

NOTICE OF PUBLIC MEETING

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

Thursday, September 10, 2020, at 8:30 a.m.

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

Subjects of the meeting will include COVID-19 impacts and operations update; reports from the ASUO president, University Senate president, Provost and Senior Vice President, and University President; and discussions regarding university finances, student crisis funds, student mental health, student success, the UOPD and the president's annual evaluation.

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

Public Comment

Individuals wishing to provide public comment to the Board of Trustees may do so in writing via trustees@uoregon.edu. 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 September 9, 2020.

Board of Trustees
September 10, 2020 | 8:30 a.m. PT

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

Convene Public Meeting

- Call to order and verification of a quorum
 - Approval of minutes from June 4, June 24 and August 27 full board meetings
1. **ASUO President and University Senate President Reports.** Isaiah Boyd, ASUO President; Elliot Berkman, Professor of Psychology and University Senate President
 2. **President and Provost Reports.** Michael Schill, President; Patrick Phillips, Provost and Senior Vice President
 3. **COVID-19 Impacts, Planning and Operations.** Andre Le Duc, Associate Vice President and Chief Resilience Officer
 4. **University Finances.** Jamie Moffitt, Vice President for Finance and Administration and CFO
 5. **Student Crisis Funds.** Kris Winter, Associate Vice President and Dean of Students; Jim Brooks, Associate Vice President and Director of Financial Aid

Meeting Recessed Until 1:00 p.m. PT

6. **Student Mental Health and Services.** Deb Beck, Assistant Vice President and Executive Director of University Health Services; Shelly Kerr, Director of the University Counseling Center; Kris Winter, Associate Vice President and Dean of Students
7. **Student Success Initiatives Semi-Annual Report.** Yvette Alex-Assensoh, Vice President for Equity and Inclusion; Sung-Woo Cho, Research Associate Professor, College of Education; Doneka Scott, Vice Provost for Undergraduate Education and Student Success
8. **UOPD Budget and Operations.** Matt Carmichael, Chief of Police
9. **Presidential Evaluation Summary Report.** Chuck Lillis, Chair

Meeting Adjourned

Agenda Item #1

ASUO & University Senate President Reports



Associated Students of the University of Oregon Executive Branch

ASUO Fall Quarterly Report to the Board of Trustees:

Date: September 2020

01. Opening Remarks:

- a. Within the last six months, we have experienced a rapid change to the norms we've long been accustomed to. COVID-19 has created a shift in both the economic and social institutions across the nation and has left many people in positions of unease. This pandemic has demonstrated the flaws in our public safety services, but also the tenacity of our communities. Throughout the summer quarter, my administration has worked with officials from all across the campus to educate ourselves, discuss potential solutions, and prepare for our return to campus. While this may be later in the academic year than previously thought, we are nonetheless determined to achieve the initiatives set out before us and further develop an institution that appeals to students across the nation. I believe that the initiatives described below will not only better the conditions for students attending the University of Oregon but also for those to come. With the support of the Board of Trustees and university administrators, we can work towards establishing a better institution for higher education.

02. 2020-21 Core Initiatives

- a. Textbook Affordability:
The rising costs of textbooks and educational materials in higher education courses have become a pressing financial burden for many students. A study conducted by the U.S. Government Accountability Office found the costs of textbooks between the years 2002 and 2012 rose by 82%, roughly three times the rate of inflation within that time frame. The average cost of course materials for an academic year has been estimated at \$1,200, roughly \$400 a quarter at institutions like the University of Oregon. The Florida Virtual Campus's Office of Distance Learning and Student Services conducted a survey of nearly 21,000 students in 2018 on the issue of textbook affordability within higher education institutions and discovered 14% of students dropped courses based on the price of the assigned textbooks. With the rising costs of tuition and associated fees for higher education, the issue of textbook affordability is becoming more profound. However, there are many solutions that could be easily implemented at the Univ. of Oregon to alleviate these burdens. The state legislature has passed multiple bills in support of expanding textbook affordability; HB 2213 was enrolled during the 2019 Regular Session which requires public universities to establish a textbook affordability plan.
 - i. The Solutions:

1. The implementation of a permanent OER (Open Education Resource) Librarian position in the Knight Library to aid faculty in the transition towards OER materials.
 2. The establishment of an acting Textbook Affordability Committee with the purpose of expanding OER materials across campus, aiding in the development of a more comprehensive textbook affordability plan, and helping faculty transition into an OER structured model.
 3. The implementation a campus-wide policy that requires all faculty to disclose the materials required for courses during the registration process
 - a. federal law requires publishers to disclose textbook prices and revision information to professors effectively ensuring that professors can choose course materials that are affordable and present these to students prior to the first days of classes.
 - b. Roughly 30% of Univ of Oregon courses are posted with all the extra costs (course materials) associated with them.
- ii. The Obstacles:
1. The time required to train and support faculty with transitioning towards OER materials that fit the structure of their courses
 2. The time and resources required to combat the marketplace and publishers that control the market, restricting natural competition.
- b. Food Security:
- Food insecurity is a growing dilemma that many are facing across the nation. As higher education continues to rise in cost, vulnerable communities become more exposed to the financial burdens associated with it. Students that face this dilemma are more likely to see a reduction in their academic rigor and likely to withdraw from their courses or even drop out of their university all together. A recent study conducted in 2018 about food insecurity for students attending the University of Oregon found that 56% of students experienced some form of basic-needs insecurity while in attendance. Furthermore, the Hope Center for College, Community, and Justice surveyed nearly 86,000 students from 123 U.S. higher education institutions and found that 41% suffered from food insecurity. We are witnessing the beginning of a basic needs crisis that could have lasting impacts on the accessibility of higher education and the growth of the nation. Out of roughly 5,300 higher education institutions within the nation nearly 650 institutions have established food pantries as a means for combating food insecurity on their campuses. The Board of Trustees, university administrators, and members of the student government are gatekeepers of our institution. We serve to better the interest of the students attending the University of Oregon, as such, issues like that of food insecurity should continue to be a high priority to invest resources into.
- i. The Solutions:
1. Implement a campus-wide program through which students with extra meal points or university currency can donate them towards a banking system accessible to lower-income students or those suffering from food insecurity.

2. Increase the stipend and hourly pay for student workers to better fit the wealth metrics of the Eugene area
 3. Establishing sustainable funding within the institutions operating budget for current initiatives and programs emerging out of the Food Security Task Force
 4. Advocating for additional state funding towards institutional programs that are designed to combat food insecurity; examples being the food pantry.
 5. Raising awareness around this issue has the potential to connect students with the resources and information needed to combat food insecurity.
- ii. The Obstacles:
1. Combating the root causes of basic-need insecurities such as inequity in wealth distribution
 2. Sourcing funding and resources to further develop the existing programs and establish additional programs aimed out counteracting food insecurity
 3. Sourcing funding from state and federal levels given the current economic constraints as a result of the pandemic
- c. Tuition Engagement:
- With the financial deficits impacting both the state and institutional levels, this year's advocacy for fair student tuition will be a fundamental component of my administration. The guaranteed tuition model has demonstrated risks and with the financial shortfalls of this year's enrollment, we must find an equitable means through which we can achieve a balanced budget so as not to burden future cohorts with the concerns of paying for our debt. Now more than ever student voices must be uplifted and included in the conversations regarding their tuition and fees. Students are facing financial hardships and likewise, the university is faced with the difficult task of adjusting the operational costs to maintain its primary functions. For a balanced budget to be established, there first needs to be a line of communication between students and university administrators. Only then can we work to reduce the growing inaccessibility of higher education and establish an equitable university environment.
- i. The Solutions:
1. Create monthly forums and newsletters regarding the tuition setting process to disseminate information to the student body and keep students informed about their costs of attendance
 2. Advocate and lobby at the state level for increased funding towards institutions of higher education, while increasing student outreach to private donors and alumni to acquire no-string-attached funds for the advancement of departmental programs
 3. Research additional tuition models that could better suit the fiscal needs of the university
- ii. The Obstacles:
1. The state deficit has the potential to increase the vulnerability of higher education funding as legislatures look to balance the budget

2. Adjusting the operational budget so as not to exploit incoming cohorts as a mere means of resolving severe deficits will require the revaluation of campus-wide expenditures

03. Secondary Initiatives

- a. With the social justice movements emerging across the nation, we as an academic institution have an obligation to support these trends of social change to our fullest capacities. “As a community of scholars, we help individuals’ question critically, think logically, reason effectively, communicate clearly, act creatively, and live ethically.” As such we are tasked with advancing the initiatives laid out below, for only through the active engagement with these areas of advocacy can we foster “the next generation of transformational leaders and informed participants in the global community.”
 - i. Racial Justice Advocacy
 - ii. International Student & Daca Protections
 - iii. Sexual Assault Prevention
 - iv. Voter Registration
 - v. Hygiene Accessibility
 - vi. Gender Identity Advocacy
 - vii. Policing Reforms & Abolition

04. Closing Remarks:

- a. We are at a moment in history through which our actions will reverberate with generations to come. We must remain resolute in our advocacy for those most vulnerable within our communities. We must recognize the need to be forthright in saying Black lives matter. We must begin to reassess the societal norms that no longer meet the ethical values we as a society hold to be true. We must be open to change. We can no longer afford to procrastinate with time we do not have. This institution stands for more than merely a place to obtain a degree. We have the opportunity now to transform this institution into a space from which future leaders, activists, advocates, and critical thinkers can begin to create real change.

05. References:

- a. "Clemson OER Libraries." Open Educational Resources. N.p., 2015. Web. 08 May 2020.
- b. “College Student Hunger Statistics and Research.” Feeding America, 2019, www.feedingamerica.org/research/college-hunger-research.
- c. "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.
- d. "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
- e. “Food Insecurity on College Campuses.” Harvard Graduate School of Education, www.gse.harvard.edu/news/uk/18/11/food-insecurity-college-campuses.
- f. HB2213 2019 Regular Session - Oregon Legislative Information System, olis.oregonlegislature.gov/liz/2019R1/Measures/Overview/HB2213.
- g. “Open Educational Resources: Intro to OER.” Research Guides, researchguides.uoregon.edu/c.php?g=897514&p=6485977#s-lg-box-20614066.

- h. "Revised for 2018: Textbook Affordability Student Toolkit." Openoregon.org. N.p., 06 Sept. 2018. Web.
- i. "Students Have Greater Access to Textbook Information," Office, U.S. Government Accountability, June 6, 2013
- j. "2012 Florida Student Textbook Survey," Florida Virtual Campus, 2012.
- k. Wang, Yu Wei. "Food Insecurity Common Across US Higher Education Campuses." American Psychological Association, American Psychological Association, 8 Aug. 2019, www.apa.org/news/press/releases/2019/08/food-insecurity-campus.

Board of Trustees Meeting Senate President Remarks

September 10, 2020

I'm Elliot Berkman, the Senate President for this year. I'm also a Professor in the Department of Psychology and Associate Director of the Center for Translational Neuroscience. My research is about the neural and psychological processes that underpin health behaviors such as healthy eating and smoking cessation. I look forward to meeting those of you who I haven't met and to working with all of you this year.

This morning I would like to introduce you to our new Vice President and to tell you about some of our plans for this year.

First, the Vice President. Spike Gildea is a Professor of Linguistics. Spike is an outstanding VP and President-Elect because of the high esteem in which he is held by his fellow faculty members and his rare dedication to the University of Oregon. He has served three terms in two stints as Head of the Department of Linguistics and currently serves as the Interim Director of the Composition Program. Like me, Spike is deeply committed to the University. Spike is a third generation Duck and he holds bachelor's, master's, and doctoral degrees from this university. The UO is part of his identity. Spike's scholarship involves comparative and documentary fieldwork in South America to develop descriptive grammars of the indigenous languages of greater Amazonia. You can recognize him in the wild by his endearing grin and tie dye shirt.

And now a few words on our plans for this year. There are many things we'd like to get done this year, and most of them fall into one of three categories.

1. Our predominant focus will be related to equity and inclusion. You might be aware that in our final meeting last year the Senate passed a [Resolution Against Racism and Systemic Oppression](#). I have charged all senate academic committees with determining how they can best support the fulfillment of our obligation to educate the next generation of leaders about racism and its persistent effects. We see our actions this year as part of a decades-long effort to dismantle racism at UO and in academia. Among the first steps are:

- to stand up and empower the Senate's Equity, Inclusion, and Diversity committee to coordinate the work that will happen in the coming years;
- to begin educating faculty leaders including the full senate and provide career development opportunities to faculty around these issues, particularly as they relate to creating an inclusive and accessible learning environment in the (physical or virtual) classroom; and
- to integrate and harmonize these faculty-led efforts with the campus-wide initiative to address systemic racism.

2. We also will be making progress in terms of academic instruction. Over the last few years, the Senate's Continuous Improvement and Evaluation of Teaching Committee revamped the student experience surveys. This year, we plan to finalize the criteria that we as a faculty will use to define and measure teaching excellence and build tools to help our faculty improve their teaching through peer evaluations. Additionally, we as faculty leaders will be closely involved in articulating guidelines for effective remote and online teaching for the duration of the pandemic.

3. Finally, the Senate will become more involved in the research enterprise at the University of Oregon. Our jurisdiction is “academic matters, as commonly understood,” which squarely encompasses research and other forms of academic scholarship. The Senate’s Research Commission was formed last spring but put on hold because of the pandemic. It will re-launch this winter and produce a report featuring recommendations for improving research mentorship and career development for all faculty but especially junior faculty. The Research Commission will also study ways to foster interdisciplinary scholarship on campus and better integrate research into the educational experiences for our undergraduate students. Our aim is to present a written report featuring a careful analysis of potential directions for research and scholarship at UO to the incoming Vice President for Research and Innovation at the completion of that search process. Related to the goal of achieving Senate leadership in research is the Senate’s Open Access initiative, led by a subcommittee of the University Library Committee. The subcommittee is developing an open access policy that will apply to the research and scholarship of our faculty that will then be voted on by the Senate.

I will close by telling you about the strong working relationship that I have formed with the Provost and President. The reality is that the only way to make progress on these issues is in partnership with the academic administrative leadership. We learned to work together last year during President Skowron’s tenure and the spirit of shared governance through faculty-administration collaboration that she nurtured has only grown since then. We’ve developed mutual trust and have identified shared goals in each of the priority areas for the Senate’s work this year. I would hope that the same could be said for the Senate and the Board, and I look forward to working with you this year to make that a reality.

US19/20-18: RESOLUTION AGAINST RACISM AND SYSTEMIC OPPRESSION

[June 5, 2020](#)

Date of Notice: June 2, 2020

Current Status: Approved June 10, 2020 (*as amended in red below*)

Motion Type: Resolution

Sponsor(s): Elizabeth Skowron (CAS – Psychology, Senate President)

Elliot Berkman (CAS – Psychology, Senate Vice President and President-Elect)

Isaiah Boyd (ASUO President 2020-2021)

Gina Biancarosa (College of Education, Senator), Jay Butler (Business Affairs, Senator), Jen Reynolds (Law, Senator), Pedro Garcia-Caro (CAS – Romance Languages, Senator), Suzie Stadelman (University Counseling Center, Senator), Mark Whalan (CAS – English, Senator), Monique Balbuena (Honors College, Senator), Chris Chavez (Journalism, Senator), Beth Harn (College of Education, Senator), Volya Kapatsinski (CAS – Linguistics, Senator), Hans Dreyer (CAS – Human Physiology, Senator), Sam Stroich (EMU Outdoor Program, Senator), Zhuo Jing-Schmidt (CAS – East Asian Languages & Literature, Senator), Melissa Brunkan (Music, Senator), Akiko Walley (College of Design, Senator), Keith Zvoch (College of Education, Senator), Eileen Otis (CAS – Sociology, Senator), Stephanie Prentiss (Business Affairs, Senator), Kristy Bryant-Berg (CAS – English, Senator), Anne Wood (CAS – Biology, Senator)

Motion

Section I

1.1 WHEREAS we are a nation in crisis; and

1.2 WHEREAS racism has long been and continues to be deeply rooted in our society; and

1.3 WHEREAS the University of Oregon has in the past celebrated racist individuals and institutions and, despite some progress, remains an institution with more work to do including eliminating microaggressions and other forms of exclusion consistently endured by Black students, faculty, and staff; and

1.4 WHEREAS historic and ongoing structural and systemic barriers in our society prevent Black Americans and communities of color from thriving in our country; and

1.5 WHEREAS the effects of the COVID-19 pandemic and other public health crises are disproportionately borne by Black Americans and other communities of color; and

1.6 WHEREAS the senseless deaths of Black Americans continue at the hands of those who swore oaths to protect and serve; and

1.7 WHEREAS the senseless deaths of Black Americans continue at the hands of vigilantes, white supremacists, and white nationalists; and

1.8 WHEREAS the murders of George Floyd, Ahmaud Arbery, and Breonna Taylor, Tony McDade, and David McAtee are only the most recent examples of the brutality of law enforcement and white vigilantes against Black men and women and the devaluing of Black lives; and

1.9 WHEREAS it is each of our responsibilities to ensure we understand the history of our own privileges, racism, and biases and the impact of our actions, or lack thereof, on the Black community, Native people, and other communities of color; and

1.10 WHEREAS decades of scholarship from faculty and students around the globe including many at the University of Oregon have documented but not succeeded in eliminating the pervasive existence, and insidious effects of structural racism; and

1.11 WHEREAS it is our responsibility as an academic institution to study, teach, and learn from the effects of structural racism and white nationalism on Black Americans, all people of color, and the wellbeing of our democracy.

Section II

2.1 THEREFORE BE IT RESOLVED that we in the strongest possible terms stand together to condemn the long-standing murder by police and other racially-motivated violence, injustice, and oppression that targets the Black community as well as state violence against peaceful protestors; and

2.2 BE IT FURTHER RESOLVED that all those with privileges and power will take full responsibility to continuously work in partnership with communities of color to recognize, examine, and address our own beliefs, biases, and privileges as we reaffirm our values of justice and equity; and

2.3 BE IT FURTHER RESOLVED that we will hold our leaders accountable to evaluate themselves and the systems over which they have power to actively combat and dismantle racism and oppression in all their forms and to embrace unity, build bridges between communities, and heal divisions; and

2.4 BE IT FURTHER RESOLVED that the Senate Leadership will charge all Senate academic committees with determining how they can best support fulfillment of our obligation to educate the next generation of leaders about these issues. Specific steps the Senate committees should consider taking, in consultation with the academic units, include but are not limited to:

1. Revisiting their mission and charge to determine if any changes are necessary to appropriately support this work;
2. Identifying and promoting existing scholarship and curricula, such as the Black Studies minor, that illuminate and mitigate structural racism and oppression and their effects on society, and also determining if there is a lack of such work and then facilitating its development;
3. Supporting university-wide efforts to create and maintain inclusive learning environments that educate students, faculty, and community members;
4. Advocating both faculty appointments and structural support for teaching and research that centers on the history of racial oppression and the ongoing and pervasive impacts of structural racism, **and active support and retention of faculty, staff, and administrators of color;**
5. **Encouraging the teaching of US: Difference Inequality, and Agency courses across all departments, including units that have rarely taught cultural and equity literacy courses and assess the degree to which DIA courses meet their stated purpose;**
6. **Considering the addition of a new requirement, such as a course in Indigenous, Race and Ethnic Studies, and other incentives for students to study and participate in experiential learning in the areas of cultural and equity literacy;**
7. **Advocating both faculty appointments and structural support for Indigenous, Race and Ethnic Studies and other expert teachers and scholars of race and power, and endorsing the value of faculty teaching development and lifelong learning opportunities about the history of racial oppression and the ongoing and pervasive impacts of structural racism;**

2.5 BE IT FURTHER RESOLVED that the Senate will invite an annual report from the Office of the Provost sharing disaggregated student outcomes (enrollment and achievement) across colleges and departments, and that institutional data be regularly disaggregated to help colleges and departments track and improve the achievement gap for Black students and other students of color compared to white students; and

2.6 BE IT FURTHER RESOLVED that the Senate will invite an annual report from the Center for Multicultural Academic Excellence, the Multicultural Center, the Ombuds Office, the Dean of Students, and the Office of Investigations and Civil Rights Compliance on the kinds of experiences students report in UO classrooms and campus, both ones that increase a sense of belonging and that exclude or negatively impact Black, Indigenous, Latinx, Asian, and Pacific Islander students, to heighten faculty awareness of how their teaching practices differentially impact students; and

2.7 BE IT FURTHER RESOLVED that the Senate urges the university to create an independent civilian oversight process for the University of Oregon Police Department with investigatory and disciplinary authority; and

2.8 BE IT FURTHER RESOLVED that the Senate urges the university to present to the Senate a written analysis of whether the University of Oregon should have a sworn law enforcement agency (i.e., UOPD) or an unarmed public safety structure; and

2.9 BE IT FURTHER RESOLVED that the Senate will encourage the Presidential Task Force on Recognizing our Diverse History to expedite their work, and to submit bold recommendations on removing or radically recontextualizing aspects of our shared material environment on campus that continue to honor the ideologies of white supremacy and/or settler colonialism; and

2.10 BE IT FURTHER RESOLVED that these will not simply be words on a page but must represent enduring structural change and a willingness to dismantle systems that perpetuate racial inequities to create justice for the Black community. **The Senate hereby commits itself to revisiting each action presented in Section II of this resolution by the end of the 2020-2021 Academic Year. This report will be prepared by the Senate Executive Committee and submitted to the Daily Emerald for publication.**

Agenda Item #2

President and Provost Reports

There are no materials for this section.

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Agenda Item #3

COVID-19 Impacts, Planning and Operations Update

*There are no advance materials at this time.
To ensure that materials for this section are as timely as possible,
any materials prepared will be available as a supplement the day
prior to the meeting.*

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Agenda Item #4

University Finances

Additional financial information, including information about auxiliary units, is forthcoming. Those materials will be provided as a supplement the day prior to the meeting to ensure information is as current as possible. Included at this time are (i) the standard finance and treasury quarterly report, including the dashboard and corresponding slides, and (ii) the annual report-required by policy-regarding the UO's management of the Oregon University Retirement Plans.



Finance Summary: Education and General Qtr4 FY2020

CFO's Key Takeaways

Comparing FY20 E&G fund final results to Q3 Projections:

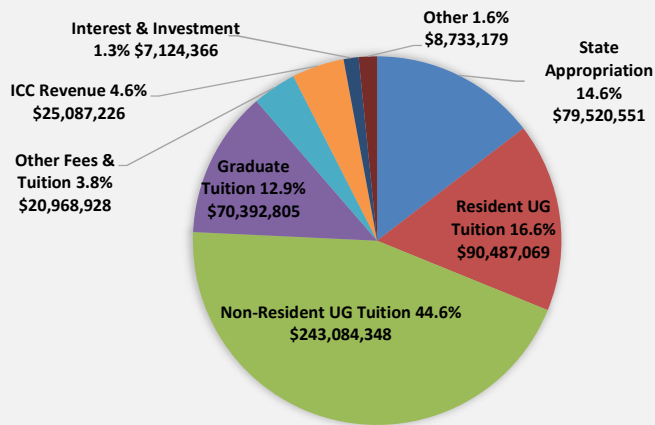
- o FY20 deficit was \$7.6 million, or \$3.3 million lower than Q3 projection of \$10.9 million
- o Major driver of this outcome was reduced Services & Supplies ("S&S") expenses. Final FY20 expenses were \$3 million lower than Q3 projections, primarily due to decreased Global Engagement activity and other COVID-19 related savings including reduced travel costs
- o Other major changes to Q3 projections included:
 - o Tuition and Fees Revenue: final revenue down \$1.1 million primarily due to higher than projected fee remissions
 - o Capital Expense: final expense down \$1.2 million due to lower departmental equipment purchases
- o Final E&G Fund balance ended at \$56.1 million vs Q3 projection of \$52.8 million.

Education and General Fund Qtr4 - Projection Status

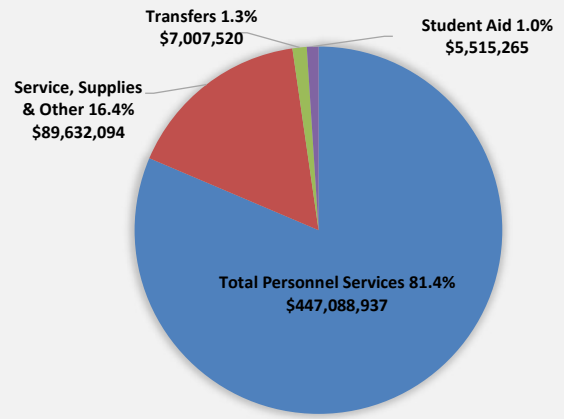
Category	FY20 Q3 Projection	FY20 YE Actuals	FY20 Actuals vs. Q3 Proj.	Status	Notes
State Appropriation	\$79,307,016	\$79,520,551	100.3%	On Track	• In line with Q3 projection
Tuition and Fees	\$426,000,000	\$424,933,150	99.7%	Slightly Down	• Higher than projected fee remissions which offset revenue
Interest & Investment	\$7,300,000	\$7,124,366	97.6%	On Track	• In line with Q3 projection
ICC Revenue	\$25,600,000	\$25,087,226	98.0%	Slightly Down	• Decreased grant activity due to COVID-19
Personnel Services	\$447,079,986	\$447,088,937	100.0%	On Track	• In line with Q3 projection
Service & Supplies	\$111,815,141	\$108,854,213	97.4%	Down	• COVID-19 impact on Global Engagement activity, university supplies and travel costs
Capital Expenses	\$4,900,000	\$3,721,532	75.9%	Down	• Lower than projected departmental equipment purchases

Education & General Funds - Total Dollars

FY20 E&G Q4 REVENUE ACTUALS

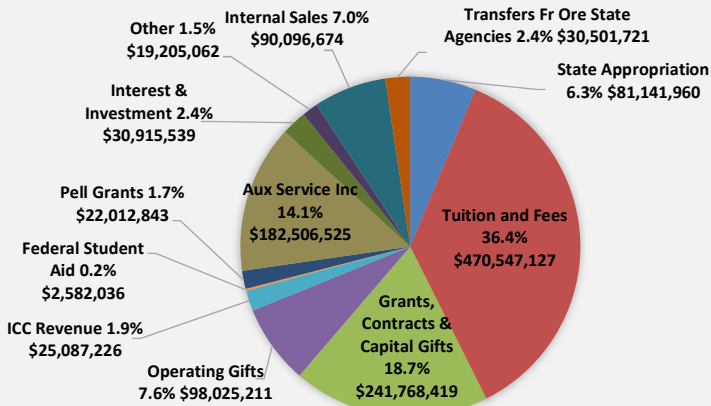


FY20 E&G Q4 EXPENSE ACTUALS

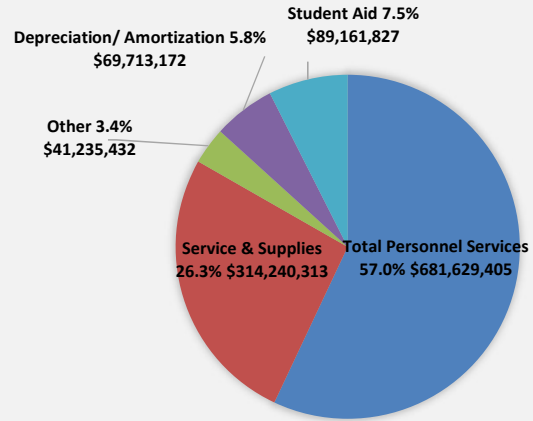


All Funds - Total Dollars

FY20 Q4 REVENUE ACTUALS

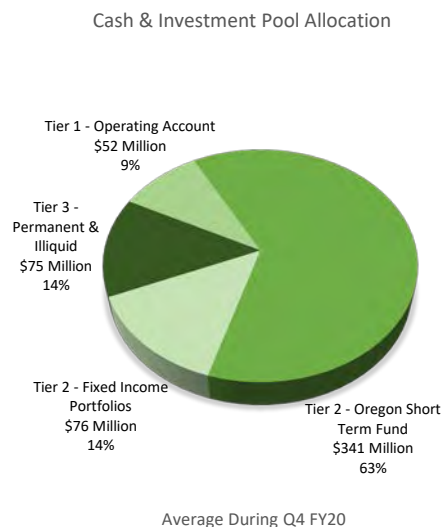
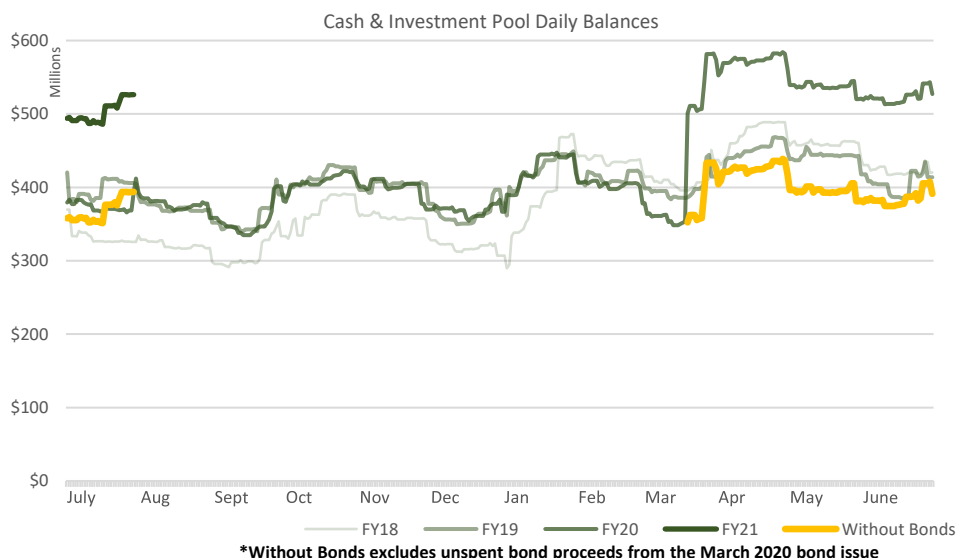


FY20 Q4 EXPENSE ACTUALS



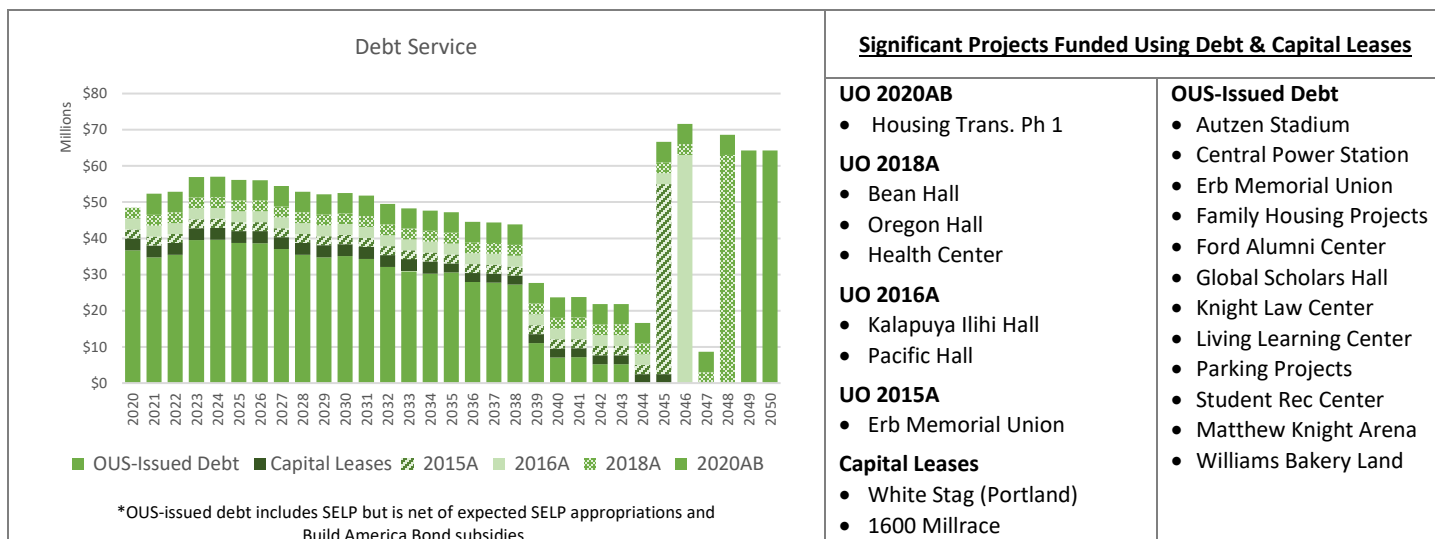
Student Aid Expense does not include \$53.6M of fee remissions awarded to students. Remissions are booked as negative revenue.

Cash & Investment Pool



- The cash & investment pool averaged \$544 million during Q4 FY20, which includes approximately \$143 million of revenue bonds issued March 19, 2020. Average balances for the quarter, excluding bond proceeds, were approximately \$14 million lower than the same quarter in the previous fiscal year. Lower average cash balances were seen in budgeted operations, restricted funds, and repair/replacement funds.
- Liquidity remains very good, with an average of over \$450 million of cash and investments (including bond proceeds) accessible within one week.
- Estimated average accounting yield for the cash & investment pool was 1.69% for Q4 FY20 and 2.05% for full-year FY20. In FY19 the Q4 yield was 2.36% and the full-year yield was 2.22%.

Debt Activities



- The current principal balance of outstanding debt, including capital leases, is approximately \$814 million.
- Bond proceeds are loaned internally for capital projects. Borrowers are scheduled to repay their loans prior to the bullet payments due in 2045, 2046, 2048, 2049, and 2050 to ensure that the Internal Bank will have sufficient cash for the bullets.
- In July 2020 the State of Oregon refinanced several XI-F bonds for which the university pays the debt service. The bond sale was well received and was able to capitalize on the low rate environment. University of Oregon will realize present value savings of approximately \$21 million over the next 23 years, \$16 million of which will come between FY21-FY23.

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T3 Portfolio

STRATEGY SUMMARY

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

FUND RETURN SUMMARY

PORTFOLIO VALUE	\$79.9 MM
INVESTED CAPITAL	\$75.4 MM
CASH (FOR DIST. AND CALLS)	\$4.5 MM
DISTRIBUTIONS FYTD	\$1.6 MM

RELATIVE PERFORMANCE

	QTR	FYTD	1 YR	3 YR	5 YR	10 YR	STD. DEV.	SHARPE
T3 INVESTED CAPITAL	17.4%	8.5%	8.5%	9.5%	N/A	N/A	13.4%	0.7
60/40 STOCK/BOND BENCHMARK	12.5%	5.3%	5.3%	6.2%	3.3%	7.3%	9.8%	0.7
CPI-U + D% + 1% BENCHMARK	1.1%	5.7%	5.7%	6.8%	6.9%	6.8%	N/A	N/A

PORTFOLIO COMMENTARY

The second quarter of 2020 showed a sharp reversal from the first quarter's market downdraft: T3's +17.4% performance was broad based, with all public managers contributing positively to Q2's return (the only private manager was down -0.5%), and compares very favorably with its 5% + CPI benchmark, which returned +1.1%. Equity and credit markets' recovery were supported by unprecedented global fiscal and monetary policy. For that reason, US and non-US managers performed well.

Given Q1's Covid-19 induced sell-off, it is important to view H1 2020 in aggregate: T3 returned +4.8% compared with +2.8% for its benchmark. In other words, Q2's +17.4% more than offset Q1's -10.7% decline. T3's +4.8% for H1 2020 also compares very favorably with global benchmarks: MSCI World -5.8%, MSCI ex-US -11.0%, S&P 500 -3.1% and a global 60% Stock/40% Bond portfolio -1.0%.

The portfolio's current asset allocation of 74% equity vs 26% debt is slightly off its 70% vs 30% target mix. Given overall market volatility, however, we refrain from rebalancing at this point and will reassess the situation as we approach the end of Q3.

T3 Portfolio

ESTIMATED PORTFOLIO DETAILS*

POLICY WEIGHTS

	TARGET	RANGE	ACTUAL
EQUITY	70%	50-75%	74%
FIXED INCOME	30%	25-50%	26%

SECTOR — NET EXPOSURE

CONSUMER	15%
POWER	1%
FINANCIALS	6%
HEALTHCARE	7%
INDUSTRIALS	10%
INFOTECH & TELECOM	36%
REAL ESTATE	<1%
SOVEREIGN DEBT	4%
OTHER	9%

COMMITMENT SCHEDULE

COMMITMENT	CAPITAL CALLED	DISTRIBUTIONS	MARKET VALUE
\$4,000,000	\$3,000,000	\$0	\$3,758,763

SECURITY TYPE — T3 PORTFOLIO

	LONG	SHORT	GROSS	NET
GLOBAL EQUITY	70%	-6%	76%	64%
LONG ONLY	46%	0%	46%	46%
LONG SHORT	24%	-6%	30%	18%
DEBT	25%	<-1%	25%	25%
SOVEREIGN	4%	<-1%	4%	4%
CORPORATE	21%	<-1%	21%	21%
TOTAL T3 PORTFOLIO	95%	-6%	101%	89%

GEOGRAPHY — NET EXPOSURE

UNITED STATES	51%
DEVELOPED, NON-US	27%
EMERGING MARKETS	7%
FRONTIER MARKETS	4%

MARKET CAP — NET EXPOSURE

LARGE	23%
MID	20%
SMALL	21%

*Exposure amounts exclude cash positions. Market Cap Exposures do not include any non-equity-based positions.



UNIVERSITY OF OREGON

Financial Update

September 2020

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

Agenda

- FY20 Q4 Quarterly Financial Report
- FY20 E&G Fund Year End Review
- FY21 Expenditure Authorization

Quarterly Financial Report – CFO Key Takeaways

FY20 E&G Funds Final Results vs. Q3 Projections

- FY20 deficit was \$7.6 million, or \$3.3 million lower than Q3 projection of \$10.9 million
- Major driver of this outcome was reduced Services & Supplies (“S&S”) expenses. Final FY20 expenses were \$3 million lower than Q3 projections, primarily due to decreased Global Engagement activity and other COVID-19 related savings including reduced travel costs
- Other major changes to Q3 projections included:
 - Tuition and Fees Revenue: final revenue down \$1.1 million primarily due to higher than projected fee remissions
 - Capital Expense: final expense down \$1.2 million due to lower departmental equipment purchases
- Final E&G Fund balance ended at \$56.1 million vs Q3 projection of \$52.8 million.

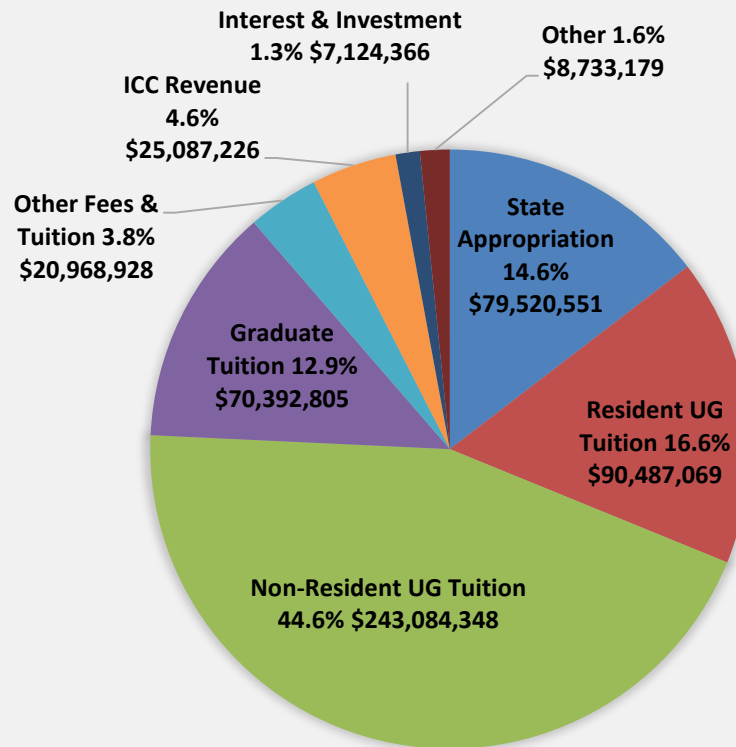
Quarterly Financial Report - Dashboard

Education and General Fund – Q4 Actuals

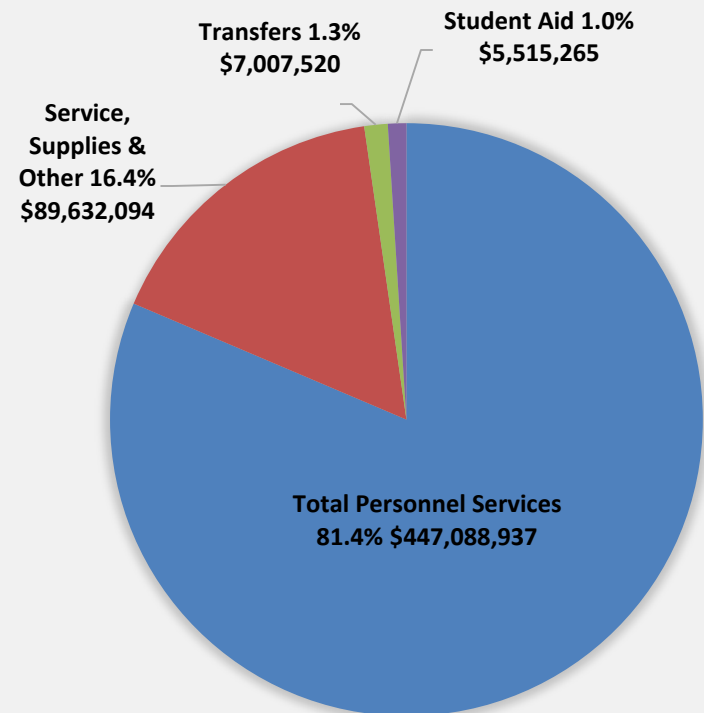
<i>Category</i>	<i>FY20 Q3 Projection</i>	<i>FY20 YE Actuals</i>	<i>FY20 Q3 Proj vs Act</i>	<i>Status</i>	<i>Notes</i>
State Appropriation	\$79,307,016	\$79,520,551	100.3%	On Track	• In line with Q3 Projection
Tuition and Fees	\$426,000,000	\$424,933,150	99.7%	Slightly Down	• Higher than projected fee remissions which offset revenue
Interest & Investment	\$7,300,000	\$7,124,366	97.6%	On Track	• In line with Q3 Projection
ICC Revenue	\$25,600,000	\$25,087,226	98.0%	Slightly Down	• Decreased grant activity
Personnel Services	\$447,079,986	\$447,088,937	100.0%	On Track	• In line with Q3 Projection
Service & Supplies	\$111,815,141	\$108,854,213	97.4%	Down	• COVID-19 impact on Global Engagement activity, University Supplies and Travel Costs
Capital Expenses	\$4,900,000	\$3,721,532	75.9%	Down	• Lower than projected departmental equipment purchases

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

FY20 E&G Q4 REVENUE ACTUALS



FY20 E&G Q4 EXPENSE ACTUALS



E&G Year End Summary

Review of Revenue

	FY20 Expenditure Authority	FY20 Updated Projection Q1	FY20 Updated Projection Q2	FY20 Updated Projection Q3	FY20 Full Year Actuals	FY20 Full Year Actual as % of Exp Auth
State Appropriation	\$78,872,041	\$79,307,016	\$79,307,016	\$79,307,016	\$79,520,551	100.8%
Tuition and Fees	\$435,000,000	\$431,000,000	\$430,000,000	\$426,000,000	\$424,933,150	97.7%
Gifts Grants & Contracts	\$150,000	\$150,000	\$150,000	\$150,000	\$136,496	91.0%
ICC Revenue	\$25,900,000	\$25,900,000	\$26,400,000	\$25,600,000	\$25,087,226	96.9%
Interest and Investment	\$8,000,000	\$8,000,000	\$8,000,000	\$7,300,000	\$7,124,366	89.1%
Internal Sales	\$2,900,000	\$2,900,000	\$2,900,000	\$2,500,000	\$2,084,941	71.9%
Sales & Services	\$4,200,000	\$4,200,000	\$4,200,000	\$4,200,000	\$4,005,521	95.4%
Other Revenues	\$2,200,000	\$2,200,000	\$2,200,000	\$2,200,000	\$2,506,221	113.9%
Total Revenue	\$557,222,041	\$553,657,016	\$553,157,016	\$547,257,016	\$545,398,471	97.9%

E&G Year End Summary

Review of Expenses

	FY20 Expenditure Authority	FY20 Updated Projection Q1	FY20 Updated Projection Q2	FY20 Updated Projection Q3	FY20 Full Year Actuals	FY20 Full Year Actual as % of Exp Auth
Personnel Services	\$442,073,986	\$442,073,986	\$445,073,986	\$447,079,986	\$447,088,937	101.1%
Service & Supplies	\$118,215,141	\$118,215,141	\$118,215,141	\$111,815,141	\$108,854,213	92.1%
Merchandise-Resale/Redistribution	\$2,000	\$2,000	\$2,000	\$2,000	\$12,351	617.6%
Internal Sales Reimbursements	\$(18,700,000)	\$(18,700,000)	\$(19,100,000)	\$(19,100,000)	\$(19,258,716)	103.0%
Indirect Costs	\$100,000	\$100,000	\$100,000	\$100,000	\$24,246	24.2%
Student Aid	\$6,000,000	\$6,000,000	\$6,000,000	\$5,400,000	\$5,515,265	91.9%
Total General Expense	\$105,617,141	\$105,617,141	\$105,217,141	\$98,217,141	\$95,147,359	90.1%
Net Transfers Out(In)	\$11,000,000	\$11,000,000	\$8,000,000	\$8,000,000	\$7,007,520	63.7%
Total Expense	\$558,691,127	\$558,691,127	\$558,291,127	\$553,297,127	\$549,243,817	98.3%
Net before CapEx	\$(1,469,086)	\$(5,034,111)	\$(5,134,111)	\$(6,040,111)	\$(3,845,346)	
Capital Expenditures	\$5,300,000	\$5,300,000	\$5,300,000	\$4,900,000	\$3,721,532	70.2%
Net After Capex	\$(6,769,086)	\$(10,334,111)	\$(10,434,111)	\$(10,940,111)	\$(7,566,878)	

E&G Year End Summary Review

Reviewing the year, significant variations that occurred between final E&G revenue and expense and original, beginning-of-the-year estimates include:

- Tuition and Fees Revenue: down \$10.1 million (-2.3%) primarily due to declines in international students, higher four year graduation rates, and increases in remissions.
- Service & Supplies Expense: down \$9.3 million (-9.3%) primarily due to decreased Global Engagement activity and other COVID-19 related savings including travel costs.
- Personnel Expense: up \$5.0 million (1.1%) due to higher graduate employee head count and remissions, SEIU contract increases, and decreased employee leave usage due to COVID-19.
- Transfers: down \$4.0 million (-36.3%) primarily due to reduced use of central funds for capital projects.
- Capital Expense: down \$1.6 million (-29.8%) due to lower departmental equipment purchases.
- Net FY20 deficit \$7.6 million vs \$6.8 million originally projected

FY2021 Expenditure Authorization

June 2020 Board Meeting

- Approved authorization - continuing resolution for operating expenditure budget (\$1,132,345,000)

- Quarterly updates to be provided regarding:
 - how quarterly expenditures compare to the annual expenditure authorization,
 - whether the state has implemented any cuts on state appropriation, and/or the university projects declines in tuition revenue due to enrollment challenges,
 - steps the university is taking to reduce expenditures, and
 - whether the current authorization remains appropriate or should be adjusted.

FY2021 Expenditure Authorization Recommendation

Relevant Information

- Quarterly expenditures – Q1 not yet complete
- State Appropriation: legislature met in Special Session in August - PUSF protected from cuts
- Enrollment & Tuition: TBD
- Steps the university is taking to reduce expenditures:
 - Travel freeze, hiring freeze, and pay action freeze
 - Voluntary pay reductions – senior leadership (President, Provost, Vice Presidents, Deans, Athletic Director)
 - HR actions in Auxiliary Operations (LWOP with extended benefits)
 - Agreement with United Academics to extend collective bargaining agreement (with no annual salary increase) to June 2021 & support Progressive Pay Reduction Plan
 - Workshare program – summer FTE reduction program
 - Direction to limit Services and Supplies (“S&S”) expenditures to essential expenses
- No changes recommended to expenditure authorization

FY20 Education and General Fund - Year in Review

	FY20 Expenditure Authority	FY20 Updated Projection Q1	FY20 Updated Projection Q2	FY20 Updated Projection Q3	FY20 Full Year Actuals	FY20 Full Year Actual as % of Exp Auth
State Appropriation	\$ 78,872,041	\$ 79,307,016	\$ 79,307,016	\$ 79,307,016	\$ 79,520,551	100.8%
Tuition and Fees	\$ 435,000,000	\$ 431,000,000	\$ 430,000,000	\$ 426,000,000	\$ 424,933,150	97.7%
Gifts Grants & Contracts	\$ 150,000	\$ 150,000	\$ 150,000	\$ 150,000	\$ 136,496	91.0%
ICC Revenue	\$ 25,900,000	\$ 25,900,000	\$ 26,400,000	\$ 25,600,000	\$ 25,087,226	96.9%
Federal Student Aid	\$ -	\$ -	\$ -	\$ -	\$ -	-
Interest and Investment	\$ 8,000,000	\$ 8,000,000	\$ 8,000,000	\$ 7,300,000	\$ 7,124,366	89.1%
Internal Sales	\$ 2,900,000	\$ 2,900,000	\$ 2,900,000	\$ 2,500,000	\$ 2,084,941	71.9%
Sales & Services	\$ 4,200,000	\$ 4,200,000	\$ 4,200,000	\$ 4,200,000	\$ 4,005,521	95.4%
Other Revenues	\$ 2,200,000	\$ 2,200,000	\$ 2,200,000	\$ 2,200,000	\$ 2,506,221	113.9%
Transfers From Ore State Agencies	\$ -	\$ -	\$ -	\$ -	\$ -	-
Total Revenue	\$ 557,222,041	\$ 553,657,016	\$ 553,157,016	\$ 547,257,016	\$ 545,398,471	97.9%
Total Personnel Services	\$ 442,073,986	\$ 442,073,986	\$ 445,073,986	\$ 447,079,986	\$ 447,088,937	101.1%
Service & Supplies	\$ 118,215,141	\$ 118,215,141	\$ 118,215,141	\$ 111,815,141	\$ 108,854,213	92.1%
Merchandise-Resale/Redistribution	\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 12,351	617.6%
Internal Sales Reimbursements	\$ (18,700,000)	\$ (18,700,000)	\$ (19,100,000)	\$ (19,100,000)	\$ (19,258,716)	103.0%
Indirect Costs	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 24,246	24.2%
Depreciation/Amortization Expense	\$ -	\$ -	\$ -	\$ -	\$ -	-
Student Aid	\$ 6,000,000	\$ 6,000,000	\$ 6,000,000	\$ 5,400,000	\$ 5,515,265	91.9%
Total General Expense	\$ 105,617,141	\$ 105,617,141	\$ 105,217,141	\$ 98,217,141	\$ 95,147,359	90.1%
Net Transfers Out(In)*	\$ 11,000,000	\$ 11,000,000	\$ 8,000,000	\$ 8,000,000	\$ 7,007,520	63.7%
Total Expense	\$ 558,691,127	\$ 558,691,127	\$ 558,291,127	\$ 553,297,127	\$ 549,243,817	98.3%
Net before CapEx	\$ (1,469,086)	\$ (5,034,111)	\$ (5,134,111)	\$ (6,040,111)	\$ (3,845,346)	261.8%
Beginning Fund Balance	\$ 63,821,674	\$ 63,821,674	\$ 63,821,674	\$ 63,821,674	\$ 63,821,674	100.0%
Capital Expenditures**	\$ (5,300,000)	\$ (5,300,000)	\$ (5,300,000)	\$ (4,900,000)	\$ (3,721,532)	70.2%
Net (from above)	\$ (1,469,086)	\$ (5,034,111)	\$ (5,134,111)	\$ (6,040,111)	\$ (3,845,346)	261.8%
Fund Additions/Deductions	\$ -	\$ -	\$ -	\$ -	\$ (70,749)	-
Ending Fund Balance	\$ 57,052,588	\$ 53,487,563	\$ 53,387,563	\$ 52,881,563	\$ 56,184,047	98.5%

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

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

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 4 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	\$ 79,520,551	\$ 1,170,784	\$ 396,550	\$ 54,075	\$ -	\$ -	\$ -	\$ -	\$ 81,141,960	
Tuition and Fees	\$ 424,933,150	\$ 2,343,829	\$ 40,263,479	\$ -	\$ -	\$ -	\$ -	\$ 3,006,669	\$ 470,547,127	
Gifts Grants & Contracts	\$ 136,496	\$ 5,403,198	\$ 296,177	\$ 132,621,446	\$ 98,025,211	\$ -	\$ 103,311,103	\$ -	\$ 339,793,630	
ICC Revenue	\$ 25,087,226	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 25,087,226	
Federal Student Aid	\$ -	\$ -	\$ -	\$ 24,594,879	\$ -	\$ -	\$ -	\$ -	\$ 24,594,879	
Interest and Investment	\$ 7,124,366	\$ 12,776,445	\$ 101,704	\$ 1,651	\$ 2,343	\$ 449,897	\$ 860,954	\$ 9,598,180	\$ 30,915,539	
Internal Sales	\$ 2,084,941	\$ 52,165,528	\$ 23,088,903	\$ 40	\$ 6,000	\$ -	\$ -	\$ 35,840,165	\$ 113,185,577	
Sales & Services	\$ 4,005,521	\$ 11,025,310	\$ 155,762,254	\$ 379,682	\$ -	\$ -	\$ 243,040	\$ -	\$ 171,415,808	
Other Revenues	\$ 2,506,221	\$ 895,509	\$ 3,655,368	\$ -	\$ -	\$ -	\$ 149,780	\$ -	\$ 7,206,877	
Transfers From Ore State Agencies	\$ -	\$ -	\$ 13,201	\$ 9,287,180	\$ -	\$ -	\$ 21,201,340	\$ -	\$ 30,501,721	
Total Revenue	\$ 545,398,471	\$ 85,780,602	\$ 223,577,636	\$ 166,938,953	\$ 98,033,554	\$ 449,897	\$ 125,766,216	\$ 48,445,014	\$ 1,294,390,343	
Total Personnel Services	\$ 447,088,937	\$ 43,017,463	\$ 95,029,369	\$ 67,638,403	\$ 28,543,059	\$ -	\$ 13,300	\$ 298,873	\$ 681,629,405	
Service & Supplies	\$ 108,854,213	\$ 17,615,751	\$ 98,798,325	\$ 29,200,403	\$ 18,543,146	\$ 11,396	\$ 7,636,940	\$ 33,580,141	\$ 314,240,313	
Merchandise-Resale/Redistribution	\$ 12,351	\$ 17,185,209	\$ 9,363,390	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 26,560,950	
Internal Sales Reimbursements	\$ (19,258,716)	\$ (2,000)	\$ (1,310,428)	\$ (21,800)	\$ -	\$ -	\$ (543,331)	\$ -	\$ (21,136,276)	
Indirect Costs	\$ 24,246	\$ 3,175,566	\$ 7,506,219	\$ 25,104,726	\$ -	\$ -	\$ -	\$ -	\$ 35,810,757	
Depreciation/Amortization Expense	\$ -	\$ 4,253,407	\$ 32,240,420	\$ -	\$ -	\$ -	\$ 33,219,345	\$ -	\$ 69,713,172	
Student Aid	\$ 5,515,265	\$ 2,784,161	\$ 2,183,558	\$ 42,807,766	\$ 33,789,032	\$ 2,082,044	\$ -	\$ -	\$ 89,161,827	
Total General Expense	\$ 95,147,359	\$ 45,012,094	\$ 148,781,483	\$ 97,091,095	\$ 52,332,178	\$ 2,093,440	\$ 40,312,954	\$ 33,580,141	\$ 514,350,744	
Net Transfers Out/(In)	\$ 7,007,520	\$ 593,902	\$ 1,216,522	\$ 333,114	\$ 732,048	\$ 549,333	\$ (12,264,226)	\$ 1,831,786	\$ -	
Total Expense	\$ 549,243,817	\$ 88,623,460	\$ 245,027,374	\$ 165,062,613	\$ 81,607,284	\$ 2,642,773	\$ 28,062,027	\$ 35,710,800	\$ 1,195,980,149	
Net before CapEx	\$ (3,845,346)	\$ (2,842,858)	\$ (21,449,738)	\$ 1,876,340	\$ 16,426,270	\$ (2,192,877)	\$ 97,704,188	\$ 12,734,214	\$ 98,410,195	
Beginning Fund Balance	\$ 63,821,674	\$ 59,940,817	\$ 319,242,597	\$ (1,217,227)	\$ 12,601,887	\$ 7,754,280	\$ 688,287,700	\$ 36,993,215	\$ 1,187,424,943	
Capital Expenditures	\$ (3,721,532)	\$ (1,073,488)	\$ (661,453)	\$ (1,448,244)	\$ (1,876,342)	\$ -	\$ (183,687,811)	\$ -	\$ (192,468,871)	
Net (from above)	\$ (3,845,346)	\$ (2,842,858)	\$ (21,449,738)	\$ 1,876,340	\$ 16,426,270	\$ (2,192,877)	\$ 97,704,188	\$ 12,734,214	\$ 98,410,195	
Fund Additions/Deductions*	\$ (70,749)	\$ 646,160	\$ 45,384,541	\$ -	\$ (135,380)	\$ -	\$ 147,921,199	\$ -	\$ 193,745,772	
Ending Fund Balance	\$ 56,184,047	\$ 56,670,631	\$ 342,515,948	\$ (789,131)	\$ 27,016,434	\$ 5,561,403	\$ 750,225,277	\$ 49,727,430	\$ 1,287,112,039	
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 4 Report

Education and General

	FY20 Updated Projection Q3	FY20 Actual Q4	FY20 Q4 Actual as % of Proj	FY19 Actual Q4	FY20 Q4 inc/(dec) from FY19 Q4
State Appropriation	\$ 79,307,016	\$ 79,520,551	100.3%	\$ 72,712,010	9.4%
Tuition and Fees	\$ 426,000,000	\$ 424,933,150	99.7%	\$ 418,454,072	1.5%
Gifts Grants & Contracts	\$ 150,000	\$ 136,496	91.0%	\$ 24,845	449.4%
ICC Revenue	\$ 25,600,000	\$ 25,087,226	98.0%	\$ 24,619,477	1.9%
Federal Student Aid	\$ -	\$ -	-	\$ -	-
Interest and Investment	\$ 7,300,000	\$ 7,124,366	97.6%	\$ 7,259,112	-1.9%
Internal Sales	\$ 2,500,000	\$ 2,084,941	83.4%	\$ 2,821,527	-26.1%
Sales & Services	\$ 4,200,000	\$ 4,005,521	95.4%	\$ 4,168,451	-3.9%
Other Revenues	\$ 2,200,000	\$ 2,506,221	113.9%	\$ 2,191,003	14.4%
Transfers From Ore State Agencies	\$ -	\$ -	-	\$ -	-
Total Revenue	\$ 547,257,016	\$ 545,398,471	99.7%	\$ 532,250,497	2.5%
Total Personnel Services	\$ 447,079,986	\$ 447,088,937	100.0%	\$ 424,936,751	5.2%
Service & Supplies	\$ 111,815,141	\$ 108,854,213	97.4%	\$ 114,263,387	-4.73%
Merchandise-Resale/Redistribution	\$ 2,000	\$ 12,351	617.6%	\$ 4,171	196.1%
Internal Sales Reimbursements	\$ (19,100,000)	\$ (19,258,716)	100.8%	\$ (18,183,996)	5.9%
Indirect Costs	\$ 100,000	\$ 24,246	24.2%	\$ 71,589	-66.1%
Depreciation/Amortization Expense	\$ -	\$ -	-	\$ -	-
Student Aid	\$ 5,400,000	\$ 5,515,265	102.1%	\$ 5,882,527	-6.2%
Total General Expense	\$ 98,217,141	\$ 95,147,359	96.9%	\$ 102,037,678	-6.8%
Net Transfers Out(In)	\$ 8,000,000	\$ 7,007,520	87.6%	\$ 11,829,666	-40.8%
Total Expense	\$ 553,297,127	\$ 549,243,817	99.3%	\$ 538,804,095	1.9%
Net before CapEx	\$ (6,040,111)	\$ (3,845,346)	63.7%	\$ (6,553,598)	-41.3%
Beginning Fund Balance	\$ 63,821,674	\$ 63,821,674	100.0%	\$ 77,206,732	-17.3%
Capital Expenditures	\$ (4,900,000)	\$ (3,721,532)	75.9%	\$ (5,215,820)	-28.6%
Net (from above)	\$ (6,040,111)	\$ (3,845,346)	63.7%	\$ (6,553,598)	-41.3%
Fund Additions/Deductions*	\$ -	\$ (70,749)	-	\$ -	-
Year-End Accounting Entries	\$ -	\$ -	-	\$ -	-
Ending Fund Balance	\$ 52,881,563	\$ 56,184,047	106.2%	\$ 65,437,314	-14.1%
Year-End Accounting Entries **	TBD	TBD	TBD	TBD	TBD
Net Capital Assets	TBD	TBD	TBD	TBD	TBD
Other Restricted Net Assets	TBD	TBD	TBD	TBD	TBD
Unrestricted Net Assets	TBD	TBD	TBD	TBD	TBD
Total Net Assets	TBD	TBD	TBD	TBD	TBD

* - Due to Capital Improvements and Debt Accounting entries

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

FY20 Actuals Quarter 4 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	\$401,440,872	\$412,748,946	2.8%		
Other Payroll Expense(OPE) and Leave					
Personnel Leave	\$24,960,479	\$26,446,595	6.0%	5.9%	6.0%
Medical Insurance	\$79,278,563	\$84,505,430	6.6%	18.6%	19.2%
Retirement	\$76,726,896	\$88,606,825	15.5%	18.0%	20.2%
Other OPE	\$30,702,745	\$31,476,785	2.5%	7.2%	7.2%
Total OPE & Leave	\$211,668,682	\$231,035,635	9.1%	49.6%	52.6%
*Total Personnel Services	\$613,109,555	\$643,784,581	5.0%		

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

Agenda Item #5

Student Crisis Funds



UNIVERSITY OF OREGON

Student Crisis Support

**Board of Trustees of the University of Oregon
September 2020**

Kris Winter, Division of Student Life

Jim Brooks, Division of Student Services and Enrollment Management

Student Crisis Response Workgroup

- Membership:
 - Financial Aid
 - Dean of Students
 - Pathways Oregon
 - Business Affairs
 - UO Portland
 - University Counseling Center

Workgroup outcomes

- Work through any issues in award process
- Collaboration between Financial Aid and Dean of Students – both areas charged with distributing two separate funds
- Facilitated listening sessions to gather student input

Students in Crisis Fund

Student in Crisis Fund details

- Private donations
- Fund lives in Foundation – less restrictive parameters for awards (i.e. can award to international students, DACA/Dreamer, etc.)
- The Office of the Dean of Students processes fund requests and each student that applies gets personalized outreach
- Funds are a gift, not a loan
- Students requested funds most often to help with rent, utilities and food

Assessment summary

- A higher proportion of [females](#) are requesting and receiving funds than males
- A larger number of students funded are [first-generation](#)
- More traditionally [underserved](#) students (American Indian or Alaska Native, Black or African American, Hispanic or Latina/o/x, Native Hawaiian or Other Pacific Islander) are requesting and receiving support through the fund
- Less White students are applying for funding
- A greater proportion of [Seniors](#) are requesting and receiving support
- Students who received funds had a [statistically significantly](#) higher Spring 2020 GPA than students who applied and were not approved for funding

Going forward

- Highlight: Hands on process will continue
- Took feedback from alumni to change application process
- \$740,622 has been awarded in spring and summer - \$477,157 remains in the fund
- Anticipate increased need
 - Students report they are under significant financial distress and are concerned with income instability, employment, housing costs, health care, and food insecurity.

Coronavirus Aid, Relief, and Economic Security (CARES) Act Fund

Funding Certification and Agreement

1. The Secretary provides 50% of the formula grant funds for the sole and exclusive purpose of providing emergency financial aid grants to students for their expenses...
2. The institution agrees to promptly make available emergency financial aid grants from the advanced funds directly to students for their expenses... The institution could not use these funds to reimburse itself for any costs or expenses.
3. The institution retains discretion to determine the amount of each individual emergency financial aid grant consistent with all applicable laws. The Secretary does not consider these individual emergency financial aid grants to constitute Federal financial aid under Title IV of the HEA.
4. The institution agrees to direct payment of grants to students; hold the funds in trust for students; report 30 days from the date of the certification and every 45 days after; promptly and to the greatest extent practicable distribute the funds by one year from the date of the certification and agreement; cooperate with examination of records by ED and/or its Inspector General, or any other federal agency in the lawful exercise of its jurisdiction and authority.

Program Requirements

- Expenses had to be related to the disruption of campus operations due to coronavirus
- Funds are managed through grants.gov
- The funds do not count as federal financial aid
- Students had to be eligible for federal student aid
 - Self-certification acceptable
- The funds had to be disbursed directly to the student
- Institutions are required to report on the awarding of funds
- The Office of the Inspector General was given oversight of the program

UO awarding process

- A workgroup was created to work through the program specifics
- An application for funding requests was created
 - Allowed students to be specific about expenses
 - Amounts
 - Explanations
 - Allowed the university to be better stewards of the funds
- Applications were each reviewed by FAO staff
- Amounts were approved and posted to Banner
- Funds were disbursed to student accounts
- Credits were refunded directly to the students

Categories of requests

- Housing
- Meals
- Technology
- Transportation
- Moving
- Textbooks
- Healthcare
- Childcare

Going Forward

- Anticipate that need will remain high
- We will carry \$2.7M into FY21
- The Fall 2020 application will come online mid-September.
- Webpage being updated with clarifying information
- Email information to students
- Considerations in awarding:
 - Streamlining application to facilitate easier review
 - Funds to assist freshmen with housing
 - Capping awards

Current Reporting Guidelines

Accordingly, the following information must appear in a format and location that is easily accessible to the public 30 days after the date when the institution received its allocation and updated every 45 days thereafter:

- An acknowledgement that the institution signed and returned to the Department the Certification and Agreement and the assurance that the institution has used, or intends to use, no less than 50 percent of the funds received to provide Emergency Financial Aid Grants to students.
- The total amount of funds that the institution will receive or has received.
- The total amount of Emergency Financial Aid Grants distributed to students as of the date of submission (i.e., as of the 30-day Report and every 45 days thereafter).

Current Reporting Guidelines

- The estimated total number of students at the institution eligible to participate in programs under Section 484 in Title IV of the Higher Education Act of 1965 and thus eligible to receive Emergency Financial Aid Grants to students.
- The total number of students who have received an Emergency Financial Aid Grant.
- The method(s) used by the institution to determine which students receive Emergency Financial Aid Grants and how much they would receive.
- Any instructions, directions, or guidance provided by the institution to students concerning the Emergency Financial Aid Grants.

<https://financialaid.uoregon.edu/cares>

New Reporting Guidelines

Annual Reporting:

1. The First Annual Report is due on January 29, 2021 and applies to the reporting period from March 13, 2020 through June 30, 2020.
2. The Second Annual Report is due on September 30, 2021 and applies to the reporting period from July 1, 2020 through June 30, 2021.
3. The Third Annual Report is due on September 20, 2022 and applies to the reporting period from July 1, 2021 through June 30, 2022.

- Questions?

- Total number of Students In Crisis funding assistance requests: 1,590
 - Undergraduates
 - Seniors: 42%
 - Juniors: 26%
 - Sophomores: 15%
 - Freshmen: 4%
 - Graduate Students – 11%
 - Law Students – 2%
- Number of awards made to date: 1,151
- Number of awards denied: 150
- Number of awards in review: 289
- Total amount awarded to date: \$740,622
- PathwayOregon students represent 24% of all undergraduate students requesting support
- Crisis Funding Applications by Major:
 - AA: 8%
 - AS: 51%
 - BA: 14%
 - ED: 9%
 - JO: 13%
 - MU: 2%
 - LW: 2%
 - Other: 1%
- Crisis Fund approvals by race/ethnicity:
 - Underserved (*American Indian or Alaska Native, Black or African American, Hispanic or Latina/o/x, Native Hawaiian or Other Pacific Islander*): 26%
 - Asian: 7%
 - International: 8%
 - Multi-ethnic/racial: 10%
 - White: 48%
 - Unknown: 1%
- Crisis Fund approvals by gender:
 - 61% female
 - 39% male
 - “Not reported” numbers too small to report
- Crisis fund approvals by first-generation status:
 - First-generation: 56%
 - Continuing generation: 44%
- Undergraduate Applications by resident status:
 - Oregon resident: 67%
 - Domestic non-resident: 29%
 - International non-resident: 4%

Data as of 8/14/20

Office of Assessment & Research, Division of Student Life (2020). *Demographics Crisis Fund applications, March-July, 2020.*

**University of Oregon
Board of Trustees Meeting
September 10, 2020**

Student Crisis Support

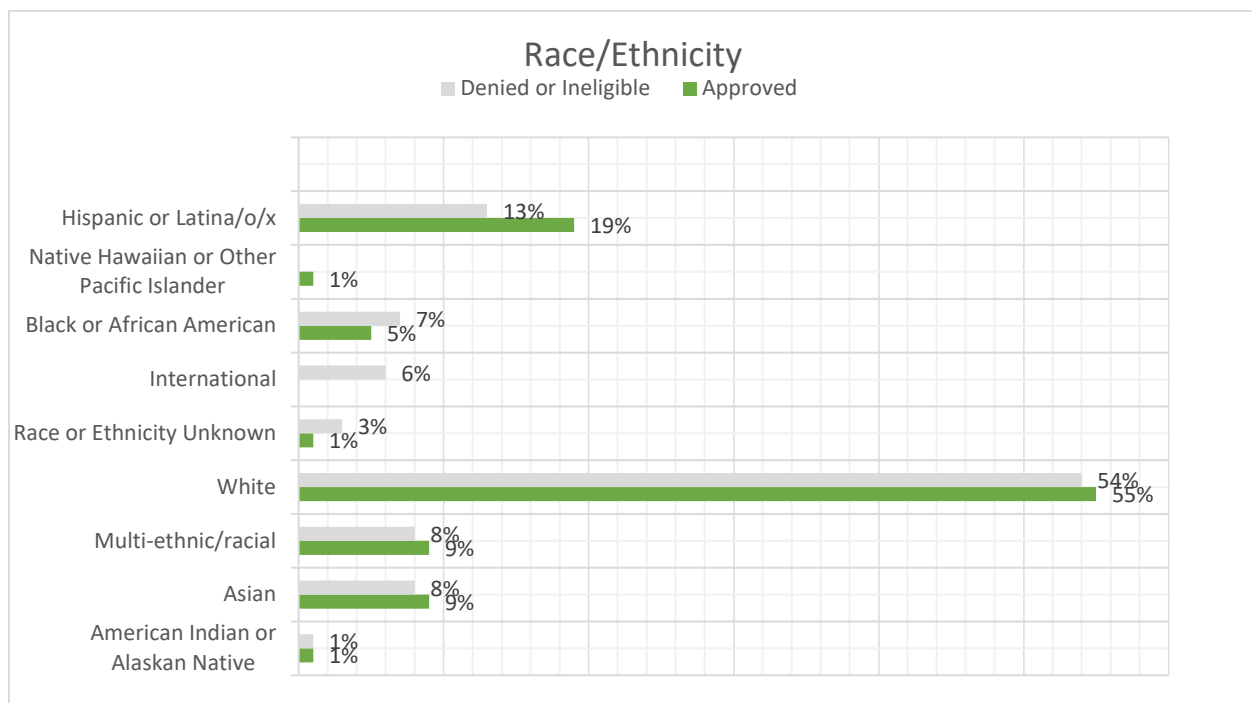
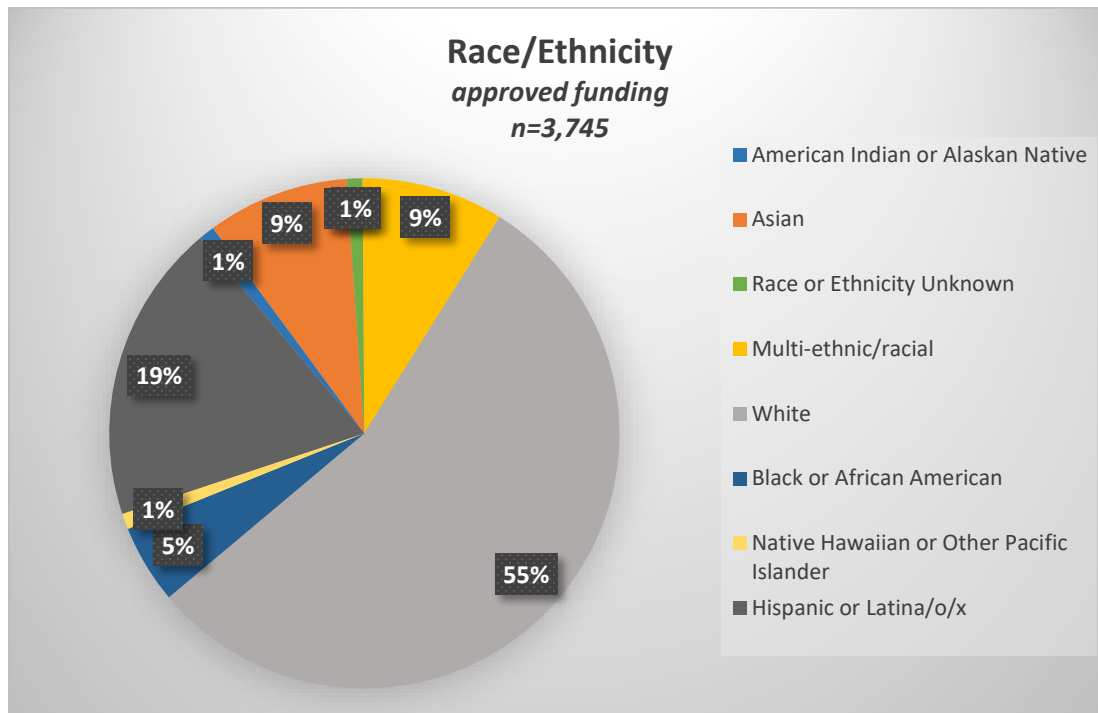
Information on the Coronavirus Aid, Relief, and Economic Security (CARES) Act

- The Act was passed by Congress, and signed by President Donald Trump on March 27, 2020.
- The University of Oregon was allocated \$16,095,946 in funds.
 - Authorized by Section 18004(a)(1) of the CARES Act
 - Section 18004(c) of the CARES Act required that the institution use no less than 50% of the funds received to provide “emergency financial aid grants to students for expenses related to the disruption of campus operations due to coronavirus (including eligible expenses under a student’s cost of attendance such as food, housing, course materials, technology, health care, and child care”
- A special funding certification and agreement was required, and was signed by the Vice President for Finance and Administration and CFO on April 10, 2020.

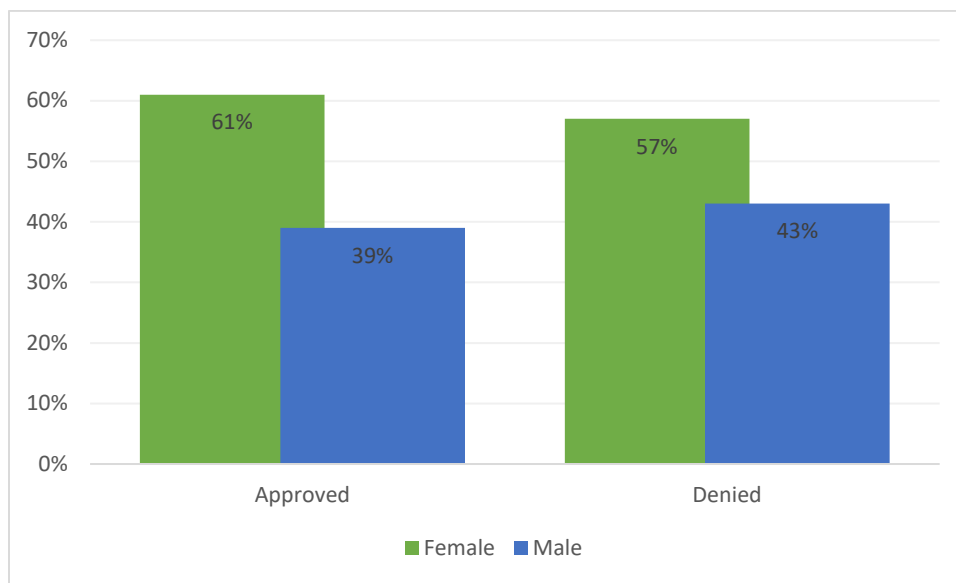
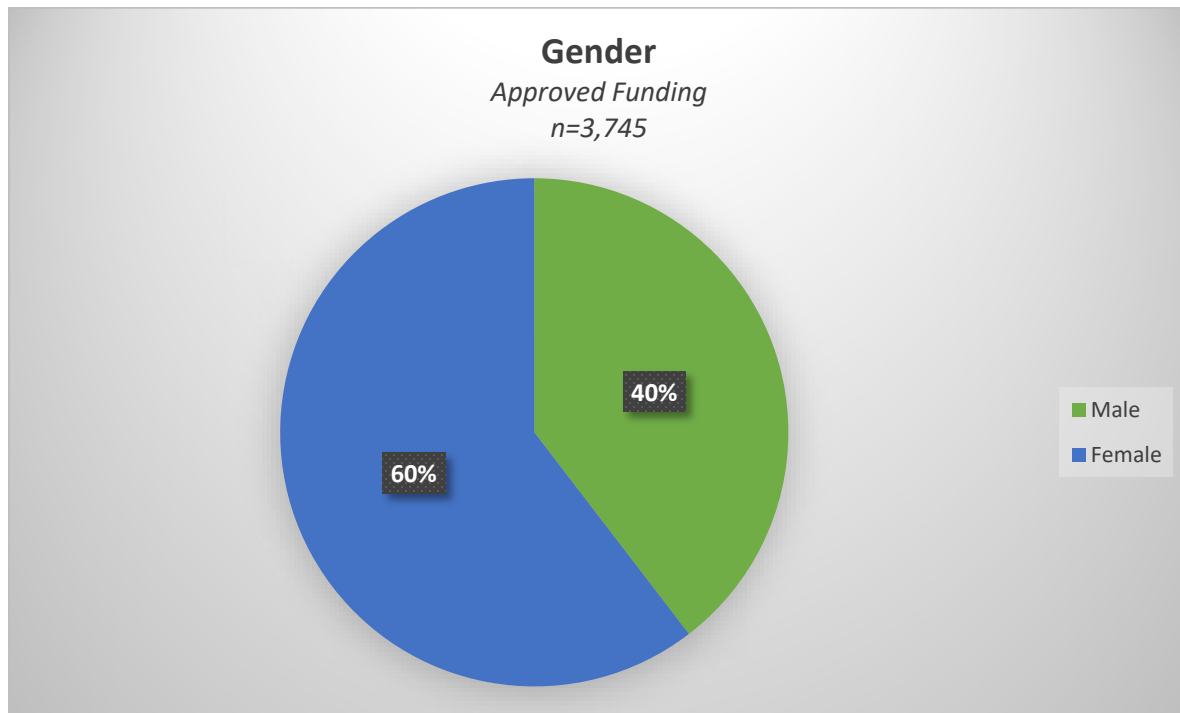
CARES Act Award Data:

- Total amount of funds requested: \$10,385,576
- Total number of applications received: 4,705
- Average request amount: \$2,207
- Total awarded: \$5,248,119
- Total recipients: 3,745
- Average award: \$1,401

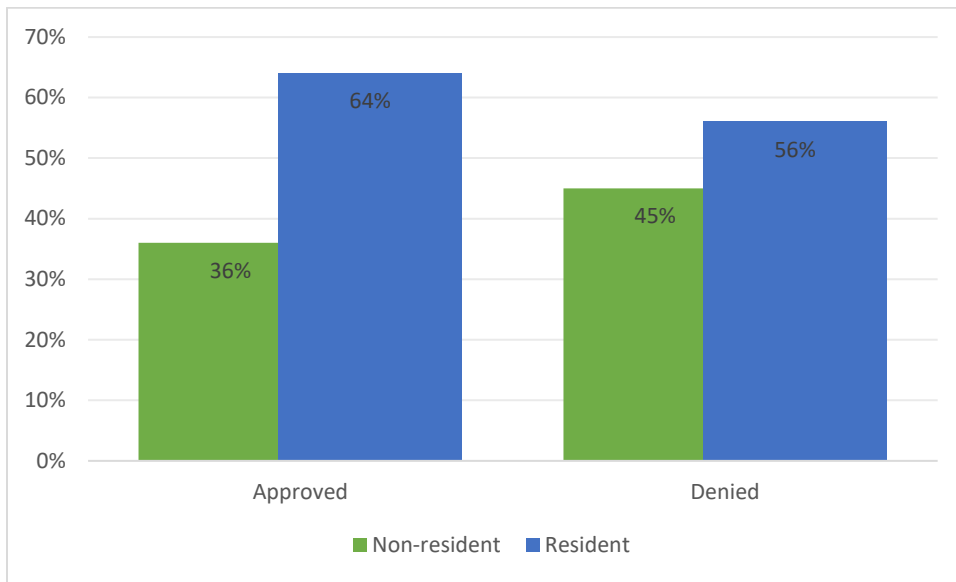
Award Information by Race/Ethnicity



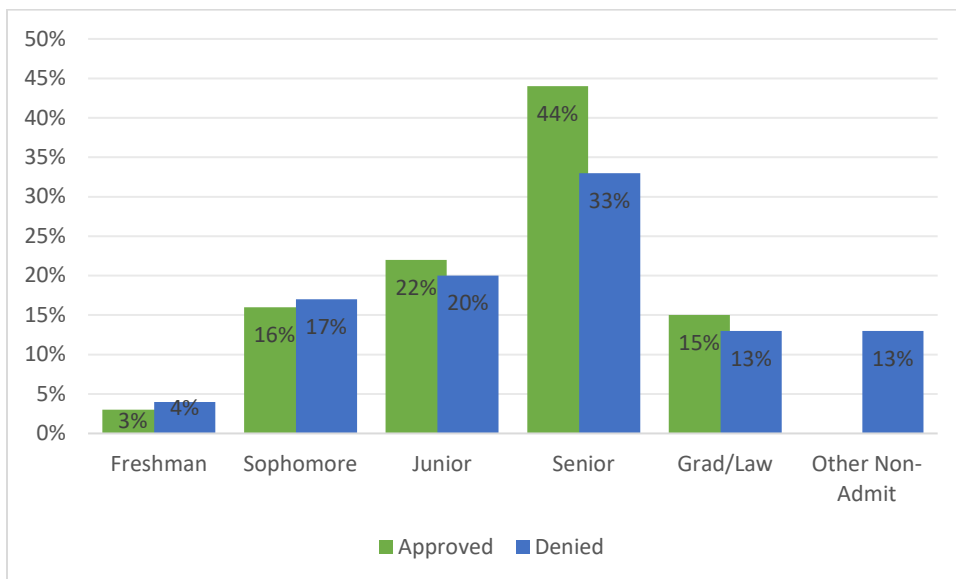
Award Information by Gender



Award Information by Residency



Award Information by Year in College



Higher Education Emergency Relief Fund (HEERF) Data Collection Form (Both Student Aid and Institutional Portions under Section 18004 of the CARES Act)

Version 7/22/2020

There are 2 versions of the survey. The first version is for almost all the reporting institutions at the 6-digit OPEID. The second version is for the 34 branch campuses at the 8-digit OPEID level that are Minority Serving Institutions (MSIs) and received funds under Section 18004(a)(2) of the CARES Act, but their main campus is not designated as an MSI. This form will automatically present the appropriate version of the survey as soon as the ID number of the institution or campus is entered.

This data collection form applies to the following HEERF funds:

- [Student Aid](#) (CFDA 84.425E)
- [Institutional Portion](#) (CFDA 84.425F)
- [Historically Black Colleges and Universities](#) (CFDA 84.425J)
- [American Indian Tribally Controlled Colleges and Universities](#) (CFDA 84.425K)
- [Minority Serving Institutions](#) (CFDA 84.425L)
- [Strengthening Institutions Program](#) (CFDA 84.425M)
- [Fund for the Improvement of Postsecondary Education](#) (CFDA 84.425N)

Version 1. Annual Reporting: This report should be completed by the institution, meaning the campus or group of campuses that share the same 6-digit OPEID number.

- 1) Institutional Identifiers, Contact Information, and URL for 30-day Fund Report
 - a) Institutional Information
Name _____
_____ <autofill from Postsecondary Education Participants System (PEPS)> _____
OPEID (6-digit) _____
 - b) Who is the lead contact for the data collection?
Name: _____
Title: _____
Phone: _____
Email: _____
 - c) Provide the website(s) URLs for the 30-day Fund Report posted by your campus, or by the institution on behalf of your campus(es), as required by the May 6, 2020 Electronic Announcement.¹
 - i) _____
 - ii) _____
 - iii) _____

¹ <https://ifap.ed.gov/electronic-announcements/050620HigherEdEmergencyReliefFundRptg>

1

iv) _____

- 2) How did your institution determine which students were eligible to receive emergency financial aid grants under any of the CARES Act programs? (*select all that apply*)
 - a) My institution has a valid Institutional Student Information Record (ISIR) or Student Aid Report (SAR) on file that verifies student eligibility for Title IV, federal student aid (title IV aid).
 - b) My institution allowed students to attest to their eligibility for title IV aid by completing a form or questionnaire.
 - c) My institution used another method for determining which students were eligible to receive emergency financial aid grants under the CARES Act. Please describe: _____
- 3) For your institution, which of the following best describes how your institution distributed emergency financial aid grants to students (i.e., how did your institution determine which students received emergency financial aid grants and how much each student would receive)?
 - Did you distribute different amounts to eligible students based on different circumstances? _____ (Y/N). If yes, respond to the following questions:
 - Did you ask students to apply for funds? (Y/N) If 'yes', did you use that application to determine the amount of a student's emergency financial aid grant? _____ (Y/N). If yes, what factors did you consider to determine the amount of the student's award?
 - Student's access to food _____ (Y/N)
 - Student's access to housing _____ (Y/N)
 - Student's access to course materials _____ (Y/N)
 - Student's access to technology _____ (Y/N)
 - Student's access to health care _____ (Y/N)
 - Student's access to child care _____ (Y/N)
 - Other expenses related to cost of attendance _____
 - Other _____
 - Did you use any institutional administrative data (pre-existing data that did not come from a HEERF-specific application form) in determining the amount of funds awarded to students? _____ (Y/N). If 'yes', which of these student factors did you consider in the grant determination process? (Mark all that apply or describe for *other*)
 - Enrollment intensity (i.e., full-time/part-time status) _____ (Y/N).
 - Location (i.e., branch campus) _____ (Y/N).
 - Pell Grant eligibility _____ (Y/N).
 - FAFSA data elements _____ (Y/N).
 1. FAFSA Family Income _____ (Y/N).
 2. Estimated Family Contribution _____ (Y/N).
 3. independent/dependent status _____ (Y/N).
 - On-campus/distance education status _____ (Y/N).

2

Emergency Financial Aid Grants Awarded to Students (direct grants and amounts reimbursed)								
		All HEERF Emergency Financial Aid Grant eligible students	Undergraduates ²				Graduates	
			Full-time students ³		Part-time students		Full-time students	Part-time students
			Pell grant recipient ⁴	Non-Pell grant recipient ⁵	Pell grant recipient	Non-Pell grant recipient		
Number of Eligible Students	How many students were eligible to receive HEERF emergency grants made available under section 18004 of the CARES Act ⁶ ?	<autofill: sum of #s in row>						
Number of HEERF Student Recipients – Emergency Grants to Students (unduplicated)	How many students received emergency financial aid grants provided under Section 18004 of the CARES Act ⁶ (unduplicated across all HEERF sections)	<autofill: sum of #s in row>						
HEERF Amount Disbursed (Section 18004(a)(1) Student Aid Portion)	What was the amount dispersed directly to students as Emergency Financial Aid Grants under Section 18004(a)(1) of HEERF?	<autofill: sum of #s in row>						
	What is the amount reimbursed ⁷ to your institution for Emergency Financial Aid Grants to students made prior to receiving your Section 18004(a)(1) HEERF grant but after March 27, 2020?	<autofill: sum of #s in row>						
HEERF Amount Disbursed (18004(a)(1) Institutional Portion)	What was the amount dispersed <i>directly</i> to students as Emergency Financial Aid Grants through the Institutional Portion of Section 18004(a)(1) of HEERF?	<autofill: sum of #s in row>						
	What was the amount of the Institutional Portion of Section 18004(a)(1) of HEERF that was used to recover the cost of reimbursing students for room, board, tuition, or fees? If funds were not used for this purpose, report \$0.	<autofill: sum of #s in row>						
<SKIP LOGIC for those who did not receive these funds> HEERF Amount Disbursed (Section 18004(a)(3))	What was the amount dispersed <i>directly</i> to students as Emergency Financial Aid Grants through the HBCUs, TCCUs, MSIs, or SIP portion of the fund? If funds were not used for this purpose, report \$0.	<autofill: sum of #s in row>						
	What was the HBCUs, TCCUs, MSIs, or SIP portion amount used to recover the cost of reimbursing students for room,	<autofill: sum of #s in row>						

² For students in both undergraduate and graduate categories, classify as a graduate student.

³ For students who had multiple enrollment intensities use the enrollment status at the time of disbursement to determine full-time status or part-time status.

⁴ Pell grant recipient refers to a student who received a Pell grant during the applicable financial aid award year (for the first annual report 7/1/19-6/30/20, the second annual report 7/1/20-6/30/21, and the third annual report 7/1/21-6/30/22).

⁵ Includes non-FAFSA filers.

⁶ See guidance FAQ #9 [here](#).

⁷ See FAQ #3 [here](#).

4

18004 (a)(2)-HBCUs, TCCUs, MSIs, SIP)	board, tuition, or fees? If funds were not used for this purpose, report \$0.								
<SKIP LOGIC for those who did not receive these funds> HEERF Amount Disbursed (Section 18004 (a)(3))	What was the amount dispersed <i>directly</i> to students as Emergency Financial Aid Grants through funds received through Section 18004(a)(3)? If funds were not used for this purpose, report \$0.	<autofill: sum of #s in row>							
	What was the amount received through Section 18004(a)(3) used to recover the cost of reimbursing students for room, board, tuition, or fees? If funds were not used for this purpose, report \$0.	<autofill: sum of #s in row>							
HEERF Amount of Grants Disbursed	What was the amount of grants disbursed to students through all HEERF funds?	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>
Average HEERF Amount Awarded	Among students who received HEERF emergency financial aid grants, what was the average award amount per student?	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>	<autofill: calculated from #s above>

Institutional Support (applies to all HEERF grants)

- 7) Provide the total amount of HEERF funds expended on the categories provided. Please note that the CARES Act prohibits the use of funding for the provision of pre-enrollment recruitment activities; endowments; or capital outlays associated with facilities related to athletics, sectarian instruction, or religious worship. In addition, please note that this template is meant to serve as a guide, and therefore IHEs are not required to categorize amounts in every category listed but only those that IHEs found applicable to their unique circumstances.

Category	Amount expended (in dollars)
Direct grants to students ⁸	<Auto-fill from response question 6>
Tuition discounting	
Providing additional technology to students, such as laptops or tablets	
Providing or subsidizing the cost of highspeed internet to students or faculty forced to transition to the online environment	

⁸ To support any element of the cost of attendance (as defined under Section 472 of the Higher Education Act) per the Interim Final Rule published June 17, 2020. Community Colleges in California and all IHEs in Washington state have different requirements due to U.S. District Court actions. Please discuss with legal counsel.

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Category	Amount expended (in dollars)
Subsidizing off-campus housing costs due to dorm closures or decisions to limit housing to one student per room; subsidizing housing costs to reduce housing density; paying for hotels or other off-campus housing for students who need to be isolated; paying travel expenses for students who need to leave campus early due to coronavirus infection or campus interruptions.	
Subsidizing food service to reduce density in eating facilities, to provide pre-packaged meals, or to add hours to food service operations to accommodate social distancing.	
Operating additional class sections to enable social distancing, which includes hiring more instructors and increasing campus hours of operations	
Purchasing additional instructional equipment and supplies (such as laboratory equipment or computers) to reduce the number of students sharing equipment or supplies during a single class period and to provide time for disinfection between uses.	
Replacing lost tuition revenue due to reduced enrollments	
Replacing lost revenue from non-tuition sources (i.e., cancelled ancillary events; disruption of food service, dorms, childcare or other facilities; cancellation of use of campus venues by other organizations, lost parking revenue, etc. ⁹	
Purchasing faculty and staff training for online instruction	
Purchasing additional equipment or software to enable distance learning, or upgrading campus wi-fi access or making wi-fi access available to the public by extending open networks to parking lots or public spaces, etc.	
Campus Safety and Operations ¹⁰	
Other uses of funds. Please provide documentation and explain: _____	
TOTAL AMOUNT	

8) Provide the number of students who received HEERF grant funds and withdrew from the institution within the reporting period.

How many students received emergency financial aid grants through any of the HEERF funds?	How many of students who ever received HEERF Emergency Financial Aid Grants dropped out (withdrawal without a completion record since receiving funds)?	Withdrawal rate for students who received HEERF Emergency Financial Aid Grants

⁹ Including continuance of pay salary and benefits to workers who would otherwise support the work or activities of ancillary enterprises (i.e. bookstore workers, foodservice workers, venue staff, etc.)

¹⁰ Including disinfecting and cleaning of dorms and other campus facilities, purchase of PPE, purchase of cleaning supplies, adding personnel to increase the frequency of cleaning, reconfiguration of facilities to promote social distancing, etc.

6

< autofill from above>	<autofill: students who dropped out divided by total number of students who received funds>
------------------------	---

9) Provide the full-time equivalent (FTE) positions as of March 13, 2020 and the FTE positions as of the last day of the reporting period.

- a) March 13, 2020 _____
b) End of the reporting period _____

7

Agenda Item #6

Student Mental Health

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Student Mental Health

University of Oregon
Board of Trustees Meeting
September 10, 2020

Deb Beck, University Health Center
Shelly Kerr, University Counseling Center
Kris Winter, Division of Student Life

University Health Services

- ▶ University Health Services is a comprehensive medical and mental health service for UO students. Our service provides multiple ways for students to access mental health care with seamless transitions between providers to provide wrap around, comprehensive mental health services.
- ▶ Medical services are provided by a team of fully licensed medical personnel in their respective fields. Our medical services is staffed with medical doctors and nurse practitioners who provide primary and specialty care, often assisting with mental health assessments and providing medical treatments for mental health diagnosis.
- ▶ Psychiatry is a team of medical doctors who provide medical management and some behavioral health management of mental health conditions.
- ▶ University Counseling Center licensed psychologists, licensed professional counselors, and psychologists-in-training provide mental health services and consultation and educational programming to students and consultation to and educational programming for faculty, staff, and parents and families of students.

University Health Services

Diagnosis	% treated by Medical Provider	% treated by Psychiatrist
Major depressive disorder, recurrent, moderate	20.81	79.19
Generalized anxiety disorder	21.98	78.02
Gender identity disorder, unspecified	98.4	1.6
Major Depressive Disorder, Recurrent, Unspecified	64.22	35.78
Major depressive disorder, recurrent, mild	30.11	69.89

Mental Health Pre-Covid (2018-19)

Health Minds Survey - UO Data

Estimated values of selected measures for University of Oregon	Percentage of students
Elevated level of depression (positive CCAPS-34 screen)	31%
Elevated level of generalized anxiety (positive CCAPS-34 screen)	36%
Elevated level of eating concerns (positive CCAPS-34 screen)	38%
Non-suicidal self-injury (past year)	12%
Suicidal ideation (past year)	13%
Lifetime diagnoses of mental disorders	46%
Psychiatric medication (past year)	25%
Mental health therapy/counseling (past year)	37%
Any mental health therapy/counseling and/or psychiatric medication among students with positive depression or anxiety screens (past year)	60%
Personal stigma: agrees with "I would think less of someone who has received mental health treatment."	5%
Perceived public stigma: agrees with "Most people would think less of someone who has received mental health treatment."	41%

Mental Health Pre-Covid (2018-19)

Health Minds Survey – National Data

Estimated values of selected measures for	Percentage of students
Major depression (positive PHQ-9 screen)	18%
Depression overall, including major and moderate (positive PHQ-9 screen)	36%
Anxiety disorder (positive GAD-7 screen)	31%
Eating disorder (positive SCOFF screen)	10%
Non-suicidal self-injury (past year)	24%
Suicidal ideation (past year)	14%
Lifetime diagnoses of mental disorders	37%
Psychiatric medication (past year)	24%
Mental health therapy/counseling (past year)	30%
Any mental health therapy/counseling and/or psychiatric medication among students with positive depression or anxiety screens (past year)	56%
Personal stigma: agrees with "I would think less of someone who has received mental health treatment."	6%
Perceived public stigma: agrees with "Most people would think less of someone who has received mental health treatment."	47%

Mental Health Pre Covid (2018-2019)

Health Minds Survey – UO and National Data

Suicidal ideation (past year)

UO	13%
National	14%

Suicide plan (past year)

UO	07%
National	06%

Suicide attempt (past year)

UO	02%
National	02%

Non-suicidal self-injury (past year)

UO	12%
National	24%

Mental Health Pre-Covid (2018-19)

Health Minds Survey – UO and National Data

Drug use

Over the past 30 days, have you used any of the following drugs? (Select all that apply)

40%	Marijuana
4%	Cocaine (any form, including crack, powder, or freebase)
0%	Heroin
1%	Opioid pain relievers (such as Vicodin, OxyContin, Percocet, Demerol, Dilaudid, codeine, hydrocodone, methadone, morphine) without a prescription or more than prescribed
1%	Benzodiazepenes
0%	Methamphetamines (also known as speed, crystal meth, or ice)
3%	Other stimulants (such as Ritalin, Adderall) without a prescription or more than prescribed
1%	Ecstasy
1%	Other drugs without a prescription
58%	No, none of these

Drug use

Over the past 30 days, have you used any of the following drugs? (Select all that apply)

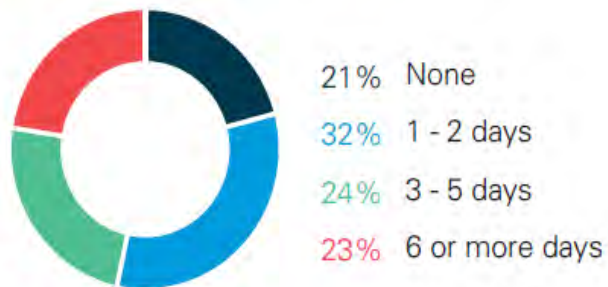
24%	Marijuana
2%	Cocaine (any form, including crack, powder, or freebase)
0%	Heroin
1%	Opioid pain relievers (such as Vicodin, OxyContin, Percocet, Demerol, Dilaudid, codeine, hydrocodone, methadone, morphine) without a prescription or more than prescribed
1%	Benzodiazepenes
0%	Methamphetamines (also known as speed, crystal meth, or ice)
3%	Other stimulants (such as Ritalin, Adderall) without a prescription or more than prescribed
1%	Ecstasy
1%	Other drugs without a prescription
74%	No, none of these

Mental Health Pre-Covid (2018-19) Health Minds Survey – UO Data

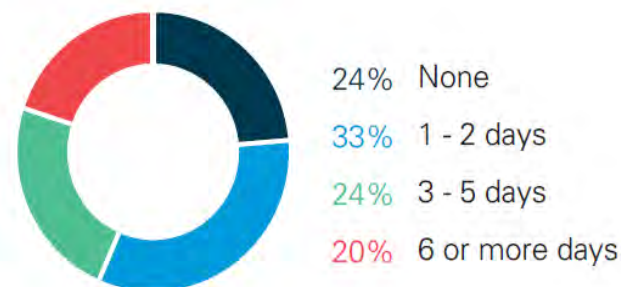
ACADEMIC IMPAIRMENT

In the past 4 weeks, how many days have you felt that emotional or mental difficulties have hurt your academic performance?

UO



National



Mental Health & COVID

- ▶ Recent CDC report of respondents 18-24 years old shows notable prevalence of problems in several areas that were higher than for other age groups.
 - ▶ Anxiety Disorder
 - ▶ Depressive Disorder
 - ▶ COVID-19 Related Trauma and Stress Response
 - ▶ Started or increased substance use to cope with pandemic-related stress or emotions
 - ▶ Seriously considered suicide in the past 30 days
 - ▶ > 1 Adverse mental or behavioral
- ▶ Ethnicity was relevant, as well, with Latinx-identified respondents having highest percentages in all categories and Black-identified respondents having second highest percentages

UCC Mental Health & COVID

- ▶ UCC Client Teletherapy Survey (see separate document)
- ▶ UCC Client Counseling Center Assessment of Psychological Symptoms (CCAPS) Improvement April-August 2019 and April-August 2020 (see separate documents)

General findings:

- ▶ Safety is the top concern; many are not willing to sacrifice personal and family safety to attend in-person activities
- ▶ Students reported mental health concerns, difficulty focusing, lack of motivation
- ▶ Students are under significant financial distress and are concerned with income instability, employment, housing costs, health care, and food insecurity
- ▶ Students are seeking social connection in the virtual learning environment, particularly marginalized communities

Support Services

- ▶ University Health Center
- ▶ University Counseling Center
- ▶ Dean of Students

- ▶ Collaborative highlights:
 - ▶ Student Care Team
 - ▶ Duck Nest

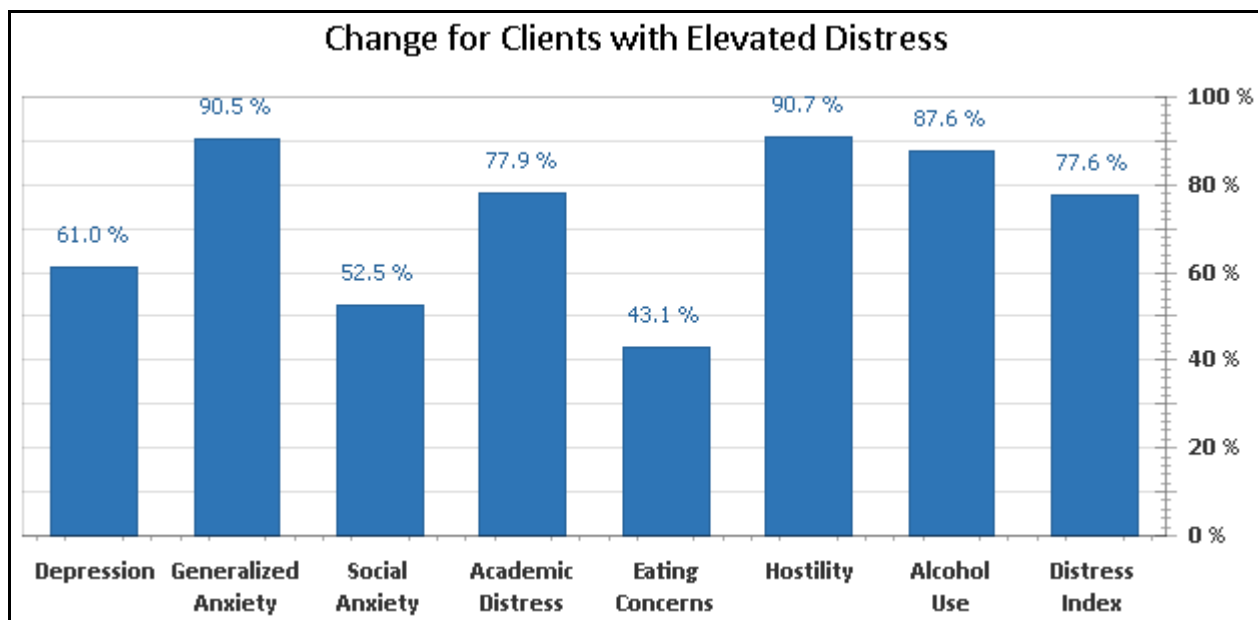
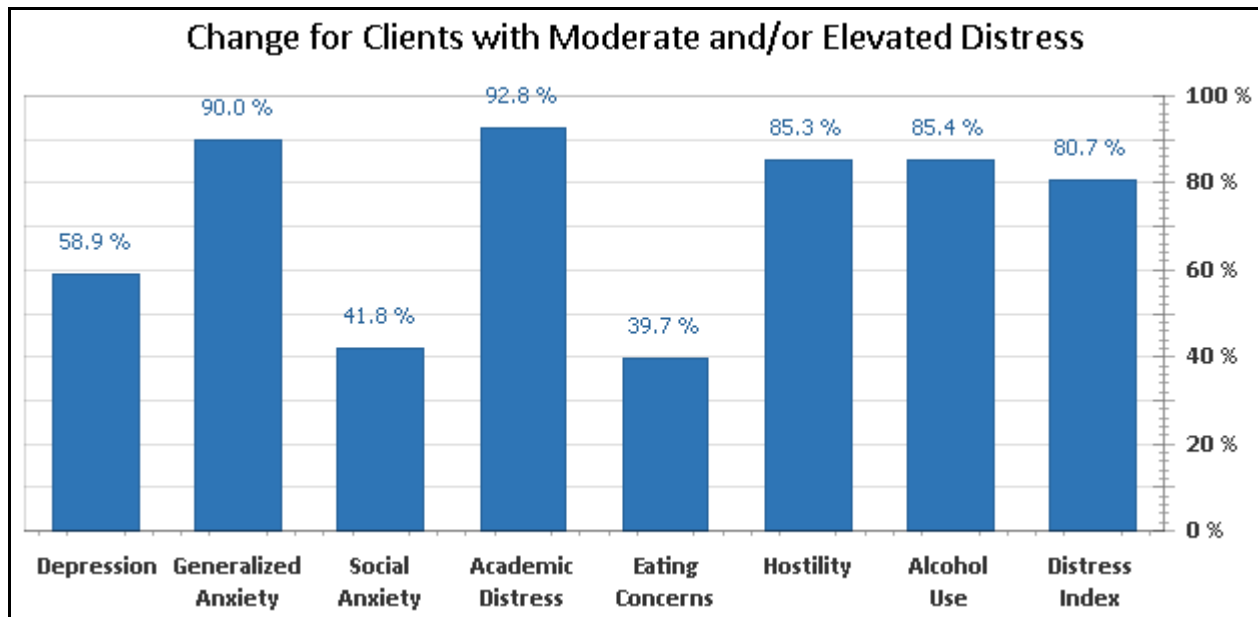
Questions?

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CCAPS National Comparison — Pre-Post Change

Ver. 5/2017

Based on 240 unique local clients, with at least 4 CCAPS Administrations from 04/02/2020 to 08/21/2020. The clients in the resulting sample have an average of 8 administrations.



This report compares your center's average change on the CCAPS' subscales to a national sample of 106 counseling centers representing 47,948 clients. Average change is calculated by subtracting each client's last scorable CCAPS administration from their first scorable CCAPS administration and then averaging these differences by subscale. Two charts are provided above based on client's level of initial distress: (1) clients with moderate and/or elevated initial distress or (2) clients with only elevated initial distress.

For example, looking at the first chart (moderate + elevated), your center's average change for Depression is at the 58th percentile. This means that your center's average change on the Depression subscale is greater than the change achieved by 58 % of counseling centers in the national sample (for clients whose initial distress was at least moderate and/or elevated).

CCAPS Pre-Post Change Data Table

Subscale by Initial Distress Level	Local Average Change in Raw Subscale Score	# of Local Clients Above Cut Score	% of Local Clients Above Cut Score	National Average Change in Raw Subscale Score	# of National Clients Above Cut Score	% of National Clients above Cut Score
Depression Low-Cut	0.715	183	76.3 %	0.673	34,356	71.7 %
Depression High-Cut	0.893	118	49.2 %	0.835	24,369	50.8 %
Generalized Anxiety Low-Cut	0.725	190	79.2 %	0.523	35,923	74.9 %
Generalized Anxiety High-Cut	0.904	119	49.6 %	0.684	22,916	47.8 %
Social Anxiety Low-Cut	0.396	142	59.2 %	0.419	30,170	62.9 %
Social Anxiety High-Cut	0.533	74	30.8 %	0.525	17,372	36.2 %
Academic Distress Low-Cut	0.698	197	82.1 %	0.475	32,448	67.7 %
Academic Distress High-Cut	0.931	118	49.2 %	0.776	14,468	30.2 %
Eating Concerns Low-Cut	0.549	79	32.9 %	0.595	16,463	34.3 %
Eating Concerns High-Cut	0.630	64	26.7 %	0.662	13,343	27.8 %
Hostility Low-Cut	0.692	91	37.9 %	0.544	22,630	47.2 %
Hostility High-Cut	0.937	46	19.2 %	0.724	13,957	29.1 %
Alcohol Use Low-Cut	0.754	56	23.3 %	0.570	15,870	33.1 %
Alcohol Use High-Cut	0.985	33	13.8 %	0.749	10,163	21.2 %
Distress Index Low-Cut	0.621	193	80.4 %	0.490	36,138	75.4 %
Distress Index High-Cut	0.807	88	36.7 %	0.672	16,856	35.2 %

Data Table Column Descriptions

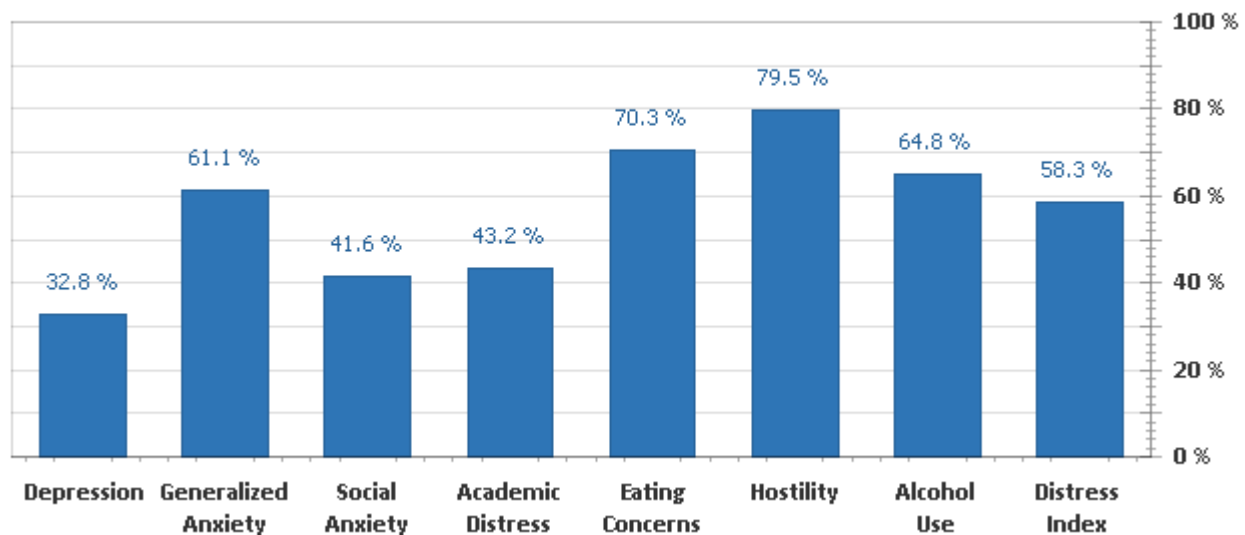
Subscale by Initial Distress Level	Scores on the CCAPS are divided into three ranges of distress, Low-Distress (white), Moderate Distress (yellow), and Elevated Distress (red), using Low and High cut-scores (Low-Cut and High-Cut). Clients that score over the Low-Cut include Moderate Distress plus Elevated Distress scores. Those that score over the High-Cut include Elevated Distress scores only. For more information about cut-scores please view the CCAPS User Manual under “CCAPS” in the Help Tab.
Local Average Change in Raw Subscale Score	The average difference in Pre-Post CCAPS scores at your center for a given subscale and initial distress.
# of Local Clients Above Cut Score	The number of clients at your center that scored above the indicated cut-score (low or high) per subscale.
% of Local Clients Above Cut Score	The percentage of clients at your center that scored above the indicated cut-score (low or high) per subscale.
National Average Change in Raw Subscale Score	The national average Pre-Post change in CCAPS scores for the indicated subscale and cut-score.
# of National Clients Above Cut Score	The number of clients in the national sample that scored above the indicated subscale and cut-score.
% of National Clients Above Cut Score	The percentage of clients in the national sample that that scored above the indicated subscale and cut-score.

CCAPS National Comparison — Pre-Post Change

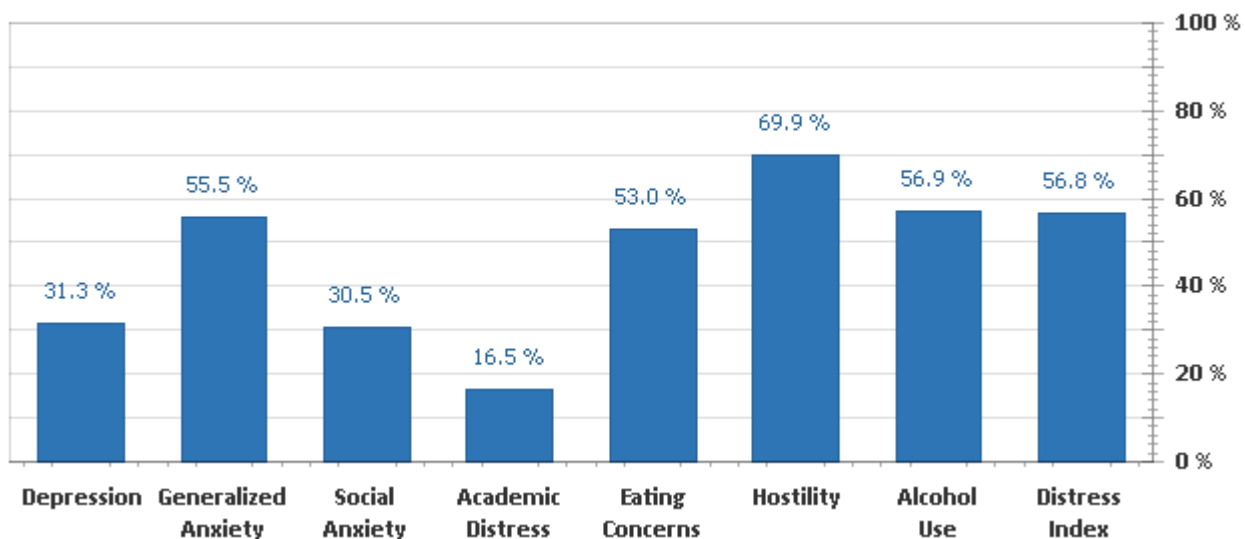
Ver. 5/2017

Based on 325 unique local clients, with at least 4 CCAPS Administrations from 04/02/2019 to 08/21/2019. The clients in the resulting sample have an average of 6 administrations.

Change for Clients with Moderate and/or Elevated Distress



Change for Clients with Elevated Distress



This report compares your center's average change on the CCAPS' subscales to a national sample of 106 counseling centers representing 47,948 clients. Average change is calculated by subtracting each client's last scorable CCAPS administration from their first scorable CCAPS administration and then averaging these differences by subscale. Two charts are provided above based on client's level of initial distress: (1) clients with moderate and/or elevated initial distress or (2) clients with only elevated initial distress.

For example, looking at the first chart (moderate + elevated), your center's average change for Depression is at the 32nd percentile. This means that your center's average change on the Depression subscale is greater than the change achieved by 32 % of counseling centers in the national sample (for clients whose initial distress was at least moderate and/or elevated).

CCAPS Pre-Post Change Data Table

Subscale by Initial Distress Level	Local Average Change in Raw Subscale Score	# of Local Clients Above Cut Score	% of Local Clients Above Cut Score	National Average Change in Raw Subscale Score	# of National Clients Above Cut Score	% of National Clients above Cut Score
Depression Low-Cut	0.589	244	75.1 %	0.673	34,356	71.7 %
Depression High-Cut	0.732	140	43.1 %	0.835	24,369	50.8 %
Generalized Anxiety Low-Cut	0.567	229	70.5 %	0.523	35,923	74.9 %
Generalized Anxiety High-Cut	0.707	136	41.8 %	0.684	22,916	47.8 %
Social Anxiety Low-Cut	0.396	218	67.1 %	0.419	30,170	62.9 %
Social Anxiety High-Cut	0.464	116	35.7 %	0.525	17,372	36.2 %
Academic Distress Low-Cut	0.449	203	62.5 %	0.475	32,448	67.7 %
Academic Distress High-Cut	0.580	107	32.9 %	0.776	14,468	30.2 %
Eating Concerns Low-Cut	0.691	125	38.5 %	0.595	16,463	34.3 %
Eating Concerns High-Cut	0.676	104	32.0 %	0.662	13,343	27.8 %
Hostility Low-Cut	0.660	133	40.9 %	0.544	22,630	47.2 %
Hostility High-Cut	0.808	73	22.5 %	0.724	13,957	29.1 %
Alcohol Use Low-Cut	0.637	111	34.2 %	0.570	15,870	33.1 %
Alcohol Use High-Cut	0.785	65	20.0 %	0.749	10,163	21.2 %
Distress Index Low-Cut	0.522	227	69.8 %	0.490	36,138	75.4 %
Distress Index High-Cut	0.703	98	30.2 %	0.672	16,856	35.2 %

Data Table Column Descriptions

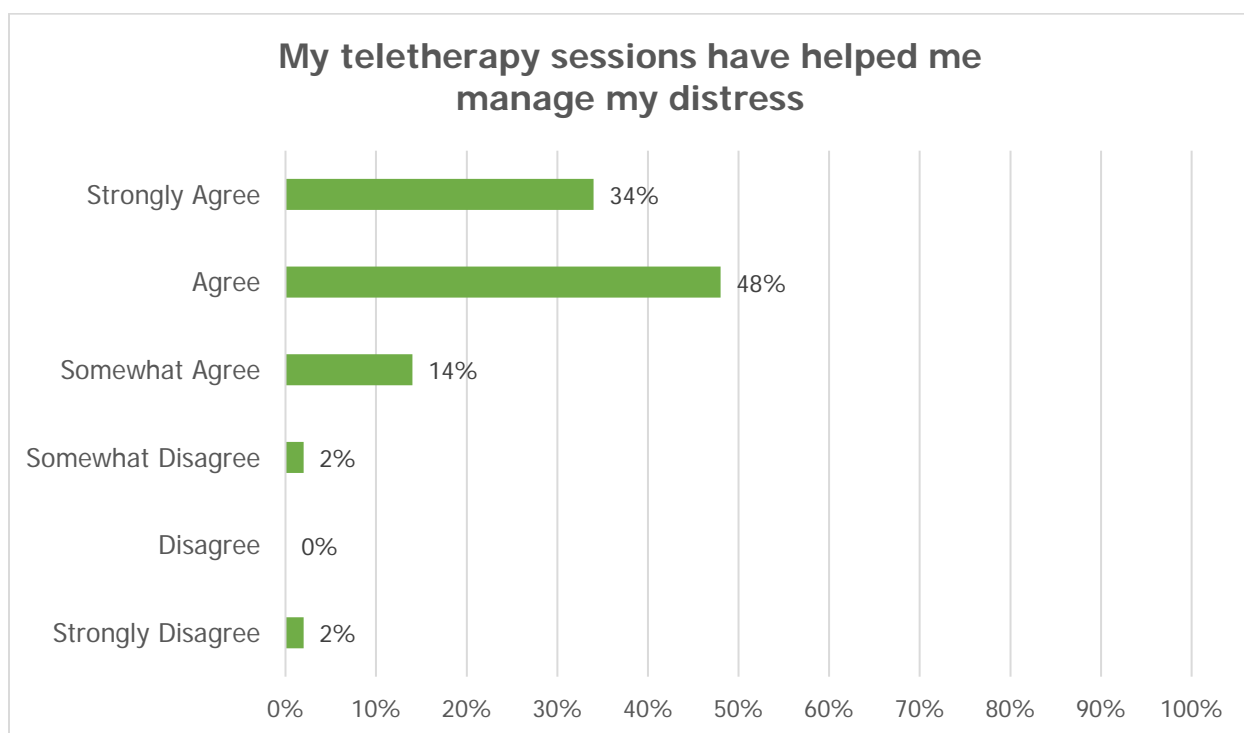
Subscale by Initial Distress Level	Scores on the CCAPS are divided into three ranges of distress, Low-Distress (white), Moderate Distress (yellow), and Elevated Distress (red), using Low and High cut-scores (Low-Cut and High-Cut). Clients that score over the Low-Cut include Moderate Distress plus Elevated Distress scores. Those that score over the High-Cut include Elevated Distress scores only. For more information about cut-scores please view the CCAPS User Manual under “CCAPS” in the Help Tab.
Local Average Change in Raw Subscale Score	The average difference in Pre-Post CCAPS scores at your center for a given subscale and initial distress.
# of Local Clients Above Cut Score	The number of clients at your center that scored above the indicated cut-score (low or high) per subscale.
% of Local Clients Above Cut Score	The percentage of clients at your center that scored above the indicated cut-score (low or high) per subscale.
National Average Change in Raw Subscale Score	The national average Pre-Post change in CCAPS scores for the indicated subscale and cut-score.
# of National Clients Above Cut Score	The number of clients in the national sample that scored above the indicated subscale and cut-score.
% of National Clients Above Cut Score	The percentage of clients in the national sample that that scored above the indicated subscale and cut-score.

Student Teletherapy Survey

University Counseling Center

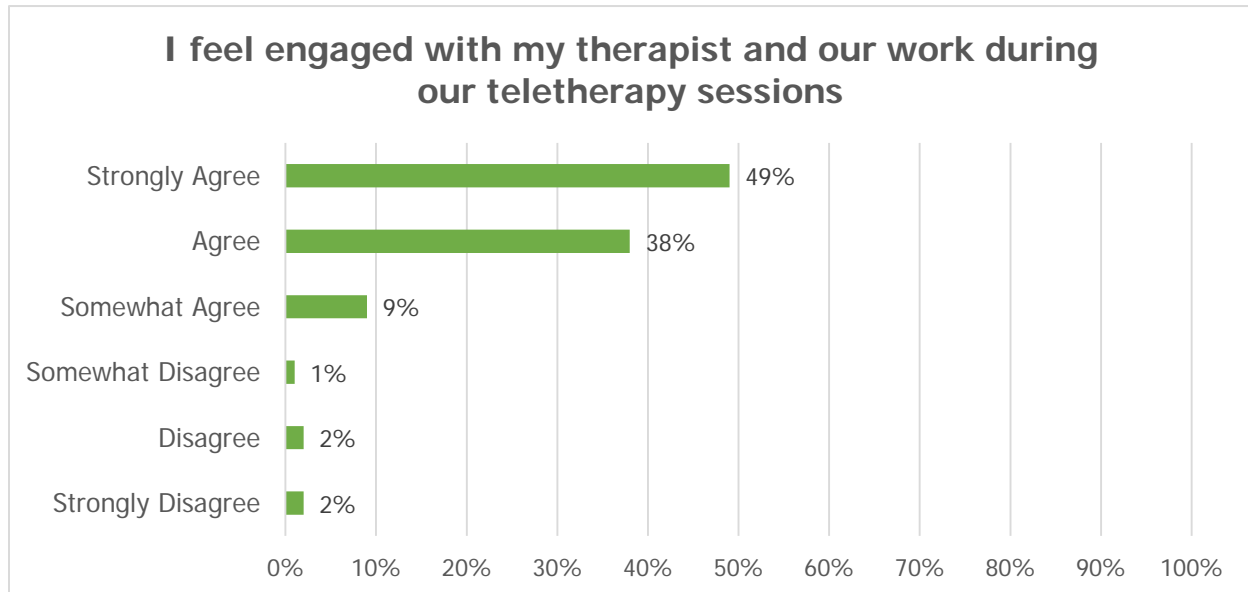
August 2020

The primary goal of this survey is to learn about students' experience with teletherapy and potential preference for teletherapy during the upcoming academic year. In addition, the survey aims to determine if teletherapy is helping support student's overall distress, academics, and connection to the University of Oregon. This brief survey was sent to 316 students who attended at least one teletherapy session through UCC beginning in April 2020 to July 2020. **We received a response rate of 36% (114 total responses).**



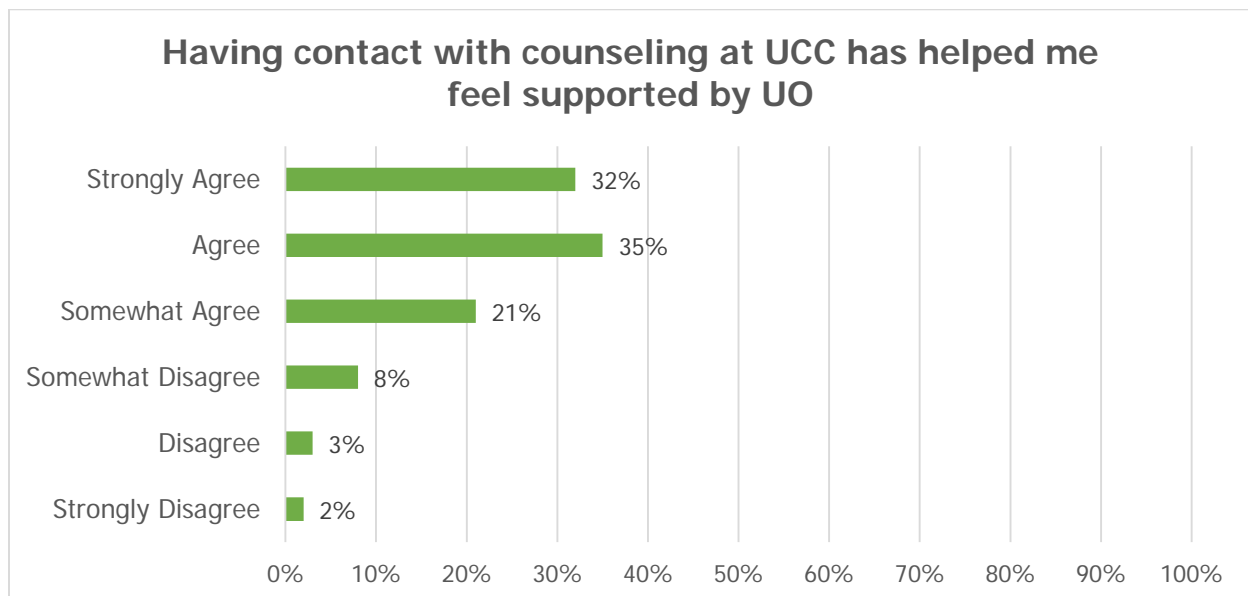
96% of students somewhat to strongly agree that their teletherapy sessions helped manage distress.

Research has shown that evaluating one's satisfaction of services provided virtually can be evident in a) client engagement (i.e. client-therapist communication and interaction) and b) the therapeutic alliance (i.e. interpersonal bond between client and therapist), with ratings comparable to those given for in-person sessions (Jenkins-Guarnieri et al., 2015).



96% of students somewhat to strongly agree that they are engaged with their counselor and their therapeutic work.

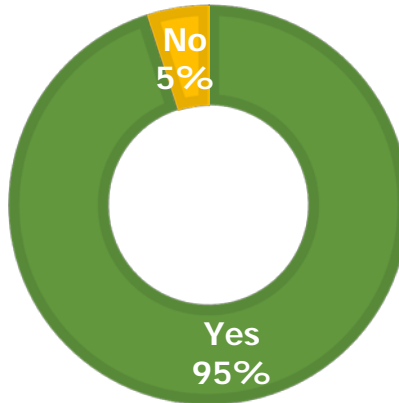
Positive social networks can increase a sense of community on campus, aid in suicide prevention, and promote mental health among students (Davidson & Locke, 2010).



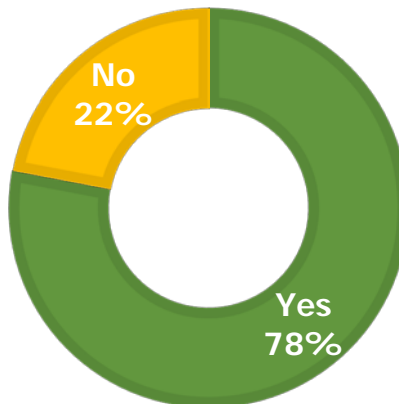
88% of students somewhat to strongly agree that counseling at UCC helped them feel supported by the University of Oregon as a whole.

At the time of the survey, there are important public health and sociopolitical issues that are potentially impacting students and their communities. Students were asked whether the following issues have impacted their mental health: COVID-19 pandemic, Black Lives Matter movement, and recent challenges to immigration policy/visa processing in the US.

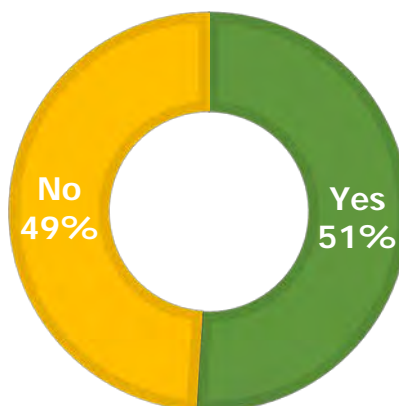
COVID-19 PANDEMIC



BLACK LIVES MATTER

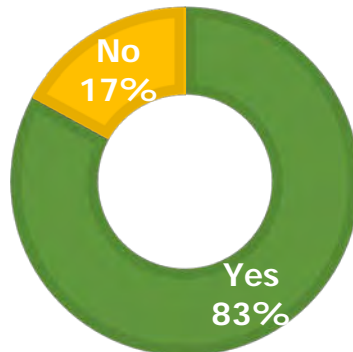


IMMIGRATION POLICY/VISA PROCESSING

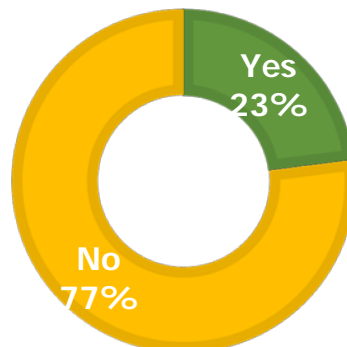


Mental health can negatively impact students' academic performance and persistence (American College Health Association, 2018; Eisenberg et al., 2009; Svanum & Zody, 2001). Students were asked three questions regarding their academics **during Spring/Summer 2020**.

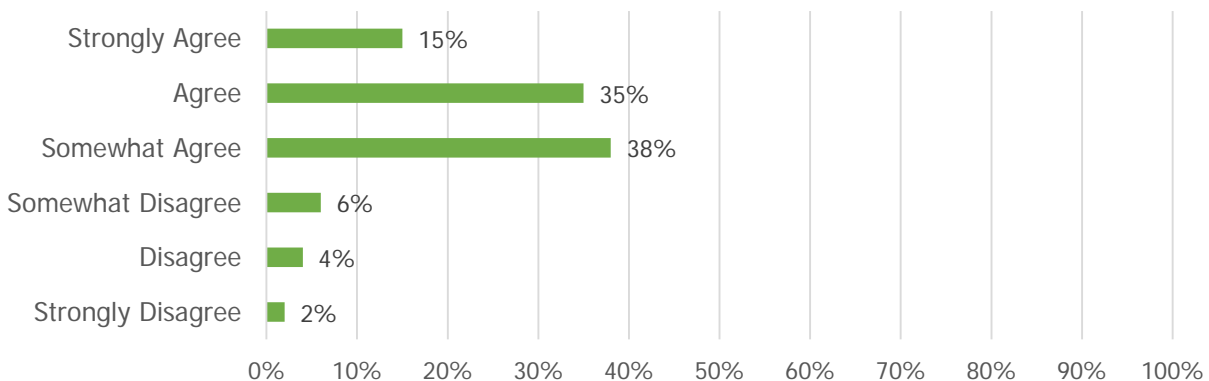
Have any mental health concerns affected your academic performance while at UO?



Were the concerns that brought you to the UCC impacting your ability to remain a student at UO?

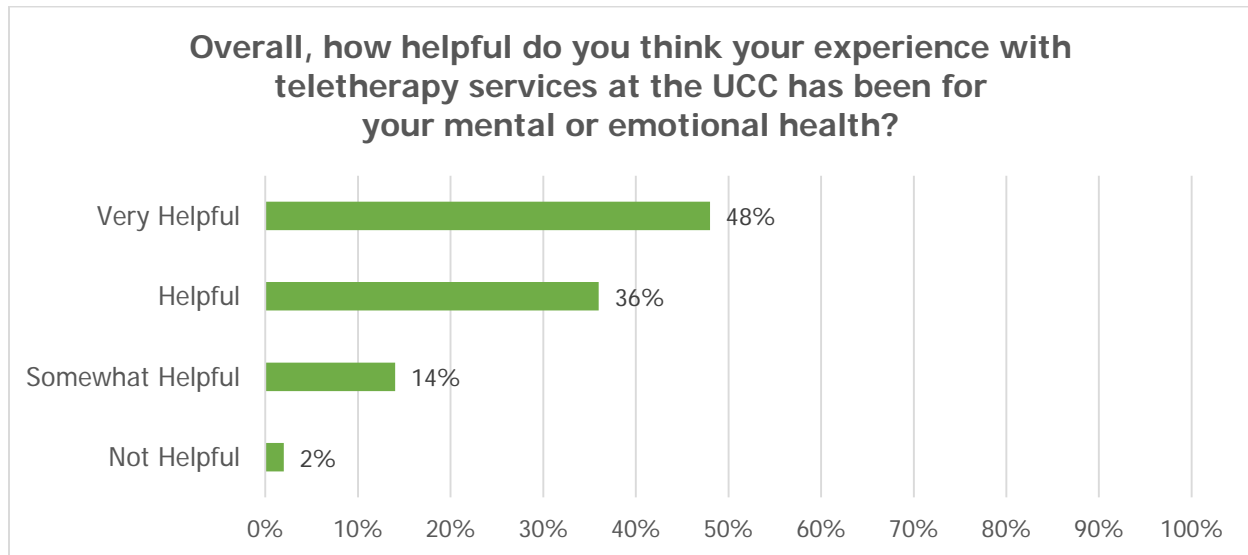


Mental health support at the UCC has helped me to be more academically engaged as a student

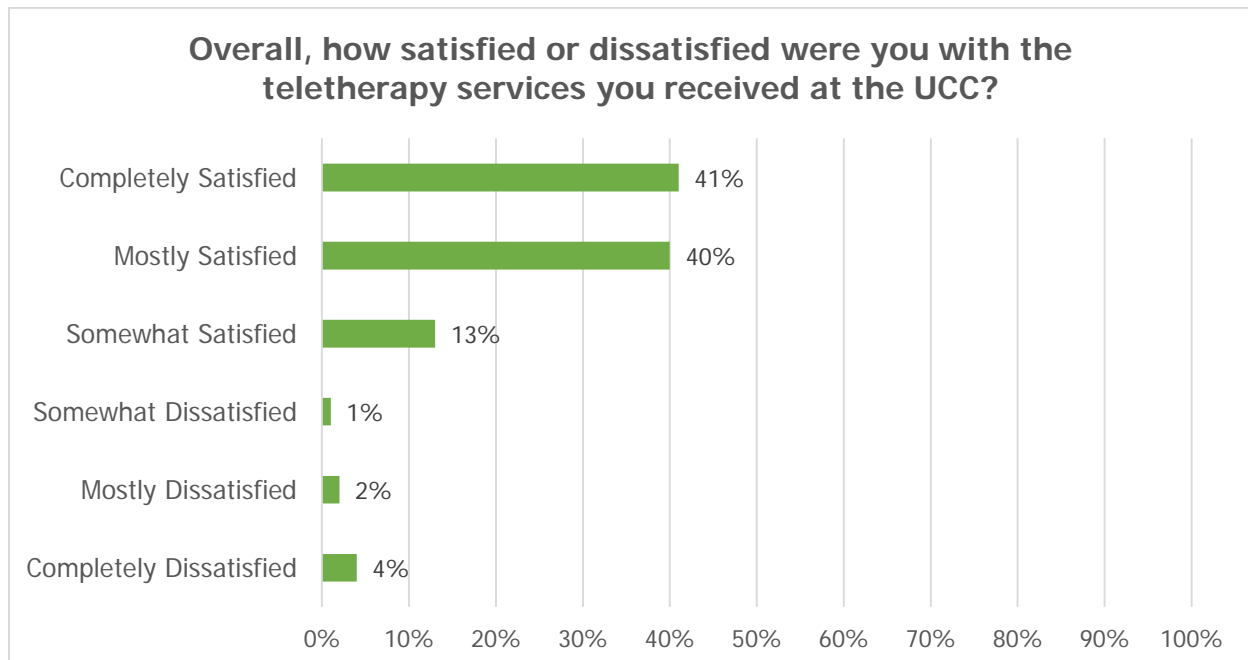


88% of students somewhat to strongly agree that mental health support has improved their academic engagement.

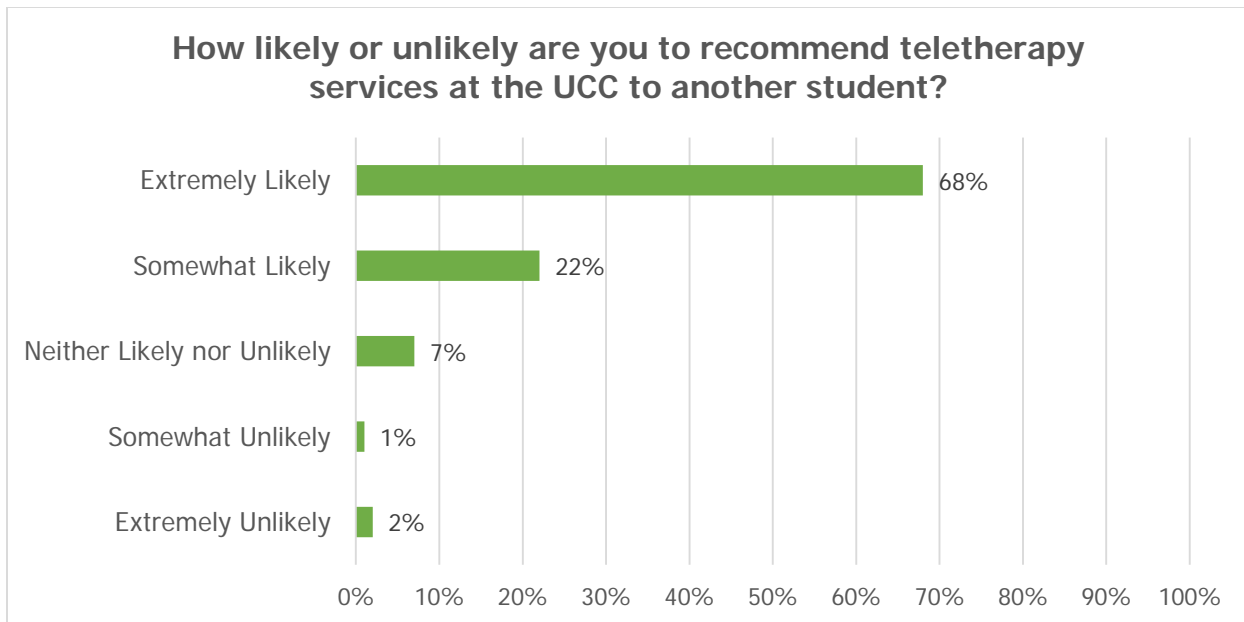
Students were asked about their overall experience, satisfaction, and preference for teletherapy services at UCC. Results are comparable to those obtained from the 2019-2020 Client Experience Survey: 96% helpful for their mental health; 90% satisfied with services at UCC; and 91% would recommend UCC to a friend if they needed mental health support.



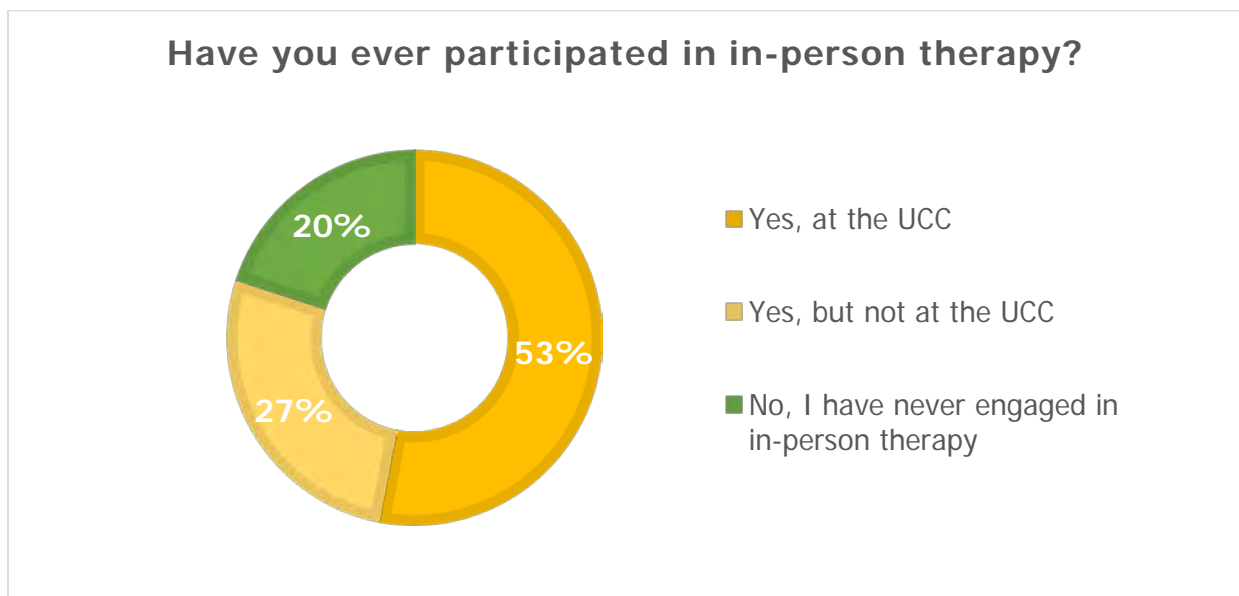
98% of students think teletherapy has been somewhat to very helpful for their mental health.



94% of students are somewhat to completely satisfied with teletherapy services at UCC.

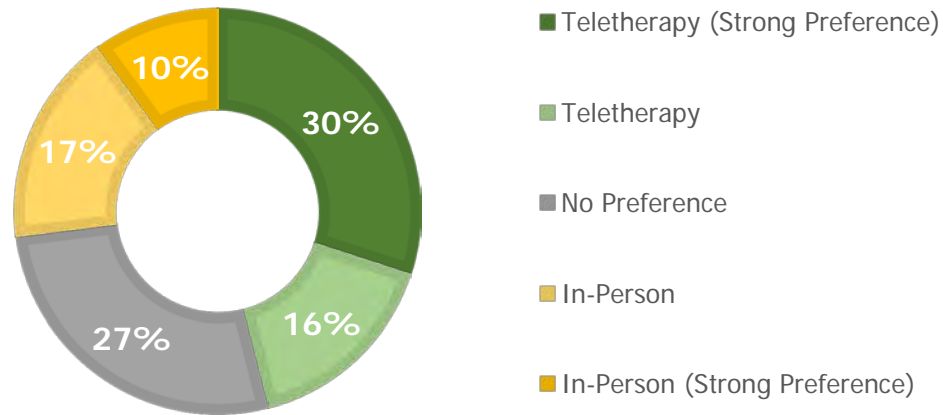


90% of students are somewhat or extremely likely to recommend teletherapy to another student.



80% of students have attended in-person therapy in the past, either at UCC or elsewhere.

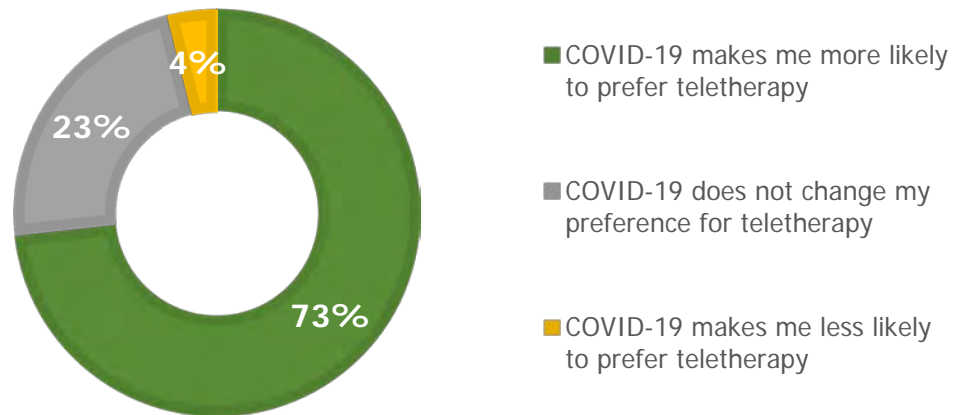
Currently, the UO is planning for in-person and on-campus learning in the Fall. When you return to campus, how would you prefer to receive services from us?



46% of students indicated a slight to strong preference for teletherapy.

27% of students indicated a slight to strong preference for in-person therapy.

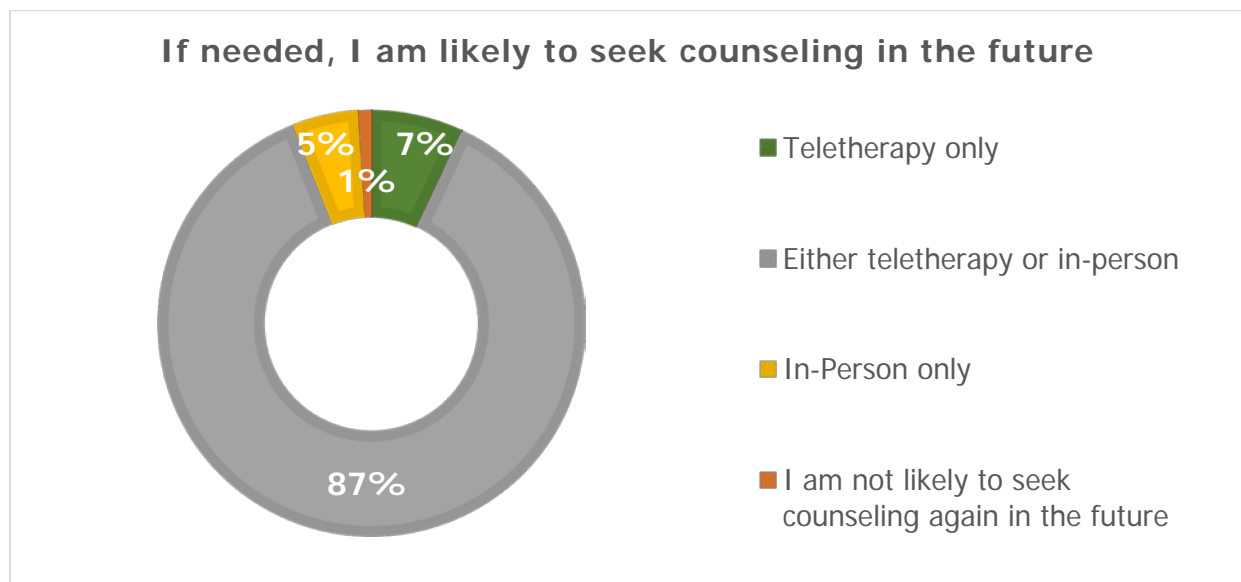
Do COVID-19 conditions impact your preferences?



Students were asked an open-response question regarding potential barriers to teletherapy. Select responses are provided here based on similar themes among respondents.

What barriers do you have in receiving services online?

- "Finding a private place with internet access"
- "I am worried about sometimes not having access to internet for my meetings"
- "I think both privacy and internet connection are two barriers that often interfere from allowing me to have better sessions. I live with three other roommates so I never know for sure if my conversations are heard during therapy. Additionally, I have had several instances where Zoom hasn't worked properly and I've had to restart my laptop or schedule a new session with my therapist."
- "It's not a barriers, but the online reaction between people does feel very different with in person conversation, that different feeling is the core for me."
- "No barriers, but I always prefer talking to people in-person"
- "None, because I can use my phone even if everything else fails"
- "Time, privacy and willingness to get the help myself. The hardest part for me and maybe for a lot fo people initiating getting the help. Privacy goes along with that because even though were online, it's hard to find somewhere where roommates can't hear us and I don't know why but I just feel like someone is listening to us if we do online. But I would still prefer online because I don't want to risk anything being close to another person. We already are gonna have a risk if in person classes are going to be back."
- "Well, some of the skills that I struggle with are talking about personal emotions in person with someone, so being in person with a therapist was good practice while still being a challenge. So now that its online it can be a little easier to talk more honestly about personal emotions, but that then in a way contradicts learning those skills by practicing face to face."



94% of students indicated a preference for teletherapy or no preference for either teletherapy or in-person therapy when they seek counseling again in the future.

Students were asked two open-response questions regarding positive and negative aspects of teletherapy. Select responses are provided here based on similar themes among respondents.

What do you like about teletherapy sessions?

- "Easily accessible. I was able to roll right out of bed and log on"
- "Easy to set up, doesn't cause me nearly as much anxiety as an in person session."
- "Given my academic schedule and heavy load - it is likely I wouldn't have time to access in-person sessions. Thus, teletherapy allows for ease of access to services which I'm beyond grateful! I would HIGHLY recommend that you keep teletherapy services available for students (i.e. doctoral students) who have HEAVY academic loads and/or just not able to balance being able to access services in person"
- "I am able to receive the help I need even though it's not in-person. I am still able to feel connected to my therapist even if we aren't meeting in-person. I feel like my therapist does care about my well being."
- "I feel safe in my home, easier to share difficult information because I feel safe behind a screen"
- "I like that I do not have to commute to the UCC."
- "Due to COVID-19, it is the safest option."
- "I like that it adds a layer of safety for both my therapist and myself. We are living in really uncertain times and I wouldn't want to put us both at risk just for the sake of in-person session. Teletherapy isn't perfect but in a Covid-19 world it's helped me feel grounded in these times. I would much rather rally through teletherapy than start in-person sessions too soon and put people at risk."
- "I like the email and text reminders for the appointments with the Zoom link. It's nice to have an online therapy option because it makes it more widely available for those who can't meet in person. I feel that with the online format I am able to fit therapy more into my schedule."
- "I really enjoyed teletherapy, because with depression, sometimes it is harder to do simple things such as attending therapy sessions. being able to attend a session with the click of a button was very nice and easy. being in the comfort of my own home was very nice."
- "I was very pleasantly surprised by how soon I was able to have an appointment after my first call."
- "It allows me more flexibility-- I do not have to reserve time or means of transportation; I can have the meeting in bed, at a desk, or while sitting outside in the sunshine; I can have a meeting in between work and school meetings without needing to save time in between. It also allows me to remain physically safe and not at risk of contracting and/or spreading Covid-19. Also, I can have my ESA with me throughout the meeting, which is really nice."
- "It made me feel connected during the quarantine."
- "More frequent visits, able to continue sessions despite the fact that I'm not on campus"
- "That I am able to see and interact with my therapist in real time and still use supplemental resources (videos, online tools). I also like how convenient it is."
- "Similar feel to in-person sessions"
- "The counselor was highly considerable and professional. I was given some resources which helped me alot beyond my therapy schedule and time."
- "The therapist clearly explained what the session will be like through video call"

- "They're safe. In-person is not a good idea and is likely to exacerbate lots of folks existing mental health issues because of the potential negative health effects of being out and about even more on campus. They also lowered barriers I had to starting therapy in the first place because it was so easy to do."

What do you dislike about teletherapy sessions?

- "It's hard to find complete privacy for teletherapy sessions, especially if you are at home. In-person therapy is also feels more engaging compared to teletherapy."
- "A lot of information can be lost (body language etc.) and it can feel even more formal in a way, so harder to talk about vulnerable things."
- "Cannot use them in certain instances when my PhD studies take me out of state for fieldwork."
- "Difficulty of obtaining privacy, technical difficulties, loss of the in person interaction"
- "harder to engage, sometimes when therapist wasn't looking at screen or camera I felt that they were not fully listening, sometimes I could hear my own or my therapist's computer notifications which were distracting."
- "I dislike not having that in-person experience. I've only known my therapist online and never in person and as someone who started off with in person sessions it was a stark contrast when I first started. Also, being from Washington State it was upsetting knowing that I couldn't speak with my therapist when I was back home during the start of Covid because services don't extend that far, even though I really needed it during that time. Also, I don't enjoy the Zoom platform I find it to be glitchy and unreliable."
- "i dont really know what im missing so nothing"
- "I liked the ritual of going to a different space to do therapy"
- "It almost feels un-personal, like I am not fully engaged. My therapist can only see my face and can't read my body language which I relay a lot of info through. And what has helped me about in-person therapy is that being in a new place, or an office that really feels confidential, makes me feel more comfortable talking and getting into my feelings and issues. It's harder to get to that level with teletherapy."
- "It's difficult to express emotion or maintain eye contact with a therapist when you are on a video call. Getting counseling it in person feels more genuine. I also wish there is a way to schedule an appointment via an online form instead of having to call."
- "My children interrupting me, not having the container that would occur in a real session, the disruption mid thought is challenging to overcome."
- "Teletherapy made it difficult to feel a strong connection with my therapist. I also think there can be a lot of distractions Being in a therapist's office creates a safe space that is separate from the home, which I prefer."
- "That sometimes it's easy to mentally check out."
- "There are a lot of benefits of speaking with another person in the same room, but they're NOT worth risking people's health and safety over."
- "As everything is online recently, I don't feel the dislikes anymore."

Finally, students were provided with an opportunity to provide any additional feedback. Select responses are provided here based on similar themes among respondents.

Please share any remaining feedback about any of the above questions or about your experience at UCC. We value your input as it allows us to continually improve our services.

- "Counselors were great, I appreciate still have access to this service despite campus being shut down"
- "I am conflicted with the statement 'Having contact with counseling at UCC has helped me feel supported by the University of Oregon as a whole.' As a Latinx student in this university, I don't feel supported by the UO as a whole - really at all. The climate here is partially why I sought counseling. I do appreciate that the therapist is an individual from a culturally and linguistically diverse background. This is quite rare on this campus at all levels of the system (students, educators, administrators, etc)."
- "I didn't think it would make that much difference that my therapist and I share a component of our backgrounds, but it made a huge difference. There were so many things that come with being who I am that most people don't understand, but she understood with no needed explanation."
- "I have really enjoyed and benefited from teletherapy and idk what I would do if it wasn't available, I have been dealing with some pretty heavy stuff outside of the condition of the world and I was worried there wouldn't be any resources for help. Im glad there was"
- "I think it is really important to let students know that the basic services are very similar to the normal operations. Students can still change therapists if needed, and they have access to case managers. I also think group therapy could be really helpful for students at this time."
- "I think teletherapy should always remain an option. I know during winter term I just never went to therapy even though I wanted to because I couldn't find the motivation to leave my room other than for class and food. Having teletherapy at the time would have allowed me to seek help."
- "I think that if I had been seriously depressed at the time or in crisis, the teletherapy option might have been less appealing because every step added (like having to make a private space instead of having an existing one to visit) feels like a serious obstacle at those kinds of moments"
- "I think you did a great job of handling the pandemic and offering lots of availability for teletherapy sessions and making sure counseling was still available to students during such a mentally and emotionally strenuous time. I hope you plan to make teleconference therapy sessions a long term or permanent option through UCC because I think it opens the option to people who just don't feel comfortable going in person for any reason. I want to add that I am a graduate student and once ran into my own student at UCC in the lobby and it felt awkward, but teleconferencing means no awkward glances or interactions with my undergrad students, so another plus! Thank you for giving me the opportunity to participate in this survey."
- "I truly hope you'll be offering teletherapy services until the Covid-19 pandemic is somewhat more under control. I'm extremely disappointed by UO's response to their community's concerns about this so far and would be quite turned off to the UCC and recommending people go there if there are not options for teletherapy this upcoming year, because it seems the UCC should be extra sensitive to the needs of students."

- "It feels very helpless as an international student during this time, no matter you are in US or China. UCC did help me went through one of the hardest times in my life last term, I don't know what would happen with it. It's very helpful during this completed situation. One thing for me is the 45mins once a week is not quite enough, if this possible to extra long the time a bit, that would be very helpful. THX"
- "It's hard when I can't receive services because I have to leave Oregon for a week, but it is nice that the providers are still willing to work with me on scheduling."
- "My experience at UCC was one of the best things to happen to me during my time at UO. I was in dire need of mental health services and my therapist at UCC helped me to get through this extremely challenging time. I've been telling all of my colleagues and friends at UO of my experience here, and encouraging them to reach out to UCC to help them get through this pretty terrible year."
- "Please continue to offer teletherapy during the fall! It has helped me so much thus far, and I don't want myself or others to lose this valuable resource (since many of us may not yet feel comfortable or be able to do in-person therapy)."
- "The availability of the UCC and this resource for all UO students has helped me and I'm sure it has benefitted countless students. I always wanted to seek therapy, but I was unsure how to go about it and I had concerns about financial aspects of it. However, the UCC makes it easy for students to seek therapy and it is covered financially so long as you are a student. I am very grateful that I took advantage of this resource and that it helped me work through some personal distress. I highly recommended it this service to every UO student. I think that even if someone doesn't think they need therapy or are scared to start, it will help in the end to just have somebody to talk to confidentially."
- "The safety of staff and students are priority over in-person classes and therapy" sessions. I would opt out of in person sessions if that meant I can not only keep myself safe, but others safe as well. Let's continue to work towards supporting each other while cooperating with official health guidelines."
- "The UCC has literally saved my life. I've had the opportunity to work with three of the graduate students over the course of the past year and each of them brought me with incredible strategies to learn how to cope and feel supported. I would especially like to give praise to Anjali Dhar for being such an amazing therapist. She has allowed me to find clarity within myself which has never occurred in my 20+ year life until I started going to sessions. I hope that the UCC understands how lucky they are to have such hard working, diligent, thoughtful, and irreplaceable graduate students and employees as members of their team. They have helped me rediscover myself and I am eternally grateful."
- "Therapy was great, but I'm afraid it's going to ultimately be unhelpful while COVID-19 is still a threat because the university at large doesn't seem to care about student and employee health as much as they care about money. I don't know if this is helpful to UCC and I genuinely think it's great. Just hoping this somehow gets up the grapevine, I guess."
- "Colleen McCarthy is an absolute gem! I loved working with her and sincerely hope she is around to help many more students like me!"
- "the teletherapy process actually felt a lot easier than my experiences seeking in person therapy at the UCC in the past. i liked that i only had to meet with one person and saw him for the whole time rather than having a drop in session. i liked the consistency of having a regular meeting time during times of chaos. i really liked working with eric garcia. he was a great resource and friend for me."

- "This service is VITAL. I cannot express strongly enough how much it has helped me and how much it has the potential to help others."

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Agenda Item #7

Student Success

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Student Success Update

Board of Trustees Meeting

September 10, 2020

Doneka R. Scott, Pharm.D., MA, Vice Provost for Undergraduate Education and Student Success

Yvette Alex-Assensoh, Ph.D., Vice President for Equity and Inclusion

Sung-Woo Cho, Ph.D., Research Associate Professor, College of Education

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



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COVID-19 and Student Success



Policy Changes Made to Support Students

- Grading option changes
- Graduation extension
- First-day mandatory attendance
- Disqualifications



Impact of COVID-19 Survey

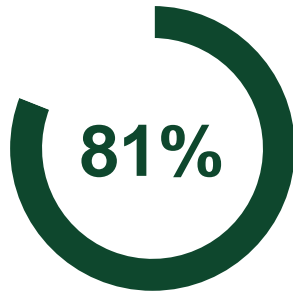
- Student Experience in the Research University (SERU) survey
- Conducted in **Spring Term 2020**
- Sent to nearly 17,000 undergraduates and 3,800 graduate students in June
- Undergraduate response rate **23%** (3,859 undergraduates responded)



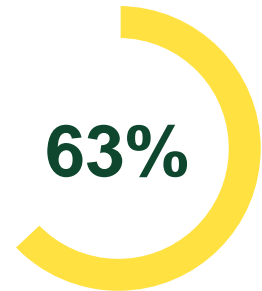
Our Students in Spring Term 2020

72% of students reported **satisfied or very satisfied with UO's overall response** to the COVID-19 pandemic.

Satisfied or very satisfied with support received from instructors to successfully learn remotely



Satisfied or very satisfied with overall quality of courses that were moved online



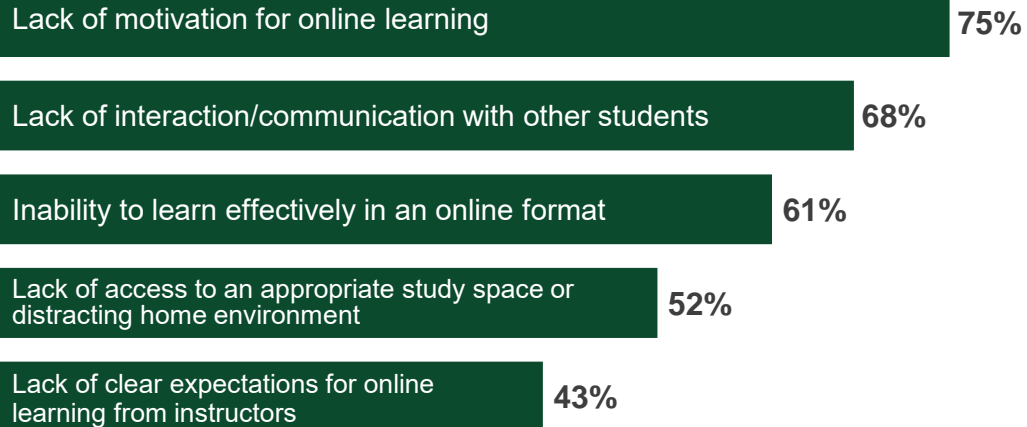
Source: Student Experience in the Research University Impact of COVID-19 survey (June 2020)



Our Students in Spring Term 2020

Over 96% of students reported one or more **obstacles to learning**.

TOP 5 OBSTACLES



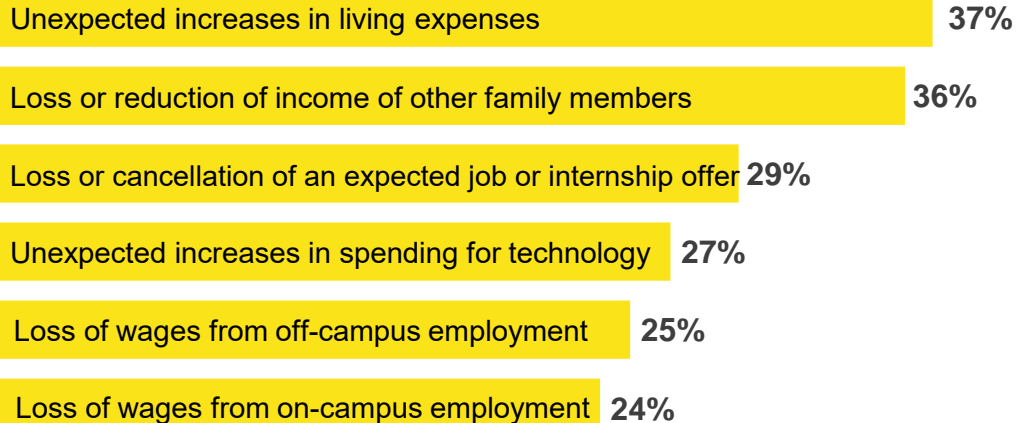
Source: Student Experience in the Research University Impact of COVID-19 survey (June 2020)



Our Students in Spring Term 2020

Four out of five students experienced some form of **financial hardship** during the pandemic.

FINANCIAL HARDSHIP



Source: Student Experience in the Research University Impact of COVID-19 survey (June 2020)

Our Students in Spring Term 2020

22.4% of respondents indicated that they had made use of **emergency funding services** (e.g., Students In Crisis Fund, Edmunson Davis Scholarship, CARES Act, Emergency Loan)

Source: Student Experience in the Research University Impact of COVID-19 survey (June 2020)

Students In Crisis Fund in Spring Term 2020

1,293 applicants

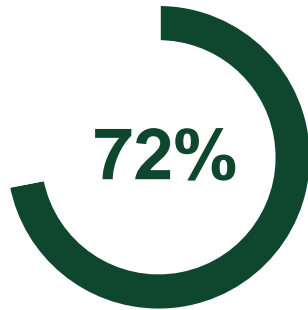
966 awarded students

93% of students who received the Students in Crisis Fund are enrolled in Fall 2020, have graduated, or applied for graduation

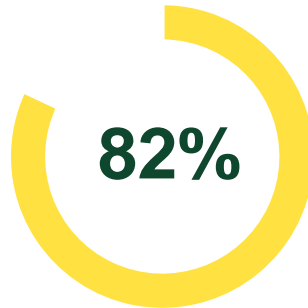
(as of 8/19/20)



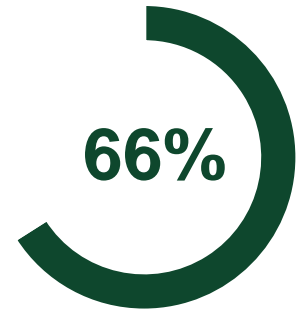
Our Students in Spring Term 2020



I feel **valued** as an individual at the UO



I feel that I **belong** at the UO

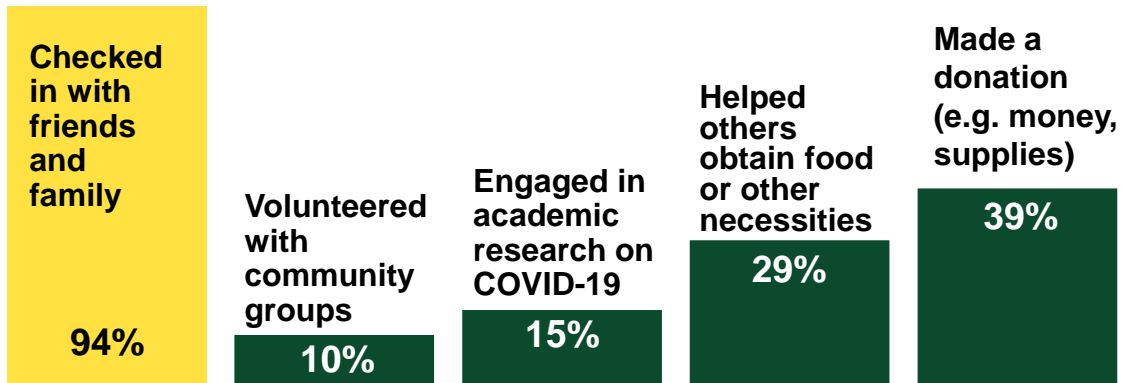


I feel that UO **supported** me during the COVID-19 pandemic

Source: Student Experience in the Research University Impact of COVID-19 survey (June 2020)

Our Students in Spring Term 2020

More than 95% of students found ways to support their community.



Source: Student Experience in the Research University Impact of COVID-19 survey (June 2020)

Our Students in Spring Term 2020

92% of respondents plan to **continue their education at UO** in fall 2020.

15% of respondents indicated that the pandemic will delay the term they intended to graduate

8% of respondents plan on **not returning or are unsure about returning.**

Top reasons for not returning:

1. Financial constraints
2. Concerns for all courses being online
3. Experience at UO during the pandemic

Source: Student Experience in the Research University Impact of COVID-19 survey (June 2020)

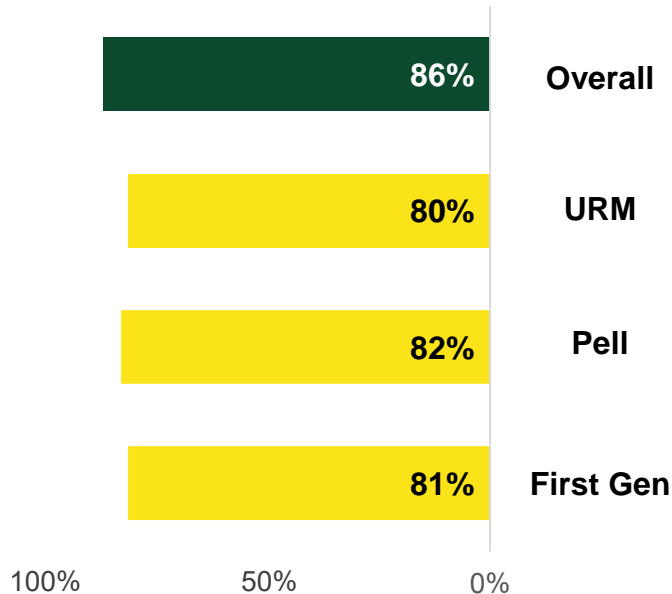


Opportunity Gap



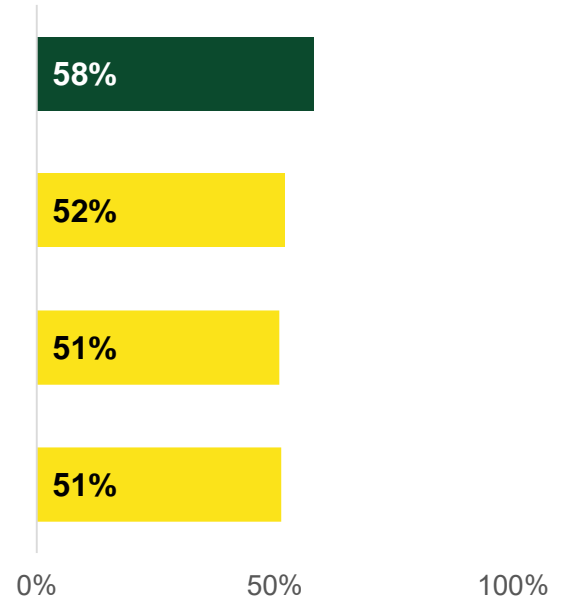
1st-Year Retention

2016-18 First-time, Full-time cohorts



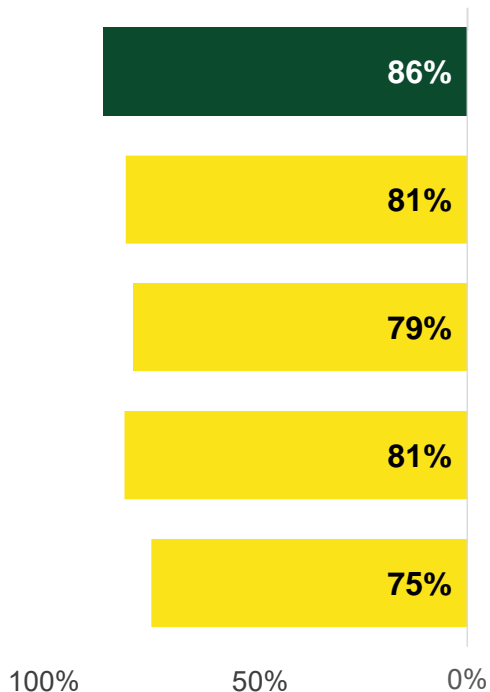
4-Year Graduation

2013-15 First-time, Full-time cohorts



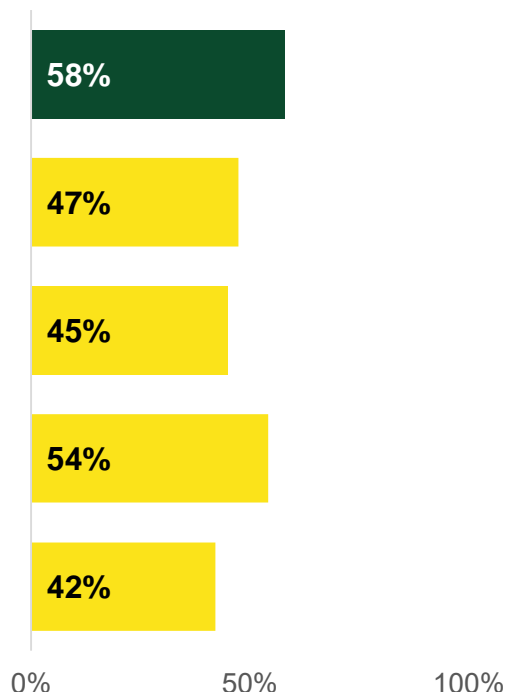
1st-Year Retention

2016-18 First-time, Full-time cohorts



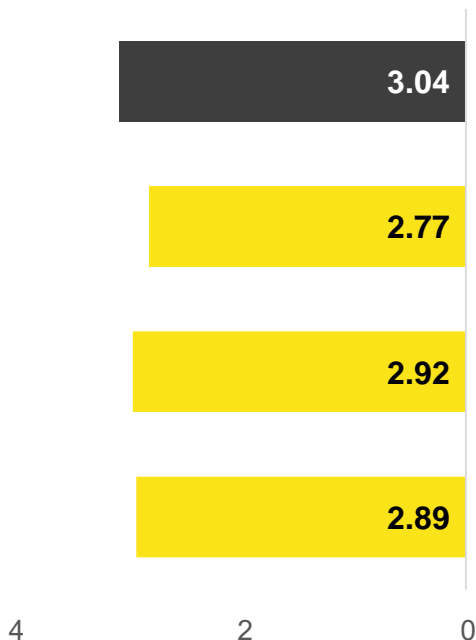
4-Year Graduation

2013-15 First-time, Full-time cohorts



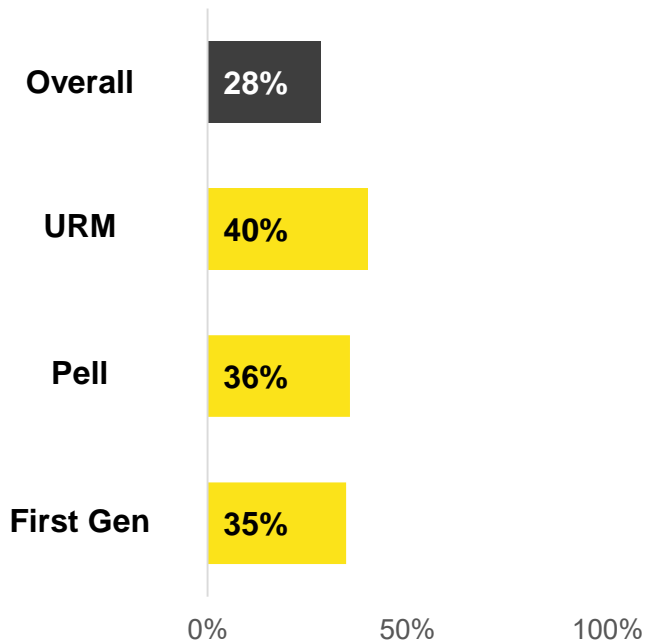
First Term GPA

Average GPA of 2019 First-time, Full-time cohort



First Term DFNW*

% of students in 2019 First-time, Full-time cohort who received a DFNW during their first term

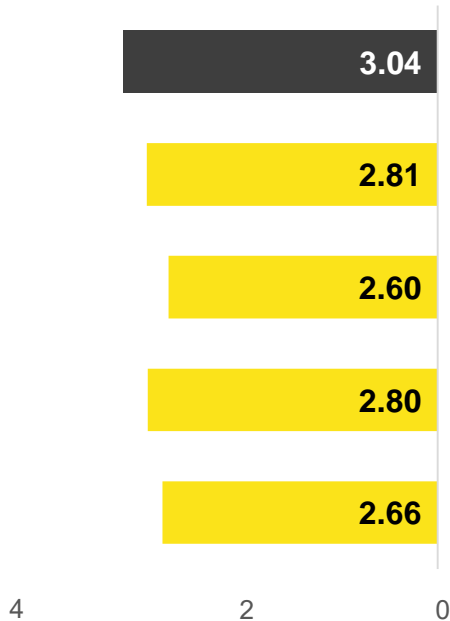


*DFNW: Student received a grade of D or F (graded course), did not pass (pass/no pass course), or withdrew



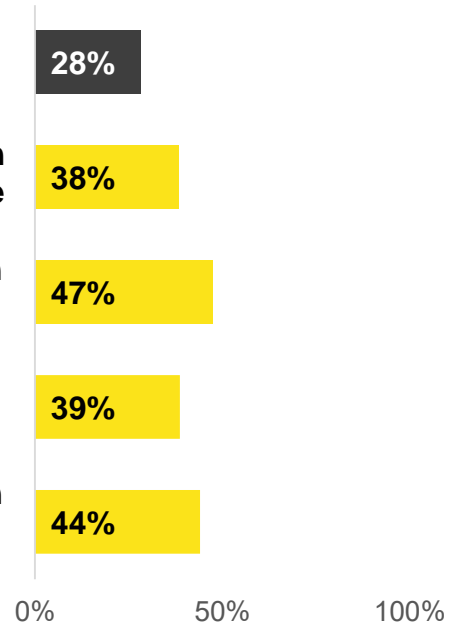
First Term GPA

Average GPA of 2019 First-time, Full-time cohort



First Term DFNW

% of students in 2019 First-time, Full-time cohort who received a DFNW during their first term



Degree Progress

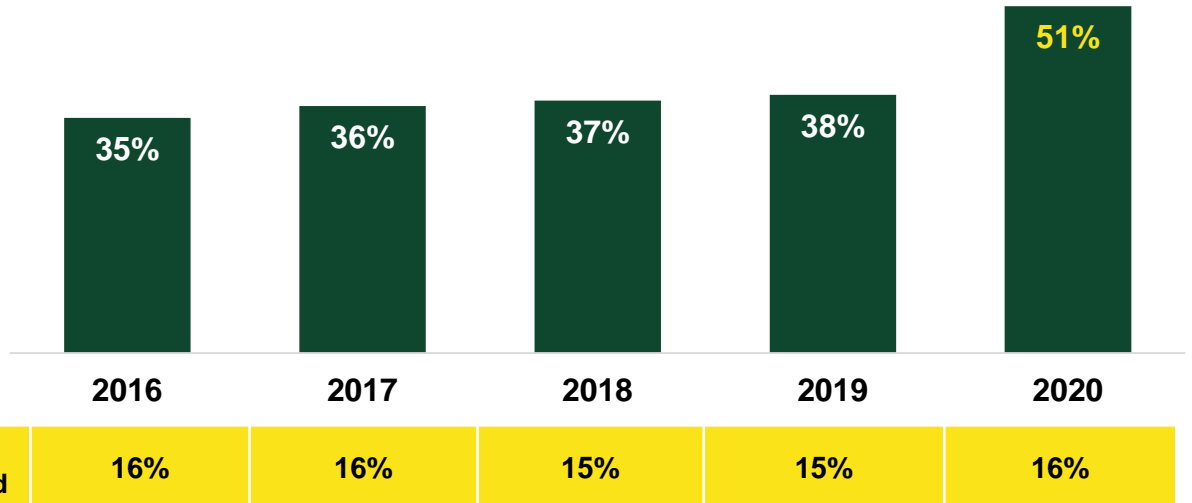
	Average number of credits attempted and completed at the end of Year 3*			Time to degree** (in years)
	Total credits attempted	Total credits completed	% credits completed	
Overall	161	150	93%	4.05
American Indian or Alaska Native	157	147	94%	4.31
Black or African American	157	140	89%	4.28
Hispanic or Latino	157	145	92%	4.10
Native Hawaiian or Other Pacific Islander	154	144	94%	4.36

*2017 First-time, Full-time cohort

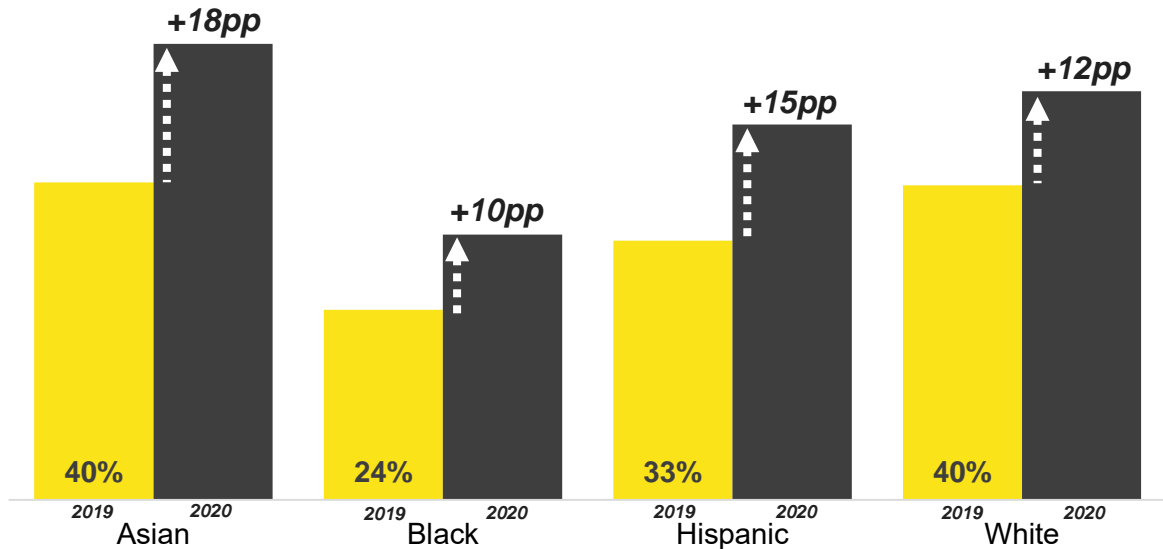
**2018-19 UG graduates



A-/A/A+ Grades Awarded in Spring Term



A-/A/A+ Grades Awarded in Spring Term by Race



Closing the Opportunity Gap Framework

Division of Undergraduate Education and Student Success

Division of Equity and Inclusion



Areas of Opportunity Gaps

Grades

**Credits
attempted
and received**

**4-year
graduation
rates**

**6-year
graduation
rates**

**Graduate
school
admissions**

**Disciplinary
actions**

**Awards,
recognition,
scholarships,
aid at UO**

**External
honors,
fellowships,
etc.**

**Disproportionate
impacts
of COVID-19**

**Sense of
belonging**



Potential Causes of Opportunity Gaps

**Potential faculty bias
(conscious and unconscious)**

**Underprepared
for college-level
course work**

**Lack of
culturally
competent
support**

**External social
and political
environment
induced trauma**


**COVID-19
related
disparities**

**Campus climate
and sense of
belonging**

**Community
climate and
sense of
belonging**


Strategy and Intervention Examples

Potential faculty bias
(conscious and
unconscious)



- Ongoing faculty development
- Updating faculty pedagogy

Underprepared for
college-level course work



- Supplemental instruction
- Targeted advising support

Thank you!



Agenda Item #8

UOPD Overview

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University of Oregon Police Department 2020



An Opportunity To Be Bold, Reimagine

***“There is nothing more important than the
health and well being of our students”***

Our Services

- Respond to Police Calls For Service
 - Domestic violence
 - Sexual assaults
 - Support Emergency Medical Services (EMS)
 - Emergency and non-emergency
- Traffic Enforcement
- Crime prevention
- Criminal investigations
- Make arrests and transport individuals in custody to jail away from campus
- Outreach and engagement
- Crisis response and care
- Facility and event security
- Liaison with Local, State and Federal Law Enforcement Agencies

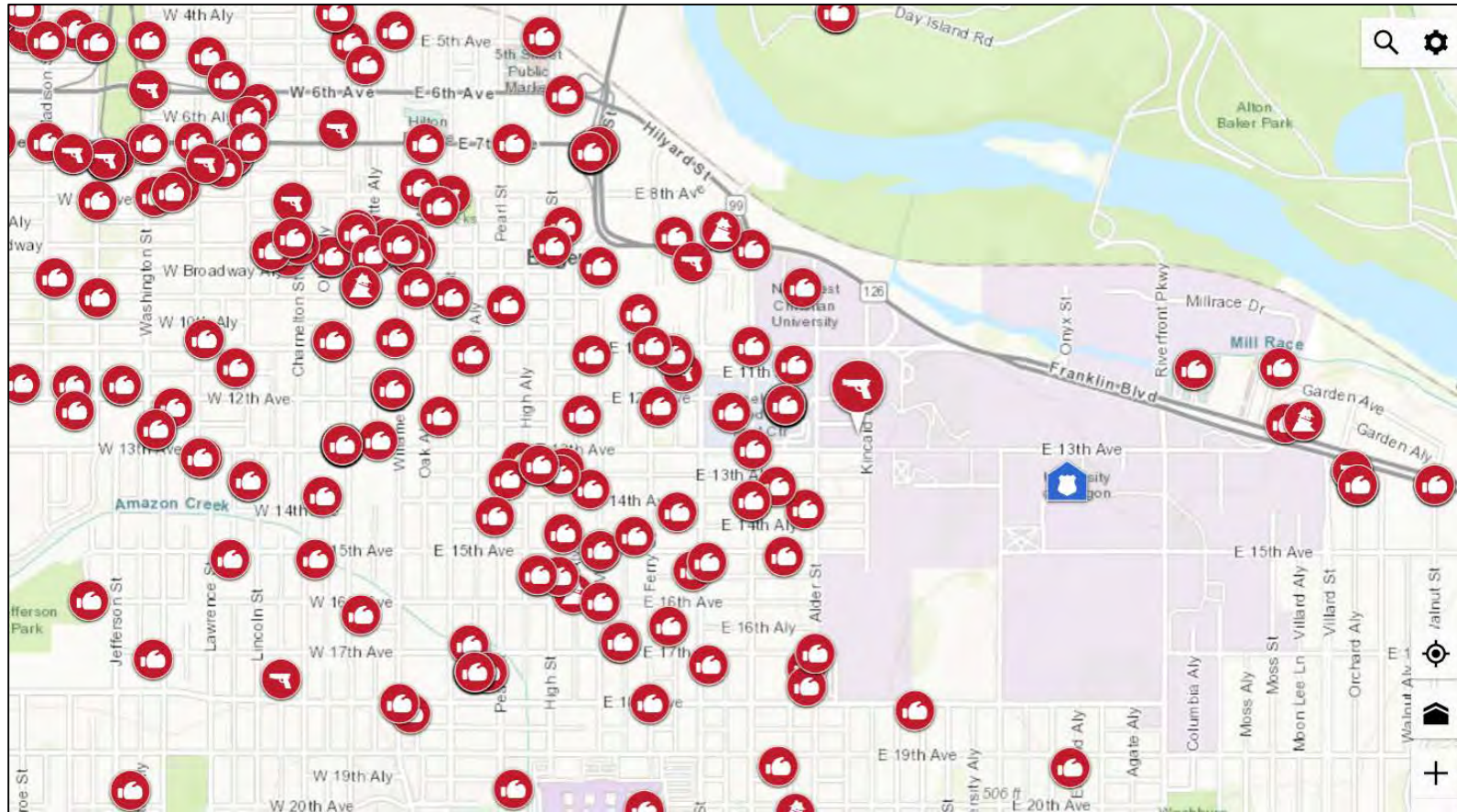
Our Resources

- Police Officers
 - Firearms (no military grade equipment)
 - Taser
 - Narcan
 - AED
 - Body Cameras
 - In-Car Cameras
 - Pepper spray (personal size only)
 - Baton
 - Handcuffs
- Community Service Officers (Unarmed)
- Student Security Assistants (Unarmed)
- Student Assistants
- Student Ride Services
- Crime prevention, records, lost and found, property and evidence staff
- Director of Security
- Campus Clery Coordinator/Crime Analyst
- Security technology
 - Access Control
 - Security Cameras
 - Alarm systems

Responding to Individuals in Crisis

- How a call is first reported may differ from what an officer finds on arrival. Most incidents related to someone in crisis typically come in as unrelated calls for service such as disturbances or suspicious persons.
- Because these situations are unknown and could pose a risk to the community, and because caller assessments are often inaccurate, police officers are the appropriate first response. However, officers are trained to quickly assess the situation and use the least invasive and most effective service referral possible, including contacting CAHOOTS when appropriate, or otherwise connecting a subject with medical assistance, access to food and shelter, and of course referred to White Bird Clinic.
- UOPD requests CAHOOTS for around 80 calls each year. The vast majority of CAHOOTS requests do not involve UO students and serve other, non-UO-affiliated members of our community.

Supporting Our Students Off Campus



Why UO Police Department?

- The Eugene Police Department reported in 2018 they are challenged with the ability to respond to all calls for service
- The UOPD assists the Eugene Police Department in the city just off campus
 - 2019 603 assists
 - 2018 814 assists
 - 2017 516 assists
- As a reminder, EPD refers sexual assaults involving a UO student in the city of Eugene to the UOPD for investigation
- UO police officers are necessary to protect our community recognizing we use a balanced approach of police officers, community service officers (unarmed), student employees, technology, and community partners.

<u>Police Officers</u>	<u>22</u>
White	20
Hispanic	1
Asian/Pacific Islander	1
Male	19
Female	3

Diversity, Equity, and Inclusion

- Department wide training on “Understanding Implicit Bias” taught by Dr. Erik Girvan, Associate Professor from the UO School of Law
- Attend national immersive leadership program focused on Social Justice and Racial Equity
- Accountability through audit, and transparency
 - DEI Audit conducted in 2019
 - Model framework for reimagining the UOPD
 - Implementation ongoing and in partnership with our campus
- We acknowledge that historic and systemic issues of racism in policing exists

Hiring and Recruiting a Diverse Workforce

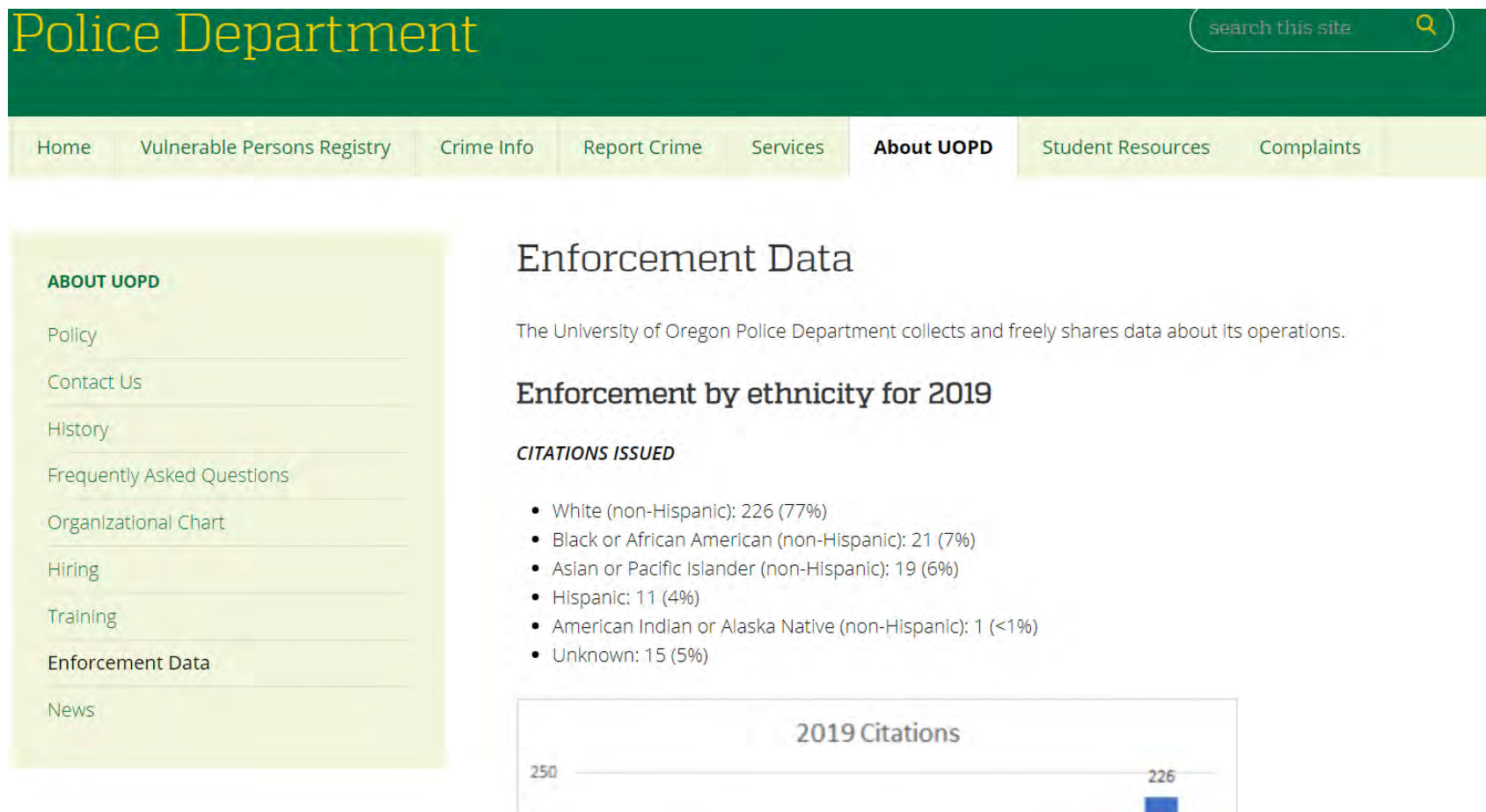


Doing the same thing over and over
again expecting a different outcome

VPFA Complaint Review Committee

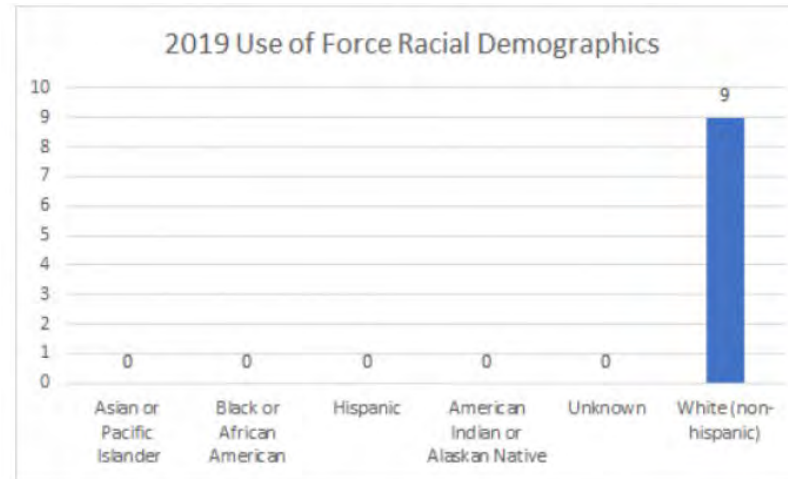
- Community review of police complaint investigation
 - <https://vpfa.uoregon.edu/uopd-complaint-review-committee-and-process>
- Reviewed by those you serve
 - Students, faculty, and staff
 - Created as advisory
- What does the next iteration look like?
 - Oversight

Transparency and Information Sharing

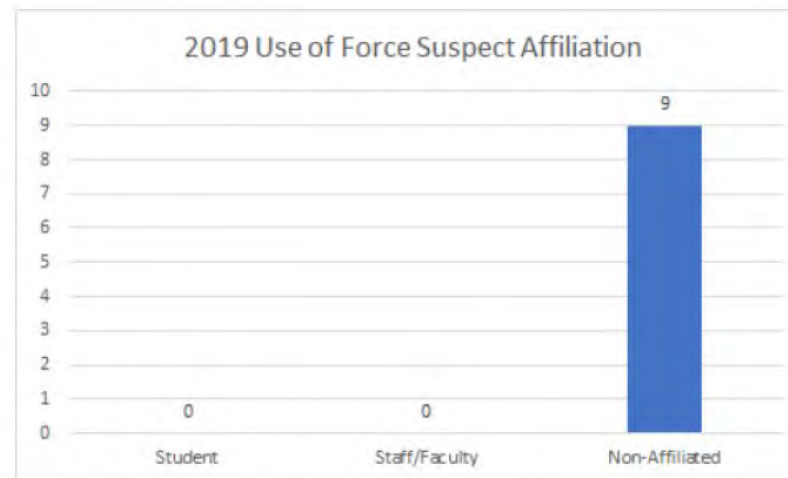


12,878 Formal Police Interactions (Force Used .07% of the time)

- Citations
- Arrests
- Active Letter of Trespass
- Use of Force



USE OF FORCE SUBJECT AFFILIATION



We Have To Do Better

- The current UOPD website provides:
 - The Annual Security Report (ASR)
 - Citation data
 - Arrest data
 - Use of force data
 - Access to real time crime data and crime mapping
- Our students and faculty have clearly shared it is not enough information

UOPD Moving Forward

- What will the UOPD of tomorrow look like?
 - What do our students need from the UOPD
 - Balancing resources such as unarmed community services officers
 - A community police oversight model
- UOPD Budget
- We have great room for improvement
- Meeting the needs of all of our students?



We Are Constantly Evolving



Legitimacy

- Our community has to be a partner in the process and have real input
 - Policy Review
 - Hiring
 - Diversity, Equity, and Inclusion
 - Complaint review
- Still not enough

A Time For Change

- Listen to our community
 - Types of resources used to respond to police calls for service
- Leverage our resources
 - Police officers (armed)
 - Community service officers (unarmed)
 - Student security

“There is nothing more important than the health and well being of our students”

Questions

Thank you



Philanthropy

- 800 pounds of food to food for Lane County donated by the members of the UOPD during a pandemic
- Annual Chuck it for Charity program, supporting 3 local charities
- CARE packages for those less fortunate in our community
- Quiet humble caring events that occur everyday
 - Kindness
 - Love



Sexual Assault Investigation

- UOPD handles all sexual assault investigations that occur on campus
- Due to the Eugene Police Departments inability to respond in a timely fashion, UOPD has a experienced Detective Sergeant whose primary role is to investigate sexual assaults involving our students even when it occurs off campus.
- We support our students using a trauma informed collaborative approach supported by an MOU with the Lane County District Attorney's Office. WE work directly with other campus resources to ensure survivors needs are being met which can include, temporary housing, academic needs, advocacy and support.

Calls For Service Project

- Examining all calls for service as it relates to resource allocation
 - Will be reviewed by ASUO and other partners
- Internal resources include:
 - police officers, student security assistants, executive student assistants in the office of the chief, student interns, volunteers, student safe ride services, community service officers, non-sworn records and crime prevention personnel as well as a robust campus security program
- External community resources/partners
 - UO Student Health Center, UO Dean of Students, UO Division of Student Life, UO Housing, UO CPFM (Campus Planning and Facilities Management), other UO Departments, CAHOOTS, White Bird, non-profit and charitable organizations (Food for Lane County, Friends of the Willamette Valley, St. Vincent de Paul, etc.), local religious organizations, local area hospitals, and other law enforcement governmental and agencies

We Save Lives

- August 16th, 2015
 - UOPD Police Officer saves a community member by pulling them from a car fire
- April 6th, 2016
 - UOPD saves life of a community member who was struck by a car near Autzen by providing life saving first aid
- December 2, 2016
 - UO Student collapsed in the library. UOPD Police officers on scene within two minutes, provide CPR, bring in AED, support from other library staff and other UO students, life saved
- October 13th, 2017
 - UOPD and EPD police officers provide first aid/CPR along with AED and save life of unconscious community member who had overdosed. Fire also used Narcan
- May 17th, 2018
 - Overdose occurred off campus. UOPD police officer first on scene and administered Narcan saving the individual's life
- August 3, 2018
 - Overdose occurred off campus. UOPD police officer first on scene and administered Narcan saving the individual's life

A Model Framework

- True Community Based hiring
 - Community holds the hiring authority for new police officers
 - Under review is the end process
- Police Cadet Academy
 - A strategic initiative to develop a diverse candidate pool for the position of police officer
- Police Policy Advisory Workgroup
 - Meeting minutes posted publicly
- Student access to the UOPD
 - Chief monthly access
 - Chief student assistants
 - Largest employee pool at the UOPD are students

Continued

- Formal department training plan posted online
- First and only campus police department in Oregon to be accredited
- Outreach and Engagement Plan
 - Host many activities for students
- 21st Century Police Leadership Program
 - Focusing on social justice and racial equity
- Sexual assault of a student in the city of Eugene is handled and supported by the UO and UOPD due to EPD does not have the ability to complete these investigations in a timely manner



Glide/UOPD Leadership Class 2018
Tenderloin, San Francisco

The University of Oregon is continually looking at how best to protect the safety of its community in a way that is responsive to the needs of our students and recognizes the unique needs of a university campus, a place of work and study for people who come from all walks of life and all corners of the globe. As campus research and student population has expanded, so has the need for responsive and responsible policing. The university is not unlike a small city itself, requiring responses that range from a simple assist to dangerous and violent situations. By having its own department, the campus is served by officers who have a direct relationship with, and accountability to, our campus community. There is a familiarity with its research and events facilities, and with all aspects of its operations.

The UO Police Department created in 2012 is, today, a model in community policing. Its officers are available for calls of help in contrast to municipal police, who regularly do not have the ability to respond quickly, or the capacity to assist at all. UOPD officers are available 24/7 and work to support the health and well-being of students on and off campus. Patrols regularly escort students leaving campus late at night, respond to calls to assist those with emotional or health crises, contact students for concerned families, and secure a campus which can attract violent and dangerous persons.

Many UOPD services are offered proactively to keep students out of harm's way. But the reality is there is a proven need for the UO to employ a sworn and armed law enforcement agency whose officers can respond immediately to active threats or dangerous individuals, conduct traffic stops when impaired or reckless driving is observed, investigate complaints of domestic violence, and arrest and transport suspects and criminals to jail and away from campus.

To conduct this work with the highest accountability, UOPD officers – each certified by the State of Oregon - must complete in-depth training. The UO's police department is the only campus police department accredited through the [Oregon Accreditation Alliance](#). The UOPD and its officers must adhere to measurable best practices which are verified by an independent body. Officers complete crisis negotiation training, implicit bias training, and the UOPD is the only department that runs an immersive leadership program with GLIDE Center for Social Justice which is focused on social justice and racial equity. There is additional specialized training that allows the department to provide an extra layer of security to the campus and broader Eugene community. The UO has its own K-9 unit to detect explosives, and detectives who lead criminal investigations. One officer is a Drug Recognition Expert who supports Driving Under the Influence of Intoxicant (DUI) investigations across all of Lane County. The department is active and pro-active in connecting with students and student organizations and has multiple initiatives that seek to involve students in the work of the department, including a student cadet program, safe ride program, and student membership on officer hiring committees.

The department makes about 300 arrests each year, almost always involving non-university community members. During the 2019-2020 school year, UOPD officers arrested or cited 192 people on campus, 38 of whom were charged for violent criminal activities. During that same year, 56 people were arrested on active warrants while they were on campus, and 28 of those arrested had criminal histories of serious violent behavior including rape, weapon-based offenses, robbery and assault. In 2019, there were 30 DUI arrests of persons on or near our primarily pedestrian campus. These arrests and this level of security would not be possible with unarmed officers.

UOPD officers respond to domestic disturbances in which UO students are victims, even when the disturbance happens off campus. Domestic violence calls often involve arms which put victims and police officers at risk and could not be handled by unarmed officers. UOPD is a key component in

managing sexual assault cases. The department partners with the Lane County District Attorney's Office to investigate and prosecute cases, and the UOPD also works with the [Office of Civil Rights Compliance](#), the [Dean of Students](#) office and advocacy groups to ensure a level of caring for survivors of sexual assault.

Chief Matthew Carmichael, since his arrival at the UO in 2016, has been intensely focused on improving operations and developing the best community-based campus police department possible. A number of [programs](#) have been implemented the past few years in an effort to create even stronger connections with students and better serve a diverse campus. Chief Carmichael also has pushed for greater accountability from his officers and has instituted changes such as equipping all officers with body cameras.

University leadership acknowledges the over-arching concern over excessive use of department by police officers. UOPD policy requires its officers to de-escalate all situations by communicating with subjects, maintaining distance and otherwise eliminating the need to use department. UOPD policy allows for the use of department only when necessary. In light of recent events, the university is in the process of revising its [policy manual](#) to make guidance and restrictions unmistakably clear.

More information on the history of the UOPD and its expansive services is available on the recently expanded [UOPD website](#).

[UOPD and Glide Leadership Program](#)

[UOPD Chuck it for Charity Program](#)

[UOPD Pizza with the Chief Program](#)

[UOPD Welcome Back UO Students](#)

[UOPD Complaint Review Committee and Process](#)

[UOPD Community Policy Workgroup](#)

[UOPD Accreditation](#)

[UOPD Cadet Academy](#)

[UOPD Saves Lives](#)

Agenda Item #9

Annual Presidential Evaluation

There are no written materials for this section.

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Written Reports

- Quarterly Internal Audit Report
- VPFA Memo re Critical Business Functions Initiative Update
- Year-end Research & Innovation Report
- Annual Report re Retirement Plans Management (OPURP)



Date: August 27, 2020

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

From: Leah Ladley
Chief Auditor, University of Oregon

Re: September 2020 Board Report

The accompanying board report includes the following items:

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

You will now receive the Update on Investigations annually, in the June meeting.

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

Congratulations to Andrea Garcia, for completing her MBA program and to Katie Bumgardner, for making significant progress toward achieving her Certified Internal Auditor certification.



Date: August 27, 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

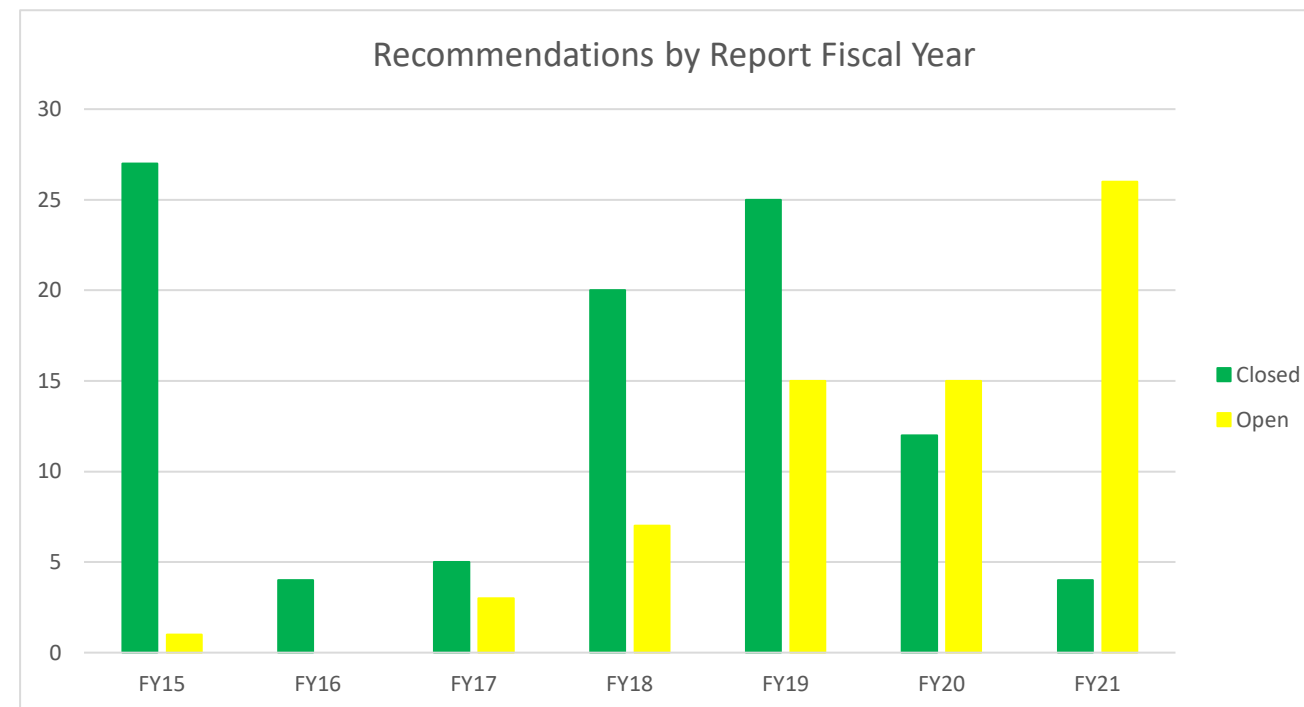
Attached you will the Status of Open Recommendations. This report is provided to you each quarter to provide greater visibility into completed and open recommendations.

I'd like to call your attention to two points of discussion on this report. First, internal audit risk ratings are not reflected here as these recommendations were developed and finalized before the adoption of risk ratings. A good portion of the reported recommendations were developed by third-party auditors, who do not adopt the host's risk rating schedule for their recommendations. Second, please observe the recommendations now reported as 'not yet due'. This is not unusual as there are often 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.

University of Oregon
Office of Internal Audit

Projects with Open Recommendations	Report Date	Total Recommendations	Previously Closed	Closing this Quarter	Open Recommendations	
					Open and Due	Not Yet Due
Lab Safety Practices	5/25/2015	8	7			1
Grant Management	5/31/2016	4		4		
Sensitive Data	3/1/2017	3				3
Purchasing Practices	4/14/2017	5		5		
Accounts Payable Practices and Controls	12/22/2017	11	9			2
Parking Permit Payroll Process	1/18/2018	6	5			1
Electronic Proposal Clearance System (E-PCS)	2/7/2018	4				4
Research Data Cybersecurity	7/31/2018	2		1		1
Athletics IT Risk Assessment	11/19/2018	7		2		5
Form I-9 Compliance	1/18/2019	10	6			4
Cash Handling Practices	2/22/2019	10	8			2
Firearms Inventory	5/15/2019	4		4		
GLBA Compliance	6/27/2019	4	1			3
Health Center IT Risk Assessment	8/13/2019	6				6
Non-Retaliation Policy	8/30/2019	2				2
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
Physical-to-Cyber Security Assessment	6/5/2020	3				3
NCAA Compliance Review	7/22/2020	24		3		21
Vendor Review	8/11/2020	6		1		5
TOTALS			40	22	0	67

Since the June 2020 meeting, management has implemented 22 recommendations.





Date: August 27, 2020

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

From: Leah Ladley
Chief Auditor, University of Oregon

Re: Audit Progress

Included in your materials you will find a report detailing Audit Progress.

Of note, additions include: planning stage, EC Cares; not yet started, Compensation Practices, and fieldwork, NASA Title IX review. The Title IX Compliance Review is from the National Aeronautics and Space Administration's (NASA) Office of Diversity and Equal Opportunity and is a Not-For-Cause review. NASA annually audits the Title IX practices of 2 funding recipients and the University of Oregon was randomly selected for this compliance review. The unit of Earth Sciences is the recipient of funding and the scope of work includes policies and data related to any discrimination based on sex. A cross-functional UO team will respond to the document request and internal audit will monitor the response from NASA.

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

*Response to COVID19 Pandemic

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

*** REQUIRED



OTHER:

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

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

To: University of Oregon Board of Trustees
From: Jamie Moffitt, Vice President for Finance & Administration and CFO
Re: Update on Steps Taken in Response to Audit Memo re Risks Associated with Decentralized Business Structure
Date: August 28th, 2020

I. Audit Memo on Risks associated with Decentralized Business Structure

In January of 2018, after conducting several audits of business functions at the university, Internal Audit staff provided university leadership with a memo outlining several systemic risks they had observed at the institution, resulting from our highly decentralized structure for processing business transactions.

These risks included:

- The significant delegation of authority to local levels
- The lack of data necessary for decision-making and monitoring by oversight functions, including questions regarding the quality of existing data
- The absence of accountability necessary in a highly decentralized environment
- The assignment of responsibilities not always being aligned with necessary skills
- Individuals being assigned “a myriad of additional responsibilities,” especially in smaller departments, which contributes to additional risk and/or operational efficiency

Internal Audit staff noted that they had growing concern over the systemic nature of these issues and the overall impact that they have on university personnel, financial management, and accountability.

II. Management Response to Audit Memo – Three-Phase Approach

In response to the memo from the Office of Internal Audit, senior leadership developed a three-phase approach to address the issues raised. The plan included the following actions:

1. The Office of Internal Audit conducting a diagnostic audit to map out the types of business services across the university (i.e., which departments utilize shared services organizations vs. business offices vs. single “office manager” models)
2. University leadership launching a Business Practices Task Force to discuss the findings of the audit memo and the diagnostic audit and to develop options and recommendations for addressing the identified risks
3. University leadership reviewing the Business Practices Task Force recommendations and developing an implementation plan for addressing the risks identified in the audit

III. Phase One: Business Practices Diagnostic Audit

In November of 2019, the Office of Internal Audit completed the diagnostic audit of critical business functions. The objective of the audit was to conduct a high-level inventory of where and how business processes were performed across the University. The audit report included an inventory of how business processes were performed (i.e., through shared services operations, business offices or individual unit personnel) in various areas of the institution. The audit found that that business processes were performed in a decentralized environment across the campus by units of varying size and complexity.

The following key themes and risks were identified during the diagnostic audit:

- Institutional business data reports; access and validity

- Personnel onboarding, training, and continuing education
- Communication and support from central offices
- Time and attendance processes
- Workload and inefficiencies in various Critical Business Processes
- Accountability
- Unclear roles and responsibilities
- Non-compliance with University policy and procedures, and laws and regulations

The audit recommended that senior leadership and management assess the current structure, processes and controls regarding business functions to ensure key themes and risks were addressed. It further recommended that a consultative structure be used for this assessment.

IV. Phase Two: Business Practices Task Force – Structure and Process

In January of 2020, a cross-functional task force, with representation from many of the areas assessed in the diagnostic audit, was formed to review and discuss the audit memo findings and the business practices diagnostic audit.

The Business Practices Task Force included the following members:

- | | |
|--------------------|--|
| • Melynn Bates | Associate Dean Finance & Operations- School of Music & Dance |
| • Melissa Bowers | Business Manager- English Department |
| • Andrea Garcia | Associate Auditor- Internal Audit |
| • Monica Guy | Office Manager- Environmental Studies |
| • Chris Krabiell | Associate Dean Finance and Admin- COE/ AVP Budget & Strategy-Provost |
| • Rocco Luiere | Associate Dean Finance and Admin- AVP Budget & Strategy- Provost |
| • Jon Marchetta | Director Finance & Admin Shared Services- Finance & Administration |
| • Jamie Moffitt | Vice President Finance & Administration and CFO |
| • Sherri Nelson | Assistant Dean for Budget & Finance- College of Arts and Sciences |
| • Kelly Pembleton | Assistant VP & Chief of Staff- Equity and Inclusion |
| • Mark Schmelz | CHRO & Associate Vice President- Human Resources (HR) |
| • Greg Shabram | Chief Procurement Officer- Purchasing and Contracting Services (PCS) |
| • Kathie Stanley | Associate VP & Chief of Staff- Division of Student Life |
| • Kelly Wolf | AVP Business Affairs/Controller- Business Affairs Office (BAO) |
| • Leslie Wolgamott | Sr. Director Financial Services- Advancement |

The task force met regularly from January 2020 through August 2020 (with a COVID-19 related pause). The task force discussed the two audits, their own experiences delivering business services for the university, and various permutations of shared services organizations that exist at the university and at other institutions with which they're familiar. The group has completed their discussions and is in the process of finalizing a memo to senior leadership containing a set of options and recommendations for how the university might begin to tackle the risks identified by the two audits.

V. Next Steps

The Business Practices Task Force memo will be finalized in September. Once Senior Leadership receives the recommendations, they will meet to review the task force memo and develop an appropriate set of next steps for the identified issues and risks. It is expected that an institutional action plan will be developed by the December 2020 board meeting.

**Office of the Vice President for Research and Innovation
Board of Trustees Report – August 28, 2020**

The purpose of this board report is to provide year-end data to update the projected information that David Conover presented to the Board in the June 2020 meeting. Updated figures are included as appendices. We look forward for the opportunity for Cass Moseley, who began her tenure as Interim Vice President for Research and Innovation in July, to share a report that is forward-looking and includes goals, priorities, and focus areas at the December 2020 meeting.

Sponsored Project Revenue and Expenditures (FY20)

Fiscal year 2020 reached a new record in proposal submissions and awards, measured in both number and dollar value. Our expenditures of prior awards increased as well, albeit at a slower rate than we had anticipated due to the disruptions to research associated with COVID-19.

The University of Oregon was awarded \$169 million in sponsored projects in FY20, an increase of 31% (\$40 million). The majority of all funding (82%) came from federal sources, including subawards originating from federal sources. Approximately 41% of these federal funds are from the National Institutes of Health, 27% are from the Department of Education, 14% are from the National Science Foundation, and the remaining 18% are from other agencies. Sixty percent of awarded funds were for research projects, 2% for instruction, and the remaining 38% were designated for other uses, such as public service and translation. Note that \$16 million of these awards came from the CARES Act. Half of these CARES Act funds are designated for emergency aid to students and the other half is available for broader institutional usage for costs related to COVID-19. Even excluding CARES Act funding, our new awards still represent a record year at \$153 million, a 19% increase from FY19.

In accordance with our responsibilities under the Board's Delegation and Retention of Authority policy, below is a table summarizing grants worth more than \$5 million which were received in FY20:

Project Title	Administering Unit	Principal Investigator	Amount
Special Education Services for Early Childhood	EC Cares	Judith Newman	\$11.7M
Prevention Research Center: Parenting Among Women Who are Opioid Users	Prevention Science Institute	Leslie Leve, Phil Fisher	\$10.1M
ZIRC Expansion and Modernization	Institute of Neuroscience	Monte Westerfield	\$8.0M
CARES Act Funding	University of Oregon	Kelly Wolf	\$16.1M

Expenditures from sponsored projects grew 5% in FY20, but were impacted by COVID-19 related disruptions. During FY20, the University of Oregon expended approximately \$131 million in sponsored projects funds, an increase of 5% (roughly \$7 million) over FY19. Research expenditures decreased by 3% (about \$3 million), while other sponsored activity increased by 29% (about \$9 million of which \$5 million was CARES Act expenditures).

The decline in research expenditures is likely to have been caused by COVID-19 related disruptions. Payroll paid from sponsored projects did not decline, whereas purchases of services and supplies decreased significantly. Expenditures that decreased most were participant support, capital expenses,

travel and others. Many projects within the social sciences and humanities did not change their spending, whereas those in laboratory sciences immediately fell and have only slowly begun to recover. We anticipate that some expenditures will continue to be lower than normal in the first quarter of FY21 and likely longer, as researchers continue to be unable to travel, and are quite limited in their ability to conduct human subjects research and field work.

COVID-19 also impacted research core facility internal revenues. FY20 internal revenues were less than 43% of FY19 totals. These values do not include revenues from clients outside the University. Even animal facilities, which stayed open as essential services throughout the spring, were down about 30% over last year. We expect the core facilities to continue to see recovery in expenditures as we move through FY21.

The University of Oregon recovered \$25 million in F&A costs in FY20, an increase of 2%. Earlier in FY20, we had been projecting an increase of 7%, but with slowing in sponsored project expenditures, we also saw a reduction in facilities and administration reimbursements, as they are reimbursed as direct project costs are expended.

Innovation Metrics

UO saw a record innovation income of \$10.3 million in FY20. There were eight more disclosures than the previous year and UO innovators filed for 20 patents. UO research gave rise to one company startup (Penderia) out of the Phil and Penny Knight Campus for Accelerating Scientific Impact.

Newly awarded COVID-related Sponsored Projects

As of our spring presentation highlighting 15 active COVID-19 related research projects (4 of which were externally funded). Faculty have continued to pursue this critical and timely research across many disciplines. As of August 24, 2020, there are now 24 active research projects across campus. Faculty have been awarded a total of 12 grants for research directly related to COVID-19 from foundations, the National Science Foundation, and the National Institutes of Health (total external awards: \$1,971,972). The following are descriptions of new sponsored projects since our last report:

PI: Vickie De Rose (Chemistry)

Title: RAPID: Measuring RNA Tertiary Contacts in SARS-CoV2

External Funding: National Science Foundation (\$200,000)

This project will provide fundamental information to enable 3D modeling of SARS-CoV-2 RNA structures. This new knowledge is needed to accelerate structure models for the viral RNA and to expedite small molecule targeting of RNA processes that are critical to virus function. Results from this project will impact the ability to understand and develop therapeutics targeting SARS-CoV2.

PI: Lauren Lanahan (Lundquist College of Business)

Title: RAPID: Examining the Innovative Ecosystem During the COVID-19 Pandemic

External Funding: National Science Foundation (\$200,000)

This project will examine how the coronavirus pandemic, along with variation in public responses, presents an opportunity to examine not only how this catastrophic event has affected the innovative ecosystem, but also how high-tech small firms support the economy during this crisis. One of the deliverables from this research will be an interactive public dashboard that tracks trends in innovative activity over time to better understand which areas of the innovation ecosystem are most susceptible to the effects of COVID-19 and help illuminate priorities for public and private sector efforts to rebuild innovative activity and allocate support resources.

PI: Leslie Leve (College of Education, Prevention Science Institute)

Title: Amplification of racial and social inequalities in response to the COVID-19 pandemic: Impacts of child positive health outcomes

External Funding: National Institutes of Health (\$155,030)

The COVID-19 pandemic has led to significant hardships for children and families (cancellation of in-person schooling, the fraying of social networks, and financial insecurity), yet the impact of these sweeping changes on child well-being is unknown. These disruptions likely disproportionately impact children in low socioeconomic status families and racial/ethnic minorities, who are more vulnerable to disruptions in the family and learning environment. In this proposal, we employ a social justice framework to examine: the inequitable distribution of COVID-19 hardships along the lines of race and class; the extent to which these hardships are associated with child positive health; and aspects of distance learning and the family environment that may improve child outcomes in these unprecedented times and serve as targets for future programs, practices and policies.

PI: Ed Madison (School of Journalism and Communication)

Title: RAPID: Science as an act of service: Enhancing science motivation in high school students during a public health crisis

External Funding: National Science Foundation (\$151,040)

The study bridges psychology, education, and journalism to better understand how we can support positive STEM learning outcomes for adolescent youth during a public health crisis. Researchers will examine how the COVID-19 pandemic is dynamically shaping students' understanding and beliefs about science, science identity, and science careers and determine whether unscripted, first-person narratives around science are successful in shaping the motivation and identity development of adolescent youth from diverse backgrounds.

PI: John Postlethwait (Biology, Institute of Neuroscience)

Title: Supplement to Resources for Teleost Gene Duplicates and Human Disease

External Funding: National Institutes of Health (\$321,861)

The COVID-19 pandemic caused by the SARS-CoV-2 coronavirus disproportionately affects people with cardiovascular diseases, diabetes, and obesity and often leads to an inflammatory "storm" and failure of kidneys, digestive tract, and other organs in adults and to a pediatric multi-system inflammatory syndrome in children. The study seeks to further our understanding of why these underlying conditions exacerbate the effects of COVID-19 by examining a protein that serves as a receptor for the virus by developing new zebrafish animal models and taking a systems genetics approach.

PI: Marc Schlossberg (School of Planning, Public Policy, and Management, Sustainable Cities Institute)

Title: Rethinking Streets for Physical Distancing

External Funding: National Institute for Transportation and Communities (\$119,491)

The goal of this project is to examine new street use paradigms brought about by the COVID-19 crisis as cities in the U.S. and around the world repurposed their streets at unprecedented speed and scale to be more flexible to accommodate people on foot, bike, or scooter. Researchers aim to develop a resource for all communities to use, learn from, and adapt for their own local context.

Media Link: [Eugene Weekly](#)

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

Title: Testing an Aerosol Detection System for its utility with SARS-CoV-2 and related Coronaviruses

External Funding: Collaboration with Thermo Fisher Scientific

Dr. Van Den Wymelenberg is conducting collaborative industry sponsored research with Thermo Fisher Scientific. The effort to put this collaboration in place was led by Tony Schaffer, Director of Corporate Relations, in tandem with OVPRI's contract negotiation team.

Media Link: [Around the O](#)

Research Re-Opening

The Research Incident Management Team (IMT) is working closely with faculty, department heads, center and institute directors, and other IMT groups to facilitate a continued safe reopening of research activities. As of August 24, we have progressed to Stage 1A (all earlier phases/stages remain applicable). Below is a brief description of the activities permitted under our current reopening stage. All details on our Research Recovery planning can be found on our [website](#).

Lab-Based Research	<ul style="list-style-type: none"> • PIs may have up to 50% of their lab personnel on campus at any given time; shift work is permitted • Research spaces must provide at least 200 ft² per person for simultaneous occupancy • Training activities within 6ft of distance are permitted if they are <15 mins in duration and use personal protective equipment that creates a physical barrier (e.g., gloves, and face shields or plexiglass barriers, in addition to UO-required face coverings)
Fieldwork	<ul style="list-style-type: none"> • Expanded fieldwork beyond experiments that involve seasonal data collection and local travel only • Working closely with Travel IMT to evaluate fieldwork involving travel on case-by-case
Human Subjects Research (HSR)	<ul style="list-style-type: none"> • All remote HSR permitted • Face-to-face HSR permitted with significant provisions related to contact tracing, length of visit, number of visits per day, etc. • Activities requiring interaction within 6ft of distance are permitted if they are <15 mins in duration and use PPE that creates a physical barrier (e.g., gloves, and face shields or plexiglass barriers, in addition to UO-required face coverings) or up to 2 hours if they are conducted outdoors

As of July 27, we implemented a weekly “Commitment to Research Safety and Public Health”—an online form sent to researchers named on Recovery Plans and all OVPRI staff. This is a mechanism for the Research IMT to share critical information and reinforce best practices for public health and safety. In addition to confirming that they will follow state and UO guidance/policies.

In response to the overwhelming evidence that care givers, especially early-career female faculty are disproportionately burdened by the current COVID-19 pandemic, the Research IMT and OVPRI have been working to ensure that this population is protected and supported as much as possible. Our guiding principles in research recovery planning specifically address the need to protect the careers of early stage faculty and researchers about to enter the job market. This principle influenced the design and implementation of our recovery planning efforts. In addition, more broadly, we are reducing service

commitments across OVPRI and seeking to appoint primarily tenured faculty where possible, as well as looking to identify other ways to support these faculty.

Appendix

Figures Summarizing Key Sponsored Project Trends, FY20

Figure 1: Sponsored Projects Metrics Dashboard for FY20

Proposals, Awards, and Expenditures Fiscal Year to Date								
		Through:		June 30, 2020				
<u>FY20 Proposals</u>				<u>FY19 Proposals</u>				
		% Change						
Number of proposals	1,264	19.36%			Number of proposals	1,059		
First year budgets	\$ 224,638,805	28.91%			First year budgets	\$ 174,263,007		
Requested Budget Amount	\$ 572,534,474	14.01%			Requested Budget Amount	\$ 502,186,138		
<u>FY20 Authorized Funding</u>				<u>FY19 Authorized Funding</u>				
		% Change						
Number of awards	592	3.50%			Number of awards	572		
Award budget	\$ 162,669,073	29.28%			Award budget	\$ 125,828,458		
<u>FY20 Expenditures</u>				<u>FY19 Expenditures</u>				
Expenditures	Federal	non-Federal	Total	% Change	Expenditures	Federal	non-Federal	Total
Instruction	2,789,069.58	312,151.47	3,101,221	-3.98%	Instruction	3,089,724.19	140,183.33	3,229,908
Organized Research	80,171,239.75	4,500,798.68	84,672,038	-2.92%	Organized Research	79,223,653.52	7,999,596.65	87,223,250
Other Sponsored Activity	21,464,166.01	21,333,627.02	42,797,793	28.42%	Other Sponsored Activity	15,013,229.82	18,314,263.50	33,327,493
Total	104,424,475	26,146,577	130,571,053	5.49%	Total	97,326,608	26,454,043	123,780,651
<u>FY20 F&A</u>				<u>FY19 F&A</u>				
		% Change						
Facilities & Administrative Collected	\$ 25,010,454	2.48%			Facilities & Administrative Collected	\$ 24,404,101		

Figure 2: Summary of Key Metrics

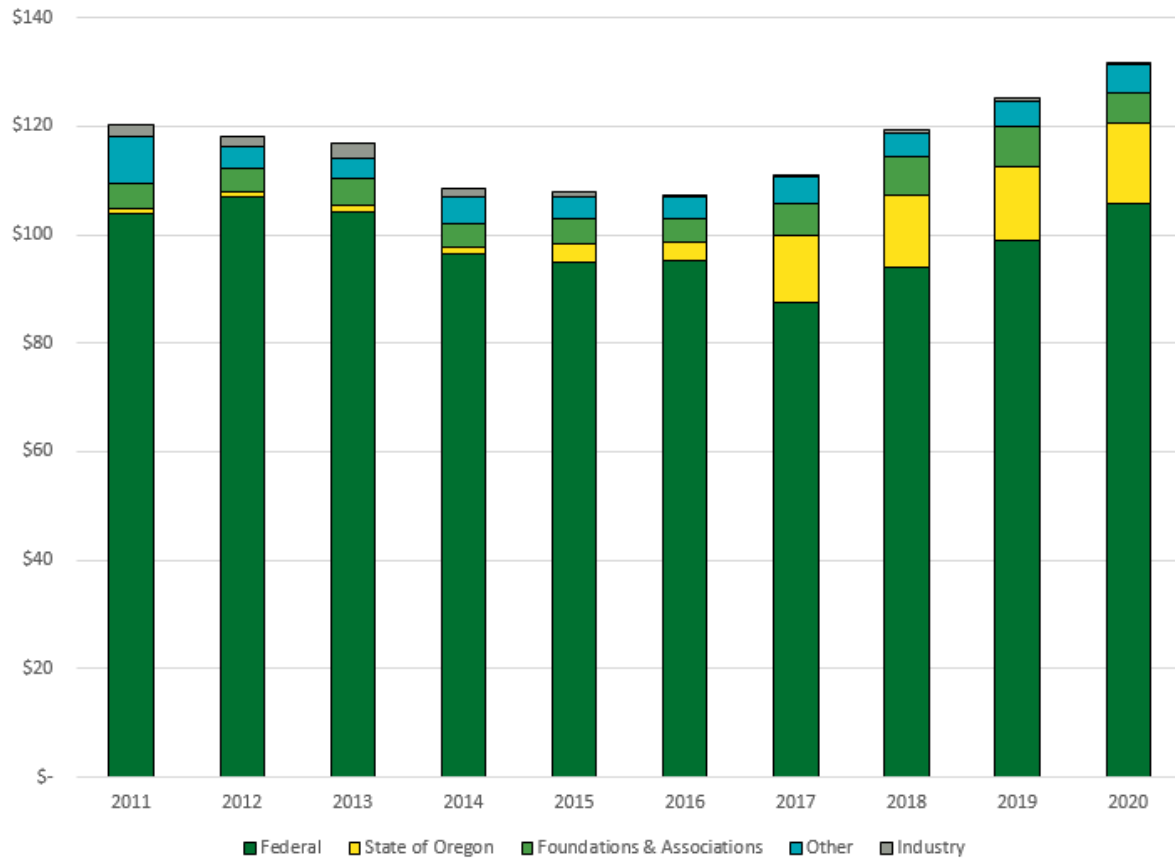


FY20 Sponsored Project Metrics

<u>Description</u>	<u>FY20*</u>	<u>% change from previous year</u>
Number of Proposals Submitted	1,266	24%
Dollar Amounts of Proposals Submitted	\$217.9 million	32%
Number of Awards	745	7%
Value of Awards	\$168.5 million	31%
Total Expenditures	\$131.8 million	5%
Total Research Expenditures	\$86.2 million	-2%
F&A Recovered	\$25.1 million	2%

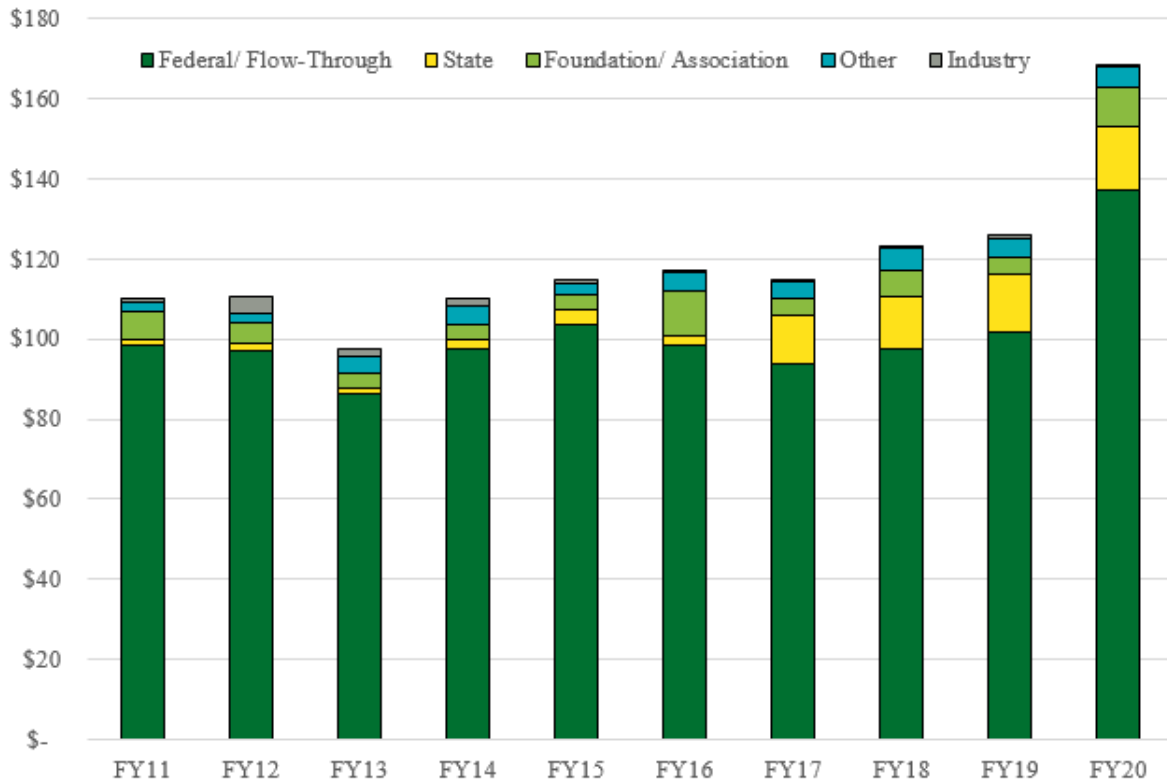
This table provides complete FY20 information. One nuance is the different award values in this table and the Award Budget field in Figure 1. The \$168.5 million amount here reflects the amounts on award letters that UO received in FY20, while the \$162.6 million in Award Budgets reflects the accounting entries in Banner. The differences typically relate to adjusting entries such as budget reductions, unspent funds, and funds that will be sent in other fiscal years.

Figure 3: FY11-FY20 Total Sponsored Project Expenditures (in millions of dollars)



This figure summarizes the total amount of sponsored project expenditures between FY2011 and FY2020. This includes awards for research projects, sponsored instruction, public service, and all other uses.

Figure 4: FY11-FY20 Awards Received (in millions of dollars)



This figure summarizes historical awards data. As the figure shows, there was a significant increase in awards received between FY19 and FY20. In FY20, OVPRI changed how awards amounts are reported, but this does not change the conclusion that awards activity increased significantly in FY20. Prior to FY20, OVPRI reported the award budgets being loaded in to the accounting system because historically this was the best data available. Our proposal tracking system tracks award amounts more directly, so in FY20 we started using this more reliable and less cumbersome data. Although the two datasets have different totals, both show an increase of approximately 30% in FY20.

Figure 5: Summary of Key Innovation Metrics



FY20 Innovation Metrics

<u>Description</u>	<u>FY19</u>	<u>FY20</u>
Licensing Revenue	\$10M	\$ 10.3 M
Disclosures/Faculty New Ideas	49	41
Science-Based Disclosures	20	23
Patent Filings	13	20
AAU Licensing Ranking (per \$)	#5	#5
Total # of Active Startups	26	28



September 2020

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

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

Executive Summary

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

ORP contribution rates for employees in tiers one and two currently equal 33.20% of their salary, tier three contributions equal 15.85%, and tier four employees' contributions remain fixed at 8%, plus an additional match of up to 4%. Employees in the new post-doctoral tier are only eligible to receive a match of up to 4% of their salary.

OPURP's plans continue to grow. The plans now have 18,860 participants and current assets as of 12/31/2019 total more than \$2.1 billion.

Although employees of universities across the country have in recent years-initiated litigation against university retirement plans, these suits are currently limited to private university plans. Furthermore, OPURP has been ahead of the curve in actively managing the plans to reduce employee fees, ensure appropriate performance of investment funds, and provide employees with additional information and resources to prepare for retirement.

I. Plans Currently Administered by OPURP

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

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Optional Retirement Plan

The ORP is an optional alternative to the PERS retirement system. Unclassified academic and administrative employees have six months from their date of hire to elect to participate in the ORP in lieu of PERS. All contributions to the ORP are paid by the universities for the benefit of their employees. Employees who participate in the ORP are assigned to one of four tiers depending on their date of hire or a post-doctoral scholar tier depending on their position. For employees in the ORP's first three tiers, the universities make contributions equal to the percentage of the employee's salary the universities would otherwise contribute to PERS if the employee participated in PERS. The universities' statutorily required ORP contribution rates for these employees increase and decrease depending on the contribution rates periodically announced by PERS. As a result, ORP contribution rates are variable for the employees assigned to the first three tiers of the ORP.

Beginning on July 1, 2019, employees assigned to tiers one and two receive contributions to the ORP equal to 27.20% of their salary, plus an additional 6% contribution to the ORP that is treated as an employee contribution. This amounts to contributions equal to 33.20% of their salary. Employees assigned to tier three of the ORP receive contributions to the ORP equal to 9.85% of their salary, plus an additional 6% contribution that is treated as an employee contribution. This amounts to contributions equal to 15.85% of their salary. These contribution rates could increase or decrease for the next biennium (July 1, 2021 through June 30, 2023) based on changes to PERS contribution rates, which are currently expected to be announced on October 2, 2020.

Employees assigned to the fourth and post-doctoral tiers of the ORP receive contributions equal to a fixed percentage of their compensation. Employees assigned to tier four, those hired on or after July 1, 2014, receive an amount equal to 8% of their salary, plus an additional amount that matches the employee's own elective contributions to the TDI up to a maximum of 4% of the employee's salary, giving employees a maximum contribution of 16% (12% ORP, 4% TDI) retirement savings. The matching contributions to the ORP are treated as employee contributions, and participants can always contribute more than 4% in the TDI account up to the Section 402(g) Internal Revenue Code annual limit. Post-doctoral scholar employees hired on or after January 1, 2018 are assigned to a post-doctoral scholar tier of the ORP. They receive contributions to the ORP that matches the employee's own elective contributions to the TDI up to a maximum of 4% of the employee's salary. These contributions to the ORP are treated as employee contributions.

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

Tax-Deferred Investment 403(b) Plan

The TDI elective deferral retirement plan is a plan to which employees can contribute regardless of whether they participate in PERS or the ORP. Employees can choose an amount that their university

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employer will withhold from their paycheck on a pre-tax or after-tax (Roth) basis to contribute to the TDI. All contributions to the TDI are made from the employees' own money and are not paid by the universities.

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

Legacy Plans

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

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

Current Plan Assets

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

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

Vendor	Assets as of 12/31/2019	# of Participants	# of Investment Options*
Fidelity - ORP	\$267,757,895	2346	21; SDBA
Fidelity - TDI	\$299,953,885	3960	21; SDBA
TIAA - ORP	\$712,649,745	4106	27
TIAA - TDI	\$433,866,726	4085	27
TIAA - Legacy 401(a)	\$ 43,953,064	309	27
TIAA - Legacy 403(b)	\$ 35,689,187	330	27
AIG – ORP	\$ 185,828,876	1366	22 mutual funds 61 annuity funds
AIG – TDI	\$118,507,594	1003	22 mutual funds 61 annuity funds
Discontinued 403(b) Plans	\$ 77,575,582	1355	Each TPA offers various mutual funds.
Total	\$2,175,782,554	18,860	

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

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

II. OPURP Structure

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

OPURP Management

UO, through its Board of Trustees and employees, is the plan sponsor and fiduciary of the OPURP retirement plans. Gay Lynn Bath serves as the primary administrator of OPURP, the Retirement Plans Management office, and each of the retirement plans. Ms. Bath directs the plans' daily management, strategy, and initiatives in cooperation with the OPURP's Retirement Plans Committee and UO's executive leadership. As Director of Retirement Plans Management, Ms. Bath manages a streamlined staff that includes a benefits coordinator and a part-time benefits analyst.

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

Retirement Plans Committee

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

Retirement Plans Investment Committee

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

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The Investment Committee meets quarterly with the Retirement Plans Management staff, each recordkeeper's relationship manager, and a separate investment consulting firm, Callan, LLC, to review the plans' investments. The Investment Committee reviews the performance of

investment funds offered by each recordkeeper to ensure the funds perform and operate within the Committee's previously adopted investment policy standards.

Retirement Plans Administration Committee

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

III. Improvements to Management and Oversight of Retirement Plans

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

- 1. Plan fee structures.** Since 2015, OPURP has negotiated new fee agreements with all three recordkeepers to keep fees as low as possible for participants and ensure an equitable structure for paying plan costs.

Fidelity

Fidelity now charges participants an annual flat per-participant fee of \$62 for recordkeeping and \$12 per-participant fee to cover OPURP's administration costs. OPURP's \$12 administrative fee is a reduction from \$20 for each participant in 2019.

TIAA

In 2019, prior to OPURP's last report, TIAA proposed an annual flat per-participant fee for recordkeeping services of \$67. Since that time, OPURP negotiated for an even lower rate of \$61 per unique participant.

These fees are generated by a revenue share fee model incorporated in participants' investments; the fees are not directly deducted from the participants' accounts. OPURP sought to eliminate revenue share arrangements in favor of simplified, direct fees to increase transparency for participants. However, TIAA was not able to remove the revenue share fee model from participants' preexisting annuities and individual investment contracts, which hold most of the assets of OPURP's TIAA participants.

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Although TIAA could not eliminate revenue share arrangements, OPURP's new fee agreement with TIAA represents an almost 45% fee reduction. In addition, every six months,

OPURP returns to participants any revenue share fees in excess of the amount needed to pay plan expenses. OPURP is also moving towards offering an open architecture for the investments in the TIAA plan which may facilitate even lower participant fees.

AIG

There were no changes to AIG fees during this last fiscal year. AIG charges an overall 17 basis points fee for each participant account in the mutual funds: 14 for recordkeeping and 3 for administrative costs. AIG also provides OPURP with \$48,000 per year in revenue share from the annuities.

OPURP Fee Strategy

OPURP keeps reserves in the plans' fee accounts in an amount sufficient to cover future known and unknown expenses. Examples of expenses that can be covered include investment consultant services, plan audits, investment and administration committee meeting costs, benefit fair and OPURP EXPO costs, communication costs, and any fund changes that exceed those covered in our contract with Fidelity. Industry standards recommend no more than one year's expenses be held in reserves. The Investment Committee will be reviewing current plan fees and how they are used in preparation of implementing a new OPURP fee policy. At that time, a new appropriate fee reserve amount will be considered. Unused fees held in reserve are typically distributed back to participants every six months.

- 2. Forfeiture Project.** The Retirement Plans Management team determined there were participant accounts for former employees that still had employer contributions in which the employees never vested. ORP participants must be employed for five years or reach age 50 while still employed to be considered "vested" in employer contributions. Some of these participants had not worked for several years.

OPURP determined that these unvested funds remained erroneously credited to former employee accounts because university employers were not informing the plan that an individual's employment had ended. OPURP asked each of the investment recordkeepers to run a report for any "active" employees who had not received contributions for at least the last five years. OPURP then researched these participants to determine their employment termination date and their vesting status. If OPURP determined that a former employee was credited with funds in which they were not vested, the investment recordkeeper was required to transfer the unvested employer contribution funds from the participant's account to the plan's forfeiture account.

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OPURP determined that over 300 former employees still had unvested employer contribution funds in their ORP accounts. After ensuring that employees who vested through prior PERS service were not adversely impacted, OPURP was able to recoup approximately \$3 million in erroneously credited unvested funds, which were transferred to an annual forfeiture credit.

The \$3 million credit was split among the universities on a pro-rata basis using the same percentages that OPURP uses to bill the campuses for operating expenses.

OPURP sent letters to participants whose account balances were affected by the vesting project, and we received fewer than 10 inquiries from participants. OPURP re-verified the status of each complainant's account and determined whether the transferred funds were correctly removed or if an error was made. Any erroneous fund transfers were returned to the participant's account.

The public universities who participate in the OPURP are responsible for recording employee terminations. Once employee terminations are recorded, the former employees' unvested employer contributions are transferred to the plan's forfeiture account. OPURP has been in discussions with the universities' benefit managers to stress the importance of recording a termination date and vesting information for retirement purposes when an employee terminates. OPURP has notified the universities' benefit managers that a failure to record an employee's termination date will also prevent a participant from receiving retirement distributions until that date has been recorded with the investment recordkeeper. OPURP will continue working with the universities to ensure the termination dates are entered in a timely manner.

- 3. Beneficiary Project.** OPURP determined that a significant number of employees have not submitted beneficiary forms to Fidelity and TIAA. OPURP has been working with the investment recordkeepers to send notifications to affected participants to ensure they understand the importance of having a completed beneficiary form on file. This project is ongoing from 2019 and OPURP is working with both TIAA and Fidelity to ensure that a majority of participants complete the beneficiary form.
- 4. Electronic Signature for 403(b) Enrollment.** OPURP is collaborating with the public universities to transition to electronically signed versions of the TDI's voluntary contribution form. Historically, the universities have required these forms be completed in paper form with a handwritten signature. OPURP teamed with both PSU and OSU to implement an electronically signed version of the TDI's voluntary contribution form. Afterward, with the onset of the COVID-19 outbreak, UO's payroll team inquired about implementing the same process at UO. Shelby Cooper, UO's Director of Payroll Services, and OPURP collaborated with UO's Information Services department to implement a new electronically signed version of the voluntary contribution form.

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

- 5. Retirement Expos.** OPURP launched retirement expos for the universities starting in 2018. These information events include representatives from Fidelity, TIAA, PERS, OSGP, Social Security, and Medicare. These vendors and organizations hold workshops and host booths for employee questions. OPURP had three expos planned for 2020, but, due to the COVID-19 pandemic, they were canceled. OPURP hopes to reschedule these expos in 2021.
- 6. Audit.** In accordance with industry best practice, OPURP has requested that an outside auditing firm perform an audit of the plans' operations. The audit will focus specifically on the processes used for revenue share fees, participant fees, and unvested forfeitures. Moss Adams has been retained to work with OPURP on this project which should begin in the next few months. The auditor will also review payroll processes at the University of Oregon related to retirement contributions. Moving forward, OPURP will implement a regular schedule of audits with plans to review other universities' payroll retirement contribution operations in the future.