdiction that has been designated by the U.S. Secretary of the Treasury under Section 311 or 312 of the Patriot Act as warranting special measures due to money laundering concerns, or
 - b. any foreign country that has been designated as non-cooperative with international anti-money laundering principles or procedures by an intergovernmental group or organization, such as the Financial Action Task Force on Money Laundering, of which the United States is a member and with which designation the United States representative to the group or organization continues to concur;

- 4) inclusion on, or residing in or organized or chartered under the laws of a jurisdiction included on, the U.S. Department of Commerce's Entity List under the Export Administration Regulations; or
- 5) inclusion on the list of "debarred" companies or individuals declared by the Office of Federal Contract Compliance Programs to be ineligible to receive Federal contracts.

Otherwise, Tenant's right to assign is subject to the Property's permitted uses and other provisions of the Lease and this term sheet, including Landlord's right of first offer (if applicable). Tenant may not assign the Lease or other rights prior to substantial completion of the Project (except in connection with its leasehold financing). Following substantial completion of the Project, upon assignment, the assignor shall be released from liability under the Lease resulting from obligations or causes arising on and after the date of assignment. In addition, if requested by Tenant to facilitate financing, sale, or assignment, Landlord will cooperate with Tenant requests for commercially reasonable modifications to the Lease, provided that such modifications do not adversely affect Landlord in any material respect as determined by Landlord in its reasonable discretion or reduce any payment to Landlord.

"Affiliate" means any individual or legal entity (i) under common ownership or control with Tenant; (ii) owned or controlled by Tenant; or (iii) which controls or owns Tenant (or directly or indirectly has the substantially the same control or ownership as Tenant). Affiliate does not include any individual or legal entity, including those which would otherwise qualify as an Affiliate, formed or restructured to facilitate a sale, to a third party.

21. **Subleasing.** Tenant may enter into subleases without restriction, but subject to the permitted uses and other provisions of the Lease and this term sheet. Upon request, Landlord will from time to time enter into commercially reasonable agreements to recognize and not to disturb the possession and other rights of subtenants under the applicable sublease so long as the subtenant is not in default of the sublease (beyond applicable notice and cure period).
22. **University Office Lease.** University will consider leasing approximately 33,000 square feet of office space in the Project. The terms for such lease to be set forth in a separate term sheet. This provision does not in any way imply, or actually form, a commitment by University to lease space in the Project. Such commitment shall only be in place when and if University agrees by separate Building Lease Term Sheet.
23. **Tenant's Right of First Offer to Purchase.** If Landlord decides to sell, assign, or transfer the fee estate in the Land, Tenant (or its Affiliate) shall have a right of first offer to purchase the fee estate in the Land (which Tenant must exercise or waive before Landlord starts marketing). Neither party has a right of first refusal to purchase. This right of first offer will continue in favor of each successor and assign of Tenant's interest under the Lease during the Term.
24. **Landlord's Right of First Offer to Purchase.** If Tenant decides to sell, assign, or transfer its leasehold and rights in the Project, Landlord shall have a right of first offer to purchase the leasehold and rights (which Landlord must exercise or waive before Tenant starts marketing). Neither party has a right of first refusal to purchase. This right of first offer to purchase does not apply to any sale, assignment, or transfer to an Affiliate of Tenant.

25. **Limited Right of Termination.** Landlord shall have no right to terminate the Lease except for certain failures by Tenant to be described in the Lease, after expiration of the applicable notice(s) and cure period. Landlord must give Tenant at least two (2) notices and rights to cure such failures prior to the effective date of termination (which notices shall state in bold-face capital letters the pending Lease termination, the effective date of termination, and the performance required by Tenant to avoid termination). The notices will be given in the form and times to be described in the Lease. Landlord shall have its other legal and equitable remedies in the event of Tenant default.
26. **Surrender.** Subject to additional terms and details to be set forth in the Lease (including the capital reserves described below and Tenant's performance of maintenance obligations), upon expiration or termination of the Lease, all improvements comprising the Property shall remain and the title thereto automatically vest in Landlord. Tenant shall perform all maintenance required under the Lease through the date of termination.
27. **Capital Reserves.** During the period on and after the Base Rent Commencement Date, Tenant will establish and fund a separate capital reserve account with annual contributions in an amount equal to one percent (1%) of the annual gross rental revenue of the Project. The funds in the capital reserve account will be used to perform capital repairs and replacements during the Term. Tenant will provide annual reporting to Landlord on account balances and uses of the capital reserve account.
28. **Lease Document.** Tenant will prepare the initial draft of the Lease based on this Term Sheet and the form of ground lease previously provided by Landlord and revised as provided herein or as further negotiated by the parties; provided the ground lease will be subject to the review and approval in all respects by each party.
29. **Broker.** Each party acknowledges and agrees that neither party has engaged a broker or agent in connection with this proposed transaction.
30. **Referral Arrangement.** The parties will develop a written agreement by which the University will, subject to the limitations of federal and state law as well as University policies, refer potential hotel guests and apartment tenants to the Project. University agrees to refer and encourage, internal and external parties seeking residential, office and hotel business to the Project. This Referral Arrangement shall include UO events and meetings, as well as third party business, and the hotel will be referred to as the "Flagship" hotel of the University. This University Referral Arrangement shall be subject to reasonable performance standards assuring the components of the Project are safe and functional to the University's own standards.

This Term Sheet and the above terms are not binding on either party and are intended for the sole purpose of providing a framework for further discussions. This Term Sheet shall not create any liability or obligations between Landlord and Tenant or otherwise constitute a binding agreement and may not serve as the basis for any claim, whether in contract or tort, or for reliance or estoppel, or for any claimed breach of any obligation to negotiate in good faith. Landlord and Tenant shall not have any obligations or liability to each other concerning the Land or Project unless and until a formal ground lease agreement is fully

executed and delivered by both parties, and each party disclaims any and all such obligations and liability whatsoever, including without limitation, the obligation to arrive at an agreement concerning the lease of the Land. Finally, the parties acknowledge that the potential adverse impacts on the Project created by the COVID-19 pandemic, which could negatively affect the factors described above, including, without limitation, a prolonged economic downturn, may likely require flexibility by both Landlord and Tenant to adapt the Project, and work through challenges, to meet these new market realities.

If the above terms are acceptable, please sign where indicated below.

University of Oregon

University Village LLC,
an Oregon limited liability company

By: _____
Its: _____
Date: _____, 2020

By: _____
Its: _____
Date: _____, 2020

PAGE LEFT BLANK INTENTIONALLY



Agenda Item #9

Employee Recognition – Dianne Nelson (Action)

After 60 years of working at the University of Oregon, Dianne Nelson is going to retire in 2020. Her first job on campus—a UO telephone operator—began in September 1960. In recognition of her extraordinary service to the institution, the Board of Trustees will consider a resolution thanking her for her dedication to the UO and its students and employees. Following is an Around the O story from May 15, 2020, which summarizes her work.

After six decades, a UO operator prepares to hang it up



In September 1960, Richard Nixon and John Kennedy held the first-ever televised presidential debate; Cassius Clay, later known as Muhammad Ali, won an Olympic gold medal; and Dianne Nelson, a recent 1959 South Eugene High School grad, started her very first job as a UO telephone operator.

Now, six decades later, the unwavering voice on the telephone line to thousands of students, parents, and faculty and staff members who called the UO’s main number will fall silent when she hangs up her headset and retires this year.

Back then, when Nelson joined other operators in the basement of Johnson Hall, all campus communication was routed through the PBX switchboard.

“We had a six- or seven-position cord board, kind of what Lily Tomlin used on TV,” Nelson said, referring to the wise-cracking telephone operator Ernestine, a reappearing character Tomlin popularized on the late 1960s comedy skit show “Rowan & Martin’s Laugh-in.”

At peak times, operators handled as many as 2,000 incoming calls per hour, and part of the job included connecting calls to and from students living in the residence halls. One of those students was Lane County Commissioner Pete Sorenson, who attended the UO in the ’70s.

In “More than a Voice,” an Oregon Quarterly story from Spring 2002, Sorenson said of Nelson, “I think she’s probably second only to (UO sports announcer) Don Essig as the most recognized voice at the UO. I think she’s one of the unsung heroes of the community and university. She really

helped me getting through college and graduate school. I call up and know that I'll get an informed answer."

That informed answer might involve giving lost parents directions to campus or helping students asking when and where to register for classes, or it could be fielding oddball questions like who posed for the Pioneer Mother statue. Can you freeze lettuce? What do I do about an arrest warrant? But Nelson took it all in stride.



"I had a big book of information and I could look up most things," she said.

From upgrades in technology as the UO moved from the old-style cord board to a multiline phone to an automated computer system, Nelson has seen a good deal of change over the years.

She witnessed social upheaval firsthand during the turbulent '60s and '70s, when student protesters held sit-ins in the hallways at Johnson hall and a bomb exploded next door in Prince Lucien Campbell Hall. She survived the devastating Columbus Day storm that uprooted trees and cars on campus.

She's seen students and buildings, presidents and faculty members come and go, but through it all, Nelson was the reassuring voice of the university.

When the UO Department of Telecommunications moved over to the Rainier Building in 1990, Nelson made sure she secured a spot with a view.

"In the basement of Johnson Hall, the only way we could look out was to go into the break room and look out the window," she said.

And since then, rain or shine, Nelson, who has never owned or driven a car, continues to walk to work each day from her university-area home where she has lived her entire life.

She is the only operator left — she retired from her full-time classified position in 2003 — and nowadays Nelson gets only a handful of calls during her part-time shift. A busy day for her is 25-30 calls. Most callers choose to use the automated operator, lovingly dubbed Ernestine.

"Sometimes I go a long time without getting a call and sometimes you're wondering if anybody's out there," she said.

But every now and then she'll answer a call from someone who remembers her: "They were students, and they are surprised I'm still here."

Her co-workers in Information Services are glad she's still there and have nothing but good things to say about her.

“Dianne may have the kindest nature of any person that I have ever met,” said communications software specialist Dan Albrich. “Every day before she leaves she walks by each office to say goodbye to each of us. If I’m on a call with my door closed, she sometimes waits for me to complete my call to say goodbye. Dianne is a gift to everyone who knows her.”

Nelson’s current supervisor, senior technology support analyst Bobbi Bothel, has worked with her for more than 20 years.

“I have never known a more dedicated employee; she really enjoys coming to work,” Bothel said. “She counts how many calls she gets each shift, she knows every delivery person by name and offers them a goody each time they come in. She will truly be missed.”

After she retires, Nelson plans to move into a local assisted living facility, where former UO faculty members await her arrival. But after 60 years, the University of Oregon will always be like home.

“I tell people if my blood wasn’t red, you know, I’d be yellow and green.”

—By Sharleen Nelson, *University Communications*

Board of Trustees of the University of Oregon

**Resolution: Special Recognition of Dianne Nelson
for Service to the University of Oregon**

Whereas, Dianne Nelson has served the University of Oregon with distinction for an extraordinary six decades, since September 1960;

Whereas, Ms. Nelson's dedication to the UO's students, faculty, and staff is exemplary;

Whereas, Ms. Nelson demonstrates commitment, collegiality, kindness, and grace;

Whereas, Ms. Nelson will be a lasting parting of the UO community past her retirement; and,

Whereas, the Board of Trustees wishes to recognize her for all that she has done for the University—and its people—as an employee and community member.

Now, therefore, the Board of Trustees of the University of Oregon hereby extends its heartfelt gratitude to Dianne Nelson for her decades of service to the University, and wishes her all of the best in her next chapter and on her continued adventures.

Moved: _____

Seconded: _____

Trustee	Vote	Trustee	Vote
Aaron		Kari	
Ballmer		Lillis	
Bragdon		McIntyre	
Colas		Murray	
Ford		Ralph	
Gonyea		Wilcox	
Hornecker		Wishnia	

Dated: _____

Recorded: _____

PAGE LEFT BLANK INTENTIONALLY

WRITTEN REPORTS

PAGE LEFT BLANK INTENTIONALLY



ASUO Report

ASUO Spring Quarterly Report to the Board of Trustees:

Date: June 2020

Article I. Presidents Opening Remarks:

- (i) Esteemed Board members I would first like to offer my gratitude for continuing to support and maintain the relationship that exists between the University Of Oregon Board Of Trustees and the Associated Students of the University of Oregon. I look forward to working with each and every one of you this coming academic year in further developing a positive academic environment for all University of Oregon students. It is my belief that our organizations were designed to promote the best interests for all students and faculty alike. Through our joint cooperation I believe we can be successful in maintaining this initiative, and further improve the qualities that make the University of Oregon unique.

Article II. Introduction:

- (i) I believe that in any relationship the number one aspect of importance is a mutual understanding. This can only effectively be achieved through first knowing the individuals within the relationship. My name is Isaiah Boyd, I was born and raised in Southern California near the border of Orange County and Los Angeles County. I am currently a sophomore, prospective junior, majoring in a Bachelor of Arts in Political Science with minors in Legal Studies, Sociology, and tentatively Spanish. I intend on pursuing a Juris Doctor Degree at Stanford University upon graduating from the UO. My commitment in life is to create a positive environment in which every individual feels they can be unique without judgement. Through my pursuits as the student body president I intend on keeping true to this commitment.

Article III. 2020-21 Initiatives:

- (i) My administration has three central goals that we hope to be effective in achieving during the coming academic year. However, in addition to these overarching initiatives we also plan on developing and implementing more specific programs as well throughout the academic year.
- 1) Textbook Affordability:**
 - a) According to HECC, open education resources (OER) are, “freely accessible teaching, learning, and research resources (e.g. textbooks, videos, and images) that the public has the legal permissions to use, share, and build upon the content and are available at low or no cost.” As defined in the Oregon HB 2213, all universities need to develop a plan to reduce the costs of textbooks and meeting with students to develop that goal. Currently the University of Oregon has a tentative OER library position, currently held by Rayne Vieger, tasked with helping find alternative forms of educational materials for academic courses.
 - b) My administration intends to further the development and implementation of OER’s within campus courses. Rising textbook costs are a contributing factor to the many financial incentives that students face during their higher education pursuits. We intend to increase student, faculty, and administration awareness on this growing problem. We hope that through our collaboration and coalition groups we can begin to adjust course materials to fit a more accessible model. We intend to work at the state level to persuade legislators to

provide additional funding for higher education with a specific focus on open educational resources. Likewise, we intend to work in joint cooperation with the Board of Trustees to advance the accessibility of higher education as the University of Oregon. We plan on working in collaboration with the BOT and university administration to establish a plan of action to reduce the unnecessary financial burdens students face while attending the university

2) Food Security:

- a) Students across the nation face financial insecurities on various levels; ranging from payments for their education to the very food that they purchase to survive. Food insecurity is only one of the many challenges that higher education students face in their daily lives. Studies conducted across the nation have found that on average 36% percent of college students are experiencing some form of food insecurity while attending their higher-ed institutions. A recent study conducted in 2018 on the food insecurity for students attending the University of Oregon found that 56% of students experienced some form of basic-needs insecurity while in attendance.
- b) My administration aims to improve the conditions in which students are pursuing their higher education. We can no longer expect students that are unsure of where their next meal will be to attend three lectures in a day, study for their exams, all the while working several low wage jobs to be academically successful.
- c) Our plan for alleviating this growing issue is threefold. We intend on enhancing the programs that currently exist within the ASUO structure by increasing the accessibility and awareness of these programs. We intend on working in collaboration with state officials to establish stronger policies that tackle the deeper causes for food insecurity across the state; examples of such causes are but not limited to: housing insecurity, job insecurity, and low levels of nutritional comprehension. Lastly, we intend to actively work with the student body to include all input from our constituents. It is our belief that all higher-ed governing bodies will not properly function without communication between the students and those elected to serve them.

3) Tuition Engagement:

- a) With the transition of the tuition model to fit the guaranteed structure students both current and incoming will require guidance in understanding their tuition setting process. We hope that with the collaboration of the Board of Trustees, we can ensure that every student understands the processes through which they are assigned their tuition and fees. This administration believes that communication is essential for a positive and beneficial relationship to develop between students, faculty, and administrators alike.
- b) Thus as such, we intend on establishing quarterly forums to collect and disseminate information regarding all aspects of student tuition. Higher education is a privilege for all, and for some a fundamental component of their American Dream. We believe that the University of Oregon and the Board of Trustees have been established to ensure that this privilege is maintained and made accessible for all individuals. We believe that for an accessible and equitable university environment to exist we have to ensure that students are treated as students rather than sources of revenue for university expenses. Thus, we plan on working to ensure all students have the access to the resources they need to both make

educated decisions in regards to their education finances and to be successful in their academic pursuits.

Article IV. Conclusion:

- (i) Through these initiatives we hope to establish a more positive campus environment and further develop the aspects of the university that draw students in from across the nation. The number one priority of my administration is to increase the overall communication between the ASUO, students, Board of Trustees, and faculty alike. Through the creation of a coalition between all these parties we can effectively advance the institutions of the university. Serving at the pleasure of the student body should come to serve as the defining characteristic that our organizations share. We represent the advancement of higher education within the nation. Thus, I hope that we might determine our collective goal during this coming academic year to be the development and increased accessibility of this privilege.

Article V. References:

- (i) Openoregon. "Revised for 2018: Textbook Affordability Student Toolkit." Openoregon.org. N.p., 06 Sept. 2018. Web
- (ii) Office, U.S. Government Accountability. "Food Insecurity: Better Information Could Help Eligible College Students Access Federal Food Assistance Benefits." U.S. Government Accountability Office (U.S. GAO). N.p., 09 Jan. 2019. Web. 07 May 2020.
- (iii) "Clemson OER Libraries." Open Educational Resources. N.p., 2015. Web. 08 May 2020.
- (iv) College Tuition and Fees Increase 63 Percent since January 2006." U.S. Bureau of Labor Statistics. U.S. Bureau of Labor Statistics, 30 Aug. 2016. Web. 07 May 2020.



Internal Audit Quarterly Report

Date: May 21, 2020

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

From: Leah Ladley
Chief Auditor, University of Oregon

Re: June 2020 Board Report

The accompanying board report is presented in a markedly different format than the one to which you may be familiar. The goal is to increase transparency while providing relevant information in a concise format.

Routinely, you will receive these reports (as included):

- Status of Open Recommendations
- Audit Update
- Department Staffing Update

Annually, you will receive an Annual Update on Investigations (as included).

When appropriate, other communications may be provided.

As discussed at our March 2020 meeting, pandemic response has limited our ability to perform formal risk assessment activities. Communication has occurred virtually with leaders in various areas at UO, and audit activities are being planned, as noted on the Audit Update provided in these materials.

In addition to the routine reports attached, please consider with me, one timely issue relevant to internal audit: external assessment of the internal audit activity, as included in the Institute of Internal Auditors (IIA) Quality Assessment and Improvement Program (QAIP), involves engaging assessors external to UO for evaluation of internal audit activities using the *Standards* as criteria. The IIA describes a comprehensive QAIP as including both periodic self-assessments and external assessments and also reporting of results. As our internal audit activities began in FY15, we have reached the age for external assessment (every 5 years). It is my belief that our activities generally conform to the *Standards*. My recommendation is that we defer contracting and engaging for an external quality assessment until university funding stabilizes post-pandemic. Self-assessments will be performed at least annually and will be reported as prescribed by the IIA QAIP. As funding stabilizes post-pandemic, we will plan to return to full conformance with the Standards by scheduling an external assessment. Non-compliance with this particular requirement is not uncommon among internal audit shops and only requires awareness and precludes the use of "this audit was performed in conformance with the International Standards for the Professional Practice of Internal Auditing". Historically, this phrase has not been included in UO internal audit reports.

Project	Current Phase					
	Contracting	Not Yet Started	Planning	Fieldwork	Reporting	Report Date
Internal Audit:						
Vendor Contract Review (FY19 audit plan)					X	
Internal Audit Quality Assurance (self-assessment) FY20				X		
Tier 1:						
*Telehealth Processes			X			
University Health Center Inventory Processes, including Medications			X			
AIM Application ITGC (Accessible Education Center)			X			
Tier 2:						
Admissions			X			
Health Center Financial Processes		X				
Co-Sourced						
<i>Baker Tilly:</i>						
Physical to Cyber (Assessment)					X	
Banner 9 Security	X					
Outsourced						
<i>Bond, Schoeneck and King:</i>						
NCAA Compliance					X	
<i>Moss Adams:</i>						
Financial Statement Audit(s)				X		
Conformance with Retirement Plan Documents	X					

*Response to COVID19 Pandemic

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

Date: May 21, 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 a newly developed report showing the status of open recommendations from reported management action plans. This report will be provided to you each quarter to provide greater visibility into completed and open recommendations.

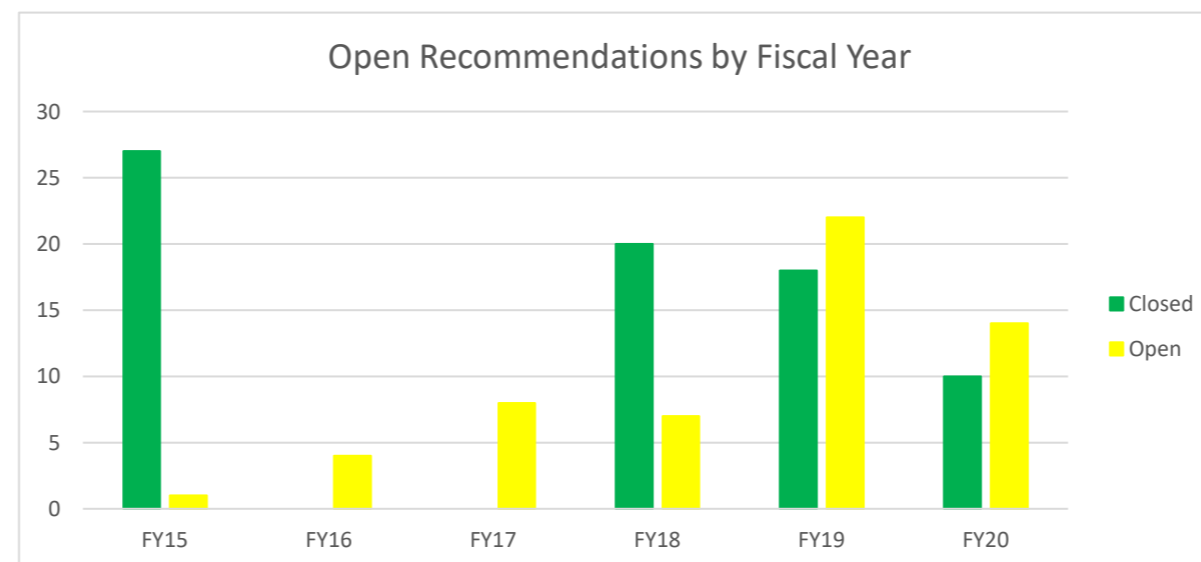
It should be noted that at this time, the quantity of open recommendations is likely overstated because we only recently implemented changes to our follow-up process and have not yet been able to complete status update meetings with all involved. Historically, internal audit has scheduled a follow-up examination for audit recommendations 18 to 24 months after the reporting of the audit, regardless of the target completion date provided as part of the management action plan. We will now be timelier in our actions to confirm the mitigation of risk by reviewing as management's target completion date arrives. With this new process, we will not be surprised or alarmed to find instances in which new target dates will be appropriate, and reasonable.

While status updates with business units have been initiated, this occurred during the time of sheltering in place in response to the pandemic. I am not concerned regarding the status of open recommendations and am confident that the status of open recommendations will continue to improve.

Internal audit also wants to be clear that there are sometimes good reasons for a delayed closure of a recommendation or even significant modifications to the original action plan. Internal audit will continue to follow open recommendations until some state of closure is agreed upon.

Project Name	Report Date	Total Recommendations	Previously Closed	Closing this Quarter	Open Recommendations	
					Open and Due	Not Yet Due
Lab Safety Practices	5/25/2015	8	6	1	1	
Printing and Mailing Efficiencies	5/28/2015	20	14	6		
Grant Management	5/31/2016	4			4	
Sensitive Data	3/1/2017	3			3	
Purchasing Practices	4/14/2017	5			5	
German and Scandinavian Department Assessment	11/20/2017	3		3		
Physics Department Assessment	11/21/2017	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			2	
Athletics IT Risk Assessment	11/19/2018	7			7	
Parking Citation Appeals Process	1/10/2019	3		3		
Form I-9 Compliance	1/18/2019	10		6	4	
Cash Handling Practices	2/22/2019	10		8		2
Firearms Inventory	5/15/2019	4			4	
GLBA Compliance	6/27/2019	4		1		3
Human Resources Practices and Controls	7/22/2019	6		6		
Health Center IT Risk Assessment	8/13/2019	6			5	1
Non-Retaliation Policy	8/30/2019	2				2
PCI Compliance Assessment	9/25/2019	3		2	1	
Inventory of Critical Business Functions	11/26/2019	1				1
Ticket and Parking Sales Processes (Athletics)	2/5/2020	3		2	1	
Data Governance	3/4/2020	3				3
TOTALS		131	20	55	44	12

Since the prior March 2020 meeting, management has implemented 55 recommendations.



Date: May 21, 2020

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

From: Leah Ladley
Chief Auditor, University of Oregon

Re: Internal Audit Risk Ratings

Included in your materials you will find Internal Audit Risk Ratings.

The purpose of developing and implementing risk ratings is to add clarity to our internal audit reports and to reduce any confusion regarding the priority that should be assigned to the observation, recommendation, and management action plan. At times, when appropriate and relevant, observations may receive two ratings: University Priority and Unit Priority.

Though the use of risk ratings is a leading practice in internal audit, it should be understood that the level of rating can be a distraction when focus remains on the rating and not the corrective action. As such, your audit team will work with campus partners to maintain the focus on the purposes of internal auditing: process improvement and risk mitigation. In most cases, we anticipate that internal audit and the audit client will agree upon the risk rating. It is important to note that the risk rating is somewhat subjective and there is room for discretionary assignment.

As we work to better align our departmental processes to leading practices, you will see these risk ratings assigned in our reports and again in the tracking of open recommendations. We will not, however, retroactively assign ratings to currently open recommendations.

These ratings have been shared with various leaders across UO and their feedback has been incorporated into the version you now see before you. Reviewing areas include finance, information services, administration, risk services, legal services, human resources, research, athletics, communications, and academics.

APPENDIX A

The following risk ratings have been assigned to observations in the accompanying internal audit report to more clearly convey the priority of the observations and to emphasize the urgency of corrective actions. Some observations may receive two ratings, one for unit priority and one for university priority.

Risk Ratings	
<p>High Priority</p> <p>Immediate management attention is warranted.</p>	<p>Risk has a high impact and is highly likely to occur.</p> <p>This is a serious internal control, risk management, or security issue that if not mitigated, may, with a high degree of certainty, lead to:</p> <ul style="list-style-type: none"> ○ Substantial losses, possibly in conjunction with other weaknesses in the control framework or the organizational entity or process audited, or ○ Serious violation of University strategies, policies, or values, or ○ Serious reputation damage, such as negative publicity in local, regional, or national media, or ○ Significant adverse regulatory impact, such as loss of operating licenses, accreditation, or material fines, or ○ Substantial unnecessary costs or complexity in operations, or ○ Serious disruption of business operations. <p>This issue affects a substantial percentage of the respective population.</p>
<p>Medium Priority</p> <p>Timely management attention is warranted.</p>	<p>Risk has a high impact and low likelihood, or low impact and high likelihood.</p> <p>This is an internal control, risk management, or security issue that could lead to:</p> <ul style="list-style-type: none"> ○ Loss of assets or asset value, or ○ Loss of controls within the organizational entity or process audited, or ○ Reputation damage, such as negative publicity in local or regional media, or ○ Adverse regulatory impact, such as public sanctions or immaterial fines, or ○ Unnecessary costs or complexity in operations, or ○ Disruption of business operations. <p>This issue affects a moderate percentage of the respective population.</p>
<p>Low Priority</p> <p>Routine management attention is warranted.</p>	<p>Risk has a low impact and low likelihood</p> <p>This is an internal control, risk management, or security issue, the solution to which may lead to improvement in the quality and/or efficiency of the unit or process audited. Limited risks are present.</p> <p>This issue affects a low percentage of the respective population.</p>

Date: May 21, 2020

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

From: Leah Ladley
Chief Auditor, University of Oregon

Re: Investigations

Attached you will find a status of investigations report. This report will be provided to you annually to allow for governance over the investigations in which internal audit has a role.

Internal audit investigations result from multiple sources: EthicsPoint, calls or walk-ins, and referrals from other business units. We continue to work with other risk professionals at UO to gain assurance that all types of reports have a proper channel and that each reporting channel has appropriate follow-up processes for reports received. It is not uncommon for our investigations to involve other units, such as, but not limited to, human resources or legal. When appropriate, internal audit will communicate to management recommendations to improve internal controls. While not considered to be recommendations to be tracked, these communications become components of internal audit's risk assessment.

FY20	Received		Classification								Status	
	Hotline	Other	Academic or Student Affairs	Accounting or Financial	Athletics	Human Resources	Information Technology	Research	Risk and Safety	Other	Closed	Open
Q1	6	1		2		3		2			5	2
Q2	8	1	3	1		1		1	2	1	7	2
Q3	2	3		1		1	1	1		1	4	1
Q4												
Total	16	5	3	4	0	5	1	4	2	2	16	5

FY19	Received		Classification								Status	
	Hotline	Other	Academic or Student Affairs	Accounting or Financial	Athletics	Human Resources	Information Technology	Research	Risk and Safety	Other	Closed	Open
Q1	1			1							1	
Q2	6	1	3			3		1			6	1
Q3	6	2		1		4		1		2	5	3
Q4	3	3	1	4	1						6	
Total	16	6	4	6	1	7	0	2	0	2	18	4



OTHER:

- Co-Sourced IT Audit Services (as contracted)
- Co-Sourced/Out-Sourced Audit Services (as contracted)
- Audit Intern
- Student Program

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



Quarterly Finance and Treasury Reports

Financial information will be discussed in depth during the COVID-19 and FY21 Expenditure Authorization agenda items. Standard quarterly reports are provided here and can supplement the aforementioned presentations.



Finance Summary: Education and General Qtr3 FY2020

CFO's Key Takeaways

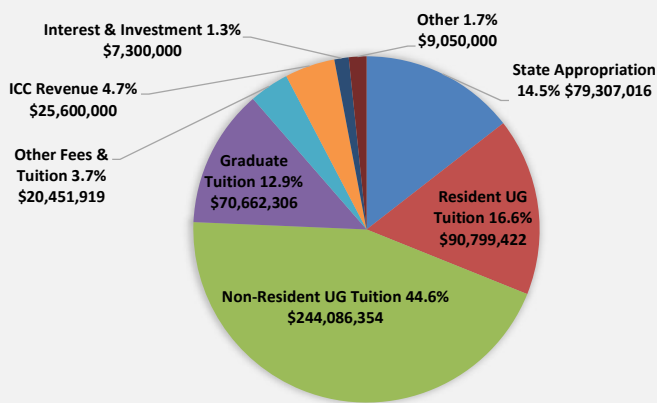
- Overall Q3 E&G Fund projections were adjusted downward slightly from Q2, however there are some significant COVID-19 related shifts in individual line items.
- Updated Q3 projection shows a current estimated shortfall of \$10.9M. This is up from the Q2 projected forecasted shortfall of \$10.4M.
- Largest shifts between Q2 and Q3 are in Tuition & Fees (decrease), Personnel Services (increase), and Services and Supplies (decrease)
- Projected FY20 end-of-year E&G fund balance is dropping from \$53.4M (Q2) to \$52.9M (Q3).

Education and General Fund Qtr3 - Projection Status

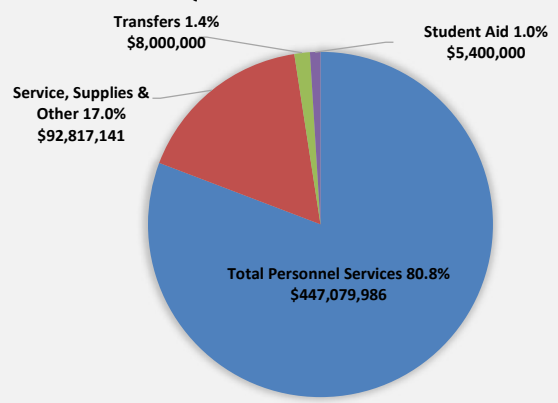
Category	FY20 Q2 Projection	FY20 Q3 Revised Projection	FY20 Q2 Proj vs FY19 Act	FY20 Q3 Actuals vs FY19 Q3	Status	Revised Q3 Proj vs FY19	Notes
State Appropriation	\$79,307,016	\$79,307,016	9.1%	9.5%	On track	9.1%	
Tuition and Fees	\$430,000,000	\$426,000,000	2.8%	2.4%	Down	1.8%	• \$4M reduction due to COVID-19 Impacts: cancellation of Study Abroad programs and increase in Spring term student Withdrawals
Interest & Investment	\$8,000,000	\$7,300,000	10.2%	14.0%	Up	0.6%	• \$700k reduction due to waiver of interest and late fees on student accounts in Q4
ICC Revenue	\$26,400,000	\$25,600,000	7.2%	5.1%	Down	4.0%	• \$800k reduction due to COVID-19 impact on in grant activity
Personnel Services	\$445,073,986	\$447,079,986	4.7%	5.3%	Up	5.2%	• \$2M increase due to COVID-19 Impacts, significant change in leave usage
Service & Supplies	\$118,215,141	\$111,815,141	3.5%	4.7%	Up	-2.1%	• Significant timing issues. \$6.4M reduction due to COVID-19 impacts
Capital Expenses	\$5,300,000	\$4,900,000	1.6%	-21.5%	Down	-6.1%	• \$400k reduction based on on planned department spending

Education & General Funds - Total Dollars

FY20 E&G Q3 REVENUE PROJECTIONS

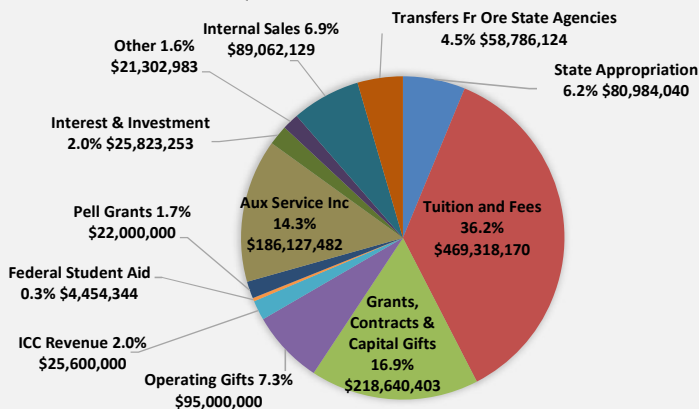


FY20 E&G Q3 EXPENSE PROJECTIONS

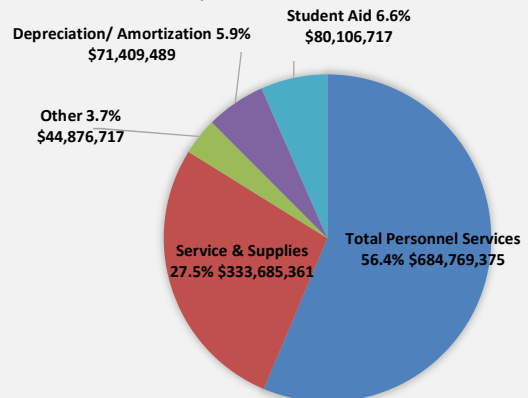


All Funds - Total Dollars

FY20 Q3 REVENUE PROJECTIONS



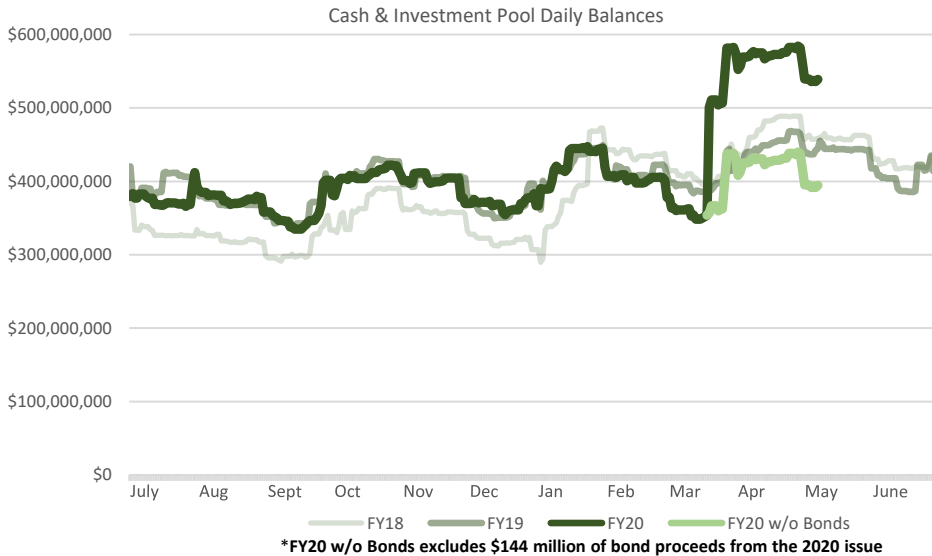
FY20 Q3 EXPENSE PROJECTIONS



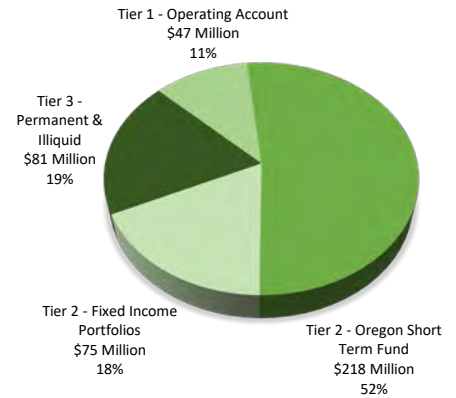
Student Aid Expense does not include \$45.5M of fee remissions awarded to students. Remissions are booked as negative revenue.



Cash & Investment Pool



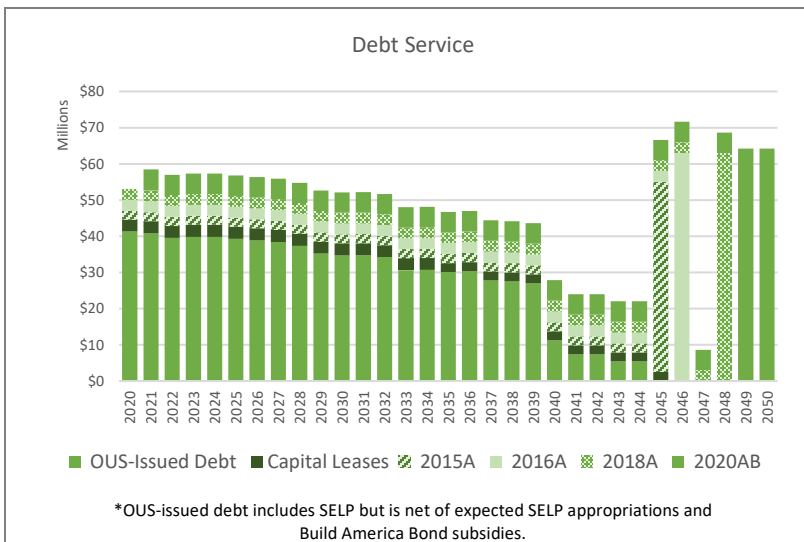
Cash & Investment Pool Allocation



Average During Q3 FY20

- The cash & investment pool averaged \$420 million during Q3 FY20, which include \$144 million revenue bonds issued March 19, 2020. Average balances for the quarter were approximately \$10 million higher than the same quarter in the previous fiscal year due to unspent bond proceeds.
- Estimated average accounting yield for the cash & investment pool was 2.02% for Q3 FY20 and 2.19% for FY20 year-to-date. In FY19 the Q3 yield was 2.17%.

Debt Activities



Significant Projects Funded Using Debt & Capital Leases

UO 2020AB

- Housing Transformation, Phase 1

UO 2018A

- Bean Hall
- Oregon Hall
- Health Center

UO 2016A

- Kalapuya Ilihi Hall
- Pacific Hall

UO 2015A

- Erb Memorial Union

Capital Leases

- White Stag (Portland)
- 1600 Millrace

OUS-Issued Debt

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

- The current principal balance of outstanding debt, including capital leases, is approximately \$818 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.
- In March the university issued bonds, primarily to be used to fund Phase 1 of the Housing Transformation project.

	2020A (Tax Exempt)	2020B (Taxable)
Par	\$100,000,000	\$20,000,000
Premium	\$24,575,000	N/A
Coupon	5.0%	3.15%
Yield to Call	2.25%	3.15%
Call Date	4/1/2030	4/1/2030
Final Maturities	4/1/2049 & 4/1/2050	4/1/2049 & 4/1/2050

PAGE LEFT BLANK INTENTIONALLY

T3 Portfolio

STRATEGY SUMMARY

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

FUND RETURN SUMMARY

PORTFOLIO VALUE	\$68.4 MM
INVESTED CAPITAL	\$63.5 MM
CASH (FOR DIST. AND CALLS)	\$4.9 MM
DISTRIBUTIONS FYTD	\$1.1 MM

RELATIVE PERFORMANCE

	QTR	FYTD	1 YR	3 YR	5 YR	10 YR	STD. DEV.	SHARPE
T3 INVESTED CAPITAL	-10.7%	-7.6%	-3.9%	5.0%	N/A	N/A	10.4%	0.5
60/40 STOCK/BOND BENCHMARK	-12.0%	-6.4%	-3.1%	3.1%	3.3%	5.4%	9.2%	0.2
CPI-U + D% + 1% BENCHMARK	1.7%	4.5%	6.6%	7.0%	6.9%	6.8%	N/A	N/A

PORTFOLIO COMMENTARY

T3's portfolio construction is based on broad diversification: by geography, sector and asset class. The purpose is to minimize the exposure and impact from any particular performance outlier – on the positive or negative side. As a result, performance contribution by individual managers varied significantly as the sharp correction (in almost all markets around the world) manifested itself during the first quarter of 2020.

The T3 returned -10.7%, which compares favorably with the S&P500 decline of -19.6% during Q1 2020, US mid-cap stocks of -27.1% and the MSCI World ex USA of -23.4%. Only the 60/40 US equity/bond benchmark performed in-line with T3 due to bonds being flat.

Despite last quarter's dislocation, the portfolio is currently close to its target asset allocation, at 72% equity and 28% fixed income vs 70% and 30%, respectively. Our highest sector weighting is infotech and telecom with 33% due to its relative strong performance. That sector along with healthcare (8%) continued to perform well during the April rally.

T3 Portfolio

ESTIMATED PORTFOLIO DETAILS

POLICY WEIGHTS

	TARGET	RANGE	ACTUAL
EQUITY	70%	50-75%	72%
FIXED INCOME	30%	25-50%	28%

SECTOR — NET EXPOSURE

CONSUMER	14%
POWER	1%
FINANCIALS	7%
HEALTHCARE	8%
INDUSTRIALS	10%
INFOTECH & TELECOM	33%
REAL ESTATE	<1%
SOVEREIGN DEBT	2%
OTHER	7%

COMMITMENT SCHEDULE

COMMITMENT	CAPITAL CALLED	DISTRIBUTIONS	MARKET VALUE
\$4,000,000	\$3,000,000	\$0	\$3,969,425

SECURITY TYPE — T3 PORTFOLIO

	LONG	SHORT	GROSS	NET
GLOBAL EQUITY	68%	-6%	74%	62%
LONG ONLY	41%	0%	41%	41%
LONG SHORT	27%	-6%	33%	21%
DEBT	21%	-1%	22%	20%
SOVEREIGN	2%	0%	2%	2%
CORPORATE	19%	-1%	20%	18%
TOTAL T3 PORTFOLIO	89%	-7%	96%	82%

GEOGRAPHY — NET EXPOSURE

UNITED STATES	47%
DEVELOPED, NON-US	27%
EMERGING MARKETS	9%
FRONTIER MARKETS	0%

MARKET CAP — NET EXPOSURE*

LARGE	22%
MID	17%
SMALL	22%

*Excludes debt

FY19 Actuals Quarter 4 Report

All Funds except Agency and Clearing
Designated Ops

	Education and General	Center and Service	Auxiliaries	Grant Funds	Restricted Gift Funds	Other Funds	Plant Funds	Internal Bank	Total	Reporting Adj.	Total
State Appropriation	\$ 72,712,010	\$ 1,170,784	\$ 452,924	\$ 61,762	\$ -	\$ -	\$ -	\$ -	\$ 74,397,481	\$ (1)	
Tuition and Fees	\$ 418,454,072	\$ 171,673	\$ 41,939,915	\$ -	\$ 100	\$ -	\$ -	\$ 3,117,759	\$ 463,683,518		
Gifts Grants & Contracts	\$ 323,334	\$ 6,120,403	\$ -	\$ 126,069,217	\$ 81,903,035	\$ -	\$ 61,472,740	\$ -	\$ 275,888,729		
ICC Revenue	\$ 24,619,477	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 24,619,477		
Federal Student Aid	\$ -	\$ -	\$ -	\$ 25,683,829	\$ -	\$ -	\$ -	\$ -	\$ 25,683,829		
Interest and Investment	\$ 7,259,112	\$ 13,927,936	\$ 84,592	\$ 66	\$ 83,985	\$ 538,317	\$ 649,020	\$ 11,438,358	\$ 33,981,386		
Internal Sales	\$ 2,821,527	\$ 50,383,105	\$ 24,658,015	\$ 65	\$ 200	\$ -	\$ -	\$ 35,409,252	\$ 113,272,164		
Sales & Services	\$ 4,168,451	\$ 12,403,786	\$ 169,938,494	\$ 106,537	\$ -	\$ -	\$ -	\$ -	\$ 186,617,269		
Other Revenues	\$ 2,191,003	\$ 2,676,513	\$ 4,649,001	\$ 12,582	\$ 17,914	\$ -	\$ 562,247	\$ -	\$ 10,109,261		
Transfers From Ore State Agencies	\$ -	\$ -	\$ -	\$ 10,471,965	\$ -	\$ -	\$ 75,627,559	\$ -	\$ 86,099,524		
Total Revenue	\$ 532,548,986	\$ 86,854,200	\$ 241,722,942	\$ 162,406,023	\$ 82,005,234	\$ 538,317	\$ 138,311,566	\$ 49,965,370	\$ 1,294,352,638		
Salaries and Wages	\$ 257,825,362	\$ 23,603,943	\$ 59,405,653	\$ 41,606,255	\$ 17,876,156	\$ -	\$ 10,056	\$ 167,185	\$ 400,494,610		
OPE Health Benefits	\$ 23,011,905	\$ 236,465	\$ 152,012	\$ 1,690,602	\$ 255,643	\$ -	\$ -	\$ -	\$ 25,346,628		
OPE Retirement	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -		
OPE Other	\$ 7,175,151	\$ 75,534	\$ 38,486	\$ 1,041,543	\$ 79,741	\$ -	\$ -	\$ -	\$ 8,410,454		
OPE GTF Remissions	\$ 136,924,333	\$ 17,431,439	\$ 32,187,193	\$ 20,755,825	\$ 10,499,476	\$ -	\$ 2,890	\$ 102,022	\$ 217,903,178		
Total Personnel Services	\$ 424,936,751	\$ 41,347,381	\$ 91,783,343	\$ 65,094,225	\$ 28,711,016	\$ -	\$ 12,946	\$ 269,208	\$ 652,154,869		
Service & Supplies	\$ 114,237,981	\$ 21,259,779	\$ 106,487,401	\$ 30,162,583	\$ 22,800,940	\$ (1,030,455)	\$ 7,620,466	\$ 30,474,379	\$ 332,013,075		
Merchandise-Resale/Redistribution	\$ 4,171	\$ 18,970,194	\$ 13,018,228	\$ -	\$ 222	\$ -	\$ -	\$ -	\$ 31,992,816		
Internal Sales Reimbursements	\$ (18,172,375)	\$ (3,000)	\$ (1,521,269)	\$ (26,463)	\$ -	\$ -	\$ (2,881,709)	\$ -	\$ (22,604,815)		
Indirect Costs	\$ 71,589	\$ 2,955,133	\$ 7,435,758	\$ 24,651,977	\$ -	\$ 298,489	\$ -	\$ -	\$ 35,412,946		
Depreciation/Amortization Expense	\$ -	\$ 4,288,036	\$ 30,801,152	\$ -	\$ -	\$ -	\$ 30,464,025	\$ -	\$ 65,553,212		
Student Aid	\$ 5,882,527	\$ 347,554	\$ 6,527,102	\$ 40,692,062	\$ 24,853,656	\$ 19,794,785	\$ -	\$ -	\$ 98,097,685		
Total General Expense	\$ 102,023,894	\$ 47,817,695	\$ 162,748,373	\$ 95,480,159	\$ 47,654,818	\$ 19,062,819	\$ 35,202,783	\$ 30,474,379	\$ 540,464,919		
Net Transfers Out/(In)	\$ 11,829,666	\$ (2,337,222)	\$ (1,745,741)	\$ (2,953)	\$ 5,578,303	\$ -	\$ (15,460,031)	\$ 2,137,979	\$ -		
Total Expense	\$ 538,790,310	\$ 86,827,854	\$ 252,785,975	\$ 160,571,431	\$ 81,944,136	\$ 19,062,819	\$ 19,755,698	\$ 32,881,565	\$ 1,192,619,788		
Net before CapEx	\$ (6,241,324)	\$ 26,346	\$ (11,063,033)	\$ 1,834,593	\$ 61,098	\$ (18,524,502)	\$ 118,555,868	\$ 17,083,805	\$ 101,732,850		
Beginning Fund Balance	\$ 77,206,732	\$ 58,616,371	\$ 323,394,855	\$ (1,599,304)	\$ 14,532,235	\$ 25,980,293	\$ 569,073,914	\$ 19,911,269	\$ 1,087,116,366		
Capital Expenditures	\$ (5,215,820)	\$ (506,147)	\$ (43,330)	\$ (1,216,504)	\$ (1,901,353)	\$ -	\$ (147,156,559)	\$ -	\$ (156,039,713)		
Net (from above)	\$ (6,241,324)	\$ 26,346	\$ (11,063,033)	\$ 1,834,593	\$ 61,098	\$ (18,524,502)	\$ 118,555,868	\$ 17,083,805	\$ 101,732,850		
Fund Additions/Deductions*	\$ -	\$ 1,934,843	\$ 7,956,595	\$ -	\$ -	\$ -	\$ 147,814,476	\$ -	\$ 157,705,914	\$ (246,136,516)	
Ending Fund Balance	\$ 65,749,587	\$ 60,071,414	\$ 320,245,087	\$ (981,215)	\$ 12,691,981	\$ 7,455,791	\$ 688,287,700	\$ 36,995,073	\$ 1,190,515,418	\$ (246,136,516)	\$ 944,378,902
Year-End Accounting Entries **	\$ (1,927,913)	\$ (130,597)	\$ (1,002,489)	\$ (236,012)	\$ (90,094)	\$ 298,489	\$ -	\$ (1,858)	\$ (3,090,475)		\$ (3,090,475)
Net Capital Assets	\$ -	\$ 26,878,531	\$ 286,085,007	\$ -	\$ -	\$ -	\$ 567,972,885	\$ (2,364,856)	\$ 878,571,567	\$ -	\$ 878,571,567
Other Restricted Net Assets	\$ -	\$ -	\$ -	\$ (1,217,227)	\$ 12,601,887	\$ 7,754,280	\$ 99,142,814	\$ -	\$ 118,281,754	\$ (673,429)	\$ 117,608,325
Unrestricted Net Assets	\$ 63,821,674	\$ 33,062,286	\$ 33,157,590	\$ -	\$ -	\$ -	\$ 21,172,000	\$ 39,358,071	\$ 190,571,622	\$ (245,463,087)	\$ (54,891,465)
Total Net Assets***	\$ 63,821,674	\$ 59,940,817	\$ 319,242,597	\$ (1,217,227)	\$ 12,601,887	\$ 7,754,280	\$ 688,287,700	\$ 36,993,215	\$ 1,187,424,943	\$ (246,136,516)	\$ 941,288,428

* - 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

FY20 Initial Projection - All Funds except Agency and Clearing

	Designated Ops				Restricted Gift				
	Education and General	and Service Center	Auxiliaries	Grant Funds	Funds	Other Funds	Plant Funds	Internal Bank	Total
State Appropriation	\$ 78,872,041	\$ 1,212,024	\$ 453,200	\$ 61,800	\$ -	\$ -	\$ -	\$ -	\$ 80,599,065
Tuition and Fees	\$ 435,000,000	\$ 805,049	\$ 44,897,642	\$ -	\$ -	\$ -	\$ -	\$ 3,000,000	\$ 483,702,691
Gifts Grants & Contracts	\$ 150,000	\$ 6,120,403	\$ -	\$ 129,000,000	\$ 82,000,000	\$ -	\$ 62,000,000		\$ 279,270,403
ICC Revenue	\$ 25,900,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -		\$ 25,900,000
Federal Student Aid	\$ -	\$ -	\$ -	\$ 26,454,344	\$ -	\$ -	\$ -		\$ 26,454,344
Interest and Investment	\$ 8,000,000	\$ 13,927,936	\$ 85,000	\$ 10,000	\$ 300,000	\$ 538,317	\$ 650,000	\$ 2,925,000	\$ 26,436,253
Internal Sales	\$ 2,900,000	\$ 50,861,929	\$ 24,923,088	\$ -	\$ 200	\$ -	\$ -	\$ 35,600,000	\$ 114,285,217
Sales & Services	\$ 4,200,000	\$ 11,765,372	\$ 181,217,631	\$ 106,537	\$ 63,160	\$ -	\$ -	\$ -	\$ 197,352,700
Other Revenues	\$ 2,200,000	\$ 2,800,000	\$ 4,649,001	\$ -	\$ 17,914	\$ -	\$ 500,000	\$ -	\$ 10,166,915
Transfers From Ore State Agencies	\$ -	\$ -	\$ -	\$ 10,786,124	\$ -	\$ -	\$ 75,000,000	\$ -	\$ 85,786,124
Total Revenue	\$ 557,222,041	\$ 87,492,713	\$ 256,225,562	\$ 166,418,805	\$ 82,381,274	\$ 538,317	\$ 138,150,000	\$ 41,525,000	\$ 1,329,953,713
Salaries and Wages	\$ 263,082,505	\$ 24,352,580	\$ 61,592,717	\$ 42,708,820	\$ 17,668,264	\$ -	\$ -	\$ 183,950	\$ 409,588,837
OPE Health Benefits	\$ 147,929,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 99,050	\$ 148,028,050
OPE Retirement		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
OPE Other		\$ 19,493,213	\$ 35,839,965	\$ 21,200,611	\$ 11,024,450	\$ -	\$ -	\$ -	\$ 87,558,238
OPE GTF Remissions	\$ 31,062,481	\$ -	\$ 150,000	\$ 2,811,378	\$ 335,384	\$ -	\$ -	\$ -	\$ 34,359,242
Total Personnel Services	\$ 442,074,000	\$ 43,846,000	\$ 97,583,000	\$ 66,721,000	\$ 29,028,000	\$ -	\$ -	\$ 283,000	\$ 679,535,000
Service & Supplies	\$ 118,215,141	\$ 20,749,503	\$ 110,543,715	\$ 30,837,297	\$ 22,800,940	\$ 100,000	\$ 7,650,000	\$ 30,650,000	\$ 341,546,597
Merchandise-Resale/Redistribution	\$ 2,000	\$ 18,356,319	\$ 13,118,491	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 31,476,810
Internal Sales Reimbursements	\$ (18,700,000)	\$ (244,010)	\$ (1,103,000)	\$ (26,643)	\$ -	\$ -	\$ -	\$ -	\$ (20,073,653)
Indirect Costs	\$ 100,000	\$ 2,680,205	\$ 8,379,610	\$ 25,900,000	\$ -	\$ 275,000	\$ -	\$ -	\$ 37,334,815
Depreciation/Amortization Expense		\$ 4,265,121	\$ 33,005,757	\$ -	\$ -	\$ -	\$ 34,138,611	\$ -	\$ 71,409,489
Student Aid	\$ 6,000,000	\$ 708,972	\$ 1,350,645	\$ 42,372,131	\$ 27,074,969	\$ 3,200,000	\$ -	\$ -	\$ 80,706,717
Total General Expense	\$ 105,617,141	\$ 46,516,110	\$ 165,295,218	\$ 99,082,786	\$ 49,875,909	\$ 3,575,000	\$ 41,788,611	\$ 30,650,000	\$ 542,400,775
Net Transfers Out(In)	\$ 11,000,000	\$ (2,556,146)	\$ (1,925,822)	\$ -	\$ 5,974,303	\$ -	\$ (14,284,129)	\$ 1,791,794	\$ -
Total Expense	\$ 558,691,141	\$ 87,805,964	\$ 260,952,396	\$ 165,803,786	\$ 84,878,212	\$ 3,575,000	\$ 27,504,482	\$ 32,724,794	\$ 1,221,935,775
Net before CapEx	\$ (1,469,100)	\$ (313,251)	\$ (4,726,834)	\$ 615,019	\$ (2,496,938)	\$ (3,036,683)	\$ 110,645,518	\$ 8,800,206	\$ 108,017,938
Beginning Fund Balance	\$ 63,821,674	\$ 59,940,817	\$ 319,242,597	\$ (1,217,227)	\$ 12,601,887	\$ 7,754,280	\$ 688,287,700	\$ 36,993,215	\$ 1,187,424,943
Capital Expenditures	\$ (5,300,000)	\$ (506,147)	\$ (52,500)	\$ (1,610,901)	\$ (1,548,578)	\$ -	\$ (232,500,000)		\$ (241,518,125)
Net (from above)	\$ (1,469,100)	\$ (313,251)	\$ (4,726,834)	\$ 615,019	\$ (2,496,938)	\$ (3,036,683)	\$ 110,645,518	\$ 8,800,206	\$ 108,017,938
Fund Additions/Deductions*	\$ -	\$ -	\$ 43,000,000	\$ -	\$ -	\$ -	\$ 189,500,000	\$ -	\$ 232,500,000
Ending Fund Balance	\$ 57,052,574	\$ 59,121,419	\$ 357,463,264	\$ (2,213,109)	\$ 8,556,372	\$ 4,717,597	\$ 755,933,218	\$ 45,793,421	\$ 1,286,424,756
Year-End Accounting Entries **	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Net Capital Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Other Restricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Unrestricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Total Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

* - Due to Capital Improvements and Debt Accounting entries

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

FY20 Actuals Quarter 3 Report

All Funds except Agency and Clearing

	Designated Ops				Restricted Gift					
	Education and	and Service								
	General	Center	Auxiliaries	Grant Funds	Funds	Other Funds	Plant Funds	Internal Bank	Total	
State Appropriation	\$ 66,814,900	\$ 878,088	\$ 339,900	\$ 46,350	\$ -	\$ -	\$ -	\$ -	\$ 68,079,238	
Tuition and Fees	\$ 420,502,573	\$ 2,129,346	\$ 39,978,979	\$ -	\$ -	\$ -	\$ -	\$ 3,019,194	\$ 465,630,093	
Gifts Grants & Contracts	\$ 24,360	\$ 3,335,680	\$ 296,177	\$ 94,915,744	\$ 72,747,461	\$ -	\$ 48,549,429	\$ -	\$ 219,868,850	
ICC Revenue	\$ 19,062,299	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 19,062,299	
Federal Student Aid	\$ -	\$ -	\$ -	\$ 23,187,539	\$ -	\$ -	\$ -	\$ -	\$ 23,187,539	
Interest and Investment	\$ 5,769,967	\$ 10,300,977	\$ 71,196	\$ 559	\$ 2,347	\$ 424,049	\$ 690,141	\$ 4,187,467	\$ 21,446,704	
Internal Sales	\$ 2,277,911	\$ 38,519,085	\$ 17,231,816	\$ 40	\$ 6,000	\$ -	\$ -	\$ 22,537,172	\$ 80,572,023	
Sales & Services	\$ 3,572,157	\$ 9,605,954	\$ 126,156,807	\$ 348,706	\$ -	\$ -	\$ 233,167	\$ -	\$ 139,916,791	
Other Revenues	\$ 1,066,402	\$ 710,347	\$ 3,235,407	\$ -	\$ -	\$ -	\$ 149,780	\$ -	\$ 5,161,936	
Transfers From Ore State Agencies	\$ -	\$ -	\$ 13,201	\$ 9,147,080	\$ -	\$ -	\$ 21,437,772	\$ -	\$ 30,598,053	
Total Revenue	\$ 519,090,569	\$ 65,479,478	\$ 187,323,483	\$ 127,646,018	\$ 72,755,808	\$ 424,049	\$ 71,060,289	\$ 29,743,833	\$ 1,073,523,527	
Total Personnel Services	\$ 327,013,086	\$ 33,404,445	\$ 74,057,143	\$ 51,282,920	\$ 20,620,255	\$ -	\$ 9,975	\$ 204,602	\$ 506,592,424	
Service & Supplies	\$ 84,324,718	\$ 13,013,461	\$ 76,315,465	\$ 20,290,834	\$ 13,611,335	\$ 32,948	\$ 4,946,070	\$ 14,911,481	\$ 227,446,311	
Merchandise-Resale/Redistribution	\$ (275,314)	\$ 12,213,225	\$ 9,060,768	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 20,998,679	
Internal Sales Reimbursements	\$ (13,422,598)	\$ (1,000)	\$ (1,288,408)	\$ (21,800)	\$ -	\$ -	\$ (543,331)	\$ -	\$ (15,277,138)	
Indirect Costs	\$ 23,879	\$ 2,203,819	\$ 5,873,604	\$ 19,079,800	\$ -	\$ -	\$ -	\$ -	\$ 27,181,101	
Depreciation/Amortization Expense	\$ -	\$ 3,198,949	\$ 24,063,527	\$ -	\$ -	\$ -	\$ 24,612,152	\$ -	\$ 51,874,628	
Student Aid	\$ 4,965,138	\$ 62,395	\$ 1,922,892	\$ 35,786,207	\$ 29,061,547	\$ 163,122	\$ -	\$ -	\$ 71,961,301	
Total General Expense	\$ 75,615,822	\$ 30,690,849	\$ 115,947,848	\$ 75,135,041	\$ 42,672,882	\$ 196,070	\$ 29,014,891	\$ 14,911,481	\$ 384,184,882	
Net Transfers Out/(In)	\$ 4,515,230	\$ 123,649	\$ 180,144	\$ (176,742)	\$ 112,030	\$ 549,333	\$ (7,135,429)	\$ 1,831,786	\$ -	
Total Expense	\$ 407,144,137	\$ 64,218,943	\$ 190,185,134	\$ 126,241,219	\$ 63,405,166	\$ 745,403	\$ 21,889,436	\$ 16,947,869	\$ 890,777,307	
Net before CapEx	\$ 111,946,432	\$ 1,260,535	\$ (2,861,651)	\$ 1,404,799	\$ 9,350,642	\$ (321,354)	\$ 49,170,853	\$ 12,795,964	\$ 182,746,220	
Beginning Fund Balance	\$ 63,821,674	\$ 59,940,817	\$ 319,242,597	\$ (1,217,227)	\$ 12,601,887	\$ 7,754,280	\$ 688,287,700	\$ 36,993,215	\$ 1,187,424,943	
Capital Expenditures	\$ (2,991,282)	\$ (1,057,869)	\$ -	\$ (1,240,082)	\$ (2,098,568)	\$ -	\$ (99,572,491)	\$ -	\$ (106,960,291)	
Net (from above)	\$ 111,946,432	\$ 1,260,535	\$ (2,861,651)	\$ 1,404,799	\$ 9,350,642	\$ (321,354)	\$ 49,170,853	\$ 12,795,964	\$ 182,746,220	
Fund Additions/Deductions*	\$ (416,683)	\$ 1,736,090	\$ 8,128,795	\$ -	\$ (135,380)	\$ -	\$ 9,513,819	\$ -	\$ 18,826,641	
Ending Fund Balance	\$ 172,360,140	\$ 61,879,574	\$ 324,509,741	\$ (1,052,510)	\$ 19,718,580	\$ 7,432,927	\$ 647,399,881	\$ 49,789,179	\$ 1,282,037,513	
Year-End Accounting Entries **	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	
Net Capital Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	
Other Restricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	
Unrestricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	
Total Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	

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

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

FY20 Actuals Quarter 3 Report

Education and General

	FY20 Q3									
	FY20 Q3				inc/(dec)		FY20 Q2		FY20 Updated	
	FY20 Updated		Actual as %		from FY19		FY19 Total	Proj vs FY19	FY20 Updated	Proj vs FY19
	Projection Q2	FY20 Actual Q3	of Proj	FY19 Actual Q3	Q3	Actual	Total as %	Projection Q3	Total as %	
State Appropriation	\$ 79,307,016	\$ 66,814,900	84.2%	\$ 61,005,964	9.5%	\$ 72,712,010	9.1%	\$ 79,307,016	9.1%	
Tuition and Fees	\$ 430,000,000	\$ 420,502,573	97.8%	\$ 410,726,834	2.4%	\$ 418,454,072	2.8%	\$ 426,000,000	1.8%	
Gifts Grants & Contracts	\$ 150,000	\$ 24,360	16.2%	\$ 24,845	-2.0%	\$ 323,334	-53.6%	\$ 150,000	-53.6%	
ICC Revenue	\$ 26,400,000	\$ 19,062,299	72.2%	\$ 18,145,224	5.1%	\$ 24,619,477	7.2%	\$ 25,600,000	4.0%	
Federal Student Aid	\$ -	\$ -	-	\$ -	-	\$ -	-	\$ -	-	
Interest and Investment	\$ 8,000,000	\$ 5,769,967	72.1%	\$ 5,060,167	14.0%	\$ 7,259,112	10.2%	\$ 7,300,000	0.6%	
Internal Sales	\$ 2,900,000	\$ 2,277,911	78.5%	\$ 2,193,080	3.9%	\$ 2,821,527	2.8%	\$ 2,500,000	-11.4%	
Sales & Services	\$ 4,200,000	\$ 3,572,157	85.1%	\$ 3,055,896	16.9%	\$ 4,168,451	0.8%	\$ 4,200,000	0.8%	
Other Revenues	\$ 2,200,000	\$ 1,066,402	48.5%	\$ 1,726,630	-38.2%	\$ 2,191,003	0.4%	\$ 2,200,000	0.4%	
Transfers From Ore State Agencies	\$ -	\$ -	-	\$ -	-	\$ -	-	\$ -	-	
Total Revenue	\$ 553,157,016	\$ 519,090,569	93.8%	\$ 501,938,640	3.4%	\$ 532,548,986	3.9%	\$ 547,257,016	2.8%	
Total Personnel Services	\$ 445,073,986	\$ 327,013,086	73.5%	\$ 310,486,699	5.3%	\$ 424,936,751	4.7%	\$ 447,079,986	5.2%	
Service & Supplies	\$ 118,215,141	\$ 84,324,718	71.3%	\$ 80,531,930	4.71%	\$ 114,237,981	3.5%	\$ 111,815,141	-2.1%	
Merchandise-Resale/Redistribution	\$ 2,000	\$ (275,314)	-13765.7%	\$ 5,903	-4763.9%	\$ 4,171	-52.1%	\$ 2,000	-52.1%	
Internal Sales Reimbursements	\$ (19,100,000)	\$ (13,422,598)	70.3%	\$ (11,634,914)	15.4%	\$ (18,172,375)	5.1%	\$ (19,100,000)	5.1%	
Indirect Costs	\$ 100,000	\$ 23,879	23.9%	\$ 62,733	-61.9%	\$ 71,589	39.7%	\$ 100,000	39.7%	
Depreciation/Amortization Expense	\$ -	\$ -	-	\$ -	-	\$ -	-	\$ -	-	
Student Aid	\$ 6,000,000	\$ 4,965,138	82.8%	\$ 4,706,917	5.5%	\$ 5,882,527	2.0%	\$ 5,400,000	-8.2%	
Total General Expense	\$ 105,217,141	\$ 75,615,822	71.9%	\$ 73,672,569	2.6%	\$ 102,023,894	3.1%	\$ 98,217,141	-3.7%	
Net Transfers Out(In)	\$ 8,000,000	\$ 4,515,230	56.4%	\$ 7,708,513	-41.4%	\$ 11,829,666	-32.4%	\$ 8,000,000	-32.4%	
Total Expense	\$ 558,291,127	\$ 407,144,137	72.9%	\$ 391,867,780	3.9%	\$ 538,790,310	3.6%	\$ 553,297,127	2.7%	
Net before CapEx	\$ (5,134,111)	\$ 111,946,432	-2180.4%	\$ 110,070,860	1.7%	\$ (6,241,324)	-17.7%	\$ (6,040,111)	-3.2%	
Beginning Fund Balance	\$ 63,821,674	\$ 63,821,674	100.0%	\$ 77,206,732	-17.3%	\$ 77,206,732	-17.3%	\$ 63,821,674	-17.3%	
Capital Expenditures	\$ (5,300,000)	\$ (2,991,282)	56.4%	\$ (3,809,721)	-21.5%	\$ (5,215,820)	1.6%	\$ (4,900,000)	-6.1%	
Net (from above)	\$ (5,134,111)	\$ 111,946,432	-2180.4%	\$ 110,070,860	1.7%	\$ (6,241,324)	-17.7%	\$ (6,040,111)	-3.2%	
Fund Additions/Deductions*	\$ -	\$ (416,683)	-	\$ -	-	\$ -	-	\$ -	-	
Year-End Accounting Entries	\$ -	\$ -	-	\$ -	-	\$ (1,927,913)	-100.0%	\$ -	-100.0%	
Ending Fund Balance	\$ 53,387,563	\$ 172,360,140	322.8%	\$ 183,467,871	-6.1%	\$ 63,821,674	-16.3%	\$ 52,881,563	-17.1%	
Year-End Accounting Entries **	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	
Net Capital Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	
Other Restricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	
Unrestricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	
Total Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	

* - Due to Capital Improvements and Debt Accounting entries

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

FY20 Actuals Quarter 3 Report

Auxiliaries

	FY20 Updated		FY20 Q3	FY20 Q3		FY20 Q3	FY20 Q2 Proj		FY20
	Projection Q2	FY20 Actual Q3	Actual as %	FY19 Actual Q3	inc/(dec)	from FY19	FY19 Total	vs FY19 Total	Updated Proj
			of Proj		Q3	Q3	Actual	as %	vs FY19 Total
									as %
State Appropriation	\$ 453,200	\$ 339,900	75.0%	\$ 339,624	0.1%	\$ 452,924	0.1%	\$ 403,200	-11.0%
Tuition and Fees	\$ 43,297,642	\$ 39,978,979	92.3%	\$ 41,325,406	-3.3%	\$ 41,939,915	3.2%	\$ 39,513,121	-5.8%
Gifts Grants & Contracts	\$ -	\$ 296,177	-	\$ -	-	\$ -	-	\$ -	-
ICC Revenue	\$ -	\$ -	-	\$ -	-	\$ -	-	\$ -	-
Federal Student Aid	\$ -	\$ -	-	\$ -	-	\$ -	-	\$ -	-
Interest and Investment	\$ 85,000	\$ 71,196	83.8%	\$ 55,557	28.1%	\$ 84,592	0.5%	\$ 85,000	0.5%
Internal Sales	\$ 24,923,088	\$ 17,231,816	69.1%	\$ 17,486,992	-1.5%	\$ 24,658,015	1.1%	\$ 24,483,317	-0.7%
Sales & Services	\$ 184,217,631	\$ 126,156,807	68.5%	\$ 123,342,177	2.3%	\$ 169,938,494	8.4%	\$ 157,295,164	-7.4%
Other Revenues	\$ 4,649,001	\$ 3,235,407	69.6%	\$ 2,720,580	18.9%	\$ 4,649,001	0.0%	\$ 4,349,001	-6.5%
Transfers From Ore State Agencies	\$ -	\$ 13,201	-	\$ -	-	\$ -	-	\$ -	-
Total Revenue	\$ 257,625,562	\$ 187,323,483	72.7%	\$ 185,270,336	1.1%	\$ 241,722,942	6.6%	\$ 226,128,803	-6.5%
Total Personnel Services	\$ 97,583,000	\$ 74,057,143	75.9%	\$ 65,984,611	12.2%	\$ 91,783,343	6.3%	\$ 94,198,389	2.6%
Service & Supplies	\$ 110,543,715	\$ 76,315,465	69.0%	\$ 73,244,628	4.2%	\$ 106,487,401	3.8%	\$ 106,742,479	0.2%
Merchandise-Resale/Redistribution	\$ 13,118,491	\$ 9,060,768	69.1%	\$ 9,121,456	-0.7%	\$ 13,018,228	0.8%	\$ 10,489,201	-19.4%
Internal Sales Reimbursements	\$ (1,103,000)	\$ (1,288,408)	116.8%	\$ (1,252,859)	2.8%	\$ (1,521,269)	-27.5%	\$ (1,283,659)	-15.6%
Indirect Costs	\$ 8,379,610	\$ 5,873,604	70.1%	\$ 5,267,431	11.5%	\$ 7,435,758	12.7%	\$ 8,028,304	8.0%
Depreciation/Amortization Expense	\$ 33,005,757	\$ 24,063,527	72.9%	\$ 23,077,166	4.3%	\$ 30,801,152	7.2%	\$ 33,005,757	7.2%
Student Aid	\$ 1,350,645	\$ 1,922,892	142.4%	\$ 2,158,743	-10.9%	\$ 6,527,102	-79.3%	\$ 1,350,645	-79.3%
Total General Expense	\$ 165,295,218	\$ 115,947,848	70.1%	\$ 111,616,564	3.9%	\$ 162,748,373	1.6%	\$ 158,332,727	-2.7%
Net Transfers Out(In)	\$ 10,424,178	\$ 180,144	1.7%	\$ (3,719,702)	-104.8%	\$ (1,745,741)	-697.1%	\$ 2,191,172	-225.5%
Total Expense	\$ 273,302,396	\$ 190,185,134	69.6%	\$ 173,881,473	9.4%	\$ 252,785,975	8.1%	\$ 254,722,288	0.8%
Net before CapEx	\$ (15,676,834)	\$ (2,861,651)	18.3%	\$ 11,388,863	-125.1%	\$ (11,063,033)	41.7%	\$ (28,593,485)	158.5%
Beginning Fund Balance	\$ 319,242,597	\$ 319,242,597	100.0%	\$ 323,394,855	-1.3%	\$ 323,394,855	-1.3%	\$ 319,242,597	-1.3%
Capital Expenditures	\$ (52,500)	\$ -	0.0%	\$ (68,550)	-100.0%	\$ (43,330)	21.2%	\$ (116,915)	169.8%
Net (from above)	\$ (15,676,834)	\$ (2,861,651)	18.3%	\$ 11,388,863	-125.1%	\$ (11,063,033)	41.7%	\$ (28,593,485)	158.5%
Fund Additions/Deductions*	\$ 41,000,000	\$ 8,128,795	19.8%	\$ (202,888)	-4106.5%	\$ 7,956,595	415.3%	\$ 41,000,000	415.3%
Year-End Accounting Entries	\$ -	\$ -	-	\$ -	-	\$ (1,002,489)	-100.0%	\$ -	-100.0%
Ending Fund Balance	\$ 344,513,264	\$ 324,509,741	94.2%	\$ 334,512,281	-3.0%	\$ 319,242,597	7.9%	\$ 331,532,198	3.8%
Year-End Accounting Entries **	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Net Capital Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Other Restricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Unrestricted Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Total Net Assets	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

* - Due to Capital Improvements and Debt Accounting entries

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

FY20 Actuals Quarter 3 Report
Total All Fund Groups

Personnel Services	Total Dollars			Benefits as a % of Total Salary & Leave	
	FY2019	FY2020	Yr/Yr % Inc	FY2019	FY2020
Salary & Wages	\$295,866,529	\$309,835,830	4.7%		
Other Payroll Expense(OPE) and Leave					
Personnel Leave	\$19,096,434	\$20,125,767	5.4%	6.1%	6.1%
Medical Insurance	\$58,084,763	\$62,049,584	6.8%	18.4%	18.8%
Retirement	\$56,683,767	\$65,989,657	16.4%	18.0%	20.0%
Other OPE	\$22,675,195	\$23,517,244	3.7%	7.2%	7.1%
Total OPE & Leave	\$156,540,160	\$171,682,252	9.7%	49.7%	52.0%
*Total Personnel Services	\$452,406,689	\$481,518,082	6.4%		

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

SUPPLEMENTAL MATERIALS



Financial Impact of COVID-19

**UO Board of Trustees
June 4th, 2020**

Agenda

- Spring 2020 Impact of COVID-19
 - E&G Funds
 - Auxiliary Funds
- FY2021 Budget Uncertainties
- Federal Stimulus Funding
- Actions Taken to Date

COVID-19: Projected Spring FY20 E&G Fund Impact

- Projected Revenue Impact: \$5.9 million
 - Cancelled study abroad programs
 - Increased Spring term student withdrawals
 - Reduced F&A return on federal grants
 - Waived Spring term interest and late fees on student accounts
- Most of this revenue loss will be offset by reduced expenses related to COVID-19
- Projected FY20 run rate deficit growing from \$10.4 million to \$10.9 million

COVID-19: Projected Spring FY20 Auxiliary Funds Financial Impact

- Most auxiliary services on campus were either partially or completely shut down this Spring
 - Housing and Dining
 - Student Recreation Center
 - Student Union
 - Child Care Centers
- Refunds were provided to students for housing / dining contracts, Student Rec Center mandatory fees, EMU mandatory fees, child care tuition
- Net impact to Auxiliary Funds: projected to be between \$21 million - \$22 million

Budget Uncertainties: FY2021

- Tuition Revenue

- Many national surveys predict a 15% decline in undergraduate student enrollment next fall
- For the UO, this would be approximately \$56 million of tuition revenue
- Most likely highly dependent upon whether on-campus activities can be resumed
- This year it will be more difficult to accurately predict fall enrollment until the term starts

- State Appropriation

- Last recession, UO lost 45% of state funding or \$37 million per year
- DAS directed agencies to model initial 8.5% biennial cut (17% cut to FY21 budget); for UO this is equal to \$13.9 million/year; no state funding decisions yet made
- May 20th state revenue forecast projected state revenue down \$2.7 billion for FY20-21
- Exact timing of state budget cuts unknown. There will likely be cuts for both FY21 and for the FY22-23 biennium.

- Auxiliary Operations

- Significant losses if on-campus student activities significantly curtailed
- Specific larger issues: approved housing configurations; football season

Federal Stimulus Funds

- Total Spring FY20 impact to institution: around \$25 million including E&G funds, Auxiliary funds and other funds
- Federal Stimulus Funds (CARES Act):
 - \$8 million grants directly to students to “provide emergency financial aid grants to students for expenses related to the disruption of campus operations due to coronavirus”
 - \$8 million institutional funds to “to cover any costs associated with significant changes to the delivery of instruction due to the coronavirus.”

Actions Taken to Date

- Actions taken to immediately reduce expenditures:
 - Travel freeze (initially implemented for health reasons)
 - Hiring freeze
 - Voluntary pay reductions –senior leadership (President, Provost, Vice Presidents, Deans, Athletic Director)
 - HR actions in Auxiliary Operations (LWOP with extended benefits)
 - Pay action freeze
 - Agreement with United Academics to extend collective bargaining agreement (with no annual salary increase) to June 2021 and to provide one-year, conservative FTE contracts to instructional career faculty up for renewal due to enrollment uncertainty.
 - Workshare program – summer FTE reduction program
 - Direction to limit Services and Supplies (“S&S”) expenditures to essential expenses
- Planning Actions
 - Progressive Pay Reduction Plan developed and in discussion with employee groups
 - University Task Force on Long-term Responses to COVID-19 formed