



**PUBLIC MEETING OF THE WOU BOARD'S
EXECUTIVE, GOVERNANCE AND TRUSTEESHIP COMMITTEE (EGTC)**

Meeting No. 25

June 1, 2021 | 2:00-3:30 PM

Public Meeting: [WebEx](#)

For audio access: 1-415-655-0002 | Meeting ID: 133 861 4351

AGENDA

- I. CALL-TO-MEETING AND ROLL CALL**
- II. CHAIR'S WELCOME/ANNOUNCEMENTS**
- III. DISCUSSION/ACTION ITEMS:**
 - (1) [Grants over \\$100,000](#) (p. 2)
 - (2) [Internal Audit Plan](#) (p. 4)
 - (3) [Board Standing Committee on Diversity, Inclusion and Equity](#) (p. 9)
 - (4) [Vice Chair Election](#) (p. 15)
- IV. EXECUTIVE SESSION: Interim President**

The EGTC will convene in executive session pursuant to ORS 192.660(2)(f) (to consider a record otherwise exempt from disclosure). Representatives of institutionalized news media are permitted to attend under ORS 192.660(4) on the condition that matters discussed in the executive session remain undisclosed. Pursuant to ORS 192.660(6), there will be no action during the executive session.

IV. ADJOURNMENT

EGTC, Report on Grants and Contracts

Section 2.7 of the [Board Statement on the Delegation of Authority](#) states that “The President of the University shall act for the Board of Trustees regarding grants and contracts for research, development, service, and training. However, a quarterly report to the Board is required for each initial contract or grant award that exceeds \$100,000, and when any increase or decrease to a contract or grant award causes the total of all increases or decreases to the contract or grant award to exceed \$100,000.”

At its June 1, 2021 meeting, the Board’s Executive, Governance and Trusteeship Committee (EGTC) will review a report enumerating the grants and contracts as described in the Board Statement on the Delegation of Authority.

The list of subject grants and contracts is attached.

It is anticipated that this acceptance of this report will be included on the full Board’s consent agenda at it June 9, 2021 meeting.

Staff Recommendation

Consistent with the Board Statement of the Delegation of Authority, Western Oregon University recommends acceptance of the attached grants and contracts report.

Additional Staff Recommendation

As Section 2.7 of the Board Statement requires a quarterly report of grants in excess of \$100,000. Given the size and scope of Western’s activities, the following change is recommended:

“The President of the University shall act for the Board of Trustees regarding grants and contracts for research, development, service, and training. However, ~~a quarterly an~~ **annual** report to the Board is required for each initial contract or grant award that exceeds \$100,000, and when any increase or decrease to a contract or grant award causes the total of all increases or decreases to the contract or grant award to exceed \$100,000.”

WOU Current Active Awards Over \$100K- Spring 2021 (as of May 24, 2021)

Title	Sponsor/ Prime Sponsor (original funding source)	Total Award Amount	Begin Date	End Date	Project Director	Grant or Contract Description
from FY 2021						
Victims of Crime Act (VOCA) Renewal	Oregon Department of Justice	\$152,149	4/17/2020	9/30/2022	Malissa Larson	To provide advocacy and counseling services for victims of crime.
Emergency Child Care Response to COVID-19-Amendment 1	Oregon Department of Education	\$168,496	8/1/2020	9/4/2020	Robyn Lopez-Melton	To provide guidance to ODE regarding best practices for child care providers during COVID
Pre-School Promise	Oregon Early Learning Division	\$249,922	9/1/2020	8/31/2021	Tammy Gardner	To enhance accessibility and quality of CDC pre-school program.
Western Oregon University Rural Partnerships Pathways Program (WOU RP3) An extension of the Bilingual Teacher Scholars Program	Oregon Department of Education	\$291,495	7/1/2020	6/30/2021	Maria Dantas-Whitney	To enhance the WOU Bilingual Teacher Scholars program
Higher Education Emergency Relief Fund (HEERF) (ARP)	US Dept. of Education	\$6,186,750	TBD		Ana Karaman	Student COVID-19 assistance.
Higher Education Emergency Relief Fund (HEERF) (ARP)	US Dept. of Education	\$6,124,544	TBD		Ana Karaman	WOU institutional COVID-19 relief.
Higher Education Emergency Relief Fund (HEERF) (CRRSAA)	US Dept. of Education	\$2,140,841	1/18/2021	1/17/2022	Ana Karaman	Student COVID-19 assistance.
Higher Education Emergency Relief Fund (HEERF) (CRRSAA)	US Dept. of Education	\$4,918,999	1/18/2021	1/17/2021	Ana Karaman	WOU institutional COVID-19 relief.
Sign Language Interpretation Service	Oregon Department of Human Services	\$344,000	7/1/2021	7/1/2023	Chad Ludwig	ODHS Sign Language interpretation service contract
Anti-Racist coursework	Oregon Department of Education	\$167,711	12/17/2020	6/30/2021	Mark Girod	ODE Anti-racist coursework teacher training
		\$20,744,907				
from FY 2020						
Rehabilitation and Mental Health Counseling (RMHC)	US Dept. of Education	\$1,000,000	10/1/2019	9/30/2024	Dr. Denise Thew-Hackett	To increase the number of personnel trained in providing vocational rehabilitation services to individuals with disabilities, specifically increasing state vocational rehabilitation counselors.
Higher Education Emergency Relief Fund (HEERF) (CARES Act)	US Dept. of Education	\$2,140,842	5/1/2020	4/30/2021	Ana Karaman	Student COVID-19 assistance.
Higher Education Emergency Relief Fund (HEERF) (CARES Act)	US Dept. of Education	\$2,140,842	5/1/2020	4/30/2021	Ana Karaman	WOU institutional COVID-19 relief.
Emergency Childcare (COVID-19)	ODE/Department of Health & Human Services (DHHS)	\$770,844	3/8/2020	7/31/2020	Robyn Lopez-Melton	Assisting first responders and healthcare workers with childcare options during the pandemic/stay at home order.
Testing Tutor - An Inquiry-Based Pedagogy and Supporting Tool to Improve Student Learning of Software Testing Concepts	National Science Foundation subaward with University of Alabama	\$149,031	7/1/2020	6/30/2023	Lucas Cordova	Computer Science pedagogy research
Student Support Services TRIO	US Dept. of Education	\$1,900,305	9/1/2020	8/31/2025	Marshall Guthrie	Student support services
Student Support Services Teacher Prep	US Dept. of Education	\$1,265,160	9/1/2020	8/31/2025	Gary Dukes	Student support services
Emergency Child Care Response to COVID-19	Oregon Early Learning Division	\$770,844	3/23/2020	9/30/2020	Robyn Lopez-Melton	To provide guidance to ODE regarding best practices for child care providers during COVID
Pre-School Promise	Oregon Early Learning Division	\$216,000	7/1/2020	6/30/2021	Tammy Gardner	To enhance accessibility and quality of CDC pre-school program.
Spark 2020	Oregon Early Learning Division	\$1,997,155	4/1/2020	6/30/2021	Robyn Lopez-Melton	To support developing early learning best practices
Graduated Driver License Implementation - Information and Education	Oregon Dept. of Transportation	\$633,308	7/1/2020	6/30/2020	Tonya East	Collaborates with ODOT to reduce the teen crash rate by maintaining a statewide system of certified driver education instructors.
RSA Long term training for RMHC Student Support Grant	US Dept. of Education	\$1,000,000	10/1/2020	9/30/2025	Dr. Denise Thew-Hackett	Student support for Rehabilitation and Mental Health Counseling program
		\$13,984,331				
from past fiscal years						
Victims of Crime Act (VOCA)	OR Department of Justice/US DOJ	\$ 190,186	4/1/2018	9/30/2021	Dr. Aislinn Addington	Enhance WOU's ability to serve the needs of gender-based violence survivors in the campus community by having trained professionals on staff to conduct forensic exams.
Enhancing Tribal-Federal-State-Local Intergovernmental Collaboration	University of North Dakota/USDOJ	\$ 315,575	10/1/2019	9/30/2021	Brian Kauffman	Design, develop, and implement training to enhance collaboration throughout all levels of government to improve public safety and combat crime.
National Center on DeafBlind Interpreting	USDE	\$ 2,000,000	1/3/2017	1/2/2022	Heather Holmes/C.M. Hall	To increase the numbers and improve the skills of manual, tactile, oral, and cued speech interpreters providing services to individuals who are deaf or hard-of-hearing and individuals who are deaf-blind.
Western Oregon University Upward Bound	USDE	\$ 1,395,266	9/1/2017	8/31/2022	Shondra Russell	To increase the success rates of low-income, first-generation college students, and veterans in their pursuit of postsecondary degrees.
Oregon DeafBlind Project	USDE	\$ 610,810	10/1/2018	9/30/2023	Dr. Carlie Rhoads	Provides technical assistance in Oregon for teachers and families with children who are both deaf and blind.
WOU Project Hive: Increasing Interpreter Capacity in Educational Settings	USDE	\$ 1,250,000	10/15/2018	9/30/2023	Dr. Elisa Maroney	To improve the quality and quantity of educational interpreters who are available to serve deaf and hard of hearing students.
Interdisciplinary Preparation in Adapted Physical Education & Special Education (IMPACT)	Oregon State University/USDE	\$ 500,000	1/1/2019	12/31/2023	Dr. Katrina Hovey	Train WOU student scholars to provide high quality special education services.
		\$ 6,261,837				
TOTAL		\$40,991,075				

Executive, Governance & Trusteeship Committee
June 1, 2021
Internal Audit, Internal Audit Plan FY 2021-22

The annual audit plan is a guide that is developed for the utilization of the Internal Auditor's resources during the fiscal year to address the risks of Western Oregon University. The assessments of risks were performed through a collaborative process which included the Internal Auditor, the President, and the President's Cabinet members.

The following key factors were considered to assess risk and develop the audit plan:

- Potential for impact on University-wide policies and procedures
- Changes in systems, processes, policies, or procedures
- Transaction volume
- Staff turnover

Ultimately, Internal Audit's objective is to provide management with information to reduce exposure to negative effects that may be associated with operations intended to achieve management's objectives.

STAFF RECOMMENDATION:

The Internal Auditor recommends that the WOU Executive, Governance and Trusteeship Committee accept the Internal Audit Plan FY 2021-22 as include in the docket material.



INTERNAL AUDIT PLAN Fiscal Year 2021-22

Overview

The annual audit plan is a guide that is developed for the utilization of the Internal Auditor's resources during the fiscal year to address the risks of Western Oregon University. Audits and other projects selected for review and included in the annual audit plan are those areas that represent risk to the University.

The audit plan may be modified during the fiscal year as circumstances change. Requests from management, and changes in the University's organization or operations could result in updates to the plan.

Project objectives proposed in the plan are in general terms. The specific objectives of each audit project are determined by the detailed assessment of relative risks for the project at the time the project is initiated.

The Role of Internal Audit

The Internal Auditor provides independent, objective assurance and consulting services designed to add value and improve the University's operations. Internal audit helps the University accomplish its objectives by bringing a systematic and disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

The Internal Audit Charter, approved by the Board of Trustees, sets forth the purpose, authority, and responsibility of the Internal Auditor.

Professional Requirements

This document provides the Fiscal Year 2021-22 audit plan as required by the Internal Audit Charter and Institute of Internal Auditors' (IIA) professional auditing standards. The plan is developed based on an assessment of risk and potential exposure that may affect the University. Ultimately, Internal Audit's objective is to provide management with information to reduce exposure to negative effects that may be associated with operations intended to achieve management's objectives. The degree or materiality of exposure can be viewed as risk mitigated by establishing sound internal controls.

Types of Reviews

The Internal Auditor conducts performance audits and non-audit services, as well as follow-up reviews.

Performance audits are engagements that provide assurance or conclusions based on an evaluation of sufficient appropriate evidence against stated criteria. Performance audits provide objective analysis so that management and those charged with governance and oversight can use the information to improve program performance and



operations, lower risks, reduce costs, facilitate decision making by parties with responsibility to oversee or initiate corrective action, and contribute to public accountability. Therefore, the sufficiency and appropriateness of evidence and tests of evidence will vary based on the audit objectives and conclusions.

Follow-up reviews are conducted to determine the adequacy, effectiveness, and timeliness of actions taken by management on reported engagement recommendations. This work determines if management actions have resulted in lowering risks or if management has assumed the risk of not taking corrective action on reported findings. Follow-up projects are conducted on previous Internal Audit's reported findings and other external entities' reported audit findings. These audits are scheduled within a reasonable time frame to allow management sufficient opportunity to implement corrective actions.

Non-audit services are advisory client service activities which are intended to add value and improve the agency's governance, risk management, and control processes. Examples include counsel, advice, facilitation, and training. This type of project can only be conducted if providing the non-audit service does not create impairments to independence, either in fact or appearance, with respect to future audit projects.

Development of the Audit Plan

The Internal Audit Department allocates its resources in a manner that is consistent with the mission and goals of WOU. To support WOU's mission, audit coverage is considered across the University. The audit plan is designed to provide coverage of key business processes, over a reasonable period of time, given the existing staff.

The following key factors were considered to assess risk and develop the audit plan:

- Potential for impact on University-wide policies and procedures
- Changes in systems, processes, policies, or procedures
- Results and time since last audit engagement
- Extent of external regulation
- Information and communication
- Transaction volume
- Staff turnover

In addition to the projects selected based on risk assessment results, audit resources are also dedicated to follow-up reviews, carry-forward projects, and non-audit services.

To ensure the auditors maintain a steady workload throughout the year, some audit projects are scheduled to start near the end of one fiscal year and require time in the following year to complete.

The following tables provide information regarding planned Internal Audit activities for FY2021-22.

Prior Year - Close-out Activities				
Auditable Unit	Audit Area	Title of Project	Preliminary Objectives	Estimated Budgeted Hours
Controller	Vendor Payments	Invoicing Process	Assessment of internal controls over occurrence, accuracy, and timeliness.	20
Controller	Banner Access	Deactivation of Banner Access for Inactive Employees	Assessment of internal controls over termination of software access.	20
Controller	Procurement Cards	Termination of P-card for Inactive Employees	Assessment of internal controls over procurement card termination when employees become inactive.	20
Total Close-out Hours				60

Performance Audit (Assurance) Projects for FY 2021-22				
Auditable Unit	Audit Area	Title of Project	Preliminary Objectives	Estimated Budgeted Hours
Human Resources	Payroll	Payroll Processing	Assessment of internal controls over occurrence, accuracy, classification, timeliness, and compliance with the laws and regulations.	160
Reserved	Hotline	Fraud, Waste & Abuse Tips	Reserved audit hours for unscheduled projects.	120
Total Audit Hours				280

Non-Audit Services Projects (Special Projects - Consulting) for FY 2021-22				
Auditable Unit	Audit Area	Title of Project	Preliminary Objectives	Estimated Budgeted Hours
Human Resources	Payroll	Pay Adjusts Workflow Assessment	Analyze current workflow and offer recommendations as applicable to enhance processes.	250
Financial Aid	Remission	Remission Workflow Assessment	Analyze current workflow and offer recommendations as applicable to enhance processes.	250
Controller and General Counsel	Procurement	Procurement Workflow Assessment	Analyze current workflow and offer recommendations as applicable to enhance processes.	140
Controller	Form of Payment	P-card Workflow Assessment	Analyze current workflow and offer recommendations as applicable to enhance processes.	60
Controller	Form of Payment	Invoice Workflow Assessment	Analyze current workflow and offer recommendations as applicable to enhance processes.	60
Total Special Project - Consulting Hours				760

Total Hours - All				1,100
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Total Annual Available Hours Per Auditor (0.75 FTE)	
Annual Totals	Hours
Based on 52 weeks @ 30 Hours Per Week	1,560
	(135)
Annual Leave (11.25 hours * 12 months)	
	(72)
Sick Leave (6 hours * 12 months)	
	(60)
Total Available Hours	1,293
Continuing Professional Education	(20)
Audit Support/Miscellaneous	(57)
Accreditation	(30)
Administration (43 weeks * 2 hours per week)	(86)
Total Available Project Hours	1,100

EGTC, Standing Board Committee on Diversity, Equity, and Inclusion

At the April 21, 2021 Board meeting, Chair Betty Komp, among other announcements related to the university's diversity, equity and inclusion initiatives, announced that the Board would pursue a standing committee on diversity, equity, and inclusion. Currently, the Board has three standing committees: Executive, Governance and Trusteeship (EGTC), Finance and Administration (FAC), and Academic and Student Affairs (ASAC).

The scope of activities for each Board's standing committees is outlined in the Board Statement on Board Committees. In order to create the committee, the EGTC considered revisions to the Board Statement that are included in these written docket materials. Separate from the revisions to the Board Statement on Board Committees, each committee also has a committee charter. Previously, once the standing board committees were formed, the committees, with the assistance of a template, were charged with drafting their charter for Board approval.

Staff Recommendation

The EGTC recommends the creation of a standing Board Committee on Diversity, Equity and Inclusion (DEIC) and the necessary revisions to the Board Statement on Board Committees to memorialize the committee's creation and recommends that at such time as the Board Chair appoints the members to the DEIC, the DEIC, with staff's assistance and the charter template, draft a committee charter for Board approval.

Board Statement on Board Committees
Board of Trustees of Western Oregon University

1.0 Standing Committees

Subject to the requirements of applicable law, the Board may establish such Standing Committees and Ad Hoc Committees as it deems appropriate or necessary from time to time and shall define the duration, existence, duties, membership and reporting requirements of such committees. The Standing Committees of the Board are: Executive, Governance, and Trusteeship Committee (EGTC), Finance & Administration Committee (FAC), Academic and Student Affairs Committee (ASAC) and the Diversity, Equity and Inclusion Committee (DEIC). Standing Committees may consist only of Trustees, continue until terminated by the Board, and develop a committee charter for approval by the Board. The Board Chair appoints the committee chairs of each Standing Committee and, in consultation with the committee chairs, appoints the members of the Standing Committees. To the extent practicable and advisable, the Chair will rotate some or all Standing Committee membership from time to time to provide Trustees with an opportunity to serve on different Standing Committees. The term of Ad Hoc Committees, if any, shall be one year or less. An Ad Hoc Committee shall include at least one Trustee, engage in information gathering and reporting only, and make any report or recommendation to the Chair of the Board or the Chair of a Standing Committee.

2.0 Executive, Governance, and Trusteeship Committee

- 2.1 There shall be a 5-member Executive, Governance and Trusteeship of the Board of Trustees.
- 2.2 The Board Chair shall serve as the Chair of the EGTC.
- 2.3 The EGTC shall operate under a charter approved by the Board. The charter will identify the committee's general areas of responsibility and will specifically identify any instance which the committee may act for the full Board.
- 2.4. As further described in its charter, the EGTC may consider and recommend actions to the Board on the following topics:
 - 2.4.1 The hiring, employment, evaluation, and removal of the President of the University.
 - 2.4.2 Matters pertaining to effective trusteeship, including, but not limited to board self-evaluation, the agenda for the board retreat, recommendations to the Governor when there are Board vacancies, and participation in educational or other activities to enhance the Board's effectiveness.

- 2.4.3 Litigation, legal services, and compliance, including, but not limited to reports on litigation from the General Counsel, board statements or policies to be considered by the Board, and, to the extent not addressed by the Finance & Administration Committee, issues of risk management and legal services.
- 2.4.4 Advocacy and advancement, including but not limited to strategies for University personnel to deploy in order to enhance the University's profile with external audiences, decision-makers, and government officials.
- 2.4.5 Input and recommendation on the University's strategic plan, as developed by the President and University, prior to adoption by the full Board.
- 2.4.6 Human resources policies and practices.
- 2.5 The EGTC shall also serve, as appropriate, as the Board's Audit Committee. When sitting as the Audit Committee, the EGTC shall consider matters pertaining to internal controls, enterprise risk management, internal or external auditors, as the Board or President shall use, and audit plans and reports.
- 2.6 The primary University personnel that will staff, advise and, assist the EGTC shall be the President of the University and the General Counsel.

3.0 Finance & Administration Committee

- 3.1 There shall be a 5-member Finance & Administration Committee (FAC).
- 3.2 The FAC shall operate under a charter approved by the Board. The charter will identify the committee's general areas of responsibility and will specifically identify any instance which the committee may act for the full Board.
- 3.3 As further described in its charter, the FAC may consider and recommend actions to the Board on the following topics:
 - 3.3.1 The University's operating and capital budgets and requests for appropriation of state funds.
 - 3.3.2 The University's investments, finances, financial accounts, and debt finance.
 - 3.3.3 Tuition and mandatory enrollment fees.

- 3.3.4 The acquisition, management, development and disposal of real property.
- 3.3.5 The acquisition, management, development and disposal of personal property, tangible and intangible.
- 3.3.6 Insurance, self-insurance programs, and other mechanisms designed to manage risk and reduce liability facing the University.
- 3.4 The primary University personnel that will staff, advise, and assist the FAC shall be the Vice President of Finance & Administration.
- 4.0 Academic and Student Affairs Committee**
- 4.1 There shall be a 5-member Academic and Student Affairs Committee (ASAC).
- 4.2 The ASAC shall operate under a charter approved by the Board. The charter will identify the committee's general areas of responsibility and will specifically identify any instance which the committee may act for the full Board.
- 4.3 As further described in its charter, the ASAC may consider and recommend actions to the Board on the following topics:
 - 4.3.1 Faculty affairs, including the faculty's status and responsibilities, discipline and welfare.
 - 4.3.2 Educational policy, including admissions requirements, enrollment strategies, instruction, curriculum, degrees, research, educational technology, distance learning, public services activities, and the establishment and disestablishment of educational and research organizational units.
 - 4.3.3 The general welfare of students, including housing and food services, health services and health insurance, safety, extracurricular activities, sports programs, and policies governing student discipline and student organizations.
- 4.4 The primary University personnel that will staff, advise, and assist the ASAC shall be the Provost and the Vice President for Student Affairs.
- 5.0 Diversity, Equity and Inclusion Committee**
- 5.1 There shall be a 5-member Diversity, Equity and Inclusion Committee (DEIC). The five members of the DEIC will be the Board Chair, the university president,

and one trustee from each of the other three standing committees (EGTC, ASAC, FAC).

- 5.2 The DEIC shall operate under a charter approved by the Board. The charter will identify the committee's general areas of responsibility and will specifically identify any instance which the committee may act for the full Board.
- 5.3 As further described in its charter, the DEIC may consider and recommend actions to the Board on the following topics:
 - 5.3.1 Oversight of, and periodic progress reports regarding, the priorities and expectations enumerated in the Board Statement on Diversity, Inclusion, Equity and Accessibility.
 - 5.3.2 Reports, as appropriate, from the University Diversity and Inclusion Advisory Committee (UDIAC) and University Cultural Competence Advisory Committee (UCCAC).
 - 5.3.3 Reports, as appropriate, regarding the university's Diversity Strategic Plan.
- 5.4 The primary university personnel that will staff, advise, and assist the DEIC shall be the Director of Diversity, Equity, and Inclusion

6.0 Notice of Meetings of Standing Committees

Meetings of Standing Committees of the Board shall be held at such times and places as may be fixed by each committee or its chair. The Secretary shall cause the required notices of meetings of Standing Committees to be sent to each member of the Board. The Secretary shall also cause the preparation of the minutes, any audio recording, audio and video recording, streaming audio, or streaming audio and video of the meeting. The Secretary shall cause the minutes and any recording or transmission to be maintained in accordance with applicable records retention requirements.

7.0 Quorums

A majority of the members of a Standing Committee shall be necessary to constitute a quorum. The faculty and non-faculty staff members of any committee may not participate in any discussions or action by the committee or attend any executive session of the committee involving collective bargaining issues that affect faculty or non-faculty staff at the university.

8.0 Information Gathering and Investigation

The Chair of the Board, or the Vice Chair during the Chair's absence or incapacity, may appoint one to three members of the Board or one or more other persons to gather information and provide it to the Board or a Board Committee. The Chair of a Standing Committee may appoint one to three members of the Standing Committee or one or more other persons to gather information and provide it to the Standing Committee.

DRAFT

EGTC, Board Vice Chair Nomination

Article III, Section 5 of the Board's Bylaws governs the election of Board officers. Currently, the Western Oregon University Board of Trustees has a Board Chair and Board Vice Chair, elected in alternate years for two-year terms. There is no automatic succession or term limits for Board officers.

Last year, the Board reelected Betty Komp as its Chair. On June 30, 2021, Jaime Arredondo will complete a two-year term serving as Vice Chair. The EGTC needs to consider the nomination of a trustee to serve in this role.

EGTC Recommendation

The Board's Executive, Governance and Trusteeship Committee (EGTC) recommends the nomination of Doug Morse to serve as its Vice Chair, for a two-year term, effective July 1, 2021 through June 30, 2023.