

February 9, 2006

TO: Members of the Board of Regents  
Ex-officio Representatives to the Board of Regents

FROM: Michele M. Sams, Secretary of the Board of Regents

RE: Schedule of Meetings

**THURSDAY, FEBRUARY 16, 2006**

<b>10:15 a.m.–11:05 a.m.</b>	<b>142 Gerberding Hall</b>	<b>ACADEMIC &amp; STUDENT AFFAIRS COMMITTEE:</b> Regents Cole (Chr), Barer, Gates, Jewell, Proctor, Rasmussen
<b>11:15 a.m.–12:45 p.m.</b>	<b>142 Gerberding Hall</b>	<b>COMMITTEE OF THE WHOLE:</b> Regents Jewell (Chair), Barer, Brotman, Cole, Gates, Kiga, Proctor, Rasmussen, Simon, Yapp
<b>1:00 p.m.–1:30 p.m.</b>	<b>142 Gerberding Hall</b>	<b>FINANCE, AUDIT AND FACILITIES COMMITTEE:</b> Regents Kiga (Chr), Brotman, Cole, Jewell, Simon, Yapp
<b>1:45 p.m.</b>	<b>Petersen Room Allen Library</b>	<b>SPECIAL MEETING OF THE BOARD OF REGENTS</b>
<b><del>3:00 p.m.</del></b>	<b><del>Petersen Room Allen Library</del></b>	<b><del>REGULAR MEETING OF BOARD OF REGENTS</del></b>

**ENCLOSURES:** Agendas for Committees

1-1/202-06  
2/16/06



UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS

February 9, 2006

**TO:** Members of the Academic and Student Affairs Committee  
Regents Cole (Chair), Barer, Gates, Jewell, Proctor, Rasmussen

**FROM:** Michele M. Sams, Secretary of the Board of Regents

**RE:** Meeting of Committee on February 16, 2006 (10:15–11:05 a.m., 142 Gerberding Hall)

The following topics are noted for discussion at the meeting of the committee on *Thursday, February 16, 2006*. Items requiring action by the full Board of Regents are marked "DRAFT."

1. **Academic and Administrative Appointments** ACTION A-1  
Phyllis M. Wise, Provost and Vice President for Academic Affairs
2. **Establishment of a Graduate Certificate Program in Law and Society Studies in the Comparative Law and Society Studies Center** ACTION A-2  
Phyllis M. Wise  
Melissa A. Austin, Associate Dean for Academic Programs, The Graduate School
3. **Leadership, Community, and Values Initiative: Overview and Update** INFORMATION A-3  
Phyllis M. Wise  
Ana Mari Cauce, Executive Vice Provost  
Arthur R. M. Nowell, Dean of Ocean and Fishery Sciences  
Joanne I. Suffis, Interim Vice President for Human Resources
4. **Other Business**



UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS

February 9, 2006

**TO: Members of the Committee of the Whole**  
Regents Jewell (Chair), Barer, Brotman, Cole, Gates, Kiga,  
Proctor, Rasmussen, Simon, Yapp

**FROM: Michele M. Sams, Secretary of the Board of Regents**

**RE: Meeting of Committee on 2/16/06 (11:15 a.m.–12:45 p.m., 142 Gerberding Hall)**

The following topics are noted for discussion at the meeting of the committee on *Thursday, February 16, 2006*. Items requiring action by the full Board of Regents are marked "DRAFT."

1. **Board Communications** **INFORMATION**
2. **Budget Strategic Priorities** **INFORMATION** C-1  
Mark A. Emmert, President  
Phyllis M. Wise, Provost and Vice President for  
Academic Affairs  
Harlan F. Patterson, Vice Provost for Planning and  
Budgeting
3. **Executive Session** (to discuss the performance of public employees)
4. **Executive Session** (to discuss with legal counsel representing the University legal risks of a proposed action or current practice that the University has identified when public discussion of the legal risks is likely to result in an adverse legal or financial consequence to the agency)



UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS

February 9, 2006

**TO: Members of the Finance, Audit and Facilities Committee**  
Regents Kiga (Chair), Brotman, Cole, Jewell, Simon, Yapp

**FROM: Michele M. Sams, Secretary of the Board of Regents**

**RE: Meeting of Committee on 2/16/06 (1:00 p.m.–1:30 p.m., 142 Gerberding Hall)**

The following topics are noted for discussion at the meeting of the committee on *Thursday, February 16, 2006*. Items requiring action by the full Board of Regents are marked "DRAFT."

1. **Grant and Contract Awards – November, 2005** **ACTION** F-2  
Weldon E. Ihrig, Executive Vice President
2. **Report of Actions Taken Under Delegated Authority** **INFORMATION** F-3  
Richard Chapman, Associate V. P. for Capital Projects
3. **Metropolitan Tract Quarterly Report** **INFORMATION** F-4  
Jeanette L. Henderson, Director of Real Estate  
Weldon E. Ihrig  
Lisa L. Stewart, Principal, Urbis Partners, LLC
4. **Report of Contributions - December, 2005** **INFORMATION** F-1  
Connie Kravas, Vice President for Development and Alumni Relations  
Walter G. Dryfoos, Associate V. P., Advancement Services, Development & Alumni Relations
5. **Sound Transit Update** **INFORMATION** F-6  
Weldon E. Ihrig  
Richard Chapman
6. **Other Business** **INFORMATION**

**AGENDA**  
**SPECIAL MEETING**  
**of the**  
**BOARD OF REGENTS**  
University of Washington

**February 16, 2006**  
1:45 p.m. – Petersen Room, Allen Library

- I. CALL TO ORDER** (Item No.)
- II. ROLL CALL**
- III. CONFIRM AGENDA**
- IV. REPORT OF THE CHAIR OF THE BOARD OF REGENTS: Regent Jewell**
- V. REPORT OF THE UNIVERSITY PRESIDENT: Dr. Emmert**
- Enterprise Risk Management (Information only) UP-1
- VI. CONSENT AGENDA**
- Approval of Minutes of Meeting of January 19, 2006
- Establishment of a Graduate Certificate Program in Law and Society Studies in the Comparative Law and Society Studies Center A-2
- Grant and Contract Awards – November, 2005 F-2
- VII. STANDING COMMITTEES**
- A. Academic and Student Affairs Committee: Regent Cole - Chair**
- Academic and Administrative Appointments (**ACTION**) A-1
- Leadership, Community, and Values Initiative: Overview and Update (Information only) A-3

**B. Finance, Audit and Facilities Committee: Regent Kiga - Chair**

Report of Contributions - December, 2005 (Information only)	F-1
Report of Actions Taken Under Delegated Authority (Information only)	F-3
Metropolitan Tract Quarterly Report (Information only)	F-4
Sound Transit (Information only)	F-6

**C. Committee of the Whole: Regent Jewell - Chair**

Board Communications (Information only)	
Budget Strategic Priorities (Information only)	C-1

**VIII. OTHER BUSINESS**

Reports from ex-officio representatives to the Board:

**ASUW President – Mr. Lee M. Dunbar**

**GPSS President – Mr. Adam Grupp**

**Alumni Association President – Mr. Chuck Blumenfeld**

**Faculty Senate Chair – Professor Ashley F. Emery**

**IX. DATE FOR NEXT REGULAR MEETING: March 16, 2006 on the UW Tacoma campus**

**X. EXECUTIVE SESSION**

**XI. ADJOURNMENT**

## MINUTES

### **SPECIAL MEETING of the BOARD OF REGENTS University of Washington February 16, 2006**

The Board of Regents held a Special Meeting on Thursday, February 16, 2006, beginning at 1:45 p.m. in the Petersen Room of the Allen Library. The notice of the meeting was appropriately provided to the public and the press.

#### **CALL TO ORDER**

#### **ROLL CALL**

Assistant Secretary Keith called the roll: Present were Regents Jewell (presiding), Barer, Brotman, Cole, Gates, Kiga, Proctor, Rasmussen, Simon, Yapp; Dr. Emmert, Dr. Wise, Ms. Warren, Ms. Sams; ex-officio representatives: Mr. Lee Dunbar, Mr. Adam Grupp, Mr. Chuck Blumenfeld, Professor Ashley F. Emery.

#### **CONFIRM AGENDA**

The agenda was confirmed as presented.

**REPORT OF THE CHAIR OF THE BOARD OF REGENTS:** Regent Jewell

**REPORT OF THE UNIVERSITY PRESIDENT:** Dr. Emmert

President Emmert announced that Ms. Leslie Everett, a senior majoring in Biochemistry, was recently chosen as the Gates Cambridge Scholars. He brought to the Board's attention that hanging on the pillars of Kane Hall are three red banners that recognize the Rhodes, Marshall and Gates Cambridge Scholars. This is the first time in University history that students have been selected for all three scholarships. It is expected the University soon will hear whether or not one of its students has won a Goldwater Scholarship.

Dr. Emmert introduced Dr. Donald Brownlee, an alumnus of the University of Washington and Professor of Astronomy. Dr. Brownlee is the principal investigator of Stardust, a NASA discovery mission that captured the first samples of interstellar dust particles ever collected. Launched in 1999, the Stardust spacecraft captured dust samples from a comet known as Wild2. The comet was formed near Pluto at the very edge of the solar system, and the space-craft returned to Earth on January 15, 2006. Dr. Brownlee gave a slide presentation and explained the journey of Stardust. Dr. Brownlee extended a standing invitation to the Regents to visit his laboratory in the Astronomy Building.

On behalf of the Board of Regents, Chair Jewell told Dr. Brownlee how proud the Board and the entire University are of his great accomplishments.

President Emmert announced that in the interest of time that he would postpone the presentation of the Enterprise Risk Management (UP-1) item until a later date.

## **CONSENT AGENDA**

Regent Jewell noted there were three items for approval on the consent agenda, and called for a motion.

**MOTION:** Upon the recommendation of the Chair of the Board and the motion made by Regent Proctor, seconded by Regent Gates, the Board voted to approve the three items on the consent agenda as shown below:

### **Minutes for the meeting of January 19, 2006**

#### **Establishment of a Graduate Certificate Program in Law and Society Studies in the Comparative Law and Society Studies Center** (Agenda no. A-2)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents grant authority to the Comparative Law and Society Studies Center to offer the Graduate Certificate in Law and Society Studies, effective immediately. The graduate certificate program will have provisional status with a review to be scheduled in the 2009–2010 academic year.

See Attachment A-2.

#### **Grant and Contract Awards – November, 2005** (Agenda no. F-2)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents accept Grant and Contract Awards for the month of November 2005, in the total amount of \$44,390,678.

See Attachment F-2.

## **STANDING COMMITTEES**

### **ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regent Cole, Chair**

#### **Academic and Administrative Appointments** (Agenda no. A-1)

At the request of Regent Cole, Provost Wise highlighted appointments where a professorship or chair was included.

**MOTION:** Upon the recommendation of the administration and the motion made by Regent Cole, seconded by Regent Kiga, the Board voted to approve the personnel appointments. Regent Rasmussen abstained from the discussion and vote.



**Leadership, Community, and Values Initiative: Overview and Update** (Agenda no. A-3) (Information only)

Regent Cole noted there was a robust discussion of the Leadership, Values and Community (LCV) initiative. More information on the LCV will be shared in the coming months.

**FINANCE, AUDIT AND FACILITIES COMMITTEE: Regent Kiga, Chair**

**Report of Contributions – December, 2005** (Agenda no. F-1) (Information only)  
See Attachment F-1.

**Report of Actions Taken Under Delegated Authority** (Agenda no. F-3) (Information only) See Attachment F-3.

**Metropolitan Tract Quarterly Report** (Agenda no. F-4) (Information only)  
See Attachment F-4.

Regent Kiga noted that the UW Capital Campaign is on track with a balance of more than \$1.6 billion. The campaign is scheduled to conclude in June 2008. With respect to the Metropolitan Tract Quarterly Report, Regent Kiga reported commercial vacancies are decreasing and as a result the University is seeing positive commercial rent increases. He also reported that the Cobb Building, which is undergoing renovations, is nearing the Certificate of Occupancy for rental units.

**COMMITTEE OF THE WHOLE: Regent Jewell, Chair**

**Strategic Budget Priorities** (Agenda no. C-1) (Information only)  
See Attachment C-1.

Regent Jewell reported the Committee of the Whole discussed strategic budget priorities and that the Regents and the administration are in the process of identifying those things of strategic importance to the University. Regent Jewell noted the Committee also met in two Executive Sessions to discuss the performance of public employees and pending litigation.

**REPORTS FROM EX OFFICIO REPRESENTATIVES TO THE BOARD OF REGENTS**

**ASUW President:** Mr. Lee M. Dunbar

Mr. Dunbar introduced Mr. Benjamin Golden, student lobbyist. Mr. Golden noted that of the more than 500 legislative bills that are still active, two of them are student driven. One of them, Senate Bill 6567, will change the appointment date for the student regents from June 1 to July 1. The later appointment date will allow a student regent to stay involved with Regental duties until the end of the University's budget cycle, as well as with activities associated with the academic school year. The other bill, House Bill 3087, would require college bookstores to sell unbundled books to students when possible, and to detail the changes between editions of books, as well as promote buy-back programs.

A “bundled book” usually includes a text book, a workbook and a CD Rom. Typically, all that is required for a course is the text book.

**GPSS President:** Mr. Adam Grupp

Mr. Grupp introduced a team of students from the UW Master of Business Administration (MBA) Program who represented the University at the nation’s premier MBA marketing CASE (Council for the Advancement and Support of Education) competition held at Wake Forest University in Winston-Salem, N.C. Eight institutions were selected out of 30 of the top 50 MBA programs in the country. The other institutions selected were the University of Michigan, University of Texas – Austin, Northwestern University, Vanderbilt University, University of Wisconsin, UCLA and Wake Forest University. Seven UW graduate students participated in the competition. Mr. Michael Decklever, a second-year MBA student, and Ms. Becky Sparks, student advisor, spoke on behalf of the team and provided an overview of the event and their activities.

**Alumni Association President:** Mr. Chuck Blumenfeld

Mr. Blumenfeld distributed lapel pins with the word “Woof.” This pin is an example of the gift being presented to all new alumni members. Last month’s Black History Month Lecture Series and Career Discovery Week were both successful. He noted that in the March issue of *Columns* there will be a feature story on Governor, and former UW Regent, Daniel J. Evans. Mr. Blumenfeld announced that Regent Jewell will be the speaker at Alumni Association CEO Lunch Series on Tuesday, March 7.

**Faculty Senate Chair:** Professor Ashley F. Emery

Professor Emery introduced Dr. Joseph L. Garbini, Professor of Mechanical Engineering and Dr. John Sidles, Professor of Orthopaedics and Sports Medicine who presented on the topic of UW Quantum Systems Engineering. Drs. Garbini and Sidles explained that Quantum Systems Engineering is a new field at the University of Washington. The focus in quantum systems engineering is an emerging technology for achieving comprehensive atomic-resolution imaging of complex molecular structures.

## **DATE FOR NEXT MEETING**

The next regular meeting of the Board of Regents will be held on Thursday, March 16, 2006, on the UW Tacoma campus.

## **ADJOURNMENT**

The regular meeting was adjourned at 3:10 p.m.

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Michele M. Sams  
Secretary of the Board of Regents

## V. REPORT OF THE UNIVERSITY PRESIDENT

### Managing Risk and Compliance at the University of Washington

Earlier this year, President Emmert observed

“With the most recent example of compliance issues, we have again been reminded that we have not yet created the culture of compliance that we have discussed on many occasions. ...Clearly, the creation of a culture of compliance needs to be driven by our core values and commitment to doing things the right way, to being the best at all we do. ...we need to know that the manner in which we manage regulatory affairs is consistent with the best practices in existence.”

He then asked David Hodge and V’Ella Warren to co-chair a Strategic Risk Initiative Committee, which was charged to develop a framework for managing institution-wide risk and compliance issues. The Review Committee has completed its work and developed of a set of recommendations which best serve the UW.

First, the Review Committee has recommended that the UW adopt an integrated approach to managing risk and compliance, commonly called Enterprise Risk Management (ERM). This model a) fosters an institution-wide perspective on compliance and risk, encouraging problem-solving and collaboration across the institution, b) ensures that regulatory management is consistent with best practices, and c) protects the UW’s decentralized, collaborative, entrepreneurial culture.

Second, the Review Committee has recommended the formation of a Presidential Advisory Committee to oversee and improve the UW’s culture of compliance. The Advisory Committee provides a central focus for early identification, education and debate on risks of strategic importance. Significant concerns will be targeted for action and tracked by the Advisory Committee.

Third, the Review Committee has recommended the formation of a Compliance Council, bringing together managers with compliance responsibilities and expertise to share information across the compliance stovepipes. The Council will advise the President’s Advisory Committee, identifying emerging compliance issues and ensuring that good information is available for the campus community, such as web and training resources. The Council will ensure safe, easy, and effective ways for interested parties to report problems, including a help line, web guidance, and an early intervention program.

Fourth, the Review Committee has identified possible operational improvements. These recommendations include maintaining a strong internal audit function, conducting formal risk assessments with selected groups and departments to advise an annual risk dialogue among senior leaders, adopting tools for self-assessment by campus units, and analyzing risk benchmarks and trends. The Advisory Committee will evaluate and implement these recommendations as appropriate.

For your information, the Executive Summary is attached. The full report is available at [www.washington.edu/admin/finmgmt/erm](http://www.washington.edu/admin/finmgmt/erm).

Strategic Risk Initiative Review Committee 2005-2006

**David Hodge**, Dean, College of Arts and Sciences; Professor, Geography, **Co-chair**

**V'Ella Warren**, Vice President, Financial Management; Treasurer, Board of Regents, **Co-chair**

**John Coulter**, Executive Director, Health Sciences Administration; Associate Vice President for Medical Affairs

**Eric Godfrey**, Acting Vice President for Student Affairs, Student Affairs

**G. Ross Heath**, Professor, School of Oceanography

**Weldon Ihrig**, Executive Vice President, Office of the Executive Vice President

**Jack Johnson**, Division Chief, Attorney General's Office – UW Division; Senior Assistant Attorney General

**Steve Lappenbusch**, Representative, Graduate and Professional Student Senate (GPSS)

**Mary Lidstrom**, Vice Provost for Research, Office of the Provost

**David Morgan**, Finance & Budget Director, Associated Student of the University of Washington (ASUW)

**Harlan Patterson**, Vice Provost for Planning and Budgeting, Planning and Budgeting

**Patricia Spakes**, Chancellor, UW Tacoma

**Brent Stewart**, Chair, Faculty Senate on Research; Professor, Radiology and Medical Education, Radiology

**Todd Turner**, Athletic Director, Intercollegiate Athletics

**Patricia Wahl**, Dean and Professor of Biostatistics, School of Public Health & Community Medicine

**Phyllis Wise**, Provost, Office of the Provost

**Nancy Woods**, Dean, School of Nursing

**Scott Woodward**, Special Assistant to the President for External Affairs

## EXECUTIVE SUMMARY

### COLLABORATIVE ENTERPRISE RISK MANAGEMENT

February 13, 2006

**Objective.** The objective of this paper is to ensure that the University of Washington (UW) creates an exemplary compliance structure built on best practices, while protecting its decentralized, collaborative and entrepreneurial culture. The paper lays out a conceptual framework for thinking about risk management, followed by information on models used by other universities--- including four case studies. The paper then provides an evaluation of the UW's current situation. Finally, the paper presents the case that a collaborative, institution-wide model works the best, and proposes actions for implementing that approach.

**Recommendations.** The UW should create an integrated, university-wide enterprise risk management approach, led by a Presidential Advisory Committee of senior campus leaders. This Committee will identify and track significant risks and recommend corrective actions. An annual risk dialogue among senior leaders and Regents will be initiated by the Advisory Committee to share progress on risk mitigation initiatives. A Compliance Council will advise the Advisory Committee and stimulate communication on campus-wide compliance issues. A central compliance website should provide timely information to the campus community on emerging risk issues, links to individuals and hotlines for expressing concerns, and helpful information on best practices and institutional policies. A compliance helpline and web-contact service should provide a safe place to go with problems. An early intervention program is proposed to handle issues of grave institutional concern in an expedited manner. Tools to support self-assessment of risk should be made available to managers. The internal audit function should be staffed at levels appropriate to the UW's size, complexity, and mission. Data on key risks should be collected and analyzed; and used to develop metrics on critical factors contributing to risk.

**Reputation.** The UW is a decentralized yet collaborative entity with an energetic, entrepreneurial culture. The community members are committed to rigor, integrity, innovation, collegiality, inclusiveness and connectedness. "We should acknowledge that these values are important to the institution's continued excellence..."<sup>1</sup>

The UW's excellence is reflected in the institution's reputation, "the bottom line" which links members to the community. Each individual contributes to that reputation and benefits from the contributions of others. The opposite can also be true. This shared reputation can slide into a downward spiral. When this happens, stakeholders lose confidence in the ability of the institution to serve as a good steward of the public trust. It is, therefore, in the interest of everyone in the UW community to minimize and manage risks that affect the quality and reputation of the University.

**Conceptual Framework.** There are two models which might serve as a framework for the UW. The first, and recommended approach, is enterprise risk management (ERM)<sup>2</sup> which views risk holistically rather than functionally, covers all risk types, and takes an institution-wide perspective. This approach integrates risk into the strategic deliberations of senior leaders and Board members. The second is a centralized compliance model, built on guidelines in federal law (the Federal Sentencing Guidelines). This approach, while institution-wide, focuses exclusively on compliance.

Although both models are university-wide approaches, they vary in a number of important aspects, including scope, objectives and benefits. Integrated compliance programs are concerned about compliance with law and regulation; ERM focuses broadly across all risks: compliance, finance, operations, and strategic. Integrated compliance programs seek to control all of the institution's compliance activities. ERM, on the other hand, integrates risk into an institution's strategic plans with the goal of achieving an appropriate balance of risk and return. Integrated compliance programs, if based on the Federal Sentencing Guidelines, provide potential protection from federal penalties. ERM does not necessarily provide that benefit, although it can if integrated compliance programs, such as the one emerging in UW Medicine, are sheltered under

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<sup>1</sup> President Mark Emmert, "Emmert Launches Leadership Initiative," University Week, April 7, 2005.

<sup>2</sup> This approach is also called strategic risk management.

its umbrella. ERM benefits include improved communication on risk among the senior leaders and Regents which leads to more informed decisions, better allocation of resources, and stronger governance practices.<sup>3</sup>

Peer Universities. Peer universities select different approaches to compliance based on choices about philosophy, model and organization. This paper details the approaches of four benchmark universities: Stanford University, University of Texas System, University of Minnesota, and University of Pennsylvania.

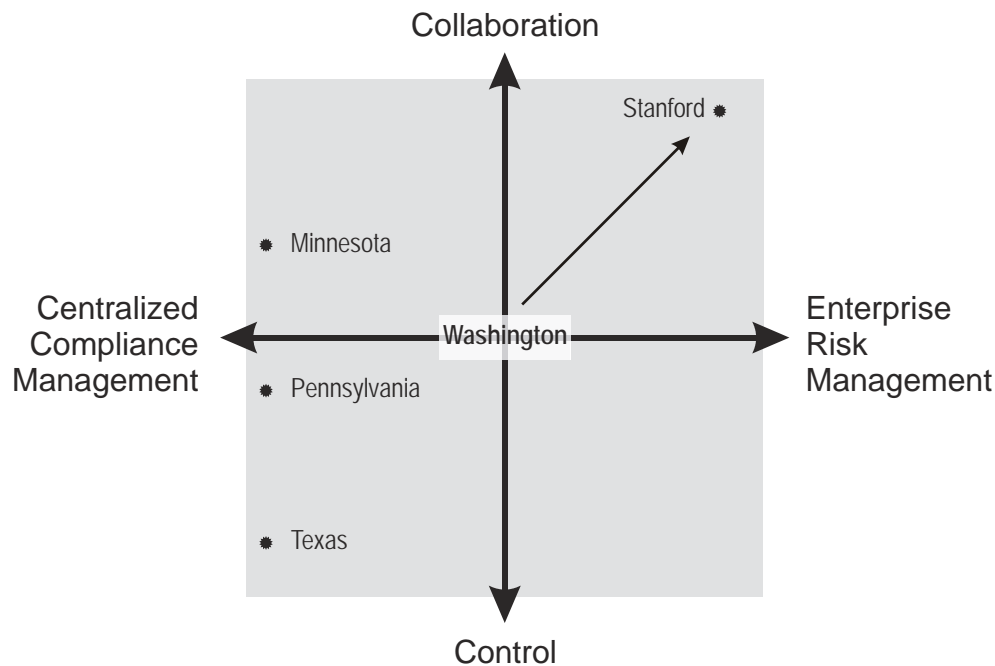
*Stanford University* has used collaborative institution-wide risk management at its hospitals for some time. On September 12, 2005, after discussion at Board and senior leadership levels, Stanford decided to implement a similar approach university-wide. Stanford refers to its framework as enterprise risk management (ERM). *University of Texas System* takes a different point of view, having a rich, structured approach to compliance, which closely resembles a corporate compliance program. It is hierarchical and relies heavily on a substantial network of compliance officers. Without constant monitoring, UT System leadership and Board believe that the cultural pressures are too strong to prevent noncompliant behavior. At *the University of Minnesota*, there is a small institutional compliance office run by a lawyer and former litigator which provides collaborative support to faculty and administrators on compliance. No monitoring is done. *The University of Pennsylvania* developed its compliance program in response to a string of problems. Finding no comprehensive higher education models, Penn turned to corporate best practices for guidance, adopting a structured program with a central focus. Since that time, the approach has become more collaborative.

While Stanford is the only institution which describes its approach as enterprise risk management, the other three universities have elements of this approach. Minnesota has had a series of broad-ranging risk discussions with its Board. Both Texas and Minnesota have Compliance Councils, which bring together leaders to assess risk and share information across compliance silos. Penn is considering reconstituting its Compliance Advisory Board.

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## Approaches to Compliance

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<sup>3</sup> Risk and Insurance Management Society, Inc (RIMS) and Marsh, Inc. *Excellence in Risk Management: A Qualitative Survey of Enterprise Risk Management Programs*, April 2005.

University of Washington. Like Stanford and Minnesota, the UW has developed a collaborative, decentralized approach to management, including management of compliance and risk. The UW proactively identifies and manages specific risks; as is typical for this approach, responsibility for these specific risks is distributed among the institution’s organizational silos. These separate efforts are done well. “Mistakes” are corrected; procedures, business rules and processes are re-engineered to reduce the likelihood of “risky business.” The central audit and risk management staffs work across these institutional silos, providing independent advice and expertise to campus administrators.

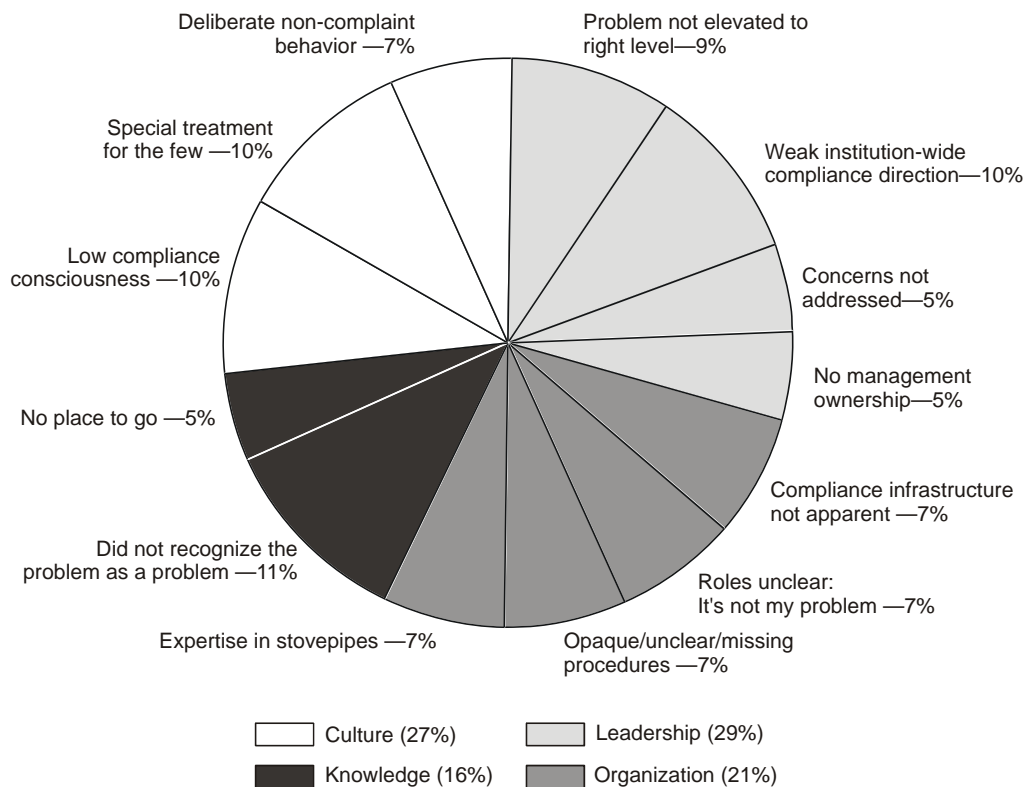
**However, the UW does not formally integrate risk and compliance into its strategic conversations at the university-wide level,** there is little, if any “cross-silo” communication, and there is no dedicated audit or compliance committee of the Board of Regents to provide oversight, unlike the universities described above.

Lessons Learned. An analysis of seven recent UW compliance problems was undertaken. That study revealed persistent patterns, coming from thirteen root causes, which can be classified into one of four categories: leadership, organization, knowledge and culture. A successful institutional risk structure must address the systematic problems revealed in this analysis.

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## Root Causes for Noncompliance at the UW

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A Collaborative Enterprise Risk Management for the UW. In evaluating the framework proposed below, three guiding principles are advanced as criteria: the successful proposal must (1) foster an institution-wide perspective, (2) ensure that regulatory management is consistent with best practices, and (3) protect UW’s decentralized, collaborative, entrepreneurial culture. The proposal should also address systematic problems inherent in the UW’s present risk structure.

**Recommendation #1:** Integrate key risks into the decision-making deliberations of senior leaders and Regents.

- 1a. Charter a Presidential Advisory Committee of senior leaders to oversee and focus attention on efforts to improve the UW's culture of integrity and compliance. This Committee will
  - Engage in a risk mapping process at least annually, developing and tracking plans to address issues with "high impact" and "high likelihood."
  - Initiate an annual risk dialogue with President's Cabinet, Board of Deans, Faculty Senate, and other key bodies for the purpose of sharing major risks (UW Risk Map), seeking feedback, and reporting on progress (UW Risk Plan and Risk Dashboard).
  - Analyze events of unethical or noncompliant behavior, recommending changes in policy, organization, or information to prevent repetition.
  - Coordinate with other initiatives (such as Leadership, Culture and Values and Undergraduate Student Experience) to strengthen the leadership and culture of integrity and compliance. Possible common work might include a UW Code of Conduct.
  - Update the Board of Regents periodically.

**Recommendation #2:** Create an integrated, institution-wide approach to compliance:

- 2a. Designate the Director of Audit as the central person responsible for coordinating compliance awareness across campuses, with the title of Director of Audits and Compliance.
- 2b. Establish a Compliance Council chaired by the Director of Audit and Compliance, which will
  - Identify and prioritize current and emerging compliance issues, recommending appropriate actions to the issue owner and/or senior leaders.
  - Identify issue owners and establish a matrix of responsible parties for each risk area (UW Risk Matrix).
  - Support and advise the President's Advisory Committee (see #1 above) as subject matter experts on compliance.
  - Ensure that all senior administrators are educated and aware of compliance and risk issues.

**Recommendation #3:** Ensure that good information is available for campus community.

- 3a. Introduce a brief electronic newsletter on emerging issues.
- 3b. Establish a website on key compliance issues. Include newsletters, hotlinks to related websites, the UW Risk Map(s), the UW Risk Plan, and the UW Risk Matrix.
- 3c. Include training, communication, policies and expected behavior in action plans for key risks.
- 3d. Share information among the stovepipes through the Compliance Council.

**Recommendation #4:** Create a safe way for interested parties to report problems.

- 4a. Contract with an outside party to manage an anonymous hotline (phone and web).
- 4b. Set up a website with information on where to take problems.
- 4c. Introduce an early intervention program.

**Recommendation #5:** Minimize surprises by identifying emerging compliance and risk issues.

- 5a. Provide an automated tool for self-assessment to campus leaders.<sup>4</sup>
- 5b. Monitor the effectiveness of the Compliance Council, hotline, website and early intervention program in minimizing surprises.

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<sup>4</sup> Seattle Cancer Care Alliance has licensed a tool developed by the University of Minnesota.



**Recommendation #6:** Maintain strong audit team with ability to proactively identify problems and collaboratively recommend solutions to appropriate decision-makers.

6a. Benchmark the UW audit function against peer universities to advise resource allocation decisions.

**Recommendation #7:** Check progress on compliance and risk initiatives.

7a. Develop and analyze data for key risks.

7b. Develop metrics for senior leadership (risk dashboard).

Conclusion. In his charge letter of April 22, 2005, President Mark Emmert stated that...”the creation of a culture of compliance needs to be driven by our core values and commitment to doing things the right way, to being the best at all we do.” He went on to say that at the same time...”we need to know that the manner in which we manage regulatory affairs is consistent with the best practices in existence.”

The objective of this paper is to address that challenge, ensuring that the UW creates an excellent compliance model based on best practices, while protecting its decentralized, collaborative, and entrepreneurial culture. The paper presents a conceptual framework for thinking about institution-wide risk management. That framework is followed by information on approaches used by other research universities, featuring vignettes from Stanford University, University of Texas, University of Minnesota, and University of Pennsylvania. Then the UW’s current situation is described, including lessons learned from recent UW problems. That analysis reveals persistent patterns and suggests that the root causes of noncompliance at the UW can be classified into one of four categories: leadership, organization, knowledge, and culture. Finally, the paper has proposes a collaborative, institution-wide risk management model and lays out recommendations for implementing that proposal.

These proposed changes are not intended to replace what already works across the university. Rather they are intended to augment the existing organization with thoughtful direction, collaboration, and communication on strategic risks. This proposal identifies opportunities to strengthen the existing UW efforts by providing a central focus (President’s Advisory Committee and Compliance Council), access to good information (websites, newsletters, hotlines, Compliance Council discussions), simple but effective tools (risk maps and plans, metrics, self-assessment approaches), and opportunities for leaders and subject matter experts to deliberate on risk, integrity and compliance issues.

At its core, the UW community is bound together by the shared reputation of the institution. Each member of the community contributes to that reputation and benefits from the contributions of others. Faculty, staff and students work hard to achieve preeminence in their fields, and in the process set the highest standards of intellectual rigor for themselves and their colleagues. It is that excellence which is reflected in the UW’s reputation. Outcomes that reveal noncompliant activities diminish the regard with which the institution is held, obscuring the excellence of the work being done.

Critical to future success is the energetic, entrepreneurial culture of the UW, which is both decentralized and collaborative. Yet for that decentralized model to be sustainable, mechanisms must be created to develop, reinforce, and refresh common goals and values. Commenting on that important balance between commonality and individuality, Provost Phyllis Wise noted that ...”distributed leadership requires shared values and a sense of community.”<sup>5</sup> The actions proposed in this paper engage the UW community in sharpening its common viewpoint and approaches to risk management, and in the process, strengthening the culture of compliance at the UW.

Provost Wise has stated: “We want to incorporate the strengths of the people here, making a community that is stronger than the sum of individual effort.”<sup>ii</sup> This proposal is offered with the belief that its recommendations will contribute to that synergy, strengthening the UW’s community, reputation, and leadership. It is offered with the hope of preventing damaging, noncompliant events from distracting faculty, students and staff from ...”our special work”—...”the biggest, most complicated, most challenging questions and problems of the 21<sup>st</sup> century.”<sup>iii</sup>

2/13/2006

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<sup>5</sup> *Leadership, Culture and Values Initiative: A Report to the UW Community, 2005*

<sup>6</sup> *LCV Initiative: A Report to the UW Community, 2005*

<sup>iii</sup> Emmert, Mark (President, University of Washington), Address to the University Community, November, 2004.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Academic and Administrative Appointments

RECOMMENDED ACTION:

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve the appointments to the University faculty and administration as presented on the attached list.

Attachment: Personnel Recommendations

## **RESERVE OFFICERS TRAINING CORPS**

### DEPARTMENT OF MILITARY SCIENCE

#### **NEW APPOINTMENTS**

##### **POLA, WILLIAM**

(BA, 1988, CALIFORNIA STATE UNIVERSITY, SACRAMENTO) TO BE ASSISTANT PROFESSOR OF MILITARY SCIENCE WITHOUT SALARY FROM THE UNIVERSITY, EFFECTIVE 2/15/2006. (PRIOR TO THIS APPOINTMENT CAPTAIN POLA WAS EXECUTIVE OFFICER AND ASSISTANT PROFESSOR OF MILITARY SCIENCE AT SEATTLE UNIVERSITY.)

## **COLLEGE OF ARCHITECTURE AND URBAN PLANNING**

### DEPARTMENT OF ARCHITECTURE

#### **NEW APPOINTMENTS**

##### **INTRACHOOTO, SINGH**

(BA, 1990, UNIVERSITY OF WASHINGTON; BS, 1991, UNIVERSITY OF WASHINGTON; MArch, 1993, UNIVERSITY OF WASHINGTON; PHD, 2002, MASSACHUSETTS INSTITUTE OF TECHNOLOGY) TO BE ASSISTANT PROFESSOR OF ARCHITECTURE AT A SALARY RATE OF \$53,001 OVER NINE MONTHS, EFFECTIVE 9/16/2007. (DR. INTRACHOOTO IS CURRENTLY ON THE FACULTY OF ARCHITECTURE AT KASETSART UNIVERSITY, BANKOK.)

### DEPARTMENT OF ASTRONOMY

#### **NEW APPOINTMENTS**

##### **GOVERNATO, FABIO**

(DIPLOMA, 1991, UNIVERSITY OF MILAN (ITALY); PHD, 1995, UNIVERSITY OF ROME (ITALY)) TO BE RESEARCH ASSISTANT PROFESSOR OF ASTRONOMY AT A SALARY RATE OF \$53,676 OVER TWELVE MONTHS, EFFECTIVE 1/16/2006.

### DEPARTMENT OF NEAR EAST LANGUAGES AND CIVILIZATION

#### **ADMINISTRATIVE APPOINTMENTS**

##### **NOEGEL, SCOTT B.**

(BA, 1989, UNIVERSITY OF WISCONSIN; MA, 1993, CORNELL UNIVERSITY; PHD, 1994, CORNELL UNIVERSITY) TO BE ACTING CHAIR OF NEAR EAST LANGUAGES AND CIVILIZATION FOR THE PERIOD FROM 2/1/2006 THROUGH 2/28/2006. (DR. NOEGEL WILL CONTINUE AS ASSOCIATE PROFESSOR OF NEAR EASTERN LANGUAGES AND CIVILIZATION AND ADJUNCT ASSOCIATE PROFESSOR OF HISTORY.)

##### **SOKOLOFF, NAOMI B.**

(BA, 1975, SWARTHMORE COLLEGE; MA, 1979, PRINCETON UNIVERSITY; PHD, 1980, PRINCETON UNIVERSITY) TO BE ACTING CHAIR OF NEAR EAST LANGUAGES AND CIVILIZATION, EFFECTIVE 3/1/2006. (DR. SOKOLOFF WILL CONTINUE AS PROFESSOR OF NEAR EASTERN LANGUAGES AND CIVILIZATION AND OF COMPARATIVE LITERATURE AND ADJUNCT PROFESSOR OF WOMEN STUDIES.)

DEPARTMENT OF POLITICAL SCIENCE

**NEW APPOINTMENTS**

**SEGURA, GARY**

(BA, 1985, LOYOLA UNIVERSITY (CHICAGO); MA, 1989, UNIVERSITY OF ILLINOIS; PHD, 1992, UNIVERSITY OF ILLINOIS) TO BE ASSOCIATE PROFESSOR OF POLITICAL SCIENCE AT A SALARY RATE OF \$95,004 OVER NINE MONTHS, EFFECTIVE 9/16/2005. (PRIOR TO THIS APPOINTMENT, DR. SEGURA WAS AN ASSOCIATE PROFESSOR AT THE UNIVERSITY OF IOWA.)

**BUSINESS SCHOOL**

DEPARTMENT OF MANAGEMENT AND ORGANIZATION

**ENDOWED APPOINTMENTS**

**PERRY, WAYNE M.**

(BA, 1972, UNIVERSITY OF WASHINGTON; JD, LEWIS AND CLARK COLLEGE; LL.M., NEW YORK UNIVERSITY) TO BE VISITING PROFESSOR OF MANAGEMENT AND ORGANIZATION AND HOLDER OF THE EDWARD V. FRITZKY ENDOWED VISITING CHAIR IN LEADERSHIP OVER NINE MONTHS, EFFECTIVE 1/16/2006.

**INFORMATION SCHOOL**

INFORMATION SCHOOL

**ADMINISTRATIVE APPOINTMENTS**

**MASON, ROBERT**

(BS, 1963, MASSACHUSETTS INSTITUTE OF TECHNOLOGY; MS, 1965, MASSACHUSETTS INSTITUTE OF TECHNOLOGY; PHD, 1973, GEORGIA INSTITUTE OF TECHNOLOGY) TO BE ASSOCIATE DEAN FOR RESEARCH OVER NINE MONTHS, EFFECTIVE 1/1/2006. (PROFESSOR MASON WILL CONTINUE AS PROFESSOR OF INFORMATION.)

**SCHOOL OF LAW**

LAW

**NEW APPOINTMENTS**

**BURKE, JAMES MARTIN**

(BA, 1970, GONZAGA UNIVERSITY; JD, 1974, UNIVERSITY OF MONTANA; LL.M., 1982, NEW YORK UNIVERSITY) TO BE VISITING PROFESSOR OF LAW AT A SALARY RATE OF \$50,001 OVER THREE MONTHS, EFFECTIVE 12/16/2005. (MR. BURKE IS PROFESSOR OF LAW AT THE UNIVERSITY OF MONTANA LAW SCHOOL.)

**SCHOOL OF MEDICINE**

DEPARTMENT OF BIOLOGICAL STRUCTURE

**NEW APPOINTMENTS**

**WONG, RACHEL O**

(BS, 1982, MONASH UNIVERSITY (AUSTRALIA); PHD, 1986, AUSTRALIAN NATIONAL UNIVERSITY) TO BE PROFESSOR OF BIOLOGICAL STRUCTURE AT A SALARY RATE OF \$165,000 OVER TWELVE MONTHS, EFFECTIVE 7/1/2006. (PRIOR TO THIS APPOINTMENT, DR. WONG WAS PROFESSOR OF ANATOMY AND NEUROBIOLOGY AT WASHINGTON UNIVERSITY SCHOOL OF MEDICINE IN ST. LOUIS, MISSOURI.)

## DEPARTMENT OF MEDICINE

### **NEW APPOINTMENTS**

#### **CHAMBERLAIN, JOEL RANIER**

(BS, 1987, TULANE UNIVERSITY; PHD, 1997, UNIVERSITY OF MICHIGAN) TO BE RESEARCH ASSISTANT PROFESSOR OF MEDICINE AT A SALARY RATE OF \$70,008 OVER TWELVE MONTHS, EFFECTIVE 2/1/2006. (PRIOR TO THIS APPOINTMENT, DR. CHAMBERLAIN WAS AN ACTING ASSISTANT PROFESSOR TEMPORARY IN THE SAME DEPARTMENT.)

#### **HAMPE, CHRISTIANE SUSANNE**

(BS, 1987, UNIVERSITY OF MUENSTER (GERMANY); MS, 1991, UNIVERSITY OF WUERZBURG (GERMANY); PHD, 1997, WEIZMANN INSTITUTE FOR SCIENCE (ISRAEL)) TO BE RESEARCH ASSISTANT PROFESSOR OF MEDICINE AT A SALARY RATE OF \$67,128 OVER TWELVE MONTHS, EFFECTIVE 2/1/2006. (PRIOR TO THIS APPOINTMENT, DR. HAMPE WAS AN ACTING ASSISTANT PROFESSOR TEMPORARY IN THE SAME DEPARTMENT.)

#### **HLADIK, FLORIAN**

(MD, 1989, UNIVERSITY OF VIENNA (AUSTRIA); PHD, 1993, UNIVERSITY OF VIENNA (AUSTRIA)) TO BE RESEARCH ASSISTANT PROFESSOR OF MEDICINE PAID DIRECT BY FRED HUTCHINSON CANCER RESEARCH CENTER EFFECTIVE 2/1/2006. (PRIOR TO THIS APPOINTMENT, DR. HLADIK WAS AN ASSOCIATE IN CLINICAL RESEARCH AT THE FHCRC.)

#### **LEE, STEPHANIE**

(BS, 1984, UNIVERSITY OF WASHINGTON; MD, 1990, STANFORD UNIVERSITY; PHD, 1996, HARVARD UNIVERSITY) TO BE ASSOCIATE PROFESSOR WITHOUT TENURE OF MEDICINE PAID DIRECT BY FRED HUTCHINSON CANCER RESEARCH CENTER EFFECTIVE 2/1/2006. (PRIOR TO THIS APPOINTMENT, DR. LEE WAS AN ASSISTANT PROFESSOR OF MEDICINE AT HARVARD UNIVERSITY.)

## DEPARTMENT OF PSYCHIATRY AND BEHAVIORAL SCIENCES

### **NEW APPOINTMENTS**

#### **POESCHLA, BRIAN**

(BA, 1981, DUKE UNIVERSITY; MD, 1986, EMORY UNIVERSITY) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF PSYCHIATRY AND BEHAVIORAL SCIENCES AT A SALARY RATE OF \$116,172 OVER TWELVE MONTHS, EFFECTIVE 2/1/2006. (PRIOR TO THIS APPOINTMENT, DR. POESCHLA WAS AN ACTING ASSISTANT PROFESSOR TEMPORARY IN THE SAME DEPARTMENT.)

## DEPARTMENT OF UROLOGY

### **ENDOWED APPOINTMENTS**

#### **VESSELLA, ROBERT**

(PHD, 1974, UNIVERSITY OF MISSISSIPPI) TO BE HOLDER OF THE PRITT FAMILY ENDOWED CHAIR IN TRANSLATIONAL PROSTATE CANCER RESEARCH OVER TWELVE MONTHS, EFFECTIVE 2/1/2006. (DR. VESSELLA WILL CONTINUE AS PROFESSOR WITHOUT TENURE OF UROLOGY AND ADJUNCT PROFESSOR OF PATHOLOGY.)

## **SCHOOL OF PUBLIC HEALTH AND COMMUNITY MEDICINE**

## DEPARTMENT OF EPIDEMIOLOGY

### **ADMINISTRATIVE APPOINTMENTS**

#### **WHITE, JOAN EMILY**

(BSC, 1968, BROWN UNIVERSITY; MS, 1978, UNIVERSITY OF WASHINGTON; PHD, 1982, UNIVERSITY OF WASHINGTON) TO BE ASSOCIATE DEAN FOR RESEARCH IN THE SCHOOL OF PUBLIC HEALTH AND COMMUNITY MEDICINE OVER TWELVE MONTHS, EFFECTIVE 1/1/2006. (DR. WHITE WILL CONTINUE AS PROFESSOR OF EPIDEMIOLOGY.)

## **UNIVERSITY OF WASHINGTON, TACOMA**

### NURSING PROGRAM

#### **ADMINISTRATIVE APPOINTMENTS**

##### **FOUGHT, SHARON**

(BSN, 1971, UNIVERSITY OF MARYLAND; MSN, 1976, UNIVERSITY OF TEXAS (AUSTIN); PHD, 1983, UNIVERSITY OF TEXAS (AUSTIN)) TO BE ACTING DIRECTOR OF NURSING, EFFECTIVE 1/1/2006. (DR. FOUGHT WILL CONTINUE AS ASSOCIATE PROFESSOR OF NURSING-TACOMA AND ADJUNCT ASSOCIATE PROFESSOR OF BIOBEHAVIORAL NURSING AND HEALTH SYSTEMS.)

#### **ADMINISTRATION**

##### **NEW APPOINTMENT**

##### **WOODWARD, D. SCOTT**

(BA, 1985, LOUISIANA STATE UNIVERSITY) TO BE VICE PRESIDENT FOR EXTERNAL AFFAIRS OF THE UNIVERSITY OF WASHINGTON, OVER TWELVE MONTHS, EFFECTIVE FEBRUARY 1, 2006.

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Establishment of a Graduate Certificate Program in Law and Society Studies in the Comparative Law and Society Studies Center

#### RECOMMENDED ACTION

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents grant authority to the Comparative Law and Society Studies Center to offer the Graduate Certificate in Law and Society Studies, effective immediately. The graduate certificate program will have provisional status with a review to be scheduled in the 2009-2010 academic year

#### BACKGROUND

In November 2005, the Graduate School received a proposal from graduate faculty in the Comparative Law and Society Studies Center to offer a Graduate Certificate in Law and Society Studies. Upon the Graduate School's recommendation, the proposal was revised and resubmitted for review in January 2006.

In autumn 1999, the UIF proposal to establish the Comparative Law and Society Studies (CLASS) Center in the College of Arts and Sciences was approved. The CLASS Center was founded to promote the theoretically ambitious and comparatively oriented study of important contemporary socio-legal transformations around the world. Graduate education is a key component of the CLASS vision and its practice. The graduate certificate proposal is consistent with the Center's long-term vision.

The graduate certificate program meets student demand in socio-legal studies for both intellectual and pragmatic reasons. An increasing number of academic positions are in interdisciplinary programs, and law and society studies programs are among the fastest growing of these. Most social science departments at top universities include several faculty who specialize in some form of socio-legal studies. Demand has increased rapidly for scholars with expertise in socio-legal studies in regions around the world and related to globalizing processes, but few graduate programs offer training in those areas. Faculty that are involved in the CLASS Center are the first to develop a curriculum focused on comparative and international socio-legal study at both the undergraduate and graduate levels.

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Establishment of a Graduate Certificate Program in Law and Society Studies in the Comparative Law and Society Studies Center (continued p. 2)

The Comparative Law and Society Studies graduate certificate program is aimed primarily at doctoral students in the Departments of Political Science, History, Geography, Women Studies, Philosophy, Sociology, and Anthropology, although the program is open to the very small number of Ph.D. students in the School of Law and the

Evans School of Public Affairs. The program will enhance the capacity of graduate students to compete for faculty positions in top university research institutions, undergraduate legal studies and criminal justice programs, and law schools nationally by “certifying” their expertise in this area, broadening and enriching their professional socialization, and developing connections to law and society scholars both on and off campus.

The curriculum is divided into three areas of study: a) Rights and Resistance; b) Law and Social Control; and c) Comparative Legal Institutions. These tracks parallel the Law, Societies and Justice undergraduate curriculum and reflect areas of faculty strength in research and scholarship, and are consistent with traditions of the international Law and Society Association.

On January 26, 2006, the Graduate School Council considered the graduate certificate proposal and recommended that it be approved. The Vice Provost and Dean of the Graduate School concurred with the Council’s recommendation.

The Vice Provost and Dean of the Graduate School, the Dean of the College of Arts and Sciences, and the Provost have reviewed and approved the recommendation. Review and approval by the Higher Education Coordinating Board is not required. The Graduate School will inform the HECB that the program has been established if it is approved by the Board of Regents.



INQUIRE

INSPIRE

INNOVATE

IMPLEMENT



## LEADERSHIP, COMMUNITY and VALUES

Findings from:  
Surveys and Discussion Groups

INQUIRE

INSPIRE

INNOVATE

IMPLEMENT

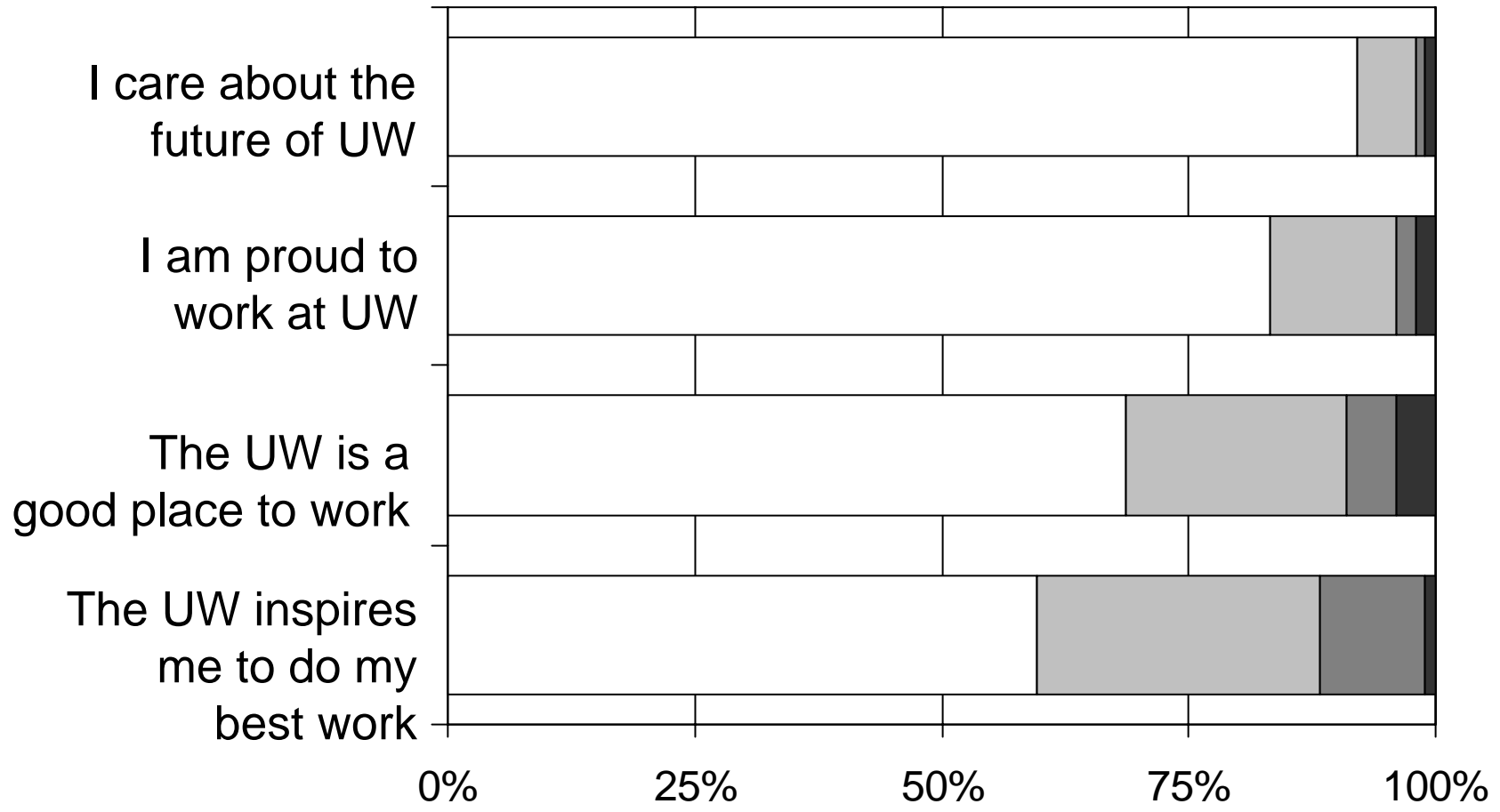
*Survey Respondents***Total N = 6,473**

Staff	Academic Student Employee	Faculty
<b>4,576</b>	<b>470</b>	<b>1,427</b>

**Answer Key:****WHITE -- Very Positive****LIGHT GRAY – Somewhat Positive****DARK GRAY – Somewhat Negative****BLACK -- Very Negative**

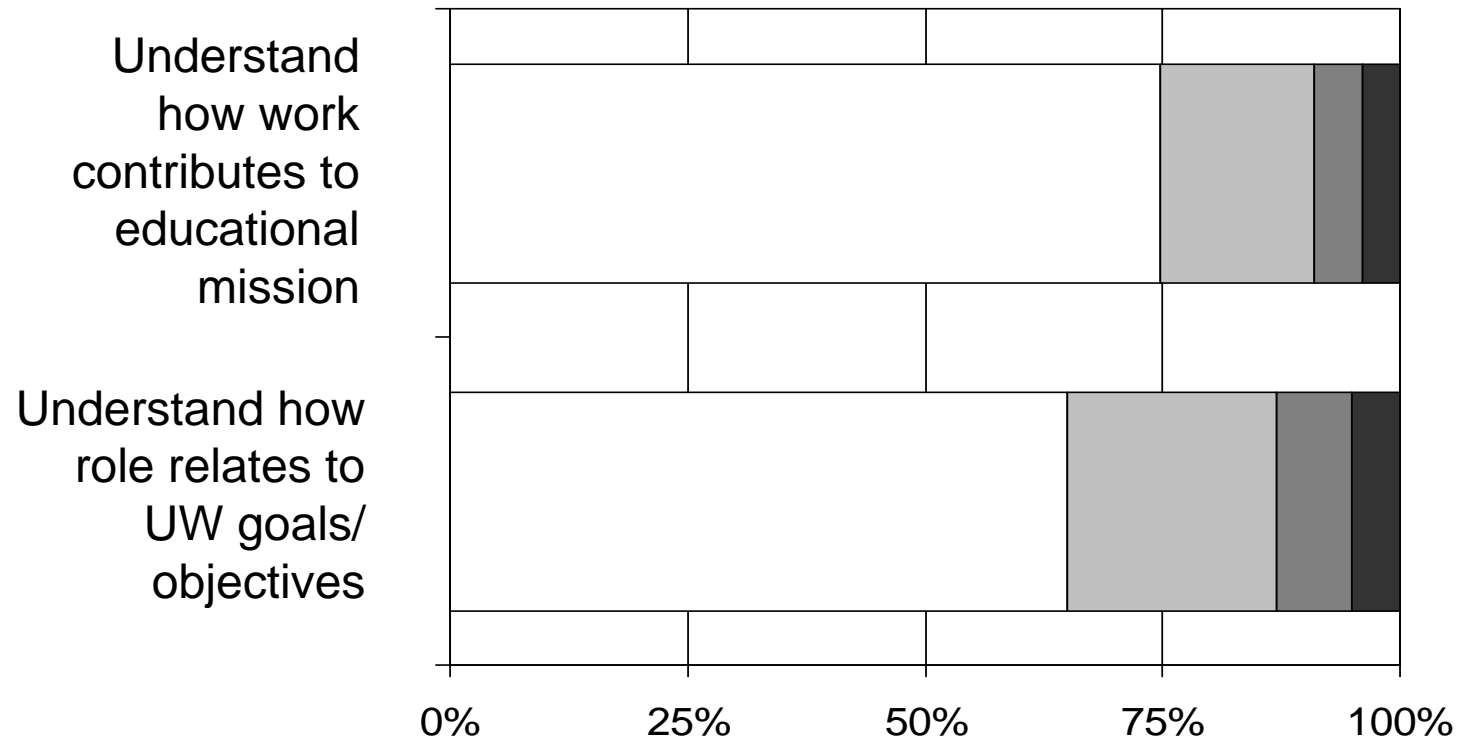


**Engagement**





***Vision and Shared Purpose***

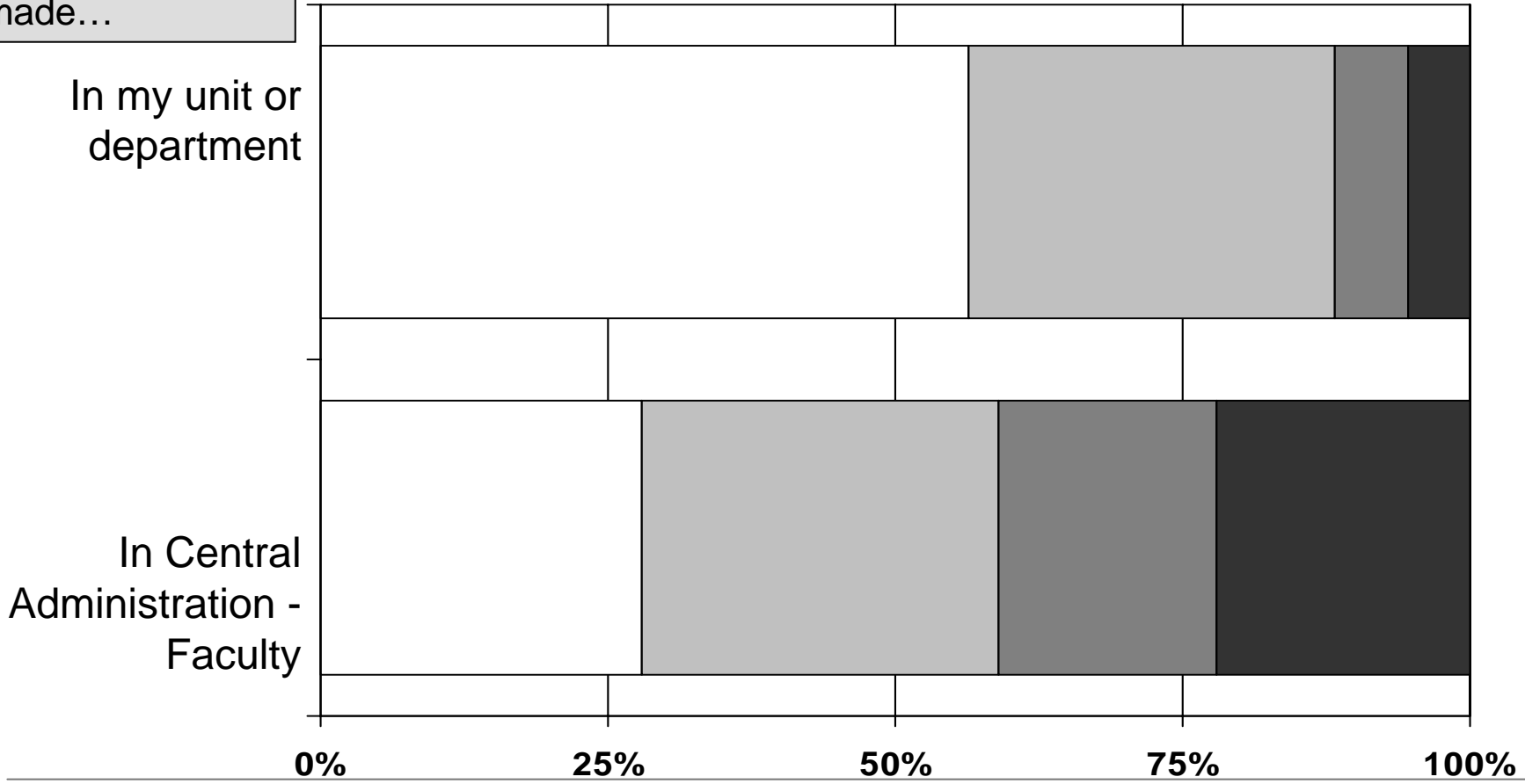


- **“Good leadership requires vision, being able to communicate effectively the vision.”**
- **“ We need a vision and shared values to inspire us....”**



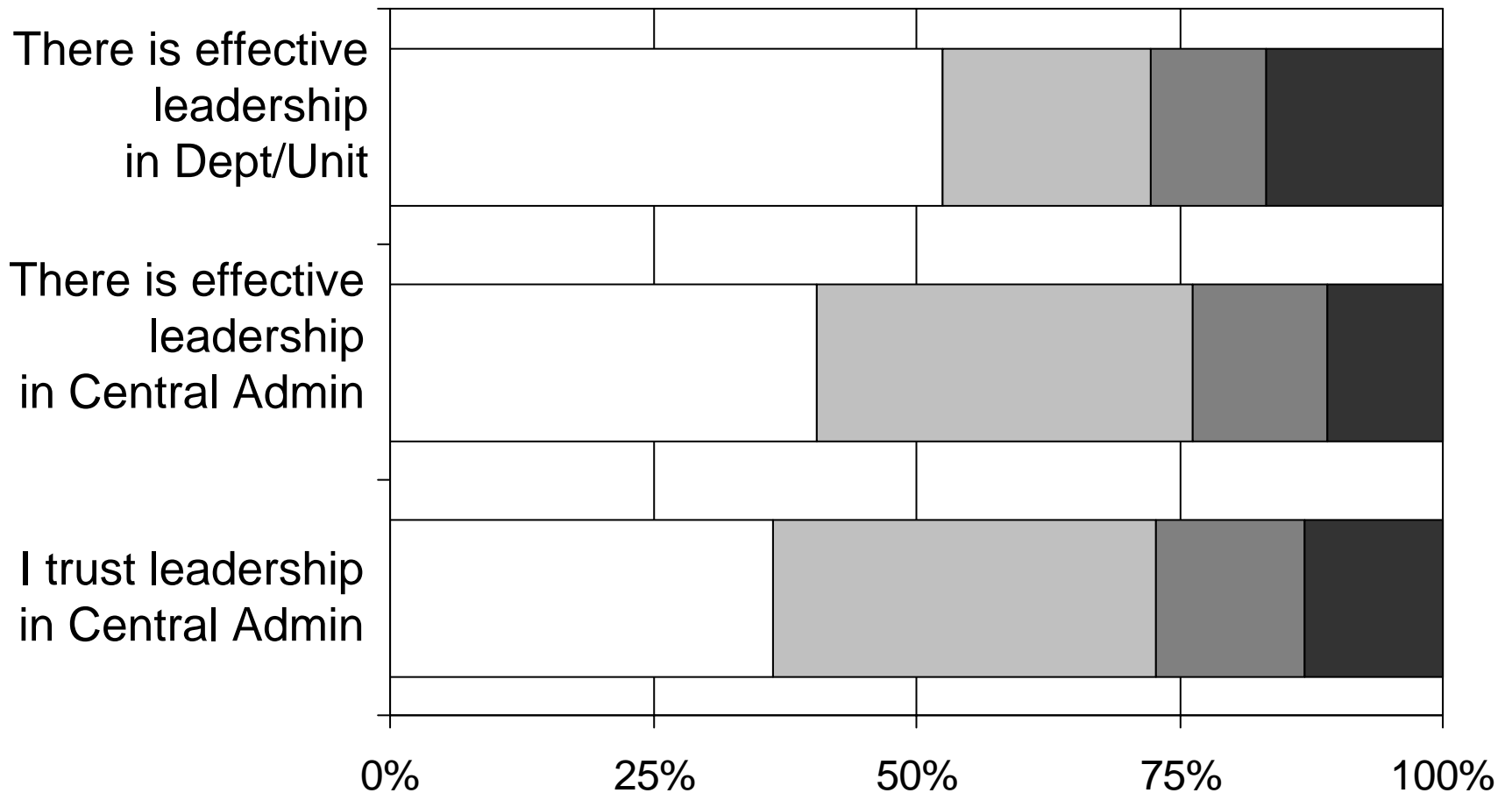
***Transparency and Decision-Making***

I understand how and why decisions are made...





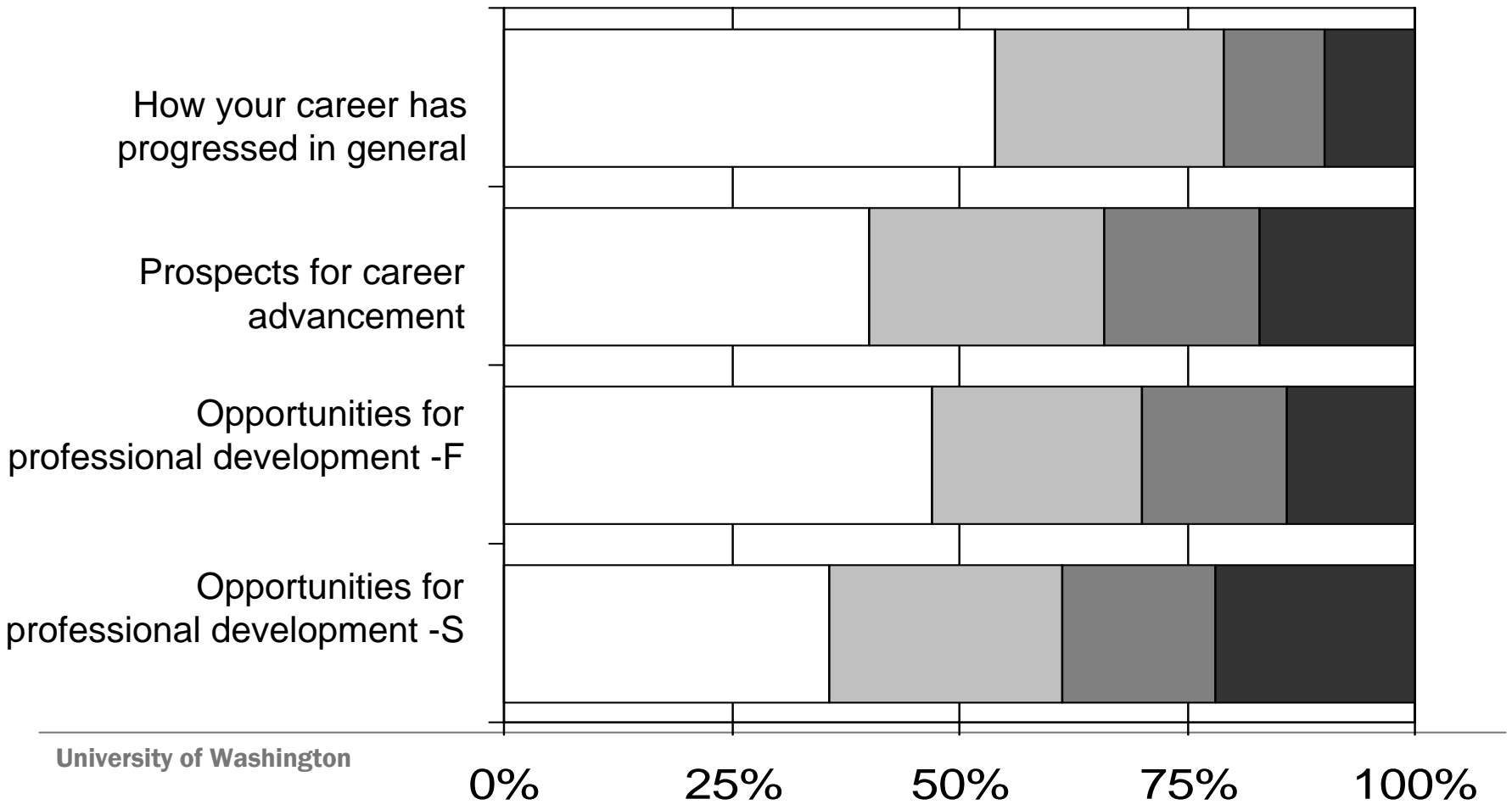
**Leadership**





How satisfied are you with the following aspects of your worklife at the UW?

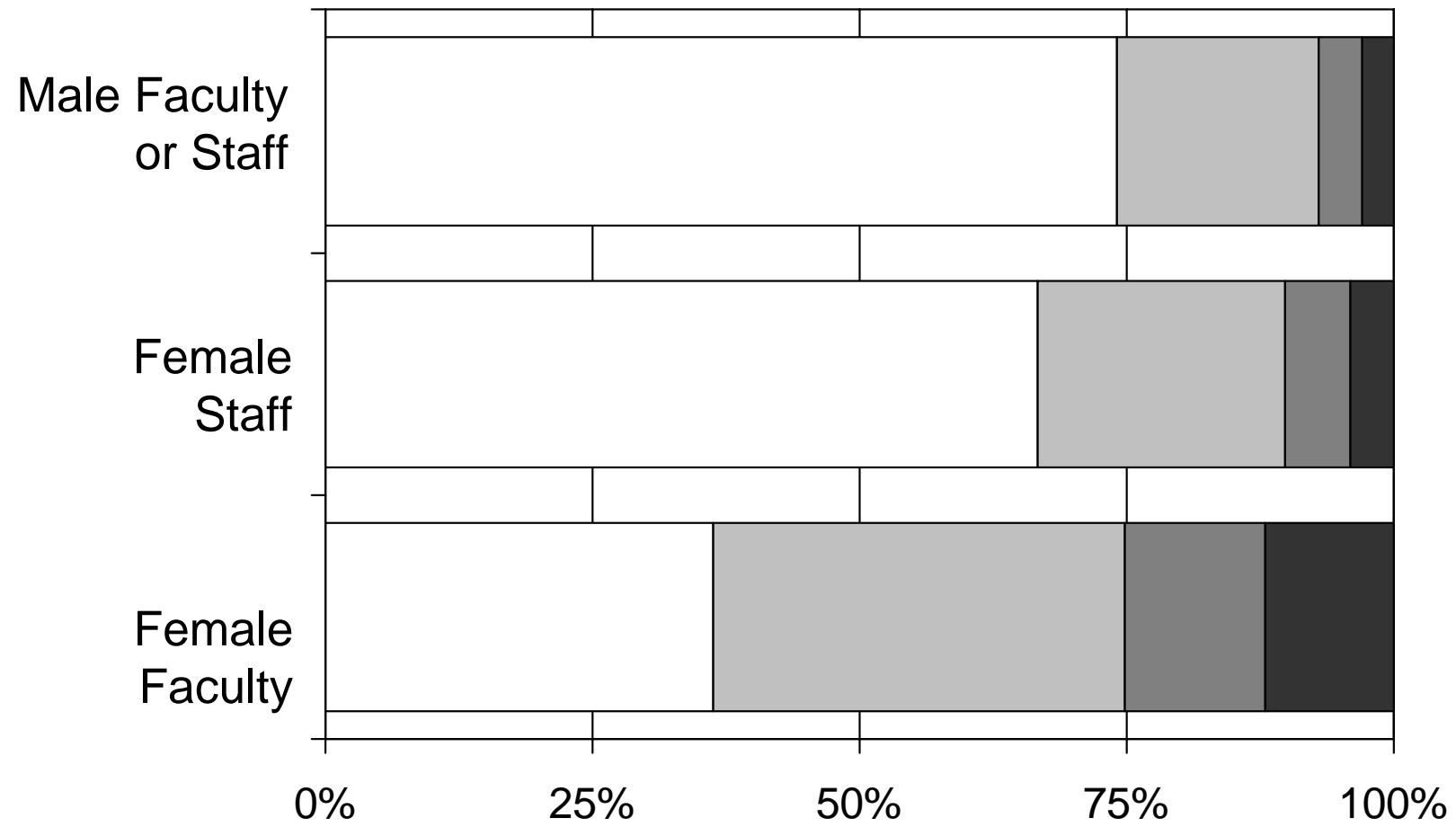
**Career Advancement**





***Diversity -- Gender***

The UW has a positive climate for ....





INQUIRE

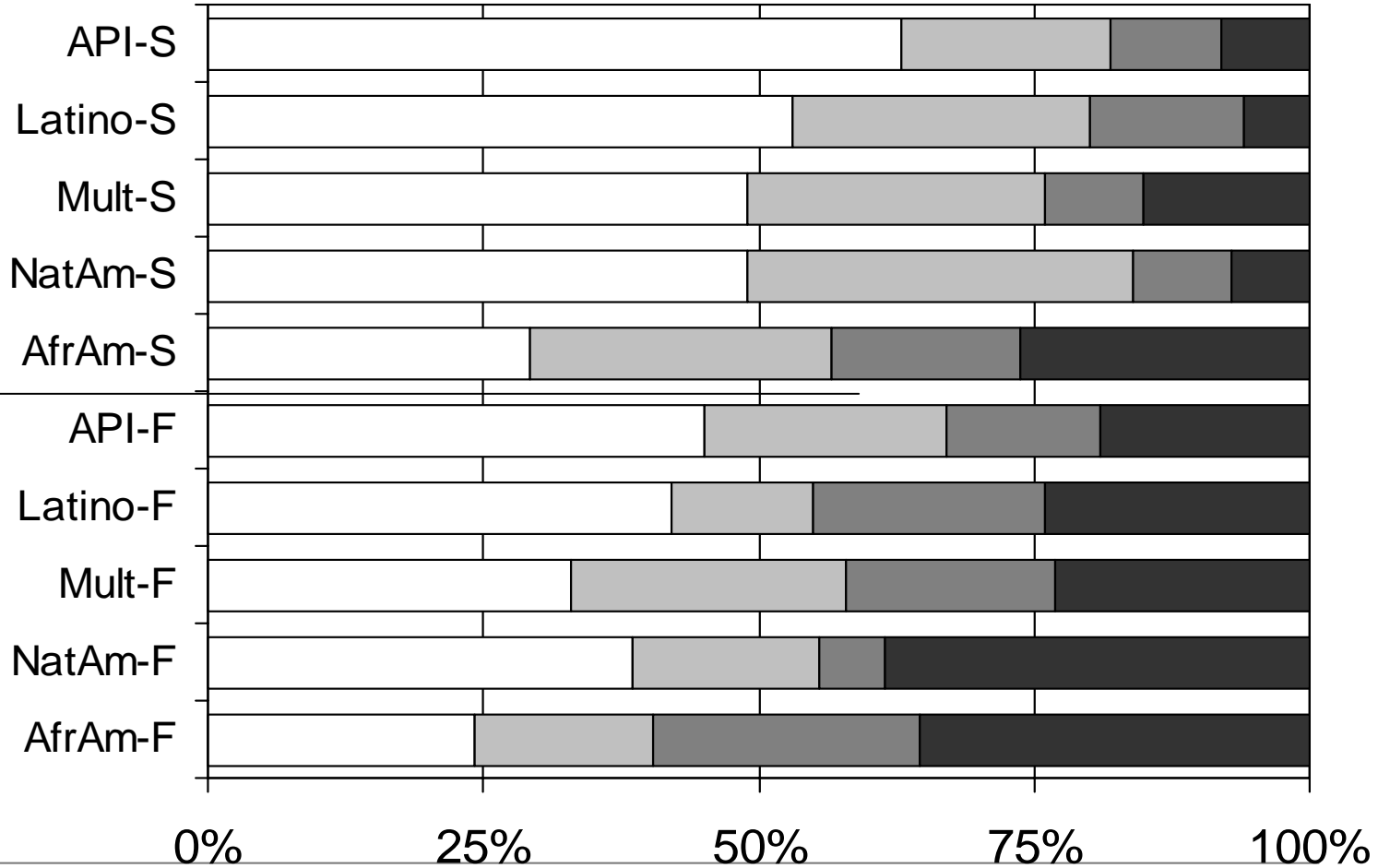
INSPIRE

INNOVATE

IMPLEMENT

The UW has a positive climate for staff/faculty of color.

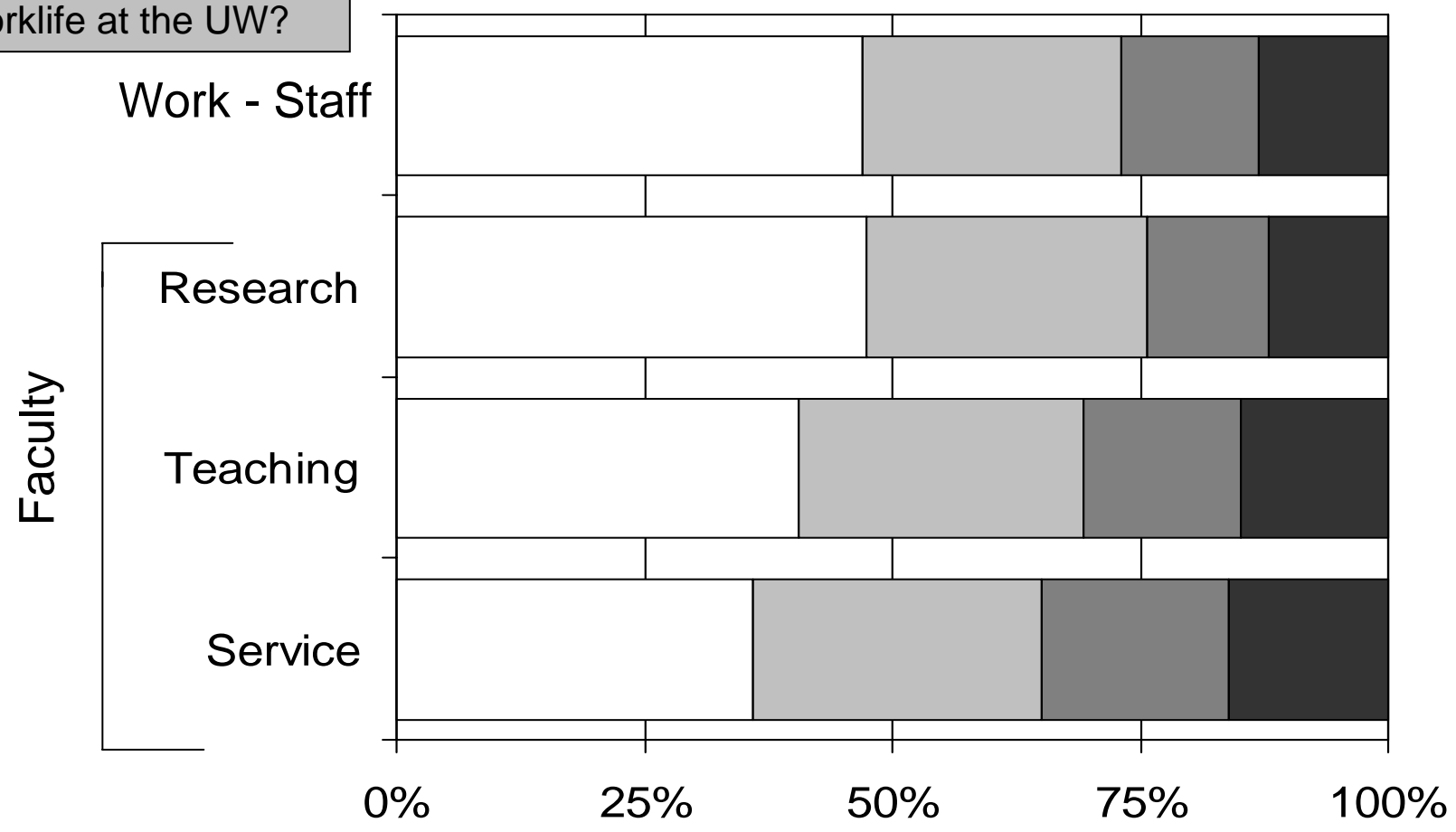
### Diversity -- *Ethnicity*





How satisfied are you with the following aspects of your worklife at the UW?

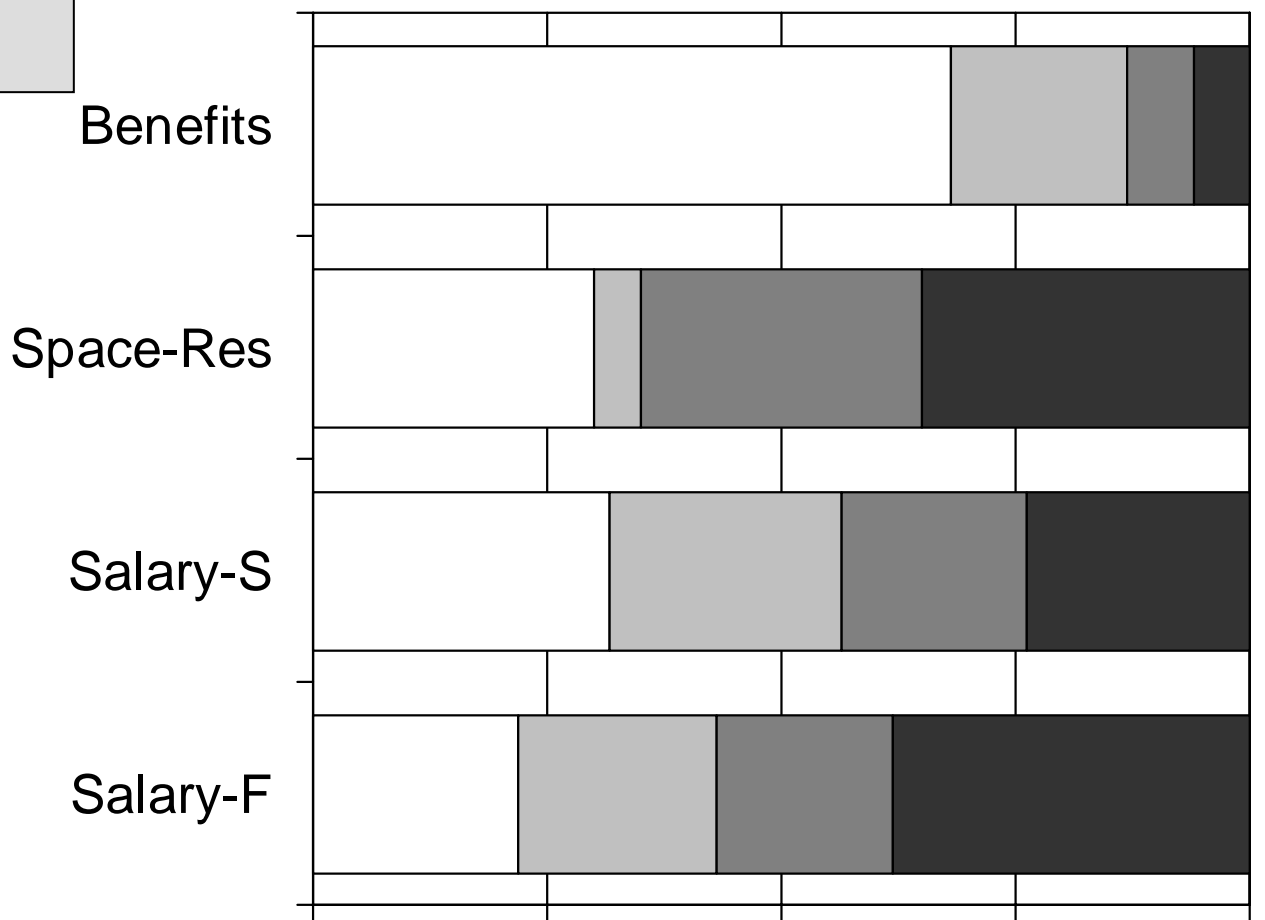
***Recognition for your....***





How satisfied are you with the following aspects of your worklife at the UW?

***Resources and Salary***



INNOVATION & IMPLEMENTATION OF LCVI SURVEY FINDINGS and RECOMMENDED ACTIONS

## PROGRESS REPORT

Planned     In Progress     Complete

### VISION AND ENGAGEMENT

**We need to create a vision for the University of Washington that incorporates our unique ability to advance knowledge, educate students, provide service to our community and build careers for our faculty and staff.**

**Our vision must be enduring, inspiring and relevant both within and outside the university.**

**→ *The university community is asking for a vision that positions the University of Washington for the next decade.***

<input checked="" type="checkbox"/>	Provost and Board of Deans create draft vision statement	Sept - Dec 2005
<input checked="" type="checkbox"/>	Provost meets with faculty and staff groups for input on draft vision statement	Jan – Feb 2006
<input type="checkbox"/>	Survey of campus community to solicit feedback on draft vision statement	February 2006
<input type="checkbox"/>	Vision shared with Board of Regents and campus community	March 2006
<input type="checkbox"/>	Final version of vision statement widely disseminated	May 2006

## TRANSPARENCY AND DECISION MAKING

**There is distrust in central administration and lack of transparency in decision making.**

→ *We have created new opportunities for Central Administration to interact with faculty, staff and students.*

<input checked="" type="checkbox"/>	President hires new Provost	August 1, 2005
<input checked="" type="checkbox"/>	Provost meets with college and senior administrators in first 90 days	Fall 2005
<input checked="" type="checkbox"/>	Provost town hall meetings on semi-annual basis, including Bothell and Tacoma	Nov 2005 & ongoing
<input checked="" type="checkbox"/>	Provost meeting with faculty in all colleges	Fall 2005 & ongoing
<input checked="" type="checkbox"/>	President and Provost holding regular luncheon discussions with faculty	Fall 2005 & ongoing
<input checked="" type="checkbox"/>	President and Provost holding meetings with student groups	Quarterly
<input checked="" type="checkbox"/>	Provost/Executive Vice-Provost/VP, HR meeting with staff groups to share LCVI results (PACW, PACW –Women of Color, PSO, Unions, DAR, HR, Business Services)	Oct 2005 & ongoing
<input checked="" type="checkbox"/>	Provost meets with Faculty Senate and Senate Executive Committee routinely	Fall 2005 & ongoing
<input checked="" type="checkbox"/>	Faculty Councils work directly with Provost	November 2005
<input checked="" type="checkbox"/>	President leads annual address to campus with LCVI Survey Results	October 2005
<input checked="" type="checkbox"/>	Working with Board of Deans to simplify faculty recruitment and retention decisions	Jan – July 2006
<input checked="" type="checkbox"/>	Harlan Patterson and Arthur Nowell meeting with Deans and Administrators to improve partnerships*	Spring 2006
<input checked="" type="checkbox"/>	Restructuring Provost's Office and simplifying procedures	ongoing
<input checked="" type="checkbox"/>	Restructuring of Office of Research with focus on compliance issues	ongoing

\* During a three month sabbatical in summer 2005, Harlan Patterson studied the issues between academic leaders and administrators through a series of interviews and a survey. The findings were consistent with the results of the LCVI survey and confirmed that there are opportunities regarding leadership skills, mentorship, professional development and communications in academic units. The findings of Harlan's survey are also incorporated into the design of the leadership development program outlined on page 3.

## LEADERSHIP AND CAREER ADVANCEMENT

**Faculty and staff expressed a desire for more leadership training.**

→ *LCVI is focusing on leadership development for faculty as a top priority.*

<input checked="" type="checkbox"/>	Adapting the ADVANCE leadership development model utilized for chairs in Math and Science to the Social Sciences with plans to next phase-in professional schools and Health Sciences	Spring 2006
<input checked="" type="checkbox"/>	Plans in place to develop a faculty leadership development offering	Spring 2006
<input checked="" type="checkbox"/>	Beta test of 360 Review of key leaders (Deans, Chairs, Administrators)	Spring 2006
<input checked="" type="checkbox"/>	Formation of partnership with GPSS to create leadership opportunities for graduate and professional students	Spring 2005
<input checked="" type="checkbox"/>	Formation of partnership with Office of Undergraduate Education and College of Arts and Sciences to create leadership course for undergraduate students	Spring 2006
<input checked="" type="checkbox"/>	UWMC launched a management certificate program and advanced leadership series, including 360 assessment.	Fall 2005
<input checked="" type="checkbox"/>	HMC launched leadership orientation and leadership fitness program	ongoing

**Professional development was identified as a greater need among staff.**

→ *Utilizing the Career Development framework created by the President's Staff Forum, LCVI is focused on building resources and a model that can be customized to meet a variety of needs.*

<input checked="" type="checkbox"/>	Plans in place to address career development needs for Professional Staff	Spring 2006
<input checked="" type="checkbox"/>	VP, HR and Labor Relations working with SEIU 925 to build career development model within the context of collective bargaining	Spring 2006
<input checked="" type="checkbox"/>	Training and Development is working on new certificate programs in Project Management and coordination of Research Activities	Spring 2006
<input checked="" type="checkbox"/>	T&D assisting organizations in developing new internal career development program	Spring 2006
<input checked="" type="checkbox"/>	Centralized web portal that provides one site for staff to locate opportunities	Spring 2006
<input checked="" type="checkbox"/>	HMC established Jeannette West Career Development Scholarship	ongoing
<input checked="" type="checkbox"/>	HMC offers Career Pathways program for individualized career and skill enhancement	ongoing

## DIVERSITY

**Both faculty and staff of color are less satisfied with work environment.**

→ *In partnership with the Vice President/Vice Provost, Office of Minority Affairs, we are creating a strategy to address diversity issues.*

<input checked="" type="checkbox"/>	Recruitment underway for an Associate Vice Provost for Faculty Advancement	January 2006
<input checked="" type="checkbox"/>	Plans in place to begin recruitment for comparable position focused on staff	February 2006
<input checked="" type="checkbox"/>	Several diversity faculty recruitments under way	ongoing
<input checked="" type="checkbox"/>	As part of Capital Campaign, more diversity scholarships being offered	ongoing
<input checked="" type="checkbox"/>	Diversity Research Institute conference	Spring 2006
<input checked="" type="checkbox"/>	Diversity minor offered	January 2006
<input checked="" type="checkbox"/>	Dean of Arts and Sciences focuses on diversity as part of annual address	January 2006

## COMMUNITY AND RECOGNITION

### Both faculty and staff expressed need to strengthen community.

→ *There are numerous community building activities and events going on throughout UW. LCVI is focused on gathering information on what is already underway and how to incorporate under the LCVI umbrella.*

<input checked="" type="checkbox"/>	LCVI sub-committee formed (includes SEIU and WFSE members) and working in conjunction with DAR to create campus-wide celebratory event in conjunction with Washington Weekend	April 28, 2006
<input checked="" type="checkbox"/>	Common Book Club chose <i>Mountains Beyond Mountains</i> for incoming freshmen; planning underway with Christine Ingebritsen to create Common Book Club model for faculty and staff	Spring 2006
<input checked="" type="checkbox"/>	T&D offering Leadership Seminar Series; topics selected based on LCVI themes	ongoing

### Greater support for formal and informal recognition

→ *While there are opportunities for wide-scale recognition through a variety of UW sponsored awards, both faculty and staff expressed a need for localized recognition.*

<input checked="" type="checkbox"/>	Plans in place to create recognition tool-kit that could be widely used and customized at the school, college or department level	Spring 2006
<input checked="" type="checkbox"/>	Creation of Thorud Leadership Award established; award criteria inspired by LCVI	November 2005



## RESOURCES

**Faculty expressed the greatest discontent regarding salaries. Staff survey responses also indicate concerns re: salary.**

➔ *Salaries are a top priority for the President and Provost.*

<input checked="" type="checkbox"/>	\$2 million has been paid out to address faculty salary compression	Fall 2005
<input type="checkbox"/>	Collective bargaining for 11,000 unionized staff members wages	June – Sept 2006
<input type="checkbox"/>	Professional staff are eligible for merit increases; market surveys underway	Sept 2006

**There is discontent regarding space and resources.**

<input checked="" type="checkbox"/>	We are aggressively working on the capital campaign and with the legislature to build new buildings and upgrade facilities.	ongoing
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“Creating Washington’s Future”  
Outline for Critical Timeline and Plan Elements  
As of February 8, 2006

**CRITICAL TIMELINE**

- January      Introduce the goal of creating a future view of the UW to Regents and UW community
- February    Discuss the draft plan to develop the specifics, incorporating the mission, vision and priorities statement from President, Provost and other UW leadership
- March       Discuss initial vision and priorities with Regents, Deans, Faculty Senate, students, faculty, staff and larger community
- April        Develop additional elements of the “UW Future” that support the vision and priorities statement  
  
Develop materials and communications plan for the “UW Future”
- May         Introduce and discuss complete “UW Future” as context for 2006 budget discussions  
  
Introduce communication materials and plan
- June         Regent endorsement/adoption of the “UW Future” & communications plan
- July +        Communication of “UW Future” and UW 2007-09 State budget agenda to internal and external communities

**“UW FUTURE” ELEMENTS**

**Vision – Who We Are & What We Do**

Vision & Core Values – descriptions of our current values:

- Integrity
- Excellence
- Innovation
- Respect
- Stewardship
- Responsibility
- Collaboration
- Inclusivity
- Community Engagement
- Diversity

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UW contributions (**from the external stakeholders' perspectives**) - ideas that have been suggested to date:

Providing learning experience and foundation for life-long learning  
Foundation engine for State's knowledge-based economy  
Creating better health for our citizens  
Helping to sustain the environment  
Creating globally competitive knowledge-based industry  
Foundation for shifting from resource and manufacturing economy  
Improving lives – health, culture, and civic engagement

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Set a new vision of our competitive arena – privates / global

### **Our Future Role(s)**

Describe where we want to be in the future - describe how we will be different in 5-10 years than we are today

Articulate these new UW contributions to the State – in both quantitative terms and with anecdotes, e.g. health; wealth; environment; sonograms; etc.

### **Initiatives**

Specify broad initiatives to get us to our future – ideas that have been suggested to date:

Competitive compensation for faculty and staff  
Strengthening undergraduate experience  
Developing educational and research programs in Global health  
Developing educational and research programs in sustainable environments

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Specific actions and resource requests will all support these initiatives. All near-term actions should be presented as steps toward the future vision, roles and outcomes

### **Measures of Success**

Articulate successful outcomes. Provide the specific set of measurable outcomes that we recommend that would become the primary State/UW accountability agreement

### **Resources**

Articulate overall resource needs to achieve UW Future, both operating and capital

Propose mix of contributors to the resource plan

Specific resource and policy requests from the State

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

**UW**

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**Report of Contributions**

University of Washington  
University of Washington Foundation

December 2005

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NOTES AS OF DECEMBER 31, 2005

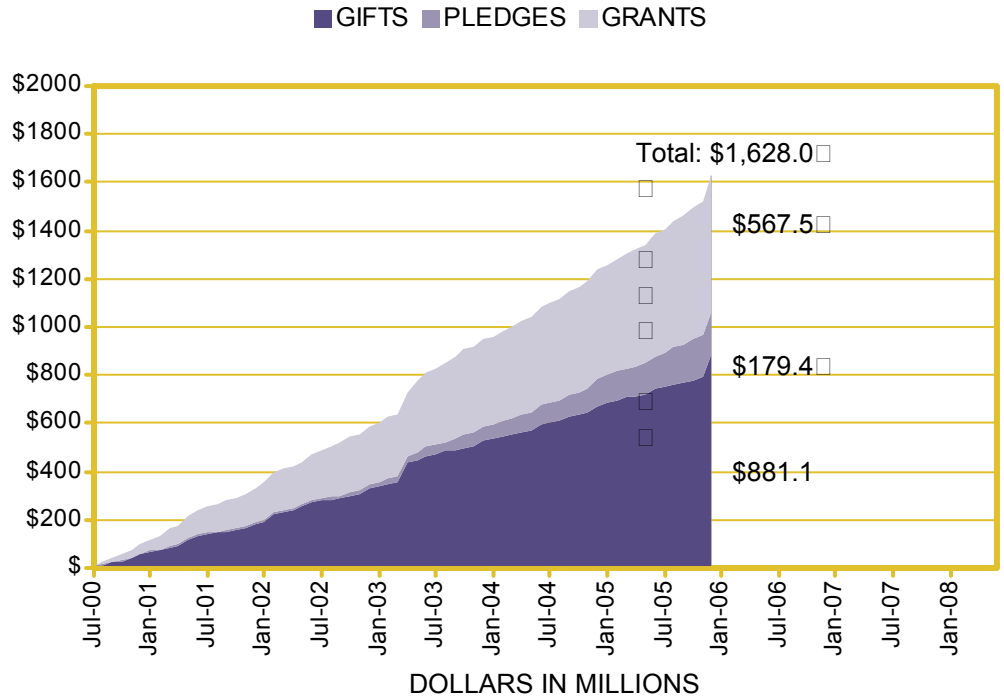
**DATA POINTS**

\$1,627,978,488 has been raised toward our campaign goal of \$2 billion.

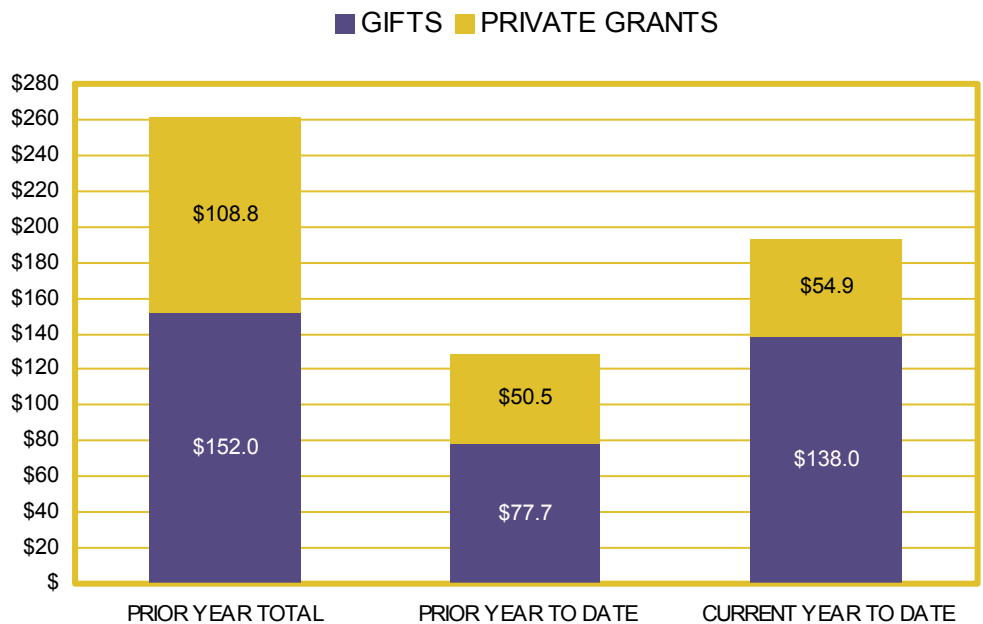
The UW received \$103.9 million in total private voluntary support (\$90.5 million in gifts and \$13.4 in grants) in December.

Areas including Architecture, Arts and Sciences, Dentistry, Engineering, Forest Resources, Intercollegiate Athletics, Law, Libraries, Nursing, Public Health, Social Work, UW Bothell, UW Medicine and UW Tacoma are ahead of last year's year-to-date totals.

**FUNDRAISING PROGRESS SINCE JULY 1, 2000**



**CURRENT GIFT AND PRIVATE GRANT TOTALS**



## DECEMBER 2005 GIFTS AND IMPACT

Selected gifts representing private support for one of the University of Washington's key fundraising priorities -- student, faculty, program and facility support.

### **Douglas M. and Barbara J. Sieverling Allan – \$98,215 to the Business School**

- Mr. and Mrs. Allan created the Douglas M. and Barbara J. Allan Endowed Fund in Entrepreneurship to benefit the Business School's Center for Innovation and Entrepreneurship (CIE).
- The CIE offers innovative undergraduate and graduate studies, business plan competitions, and access to industry practitioners, allowing students to learn firsthand how to transform innovations and technologies into new enterprises.
- The Allans met while attending the UW in the 1940s and have maintained their involvement with the University ever since. They are passionate about creating opportunities to get students out of the classroom to gain hands-on experience.
- Mr. Allan, who has long demonstrated an entrepreneurial mindset, began three successful family metallurgical businesses, now run by his daughter.

### **Tanya L. Bevan – \$30,000 to the College of Ocean and Fishery Sciences**

- Mrs. Bevan's gift to the Donald E. Bevan Endowed Fund in Fisheries, named for her late husband, will provide support for the School of Fisheries at the discretion of the Director of the School.
- Dr. Donald E. Bevan was a former Director of the School of Fisheries, Dean of the College of Fisheries, and Associate Dean of the College of Ocean and Fishery Sciences.
- Dr. Bevan's academic career spanned nearly fifty years (1940–1988) at the University of Washington and concentrated on fisheries research, management, and conservation. During his career, he worked to promote responsible fisheries management, particularly with respect to salmon in the Pacific Northwest .
- Mrs. Bevan also supports the Bevan Symposium Fund - to bring renowned experts/speakers to the School of Fisheries to provide intellectual interchange among faculty, students and professionals in the field.

### **Mary Ann Walters - \$2,000,000 to UW Medicine**

- Walters Venture Research Fund for Pancreatic Cancer supports the work of Dr. Teresa Brentnall and her colleagues in their research efforts. Dr. Brentnall's work focuses on genetic causes and early detection of cancer of the pancreas, a disease that is difficult to detect and thus particularly deadly.
- Mrs. Walters, along with her late husband Charles Eugene Walters, has given and pledged \$5.7 million to pancreatic cancer research since 2000.
- Other areas of the University supported by the Walters include Ocean and Fishery Sciences and Intercollegiate Athletics.





# REPORT OF CONTRIBUTIONS

December 2005

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## **CAMPAIGN UW: CREATING FUTURES**

Report prepared by: Office of Development and Alumni Relations  
Advancement Services, Information Management

1/11/2006 05:04 PM

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\*All Campaign totals represented are from July 1, 2000 through the end of the preceding calendar month. Please note that grant revenue totals in Campaign Reports may contain clinical trials. Fundraising totals from all affiliated non-profit organizations are also included in UW Campaign totals.

The UW Campaign Executive Committee developed the counting policy for Campaign reports, based on Council for Advancement and Support of Education (CASE) campaign counting standards.

Annual reporting is July 1, 2005 through the end of the preceding calendar month.

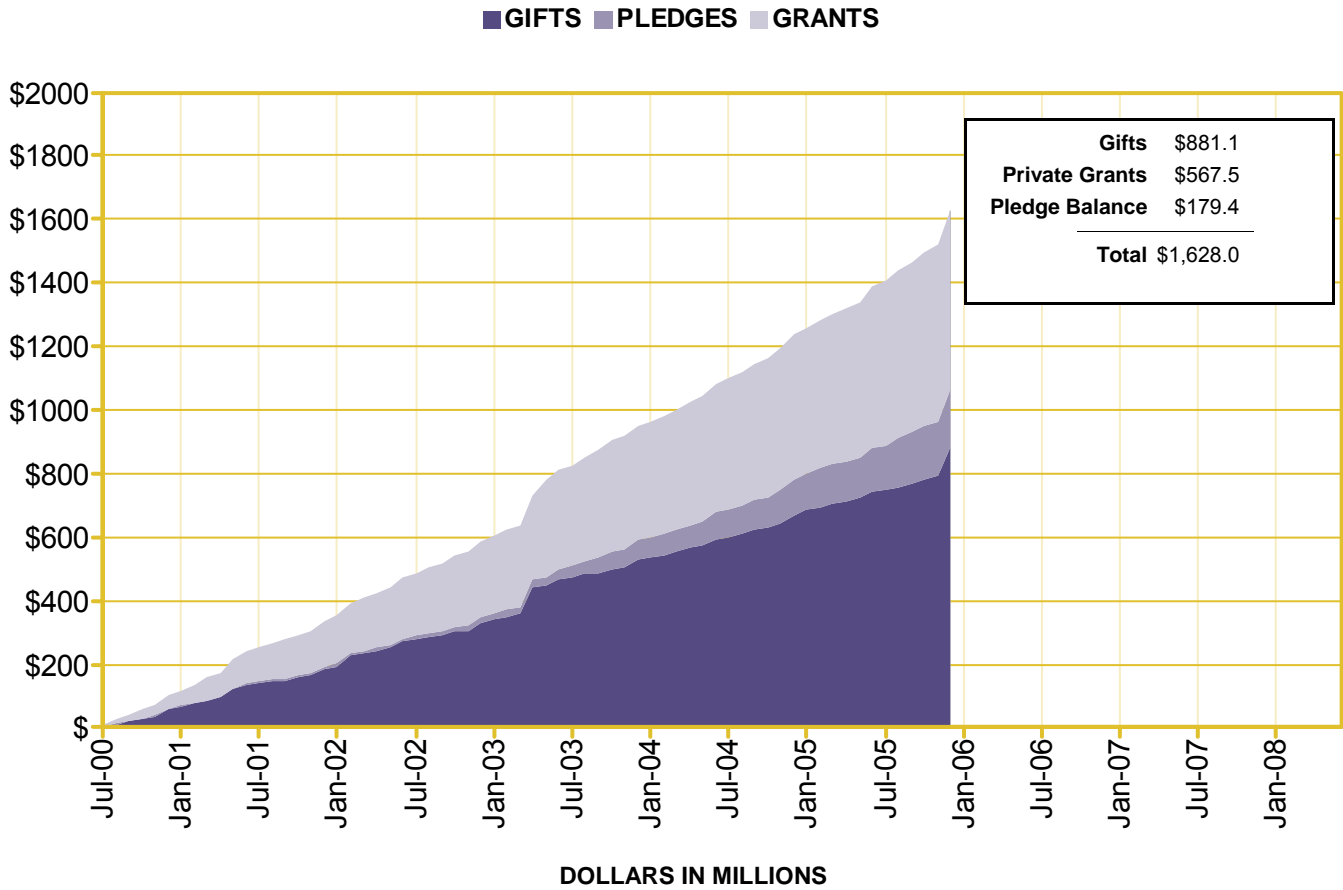
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CAMPAIGN PROGRESS SINCE JULY 1, 2000



Source: UW Office of Development

Summarizes Total Private Voluntary Support since July 1, 2000. Testamentary Commitments included in Pledge Balance total. All dollar totals in millions.

Job Number: 68669  
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Fundraising Progress Since July 1, 2000



## CAMPAIGN PROGRESS BY GIVING LEVEL

<b>DOLLARS RAISED</b>							
<b>Gifts, Pledges &amp; Grants</b>							
Giving Level *	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$100M+	\$0	\$32,720	\$198,211,014	\$0	\$0	\$0	\$198,243,734
\$50M - \$99,999,999	\$0	\$0	\$0	\$0	\$0	\$0	\$0
\$10M - \$49,999,999	\$27,806,605	\$58,599,208	\$20,527,500	\$51,050,093	\$87,553,218	\$11,185,999	\$256,722,623
\$5M - \$9,999,999	\$17,171,854	\$5,111,250	\$0	\$41,775,846	\$30,542,854	\$64,616,199	\$159,218,002
\$1M - \$4,999,999	\$93,561,037	\$51,312,352	\$25,505,288	\$114,706,364	\$100,393,581	\$61,317,204	\$446,795,825
\$100,000 - \$999,999	\$80,893,064	\$61,791,339	\$22,646,619	\$103,678,472	\$53,475,722	\$51,495,290	\$373,980,507
\$25,000 - \$99,999	\$20,702,757	\$15,926,411	\$2,929,586	\$26,265,213	\$7,027,122	\$8,621,278	\$81,472,366
\$10,000 - \$24,999	\$13,699,778	\$10,357,766	\$844,980	\$8,406,303	\$1,304,749	\$2,176,527	\$36,790,102
\$5,000 - \$9,999	\$10,025,240	\$7,669,621	\$279,443	\$4,347,160	\$541,323	\$636,592	\$23,499,379
\$2,000 - \$4,999	\$8,856,861	\$7,104,426	\$73,758	\$3,031,170	\$234,717	\$417,232	\$19,718,163
\$1,000 - \$1,999	\$4,864,257	\$3,909,885	\$22,676	\$1,290,206	\$78,266	\$180,175	\$10,345,465
\$500 - \$999	\$4,340,881	\$3,338,602	\$5,660	\$632,777	\$26,840	\$84,922	\$8,429,681
\$250 - \$499	\$3,032,229	\$2,102,832	\$900	\$277,283	\$7,832	\$39,572	\$5,460,648
\$100 - \$249	\$2,735,122	\$1,828,694	\$2,365	\$256,069	\$8,342	\$27,648	\$4,858,241
\$1 - \$99	\$1,313,315	\$1,054,272	\$189	\$65,877	\$1,003	\$9,095	\$2,443,751
<b>Total</b>	<b>\$289,002,999</b>	<b>\$230,139,377</b>	<b>\$271,049,978</b>	<b>\$355,782,834</b>	<b>\$281,195,570</b>	<b>\$200,807,730</b>	<b>\$1,627,978,488</b>
<b>DONOR COUNTS</b>							
Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$100M+	0	2	1	0	0	0	3
\$50M - \$99,999,999	0	0	0	0	0	0	0
\$10M - \$49,999,999	8	6	2	4	6	1	27
\$5M - \$9,999,999	5	6	0	6	5	9	31
\$1M - \$4,999,999	85	81	13	54	43	35	311
\$100,000 - \$999,999	455	492	70	397	164	168	1,746
\$25,000 - \$99,999	827	785	65	579	143	174	2,573
\$10,000 - \$24,999	1,650	1,553	56	628	90	144	4,121
\$5,000 - \$9,999	2,598	2,322	47	739	91	102	5,899
\$2,000 - \$4,999	4,748	4,628	26	1,160	81	149	10,792
\$1,000 - \$1,999	5,644	5,575	20	1,171	65	156	12,631
\$500 - \$999	9,233	8,725	12	1,165	44	143	19,322
\$250 - \$499	11,365	9,581	3	971	26	128	22,074
\$100 - \$249	22,109	18,148	16	1,996	58	218	42,545
\$1 - \$99	36,112	35,329	4	1,695	20	265	73,425
<b>Total</b>	<b>94,839</b>	<b>87,233</b>	<b>335</b>	<b>10,565</b>	<b>836</b>	<b>1,692</b>	<b>195,500</b>

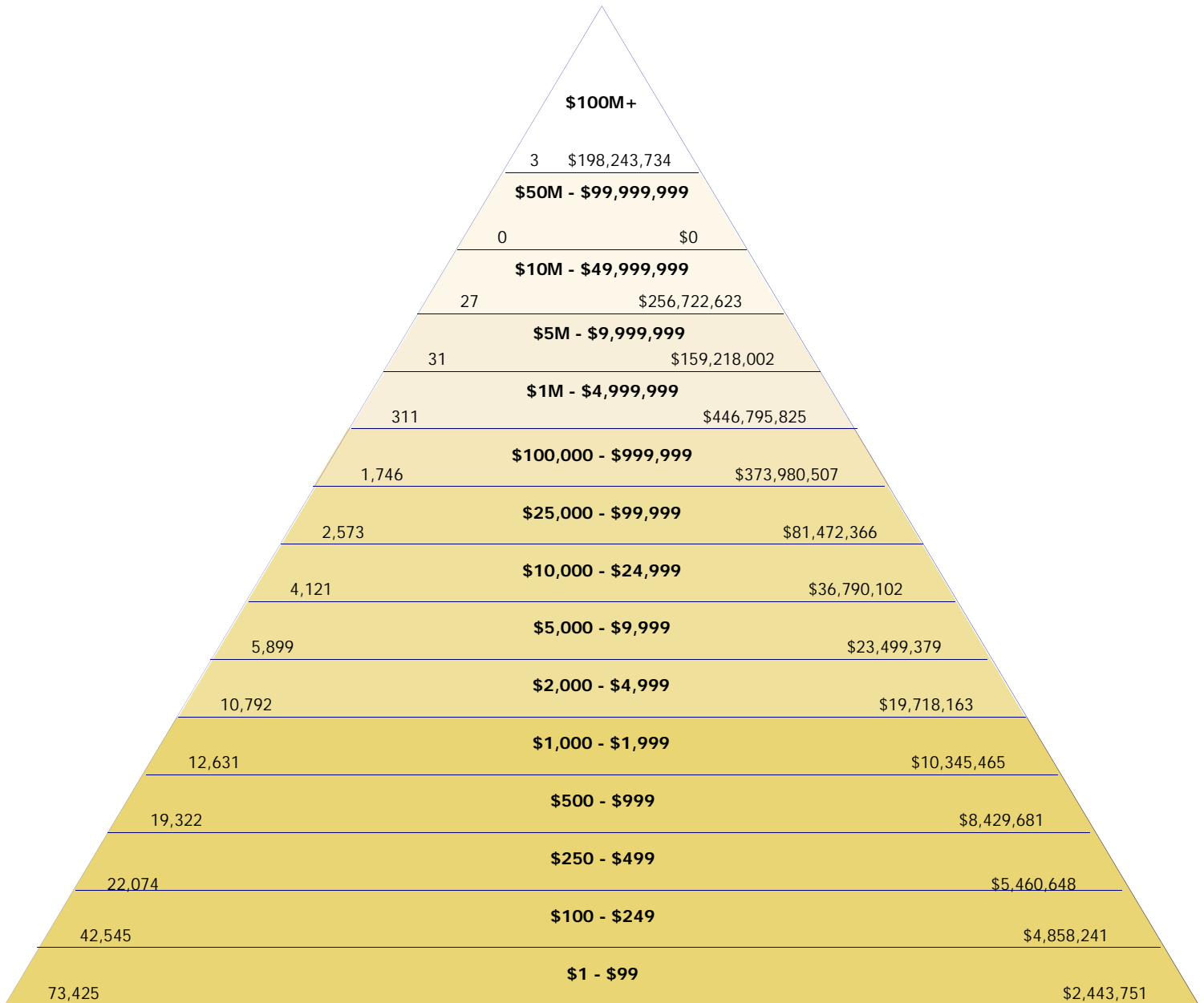
Source: UW Office of Development & Alumni Relations

This report shows the count of distinct donors and campaign total by giving level and donor type since July 1, 2000.

\*\*"Giving Level" is determined by summing all gift record types (including grants)



CAMPAIGN PROGRESS BY PYRAMID, SINCE JULY 1, 2000



195,500 Donor Count

Campaign Total: \$1,627,978,488

\*Campaign Working Goal: \$2,000,000,000

Percent Complete: 81.4%

Source: UW Office of Development

The counts of distinct donors and fundraising totals by giving level are shown.

\*Unit campaign goals are still being finalized.

Pyramid Levels are determined by summing all gift record types (including grants)



## CAMPAIGN PROGRESS BY CONSTITUENCY

	GIFTS	Irrevocable Deferred Gifts		PLEDGES	Testamentary Commitments		GRANTS	Campaign - Private Voluntary Support		
		Donor Value	Discount Value		Donor Value	Discount Value		TOTAL	Working Goal	% of Goal
UW Medicine	\$255,981,048	\$10,244,571	\$5,605,591	\$20,816,483	\$21,412,853	\$6,941,065	\$282,057,413	\$590,512,368	\$1,000,000,000	59.1%
Architecture	\$6,551,663	\$2,244,117	\$658,000	\$1,723,590	\$2,000,000	\$1,142,468	\$1,546,925	\$14,066,295	\$19,000,000	74.0%
Arts and Sciences	\$85,215,110	\$6,651,297	\$4,063,598	\$9,754,583	\$18,724,000	\$9,356,696	\$60,131,879	\$180,476,870	\$240,000,000	75.2%
Broadcast Services	\$36,458,276	\$0	\$0	\$15,034	\$0	\$0	\$0	\$36,473,310	N/A	N/A
Business School	\$50,010,408	\$906,563	\$643,347	\$26,908,948	\$3,575,271	\$2,314,198	\$225,800	\$81,626,991	\$226,000,000	36.1%
Dentistry	\$6,628,967	\$246,992	\$110,376	\$925,840	\$675,000	\$378,427	\$3,524,259	\$12,001,058	\$15,000,000	80.0%
Education	\$8,762,154	\$28,552	\$10,686	\$3,705,051	\$0	\$0	\$11,949,359	\$24,445,116	\$23,000,000	106.3%
Engineering	\$117,103,879	\$1,718,700	\$959,409	\$7,123,537	\$5,200,011	\$2,338,631	\$61,519,029	\$192,665,157	\$250,000,000	77.1%
Evans Schl. of Pub. Affairs	\$9,139,260	\$57,994	\$69,964	\$506,629	\$500,000	\$265,793	\$34,673,812	\$44,877,695	\$40,000,000	112.2%
Forest Resources	\$7,757,809	\$646,572	\$516,844	\$619,981	\$2,500,000	\$1,266,903	\$3,015,850	\$14,540,211	\$17,700,000	82.1%
Friday Harbor Labs	\$5,597,819	\$153,242	\$78,775	\$374,152	\$3,230,000	\$2,231,678	\$775,938	\$10,131,151	\$12,000,000	84.4%
Information School	\$2,559,500	\$0	\$0	\$144,850	\$100,000	\$64,666	\$875,683	\$3,680,033	\$5,000,000	73.6%
Intercollegiate Athletics	\$78,788,112	\$246,570	\$166,700	\$5,029,851	\$25,000	\$10,388	\$0	\$84,089,533	\$110,000,000	76.4%
Law	\$57,230,067	\$2,026	\$2,026	\$1,351,675	\$0	\$0	\$958,642	\$59,542,409	\$70,000,000	85.1%
Libraries	\$4,904,518	\$442,146	\$351,456	\$55,654	\$772,000	\$379,527	\$475,708	\$6,650,025	\$9,000,000	73.9%
Nursing	\$8,097,756	\$285,000	\$210,008	\$962,500	\$2,825,000	\$1,454,415	\$7,148,034	\$19,318,290	\$24,000,000	80.5%
Ocean and Fisheries	\$11,623,709	\$562,500	\$314,233	\$87,723	\$0	\$0	\$19,203,118	\$31,477,050	\$34,000,000	92.6%
Pharmacy	\$7,472,670	\$0	\$0	\$557,914	\$0	\$0	\$4,200,860	\$12,231,444	\$10,260,000	119.2%
President's Funds	\$5,150,327	\$738,472	\$543,577	\$524,086	\$2,750,000	\$1,353,977	\$0	\$9,162,885	N/A	N/A
Public Health	\$13,222,574	\$50,259	\$33,185	\$772,109	\$0	\$0	\$56,722,923	\$70,767,865	\$90,000,000	78.6%
Scholar. & Student Progs.	\$25,244,252	\$651,684	\$333,072	\$2,272,665	\$1,000,000	\$530,038	\$691,327	\$29,859,928	\$40,000,000	74.6%
Social Work	\$1,891,217	\$290,566	\$158,012	\$82,476	\$0	\$0	\$5,027,927	\$7,292,185	\$10,000,000	72.9%
University Press	\$1,644,512	\$83,788	\$62,116	\$24,357	\$1,300,000	\$1,421,362	\$0	\$3,052,656	\$3,000,000	101.8%
University Support	\$28,823,388	\$1,510,063	\$757,793	\$5,637,897	\$11,300,000	\$4,855,765	\$12,028,260	\$59,299,607	N/A	N/A
UW Bothell	\$2,032,740	\$0	\$0	\$222,308	\$0	\$0	\$650,500	\$2,905,548	\$5,700,000	51.0%
UW Tacoma	\$15,228,609	\$195,000	\$173,651	\$8,409,509	\$2,925,000	\$1,657,696	\$74,690	\$26,832,807	\$30,000,000	89.4%
<b>All UW Total</b>	<b>\$853,120,342</b>	<b>\$27,956,673</b>	<b>\$15,822,419</b>	<b>\$98,609,401</b>	<b>\$80,814,135</b>	<b>\$37,963,693</b>	<b>\$567,477,936</b>	<b>\$1,627,978,488</b>	<b>\$2,000,000,000</b>	<b>81.4%</b>

Source: UW Office of Development

Fundraising progress toward campaign working goals by constituency area (school/college/program). Campaign total is the sum of gifts, grants, active pledges and donor values of irrevocable deferred gifts and testamentary commitments. "N/A" is not applicable. 1 - "Pledges" are those in active status only. 2 - "Grants" are private grants only. 3 - Unit campaign working goals are still being finalized.

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Campaign Progress by Constituency - Since July 2000



**CAMPAIGN FUNDING THEME PROGRESS - JULY 2000 - PRESENT**

THEME	CURRENT USE	ENDOWMENT	TOTAL
Student Support	\$74,781,788	\$139,881,447	\$214,663,234
Faculty Support	\$75,815,193	\$104,069,402	\$179,884,595
Program Support for Faculty and Students	\$702,860,592	\$103,464,215	\$806,324,807
Capital	\$256,103,352	\$1,678,269	\$257,781,621
Unrestricted	\$140,207,425	\$29,116,806	\$169,324,231
<b>Total</b>	<b>\$1,249,768,350</b>	<b>\$378,210,139</b>	<b>\$1,627,978,488</b>
Goal	\$1,600,000,000	\$400,000,000	\$2,000,000,000
% to Goal	78.1%	94.6%	81.4%

Source: UW Office of Development

This report shows contribution totals by campaign theme/priority since July 1, 2000.

Job Number: 68669  
 December 2005

Campaign Theme Progress



DEVELOPMENT SUMMARY - TOTAL PRIVATE VOLUNTARY SUPPORT

AREA	YEAR TO DATE DONOR VALUES		
	GIFTS	PRIVATE GRANTS	TOTAL
UW Seattle			
UW Medicine	\$36,328,690	\$24,392,455	\$60,721,146
Architecture	\$2,647,680	\$24,150	\$2,671,830
Arts and Sciences	\$10,330,852	\$4,795,693	\$15,126,545
Broadcast Services	\$3,218,568		\$3,218,568
Business School	\$6,548,695	\$25,000	\$6,573,695
Dentistry	\$1,140,315	\$18,000	\$1,158,315
Education	\$1,002,945	\$295,100	\$1,298,045
Engineering	\$13,385,609	\$9,573,193	\$22,958,802
Evans Schl. of Pub. Affairs	\$490,366	\$3,517,907	\$4,008,273
Forest Resources	\$1,714,193	\$213,832	\$1,928,025
Graduate School	\$1,757,203	\$181,583	\$1,938,786
Information School	\$206,824	\$38,736	\$245,560
Intercollegiate Athletics	\$5,761,274		\$5,761,274
Law	\$34,617,929	\$20,698	\$34,638,627
Libraries	\$723,770	\$65,382	\$789,152
Nursing	\$1,252,900	\$542,909	\$1,795,809
Ocean and Fisheries	\$1,960,425	\$3,397,339	\$5,357,764
Pharmacy	\$818,004	\$191,606	\$1,009,610
President's Funds	\$502,881		\$502,881
Public Health	\$652,925	\$5,617,646	\$6,270,571
Scholar. & Student Progs.	\$4,786,475	\$66,456	\$4,852,931
Social Work	\$483,950	\$353,405	\$837,355
UW Alumni Association	\$480,634		\$480,634
University Press	\$220,722		\$220,722
University Support	\$5,392,948	\$915,354	\$6,308,302
Washington Tech. Center			
UW Bothell	\$51,089	\$600,000	\$651,089
UW Tacoma	\$1,478,110	\$4,990	\$1,483,100
<b>All UW Total</b>	<b>\$137,955,991</b>	<b>\$54,851,435</b>	<b>\$192,807,426</b>

Source: UW Office of Development

Contribution totals for the major Development areas of the University are shown.

Job Number: 68669

December 2005

Development Area Summary - Total Private Voluntary Support



DEVELOPMENT SUMMARY - GIFTS AND PRIVATE GRANTS

AREA	CURRENT MONTH		YEAR TO DATE		PRIOR YEAR TO DATE		PRIOR FISCAL YEAR	
	Donors	Value	Donors	Value	Donors	Value	Donors	Value
UW Seattle								
UW Medicine	5,464	\$32,343,896	11,561	\$60,721,146	11,445	\$40,551,509	18,807	\$89,363,526
Architecture	447	\$344,734	665	\$2,671,830	555	\$263,881	1,125	\$900,689
Arts and Sciences	4,056	\$6,542,519	10,347	\$15,126,545	9,863	\$14,010,576	15,435	\$25,765,062
Broadcast Services	639	\$187,816	1,844	\$3,218,568	1,737	\$3,768,132	3,217	\$8,301,726
Business School	921	\$3,620,602	2,876	\$6,573,695	2,691	\$7,956,585	4,296	\$12,344,544
Dentistry	318	\$486,962	875	\$1,158,315	799	\$842,237	1,270	\$1,418,395
Education	247	\$264,870	1,006	\$1,298,045	777	\$3,263,737	1,475	\$7,555,540
Engineering	899	\$10,366,352	2,789	\$22,958,802	2,406	\$15,784,293	4,024	\$31,841,841
Evans Schl. of Pub. Affairs	112	\$1,681,421	272	\$4,008,273	427	\$6,299,292	721	\$9,948,313
Forest Resources	301	\$294,050	600	\$1,928,025	511	\$853,035	1,023	\$2,002,612
Graduate School	90	\$189,228	251	\$1,938,786	240	\$2,128,903	535	\$4,065,408
Information School	111	\$76,765	417	\$245,560	386	\$285,923	569	\$400,100
Intercollegiate Athletics	1,997	\$2,947,050	4,213	\$5,761,274	3,236	\$5,145,521	23,274	\$15,865,980
Law	491	\$33,430,020	1,071	\$34,638,627	951	\$992,500	1,728	\$1,831,593
Libraries	402	\$178,498	1,055	\$789,152	1,054	\$483,466	4,105	\$1,030,319
Nursing	549	\$418,581	1,154	\$1,795,809	1,130	\$1,346,223	1,627	\$2,439,883
Ocean and Fisheries	211	\$2,935,753	403	\$5,357,764	373	\$6,762,803	679	\$9,870,610
Pharmacy	223	\$367,539	534	\$1,009,610	451	\$1,399,379	1,031	\$3,133,622
President's Funds	356	\$302,925	912	\$502,881	884	\$339,291	2,237	\$693,593
Public Health	129	\$1,122,847	357	\$6,270,571	303	\$5,655,843	639	\$10,248,558
Scholar. & Student Progs.	618	\$2,682,367	1,819	\$4,852,931	1,860	\$2,700,698	3,358	\$5,087,417
Social Work	113	\$313,215	327	\$837,355	237	\$834,126	788	\$1,456,040
UW Alumni Association	2,163	\$108,655	9,894	\$480,634	9,296	\$427,101	20,482	\$1,034,131
University Press	33	\$44,956	244	\$220,722	190	\$185,093	357	\$465,799
University Support	271	\$2,280,958	1,052	\$6,308,302	779	\$5,382,886	2,202	\$9,634,062
Washington Tech. Center								
UW Bothell	39	\$9,979	145	\$651,089	175	\$210,733	520	\$286,256
UW Tacoma	100	\$387,975	308	\$1,483,100	173	\$321,692	650	\$3,786,663
<b>All UW Unique Total</b>	<b>19,065</b>	<b>\$103,930,546</b>	<b>49,636</b>	<b>\$192,807,426</b>	<b>46,526</b>	<b>\$128,195,471</b>	<b>95,227</b>	<b>\$260,772,296</b>

Source: UW Office of Development

The number of donors and contribution totals for the major Development areas of the University are shown. Dollar values are based on donor values.

Job Number: 68669

December 2005

Development Area Summary - Gifts and Private Grants



DEVELOPMENT SUMMARY - GIFTS

AREA	CURRENT MONTH		YEAR TO DATE		PRIOR YEAR TO DATE		PRIOR FISCAL YEAR	
	Donors	Value	Donors	Value	Donors	Value	Donors	Value
UW Seattle								
UW Medicine	5,415	\$28,295,075	11,364	\$36,328,690	11,261	\$18,696,758	18,519	\$38,381,050
Architecture	447	\$344,734	663	\$2,647,680	554	\$261,381	1,123	\$518,323
Arts and Sciences	4,051	\$4,868,172	10,303	\$10,330,852	9,820	\$10,264,570	15,367	\$18,075,018
Broadcast Services	639	\$187,816	1,844	\$3,218,568	1,737	\$3,768,132	3,217	\$8,301,726
Business School	921	\$3,620,602	2,875	\$6,548,695	2,690	\$7,916,385	4,295	\$12,293,744
Dentistry	317	\$483,962	872	\$1,140,315	796	\$750,518	1,265	\$1,207,976
Education	247	\$264,870	1,004	\$1,002,945	774	\$1,287,940	1,468	\$1,809,231
Engineering	893	\$8,838,869	2,747	\$13,385,609	2,367	\$11,408,893	3,953	\$20,659,919
Evans Schl. of Pub. Affairs	108	\$101,156	261	\$490,366	412	\$291,957	699	\$544,233
Forest Resources	299	\$207,533	594	\$1,714,193	507	\$716,928	1,015	\$1,434,077
Graduate School	90	\$189,228	248	\$1,757,203	235	\$990,608	529	\$1,760,644
Information School	111	\$76,765	413	\$206,824	385	\$231,648	568	\$327,830
Intercollegiate Athletics	1,997	\$2,947,050	4,213	\$5,761,274	3,236	\$5,145,521	23,274	\$15,865,980
Law	491	\$33,430,020	1,070	\$34,617,929	949	\$967,500	1,725	\$1,686,596
Libraries	402	\$178,498	1,053	\$723,770	1,054	\$483,466	4,105	\$1,030,319
Nursing	549	\$418,581	1,144	\$1,252,900	1,121	\$749,450	1,616	\$1,569,608
Ocean and Fisheries	206	\$433,796	380	\$1,960,425	361	\$1,824,272	654	\$2,060,947
Pharmacy	222	\$294,539	531	\$818,004	448	\$1,205,777	1,024	\$2,155,260
President's Funds	356	\$302,925	912	\$502,881	884	\$339,291	2,237	\$693,593
Public Health	121	\$94,271	328	\$652,925	282	\$731,377	596	\$951,832
Scholar. & Student Progs.	618	\$2,682,367	1,817	\$4,786,475	1,860	\$2,700,698	3,357	\$4,964,114
Social Work	111	\$277,215	322	\$483,950	228	\$431,712	775	\$578,123
UW Alumni Association	2,163	\$108,655	9,894	\$480,634	9,296	\$427,101	20,482	\$1,034,131
University Press	33	\$44,956	244	\$220,722	190	\$185,093	357	\$465,799
University Support	270	\$1,445,239	1,049	\$5,392,948	779	\$5,382,886	2,199	\$9,529,319
Washington Tech. Center								
UW Bothell	39	\$9,979	144	\$51,089	175	\$210,733	520	\$286,256
UW Tacoma	100	\$387,975	307	\$1,478,110	172	\$319,292	649	\$3,784,263
<b>All UW Unique Total</b>	<b>18,990</b>	<b>\$90,534,861</b>	<b>49,308</b>	<b>\$137,955,991</b>	<b>46,216</b>	<b>\$77,689,900</b>	<b>94,742</b>	<b>\$151,969,925</b>

Source: UW Office of Development

The number of donors and contribution totals (gifts only) for the major Development areas of the University are shown. Dollar values are based on donor values.

Job Number: 68669

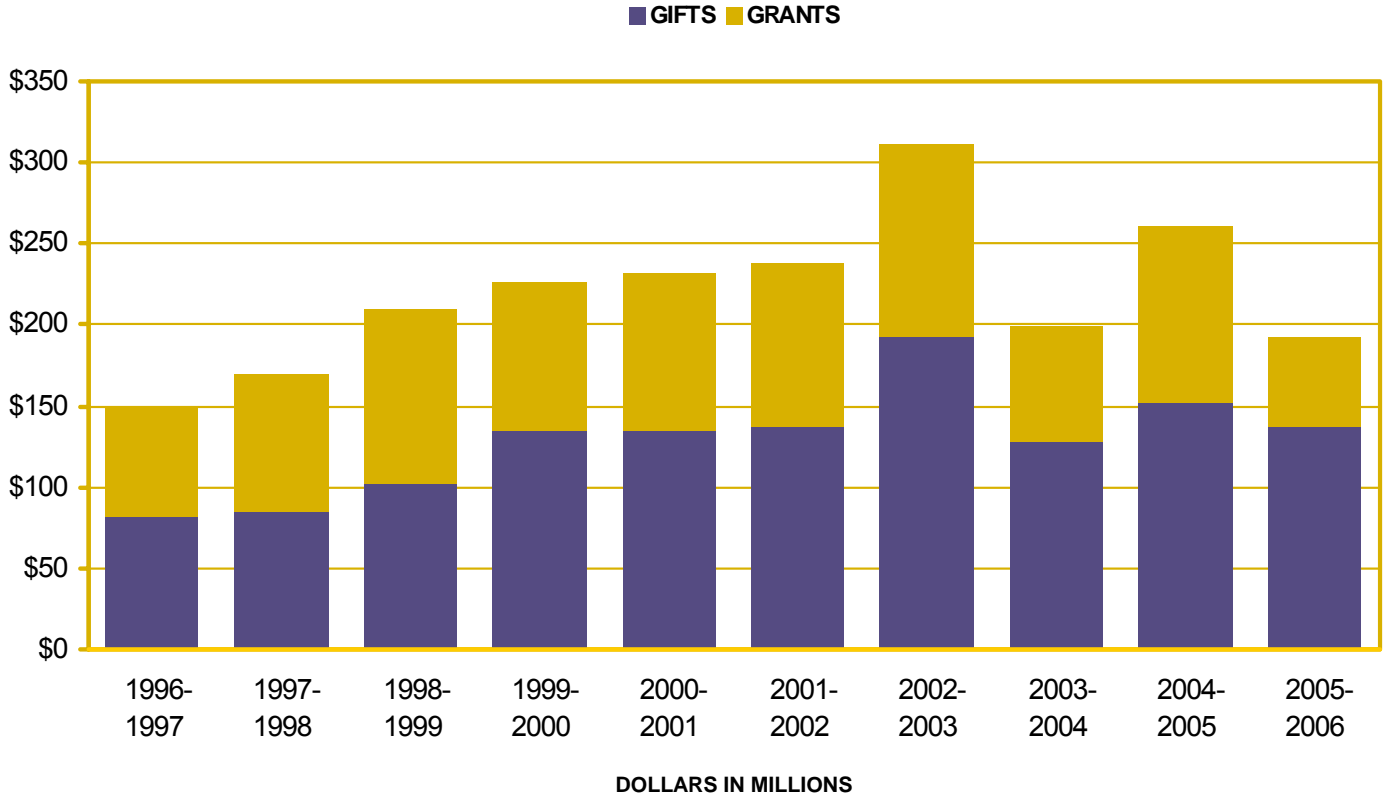
December 2005

Development Area Summary - Gifts





COMPLETE FISCAL YEAR COMPARISON OF TOTAL CONTRIBUTIONS RECEIVED



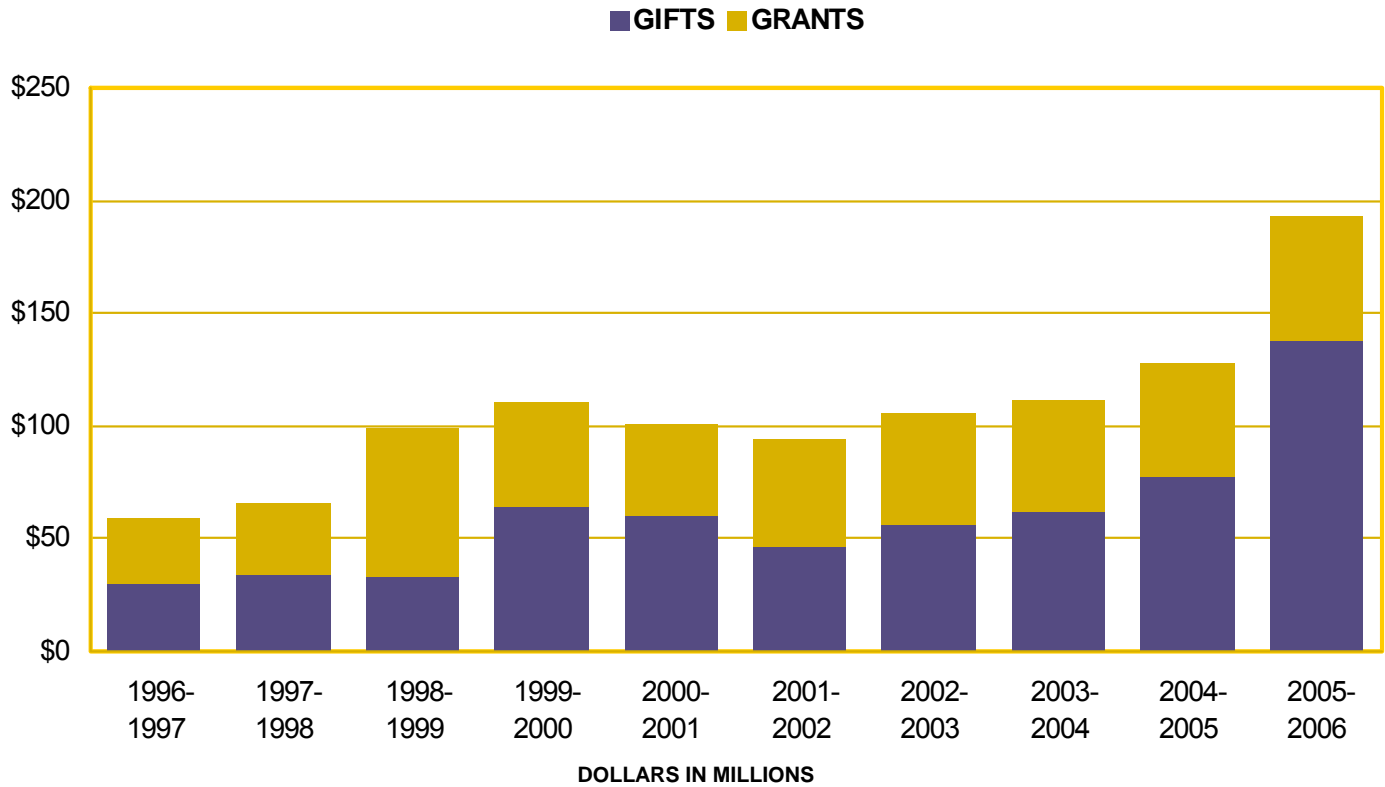
FISCAL YEAR	GIFTS	GRANTS	TOTAL CONTRIBUTIONS
2005- 2006	\$137,955,991	\$54,851,435	\$192,807,426
2004- 2005	\$151,969,925	\$108,802,371	\$260,772,296
2003- 2004	\$128,174,367	\$71,603,323	\$199,777,690
2002- 2003	\$192,573,183	\$118,677,722	\$311,250,905
2001- 2002	\$137,959,340	\$100,820,547	\$238,779,887
2000- 2001	\$134,805,190	\$97,112,979	\$231,918,169
1999- 2000	\$134,037,997	\$91,536,165	\$225,574,162
1998- 1999	\$102,925,077	\$107,619,586	\$210,544,663
1997- 1998	\$84,718,016	\$85,276,615	\$169,994,631
1996- 1997	\$81,892,963	\$67,425,874	\$149,318,837

Source: UW Office of Development

This graph compares the current fiscal year's contribution totals to each of the previous nine fiscal year's contribution totals.



## YEAR TO DATE CONTRIBUTION TOTALS



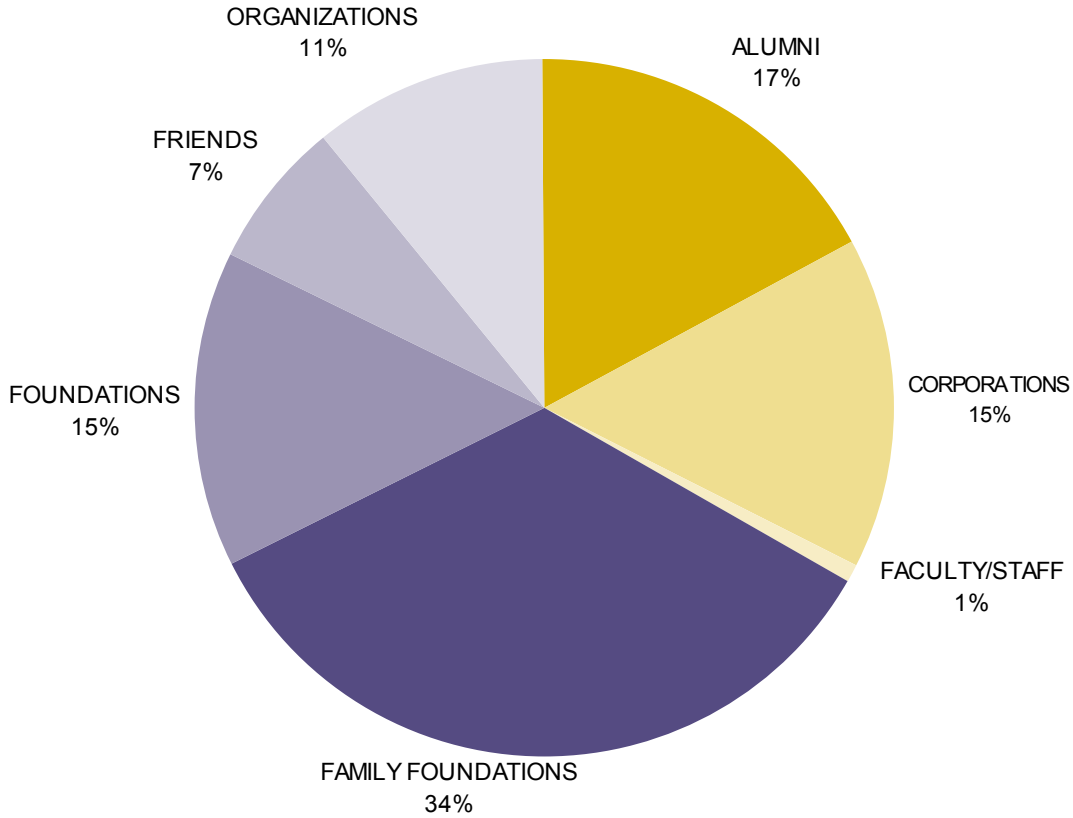
FISCAL YEAR	GIFTS	GRANTS	TOTAL CONTRIBUTIONS
2005- 2006	\$137,955,991	\$54,851,435	\$192,807,426
2004- 2005	\$77,689,900	\$50,505,571	\$128,195,471
2003- 2004	\$62,089,442	\$48,886,946	\$110,976,388
2002- 2003	\$56,283,917	\$49,383,639	\$105,667,556
2001- 2002	\$46,825,862	\$46,929,112	\$93,754,975
2000- 2001	\$59,840,487	\$40,542,569	\$100,383,056
1999- 2000	\$64,006,287	\$46,019,341	\$110,025,628
1998- 1999	\$32,786,646	\$65,836,662	\$98,623,308
1997- 1998	\$33,640,703	\$32,367,456	\$66,008,159
1996- 1997	\$30,314,436	\$28,465,916	\$58,780,352

Source: UW Office of Development

This graph compares the current fiscal year's contribution totals to each of the previous nine fiscal year's contribution totals.



DEVELOPMENT ACTIVITY BY DONOR TYPE IN CURRENT FISCAL YEAR



DONOR TYPE	YEAR TO DATE		PRIOR YEAR TO DATE		PRIOR FISCAL YEAR	
	Donors	Value	Donors	Value	Donors	Value
Alumni	27,950	\$33,240,138	25,875	\$26,167,071	49,406	\$45,066,818
Corporations	1,689	\$29,163,925	1,675	\$27,816,384	3,775	\$61,273,024
Faculty/Staff	2,503	\$1,808,171	2,456	\$2,182,194	3,656	\$4,572,200
Family Foundations	123	\$65,795,977	117	\$12,053,121	176	\$20,706,692
Foundations	289	\$28,396,202	244	\$27,694,027	398	\$60,401,770
Friends	16,837	\$13,726,360	15,873	\$12,663,231	37,429	\$28,361,471
Organizations	311	\$20,676,653	309	\$19,619,442	553	\$40,390,320

Source: UW Office of Development

This graph shows the sources of contributions for the current year to date. Dollar values are based on donor value.

Job Number: 68669  
 December 2005

Development Activity by Donor Type in Current Fiscal Year Chart



## ALUMNI PARTICIPATION BY CONSTITUENCY

AREA	CURRENT FISCAL YEAR TO DATE			PREVIOUS FISCAL YEAR TO DATE			
	Solicitables	Donors	Partic. Rate	Solicitables	Donors	Partic. Rate	Final %
UW Seattle							
UW Medicine	16,049	1,896	11.8%	15,842	1,891	11.9%	21.5%
Architecture	7,393	783	10.6%	7,192	689	9.6%	18.5%
Arts and Sciences	126,129	11,933	9.5%	121,216	10,884	9.0%	16.7%
Business School	34,923	4,223	12.1%	34,015	3,960	11.6%	22.4%
Dentistry	4,388	755	17.2%	4,301	690	16.0%	29.0%
Education	18,434	1,930	10.5%	18,677	1,762	9.4%	20.0%
Engineering	30,120	2,948	9.8%	29,399	2,689	9.1%	17.0%
Evans School of Public Affairs	1,964	234	11.9%	1,872	189	10.1%	24.4%
Forest Resources	4,446	417	9.4%	4,382	407	9.3%	17.7%
Interdisc. Grad. Programs	1,296	126	9.7%	1,161	114	9.8%	20.3%
Interschool Programs	286	26	9.1%	241	24	10.0%	17.4%
Information School	3,976	587	14.8%	3,786	526	13.9%	22.7%
Law	7,320	1,030	14.1%	7,070	903	12.8%	24.8%
School of Nursing	8,181	1,216	14.9%	7,976	1,209	15.2%	24.5%
Ocean & Fisheries	3,642	369	10.1%	3,560	347	9.7%	18.7%
Pharmacy	3,255	414	12.7%	3,147	388	12.3%	30.4%
Public Health	3,766	390	10.4%	3,139	374	11.9%	22.7%
Social Work	5,804	473	8.1%	5,707	394	6.9%	17.4%
Undergrad. Interdisc. Programs	119	7	5.9%	67	5	7.5%	17.9%
UW Bothell	4,324	244	5.6%	3,580	220	6.1%	13.7%
UW Tacoma	4,892	227	4.6%	4,016	186	4.6%	13.2%
Unspecified	11,097	1,354	12.2%	11,614	1,404	12.1%	24.0%
<b>All UW Total</b>	<b>276,793</b>	<b>27,950</b>	<b>10.1%</b>	<b>267,179</b>	<b>25,874</b>	<b>9.7%</b>	<b>18.5%</b>

Source: UW Office of Development

Job Number: 68669  
 December 2005

Alumni Participation



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Grant and Contract Awards – November, 2005

RECOMMENDED ACTION:

It is the recommendation of the administration and the Finance and Audit Committee that the Board of Regents accept the Grant and Contract Awards as presented on the attached list.

Attachment: Grant and Contract Awards Summary  
Report of Grant and Contract Awards of  
\$1,000,000 or More

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# **Grant and Contract Awards Summary**

to

**The Board of Regents**

of the

**University of Washington**

for

**November 2005**

**Office of Research**

**Office of Sponsored Programs**

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## Table of Contents

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## NOVEMBER HIGHLIGHTS

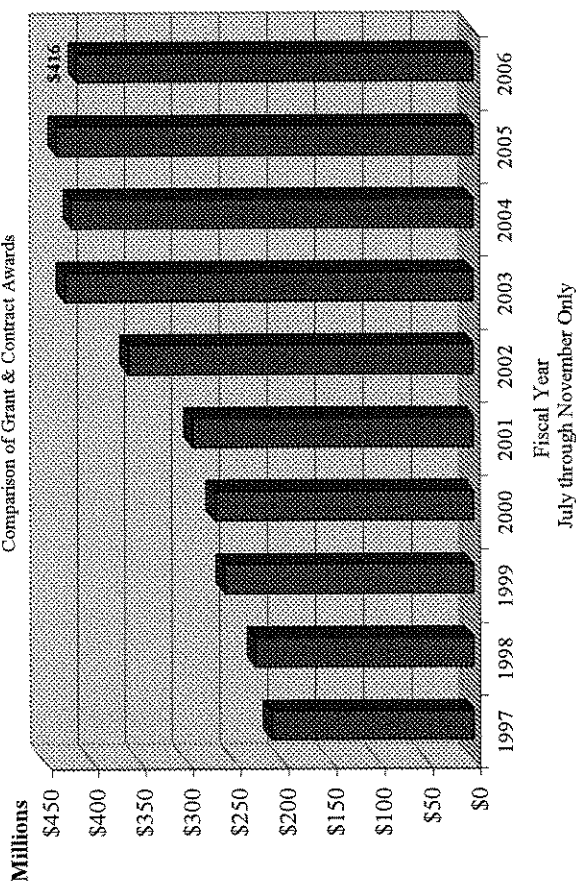
The National Institute of Mental Health of National Institutes of Health, awarded a grant in the amount of \$514,976 for a project under the direction of Assistant Professor Douglas F. Zatzick of the Department Of Psychiatry and Behavioral Sciences entitled "Early Combined Intervention After Traumatic Injury." These funds provide support for the first year of a two and one-half million dollar five year study to test the effectiveness of an early intervention that combines psychotherapeutic and psychopharmacological treatments with care management for the approximately 2.5 million individuals who are hospitalized each year after sustaining traumatic physical injuries. These injured patients are at high risk for developing post-traumatic stress disorder and related comorbidities. The investigation includes a national advisory committee that will integrate study findings into ongoing policy discussions concerning the adoption of acute care mental health services for diverse injured survivors of individual and mass trauma.

The European Commission awarded a grant in the amount of \$374,567 for a project under the direction of Professor John T. Keeler of the Henry M. Jackson School of International Studies entitled "European union Center of Excellence." The European Union (EU) Center at the University of Washington is one of fifteen EU Centers funded in the US with a grant from the European Commission. The mission of the UW Center is to promote the study of the EU and EU-US relations through teaching programs, scholarly research and outreach programs. The Center will emphasize collaborative programs with other Centers, European partner universities and community organizations. The program will afford a new generation of US undergraduates a hands-on exposure to the EU as well as provide for graduate program activities. A Center website will make available to a wider audience original materials and an interactive content element. The goal is to increase student and public knowledge of the EU and trans-Atlantic relations.



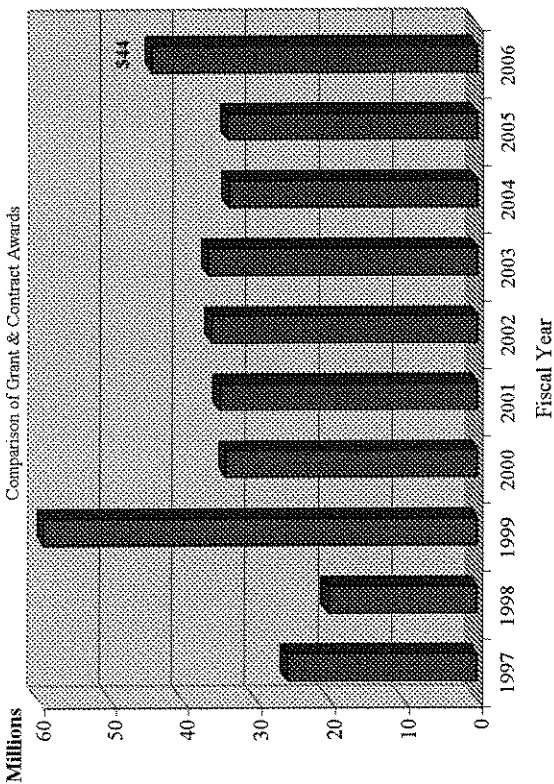
**YEAR-TO-DATE**

Comparison of Grant & Contract Awards



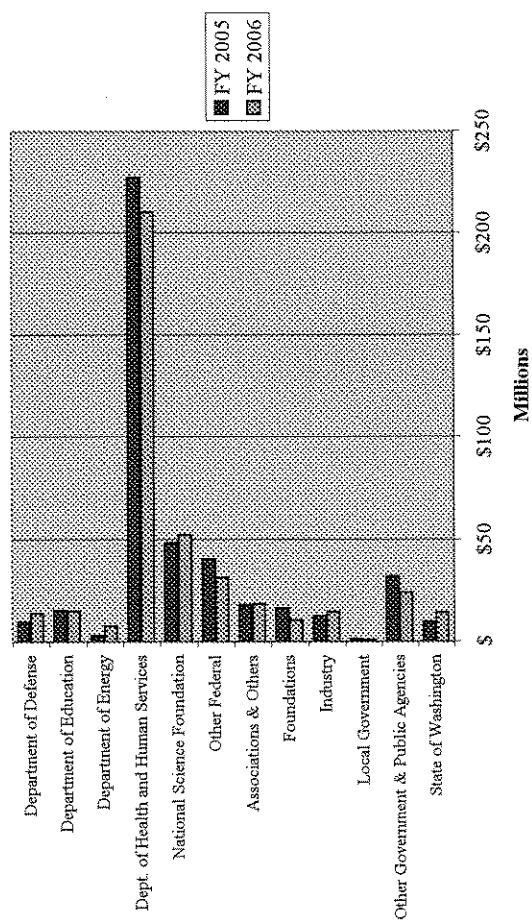
**NOVEMBER ONLY**

Comparison of Grant & Contract Awards



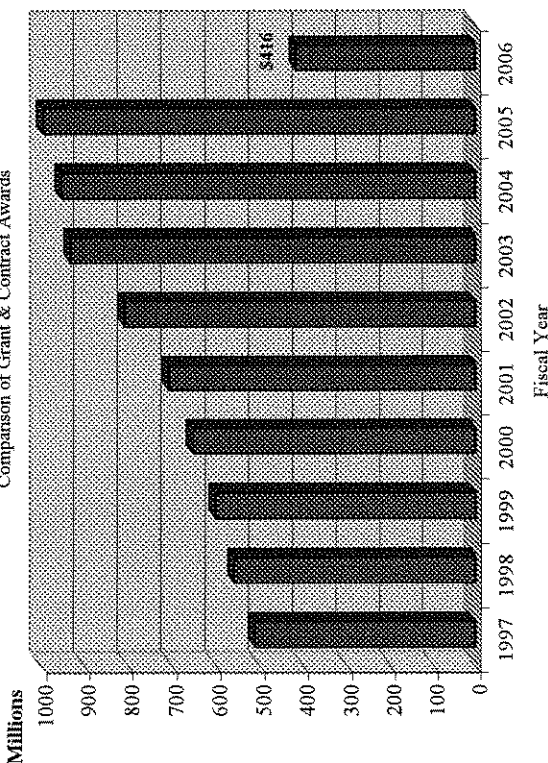
**JULY THROUGH NOVEMBER**

Two Year Comparison of Grant & Contract Awards



**COMPLETE FISCAL YEAR**

Comparison of Grant & Contract Awards



**Summary of Grant and Contract Awards**  
Fiscal Year 2005-2006

Month	RESEARCH		TRAINING		Total
	Federal	Non-Federal	Federal	Non-Federal	Grants and Contracts
July	\$66,463,818	\$6,444,105	\$7,164,851	\$1,418,430	\$81,491,204
August	\$82,136,975	\$15,186,181	\$6,605,300	\$6,661,367	\$110,589,823
September	\$66,526,770	\$14,825,079	\$15,124,518	\$3,290,200	\$99,766,567
October	\$53,095,542	\$15,762,787	\$6,572,165	\$3,939,508	\$79,370,002
November	\$16,328,571	\$13,351,636	\$11,726,933	\$2,983,538	\$44,390,678
December					
January					
February					
March					
April					
May					
June					
<b>Current Year to Date</b>	<b>\$284,551,676</b>	<b>\$65,569,787</b>	<b>\$47,193,767</b>	<b>\$18,293,043</b>	<b>\$415,608,273</b>
<b>Previous Year to Date</b>	<b>\$299,061,476</b>	<b>\$74,492,317</b>	<b>\$46,382,282</b>	<b>\$17,227,268</b>	<b>\$437,163,343</b>
<b>Over (Under) Previous Year</b>	<b>(\$14,509,800)</b>	<b>(\$8,922,530)</b>	<b>\$811,485</b>	<b>\$1,065,775</b>	<b>(\$21,555,070)</b>

Assuming acceptance of all awards by the Board of Regents

**Comparison of Grant and Contract Awards by Agency**  
**Fiscal Years 2004-2005 and 2005-2006**

Agency	July-Nov FY05	July-Nov FY06
Department of Defense	\$9,687,439	\$14,188,828
Department of Education	\$15,493,924	\$15,123,735
Department of Energy	\$3,273,338	\$8,027,049
Dept. of Health and Human Services	\$227,675,640	\$210,578,955
National Science Foundation	\$48,603,394	\$52,393,466
Other Federal	\$40,710,023	\$31,433,410
<b>Subtotal for Federal:</b>	<b>\$345,443,758</b>	<b>\$331,745,443</b>
Associations .Others	\$18,364,492	\$18,475,537
Foundations	\$16,816,719	\$10,808,475
Industry	\$12,704,557	\$14,848,890
Local Government	\$1,642,927	\$906,698
Other Government and Public Agencies	\$32,279,556	\$24,303,691
State of Washington	\$9,911,334	\$14,519,540
<b>Subtotal for Non-Federal:</b>	<b>\$91,719,585</b>	<b>\$83,862,830</b>
<b>Grand Total :</b>	<b>\$437,163,343</b>	<b>\$415,608,273</b>
<b>Amount of Increase (Decrease):</b>		<b>(\$21,555,070)</b>
<b>Percent of Increase (Decrease):</b>		<b>-4.9%</b>

Assuming acceptance of all awards by the Board of Regents

**Comparison of Grant and Contract Awards by School/College**  
**Fiscal Years 2004-2005 and 2005-2006**

<b>School/College</b>	<b>July-Nov FY05</b>	<b>July-Nov FY06</b>
<b>Upper Campus</b>		
Architecture and Urban Planning	\$300,397	\$1,673,235
Arts and Science	\$31,598,714	\$30,906,193
Business Administration	\$396,250	\$214,102
Education	\$9,444,975	\$8,726,879
Engineering	\$36,192,711	\$46,279,100
Evans School of Public Affairs	\$5,680,684	\$1,829,490
Forest Resources	\$3,060,404	\$3,397,626
Graduate School	\$937,451	\$4,429,818
Information School	\$999,946	\$1,120,258
Law	\$101,780	\$312,565
Ocean and Fishery Sciences	\$31,461,782	\$32,827,231
Office of Research	\$15,916,481	\$15,249,863
Social Work	\$11,425,578	\$6,173,029
Undergraduate Education	\$141,228	\$117,165
<b>Subtotal :</b>	<b>\$147,658,381</b>	<b>\$153,256,554</b>
<b>Health Sciences</b>		
Dentistry	\$5,640,120	\$5,433,057
Medicine	\$192,673,662	\$184,202,371
Nursing	\$7,944,959	\$7,898,636
Pharmacy	\$5,971,904	\$4,426,333
Public Health and Community Medicine	\$50,365,837	\$40,234,733
<b>Subtotal :</b>	<b>\$262,596,482</b>	<b>\$242,195,130</b>
<b>Special Programs</b>		
Health Sciences Special Programs	\$15,588,297	\$10,984,824
Other Special Programs	\$9,597,702	\$7,230,300
<b>Subtotal :</b>	<b>\$25,185,999</b>	<b>\$18,215,124</b>
<b>Branch Campuses</b>		
Branch Campuses (Bothell)	\$1,557,813	\$1,373,636
Branch Campuses (Tacoma)	\$164,668	\$567,829
<b>Subtotal :</b>	<b>\$1,722,481</b>	<b>\$1,941,465</b>
<b>Grand Total :</b>	<b>\$437,163,343</b>	<b>\$415,608,273</b>

Assuming acceptance of all awards by the Board of Regents

**List of Awards for Arts and Sciences**

<b>Department</b>	<b>July-Nov FY05</b>	<b>July-Nov FY06</b>
Center for Statistics and the Social Sciences	\$214,000	\$149,211
Center for Studies in Demography and Ecology	\$448,721	\$347,671
College of Arts and Sciences	\$1,147,442	\$0
Department of Anthropology	\$283,826	\$1,745,031
Department of Applied Mathematics	\$326,013	\$849,562
Department of Asian Languages and Literature	\$10,000	\$140,000
Department of Astronomy	\$793,092	\$994,639
Department of Atmospheric Sciences	\$2,231,430	\$2,685,577
Department of Biology	\$2,338,523	\$3,706,445
Department of Chemistry	\$8,032,948	\$5,295,052
Department of Classics	\$0	\$30,000
Department of Communication	\$889,500	\$24,550
Department of Earth and Space Sciences	\$3,552,358	\$2,404,154
Department of Economics	\$0	\$7,250
Department of Geography	\$311,978	\$0
Department of Germanics	\$36,000	\$36,000
Department of Mathematics	\$3,120,227	\$713,604
Department of Near Eastern Languages & Civilization	\$2,000	\$0
Department of Physics	\$2,218,259	\$1,945,929
Department of Political Science	\$0	\$50,000
Department of Psychology	\$2,712,431	\$4,807,583
Department of Scandinavian Languages and Literature	\$27,273	\$0
Department of Speech and Hearing Sciences	\$137,545	\$508,138
Department of Statistics	\$719,209	\$487,282
Halbert Robinson Center for the Study of Capable Y	\$0	\$500
Henry M. Jackson School of International Studies	\$1,308,470	\$1,039,520
Institute for Nuclear Theory	\$195,000	\$2,373,000
Public Performing Arts	\$0	\$76,400
Sociology	\$0	\$396,127
Thomas Burke Memorial Washington State Museum	\$542,469	\$92,968
	<b>\$31,598,714</b>	<b>\$30,906,193</b>

Assuming acceptance of all awards by the Board of Regents

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## Summary of Grant Awards

Fiscal Year 2005-2006

(Excluding Private Awards from Foundations, Industry, Associations and Other)

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Month	RESEARCH		TRAINING		Total Grants
	Federal	Non-Federal	Federal	Non-Federal	
July	\$63,379,387	\$2,308,194	\$7,159,851	\$368,324	\$73,215,756
August	\$81,212,598	\$5,167,397	\$6,185,083	\$1,116,369	\$93,681,447
September	\$64,172,453	\$4,008,427	\$14,974,336	\$859,951	\$84,015,167
October	\$47,210,635	\$4,970,887	\$5,793,886	\$1,715,466	\$59,690,874
November	\$13,530,017	\$5,689,102	\$10,643,700	\$435,777	\$30,298,596
December					
January					
February					
March					
April					
May					
June					
<b>Year to Date</b>	<b>\$269,505,090</b>	<b>\$22,144,007</b>	<b>\$44,756,856</b>	<b>\$4,495,887</b>	<b>\$340,901,840</b>

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Assuming acceptance of all awards by the Board of Regents

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## Summary of Grant Awards

Fiscal Year 2005-2006

(Private Awards from Foundations, Industry, Associations and Other)

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Month	RESEARCH	TRAINING	Total Grants
July	\$2,778,247	\$341,543	\$3,119,790
August	\$6,311,912	\$2,075,600	\$8,387,512
September	\$6,422,372	\$2,206,643	\$8,629,015
October	\$6,012,089	\$1,082,512	\$7,094,601
November	\$5,856,127	\$2,115,378	\$7,971,505
December			
January			
February			
March			
April			
May			
June			
Year to Date	\$27,380,746	\$7,821,676	\$35,202,422

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Assuming acceptance of all awards by the Board of Regents

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**Summary of Contract Awards**

**Fiscal Year 2005-2006**

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<b>Month</b>	<b>RESEARCH</b>		<b>TRAINING</b>		<b>Total Contracts</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$3,084,431	\$1,357,664	\$5,000	\$708,563	\$5,155,658
August	\$924,377	\$3,706,872	\$420,217	\$3,469,398	\$8,520,864
September	\$2,354,317	\$4,394,280	\$150,182	\$223,606	\$7,122,385
October	\$5,884,907	\$4,779,812	\$778,279	\$1,141,530	\$12,584,528
November	\$2,798,554	\$1,806,407	\$1,083,233	\$432,383	\$6,120,577
December					
January					
February					
March					
April					
May					
June					
<b>Year to Date</b>	<b>\$15,046,586</b>	<b>\$16,045,035</b>	<b>\$2,436,911</b>	<b>\$5,975,480</b>	<b>\$39,504,012</b>

**Assuming acceptance of all awards by the Board of Regents**



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**Report of Grant and Contract Awards  
Of \$1,000,000 or More**

**November 2005**

**Requiring Action of  
The Board of Regents**

**of the  
University of Washington**

**Office of Research  
Office of Sponsored Programs**

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Detail of Grant Awards (Excluding Private Awards) for  
November 2005

**FEDERAL**

**DEPT. OF HEALTH AND HUMAN SERVICES**

**Health Resources and Services Administration**

To: KING K. HOLMES, PROFESSOR \$4,994,230  
DEPARTMENT OF MEDICINE  
For: INTERNATIONAL AIDS EDUCATION AND TRAINING CENTER

Eff: 4/1/2002

To: PAUL G. RAMSEY, DEAN \$1,473,098  
SCHOOL OF MEDICINE  
For: THE BIOENGINEERING BUILDING

Eff: 8/1/2002

**National Institutes of Health**

To: SIDNEY D. NELSON, PROFESSOR/DEAN \$1,286,981  
REGIONAL PRIMATE RESEARCH CENTER  
For: WASHINGTON NATIONAL PRIMATE RESEARCH CENTER SUPPLEMENT 1

Eff: 5/1/2005

**Dept. of Health and Human Services Subtotal:**

---

**\$7,754,309**

**NATIONAL SCIENCE FOUNDATION**

**National Science Foundation**

To: JOHN D. BRANSFORD, PROFESSOR \$4,966,426  
COLLEGE OF EDUCATION  
For: THE LIFE CENTER: LEARNING IN INFORMAL AND FORMAL ENVIRONMENTS

Eff: 9/1/2004

To: ELIZABETH L. FEETHAM, DEAN \$2,336,000  
GRADUATE SCHOOL  
For: 2005 NSF FELLOWS

Eff: 12/1/2005

**National Science Foundation Subtotal:**

---

**\$7,302,426**

**Total for Federal:**

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**\$15,056,735**

Detail of Private Grant Awards for  
November 2005

**PRIVATE**

**FOUNDATIONS**

**Robert Wood Johnson Foundation**

To: DAVID A. ACOSTA, ASSOCIATE DEAN \$1,200,000  
SCHOOL OF MEDICINE  
For: SUMMER MEDICAL AND DENTAL EDUCATION PROGRAM  
Eff: 11/1/2005

**Foundations Subtotal:**

---

**\$1,200,000**

**Total for Private:**

---

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**\$1,200,000**

Detail of Contract Awards for  
November 2005

**FEDERAL**

**DEPT. OF HEALTH AND HUMAN SERVICES**

**National Institutes of Health**

To: CHE-CHUNG TSAI, RESEARCH SCIENTIST \$1,664,278  
REGIONAL PRIMATE RESEARCH CENTER  
For: PRIMATE MODELS TO EVALUATE HIV PREVENTION AND THERAPEUTIC STRATEGIES

Eff: 9/28/2001

**Dept. of Health and Human Services Subtotal:**

---

**\$1,664,278**

**Total for Federal:**

---

---

**\$1,664,278**

**Total Awards \$1,000,000 or Greater:**

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**\$17,921,013**

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee**Report of Actions Taken Under Delegated Authority

Pursuant to the Standing Orders of the Board of Regents, Delegation of Authority, and to the delegation of authority from the President of the University to the Executive Vice President in Executive Order No. 1, to take action for projects or contracts that exceed \$1,000,000 in value or cost but are less than \$5,000,000, the Administration may approve and execute all instruments.

**4545 Building and Parking Garage  
Action Reported: Purchase**

Under authority delegated by the Board of Regents on February 18, 2004, the UW exercised its option to purchase the 4545 Building and Parking Garage with a designated closing date of April 5, 2006. At closing, the UW will become the owner of the 4545 Parking Garage with financing provided by the UW Parking System. TSB Properties, a Washington non-profit organization managed by the National Development Council, will become the owner of the 4545 Building with tax exempt financing and a master lease to UW. Title for the building will transfer to UW when the tax-exempt financing is retired.

**HSC AA-Wing Court Roof Replacement, Project No. 201129  
Action Reported: Architect Appointment**

On December 15, 2005, an agreement for architectural services was awarded to Cornerstone Architects under their Master Agreement for the MHSC AA-Wing Court Roof Replacement Project. The contract amount is \$42,103, for basic design services out of a total design budget of \$137,588. The design budget includes costs for testing and other construction related consultant services.

Cornerstone Architectural Group was formed in Seattle in 1993; they have a long and successful history of designing replacement roofing including roofing work at the University.

The project scope includes replacing approximately 19,500 square feet of roofing, including the roof of the Health Sciences AA- Wing Court and the related mezzanine roof. Project challenges include the reduction of noise and odors, as well as access over an active loading dock. The project is scheduled to begin construction during the summer of 2006, and be completed in the fall of 2006.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee (continued p. 2)

Upon completion of preliminary design, a project budget will be established. The project is estimated to cost over \$1 million, which is available from the Building Renewal Budget.

#### **HSC T-Wing Roof Replacement, Project No. 201131 Action Reported: Architect Appointment**

On December 8, 2005, an agreement for architectural services was awarded to Cornerstone Architects under their Master Agreement, for the MHSC T-Wing Roof Replacement Project. The contract amount is \$45,866, for basic design services out of a total design budget of \$154,448. The design budget includes costs for testing and other construction related consultant services.

Cornerstone Architectural Group was formed in Seattle in 1993; they have a long and successful history of designing replacement roofing including roofing work at the University.

The project scope includes replacing approximately 25,000 square feet of roofing comprised of specific parts of the Health Sciences T-Wing, and parts of the D, F and H Wings that are adjacent to the T-Wing. The main project constraint is the difficulty accessing the different roofs. The project is scheduled to begin construction during the summer of 2006 and be completed in the fall of 2006.

Upon completion of Preliminary Design, a project budget will be established. The project is estimated to cost over \$1 million, which is available from the Building Renewal Budget.

#### **Padelford Communications Upgrade, Project No. 10730 Action Reported: Architect Appointment and Establish Project Budget**

On December 20, 2005, an agreement for architectural services was awarded to Stock & Associates, Inc., for the Padelford Communications Upgrade project under their Master Agreement. The contract amount is \$79,920 for basic design services, out of the total design budget of \$120,080. The design budget includes costs for a pre-design (already completed), testing and other construction related consultant services.

Stock & Associates is a Seattle-based architectural firm, whose work on campus includes renovations in numerous buildings including Bagley Hall and Health Sciences.

The scope of the project includes upgrading the communications pathways and cabling in Padelford Hall to current UW Computing and Communications surface mounted

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee (continued p. 3)

standards. Due to the unique building lines of Padelford, the University determined that a custom designed and fabricated cable tray would best suit the program requirement of the project. The project will furnish and install category 5e communications cabling from the communications closets throughout the building via custom fabricated punched sheet metal horizontal pathways. Horizontal pathways and cabling will be installed to accommodate existing workstation spaces for both voice and data services. Additionally, the project will address space issues for the one Intermediate Distribution Frame (IDF) located in 'B' wing 1st floor.

The project budget is established at \$1,568,567.00. Funding is available from the Building Renewal Budget.

<b>Budget Summary:</b>	<b>Current Approved Budget</b>	<b>Forecast Cost At Completion</b>
Total Consultant Services	\$120,080	\$120,080
Total Construction Cost	\$1,326,261	\$1,326,261
Other Costs	\$15,902	\$15,902
Project Administration	\$106,324	\$106,324
<b>Total Project Budget</b>	<b>\$1,568,567</b>	<b>\$1,568,567</b>

### **HSC I-Wing -2 Level HVAC Improvements, Project No. 201245**

#### **Action Reported: Architect Appointment and Establish Project Budget**

On January 12, 2006, an agreement for architectural services was awarded to Perkins + Will Architecture for the HSC I-Wing -2 Level HVAC Improvement Project under their existing Master Agreement for Architectural Services. The value of the design contract is estimated to be \$118,063 for basic design services, out of a total design budget of \$220,447. The design budget includes costs for pre-design (already complete), testing/commissioning and other related consultant services.

The original architect selected for the project was MBT Architecture in October 2005. In November 2005, MBT Architecture merged with Perkins + Will. In addition to the master agreement for renovations in the Health Science Center, MBT Architecture designed the K-Wing facility, including the build out of the minus 2 (-2) level of I-Wing as part of the K-Wing project.

The project replaces and consolidates exhaust fans, HEPA filters and system controls to maintain negative pressure and containment in the suite in accordance to BSL3 certification requirements.



## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee (continued p. 4)

The project budget is established at \$1,594,511. Funding is available from central funds.

<b>Budget Summary:</b>	<b>Current Approved Budget</b>	<b>Forecast Cost At Completion</b>
Total Consultant Svcs	\$ 220,447	\$220,447
Total Construction Cost	\$1,196,715	\$1,196,715
Other Costs	\$49,763	\$49,763
Project Administration	\$127,586	\$ 127,586
<b>Total Project Budget</b>	<b>\$ 1,594,511</b>	<b>\$ 1,594,511</b>

#### **More Hall Annex Decontamination and Decommissioning, Project No. 10492 Action Reported: Contract Award**

On December 20, 2005, a construction contract was awarded to LVI Services, Inc., in the amount of \$2,468,646 for the More Hall Annex Decontamination and Decommissioning project. Three bids were received for the project. The low bid was \$2,468,646; second to low was \$2,725,000 submitted by Duratek and the high bid was \$3,268,000 submitted by Demco. The low bid was \$58,000 over the estimated budget. Contingency was reduced and the overall project budget will remain the same. LVI is a nationwide demolition company. There are two primary subcontractors that form the project team along with LVI: Enercon and DeNuke.

The scope of the project is to dismantle the University's Argonaut type research and training nuclear reactor and terminate its Nuclear Regulatory Commission (NRC) facility license. The fuel rods were removed from the reactor in the late 1980's and transported to an appropriate disposal facility in Idaho. On May 1, 1995, as a result of a program submitted by the University, the NRC issued an 'Order Authorizing Dismantling of Facility and Disposition of Component Parts'. Currently, small amounts of radioactivity remain in components of the reactor structure and associated equipment. These contaminated components will be demolished, containerized and disposed of in appropriate facilities.

Decontamination and decommissioning activity is anticipated to begin in mid-March 2006, and be complete by December, 2006. At the conclusion of this process, LVI Services will submit a final status survey report to the University of Washington who will in turn submit it to the NRC for termination of the facility license and free release of the building for other purposes. It is anticipated that the NRC approval will take one year, after which time the building will be demolished under separate contract.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee (continued p. 5)

The project budget is \$4,099,984. Funding is available from the 2003-2005 Capital Budget.

<b>Budget Summary:</b>	<b>Current Approved Budget</b>	<b>Forecast Cost At Completion</b>
Total Consultant Svcs	\$555,530	\$555,530
Total Construction Cost	\$3,022,202	\$3,022,202
Other Costs	\$237,227	\$237,227
Project Administration	\$285,025	\$285,025
<b>Total Project Budget</b>	<b>\$4,099,984</b>	<b>\$4,099,984</b>

**HSC I-Wing 7<sup>th</sup> Floor Cognitive Research Center, Project No. 10271**  
**Action Reported: Contract Award**

On December 22, 2005 a construction contract was awarded to Western Ventures Construction for the I-Wing 7<sup>th</sup> Floor Cognitive Research Center project in the amount of \$1,660,000. Six bids were received for the project ranging from the Western Ventures' low bid of \$1,660,000 to a high bid of \$1,983,500. Western Ventures Construction has completed several construction projects on the Seattle campus and the Health Sciences facility, including a laboratory renovation on the 7<sup>th</sup> floor of I-Wing adjacent to Cognitive Research Project.

Prior to bidding, the project scope was reduced in order to meet the budget for construction (\$1,985,105). Since bids came in lower than the estimate, the department has developed a prioritized list of items previously removed to be priced and added to the project within the limit of the available budget.

The 6280 sq ft. renovation of the I-Wing 7th floor updates and modernizes laboratory research space. The new cognitive research area is heavily dependent on electronic and computer imaging. State of the art test rooms shielded against ultra-low electronic radio frequencies will be used to protect and filter research from outside interference. Nine offices and a computational conference center surround the research laboratory. The project involves demolition and replacement of walls, floors, HVAC and electrical.

Construction notice to proceed was effective January 17, 2006 and substantial completion is anticipated for August 15, 2006.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee (continued p. 6)

The project budget was established at \$3,149,634, as reported in November 2003. Funding is available from a National Institute of Health (NIH) and various other grants. Total available funding is \$3,216,117.

<b>Budget Summary:</b>	<b>Current Approved Budget</b>	<b>Forecast Cost At Completion</b>
Total Consultant Svcs	\$365,044	\$365,044
Total Construction Cost	\$2,440,696	\$2,440,696
Other Costs	\$84,995	\$84,995
Project Administration	\$258,899	\$258,899
<b>Total Project Budget</b>	<b>\$3,149,634</b>	<b>\$3,149,634</b>

#### **1401 N.E. Boat Street Marina Redevelopment, Project No. 10386 Action Reported: Budget Increase**

The project budget has been increased from \$1,790,412, as reported in May 2005, to \$2,430,000 due to selecting a more expensive docking system and the addition of the car top boat ramp to the scope of the project.

The scope of the project includes replacing the existing badly deteriorated wood and cedar log float boat marina, which is beyond its useful life. The approximately 14,000 square feet, 100-slip marina will be reconfigured to accommodate a larger range of boat sizes from 25 – 50 feet in length in approximately 71 slips. Improvements include power, water, and a fire standpipe system for the floats, and ADA access to the boat slips. Design and permitting will continue through the summer of 2006, with construction starting in fall of 2006 and complete in April 2007.

In November 2005, the consultant team of MCS Environmental and Reid Middleton completed a more detailed report on dock system options and costs. The report examined four dock systems including two pre-cast concrete systems, an open steel frame grate system with polyethylene plastic floats, and a high density polyethylene (HDPE) pipe float system with a HDPE open grated decking. Criteria for evaluation included constructability, functionality, long term maintenance ADA accessibility, and life cycle costs. The HDPE system was determined to meet the project requirements more effectively than the open steel frame grate system that formed the original cost basis.

In addition, a car-top-boat-launch (CTBL) was added to the 1401 Marina work scope to satisfy a prior Property Use and Development Agreement (PUDA) created in

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee (continued p. 7)

August 2000 that allowed vacating and realignment of 15<sup>th</sup> Ave NE with the City of Seattle. This added dock facility will allow for public kayak and canoe launching.

Changing to the HDPE float and grate system for the docks and adding the CTBL increased the project budget from \$1,790,412 to \$2,430,000. Funding is available from the UW Real Estate Office in a combination of cash reserves and Interfund Loan for the main dock. The CTBL is funded from central funds.

<b>Budget Summary:</b>	<b>Current Approved Budget (5/19/05)</b>	<b>Revised Budget 11/15/05</b>	<b>Forecast Cost At Completion</b>
Total Consultant Services	\$376,268	387,166	387,166
Total Construction Cost	\$1,316,242	1,906,720	1,906,720
Other Costs	\$16,712	25,626	25,626
Project Administration	\$81,190	110,488	110,488
<b>Total Project Budget</b>	<b>\$1,790,412</b>	<b>2,430,000</b>	<b>2,430,000</b>

#### Purchase - Oceanographic Buoys

The UW School of Oceanography uses oceanographic buoys as part of a global ocean observing system similar to the atmospheric observing system used to predict weather. The buoys drift and collect profiles of temperature, salinity, and other parameters, then transmit their data to a satellite. The data are transmitted from the satellite to our laboratory and are made publicly available in real-time. These data are being used by a number of groups in the world to improve ocean models, and to begin to do ocean prediction.

A sole source contract was issued to Webb Research based on continuity of research and compatibility with numerous other buoys previously purchased for this project. The price for the buoys has been determined to be fair and reasonable. The total contract price is not to exceed \$1,800,000 plus sales tax. Funding for this purchase is available from a federal grant from the National Oceanographic and Atmospheric Administration (NOAA).

Oceanography has submitted a request to NOAA for continued funding for this research for an additional five years. If approved, UW will continue to purchase buoys from Webb Research for each year's research needs.

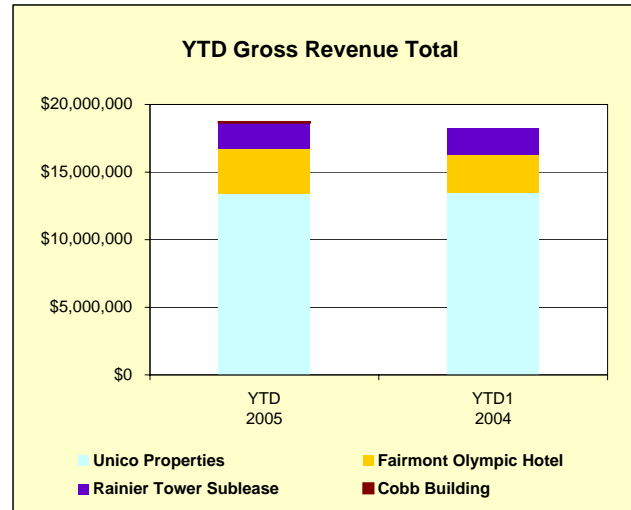
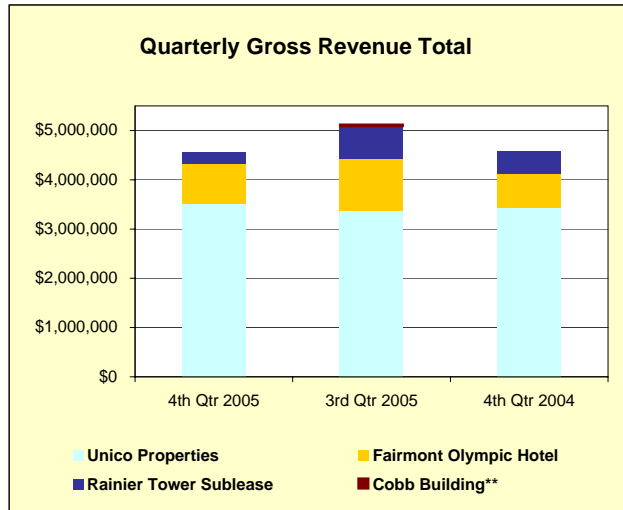
**METROPOLITAN TRACT**  
**PERFORMANCE REPORT**  
**For the Quarter Ended**  
**December 31, 2005**



**Finance, Audit & Facilities Committee**

February 16, 2005

University of Washington Metropolitan Tract  
**CONSOLIDATED METROPOLITAN TRACT PROPERTIES**  
**Quarterly Summary**  
**Quarter Ending December 31, 2005**



CURRENT QUARTER							
Gross Revenue to University	4th Qtr 2005	Prior Qtr* 3rd Qtr 2005	Prior Year* 4th Qtr 2004	Change from Prior Qtr		Change from Prior Year	
				\$	%	\$	%
Unico Properties	3,515,451	3,367,671	3,436,021	147,780	4.4%	79,430	2.3%
Rainier Tower Sublease	232,122	658,334	454,551	(426,212)	(64.7%)	(222,429)	(48.9%)
Fairmont Olympic Hotel	803,713	1,059,038	695,495	(255,325)	(24.1%)	108,218	15.6%
Cobb Building**	0	38,500	0	(38,500)	-	0	-
<b>TOTAL GROSS REVENUE</b>	<b>\$4,551,286</b>	<b>\$5,085,043</b>	<b>\$4,586,067</b>	<b>(\$533,757)</b>	<b>(10.5%)</b>	<b>(\$34,782)</b>	<b>(0.8%)</b>

Gross Revenue to University	CALENDAR YEAR TO DATE				ANNUAL	
	YTD 2005	YTD <sup>1</sup> 2004	Change from Prior YTD		Projected 2005	Actual <sup>1</sup> 2004
			\$	%		
Unico Properties	13,437,140	13,463,845	(26,704)	(0.2%)	13,854,843	13,463,841
Rainier Tower Sublease	1,914,592	1,954,708	(40,116)	(2.1%)	636,524	1,954,708
Fairmont Olympic Hotel	3,282,863	2,855,971	426,893	14.9%	2,941,650	2,855,971
Cobb Building	77,000	0	77,000	-	130,330	0
<b>TOTAL GROSS REVENUE</b>	<b>\$18,634,596</b>	<b>\$18,274,524</b>	<b>\$360,072</b>	<b>2.0%</b>	<b>\$17,433,017</b>	<b>\$18,274,520</b>

<sup>1</sup> Adjusted to exclude Cobb

12/31/05 INTERNAL VALUATION	
	Gross Market Value
Unico Managed Properties <sup>1</sup>	396,100,000
Fairmont Olympic Hotel	160,000,000
Cobb Building <sup>2</sup>	6,700,000
<b>TOTAL</b>	<b>\$562,800,000</b>

<sup>1</sup> Includes the Rainier Tower Sublease

<sup>2</sup> Represents stabilized value less cost to complete the project

**CONSOLIDATED METROPOLITAN TRACT PROPERTIES**

**Quarterly Summary**

**Quarter Ending December 31, 2005**

**CONSOLIDATED METROPOLITAN TRACT SUMMARY**

The Metropolitan Tract total revenue was \$4.55 million in the fourth quarter of 2005. Following two consecutive quarters of improvement, this decline of 10.5% from the third quarter was expected with the hotel revenues at seasonal highs during the third quarter as well as planned capital expenditures at Rainier Tower in the fourth quarter. The Unico revenues were up for the quarter by 4.4%.

The Tract generated \$18.6m of gross revenue for the University in 2005, a slight increase (2%) over 2004. The stellar performance of the Olympic Hotel which increased rent to the University of more than \$400,000 made up for slight declines from Unico and the Rainier Tower sublease. Additionally, the year end results were significantly higher than had been projected for the year driven by the hotel recovery and timing of leasing related expenditures that didn't occur in 2005.

**UNICO PROPERTIES**

Revenue from the Unico properties was up 4.4%, totaling \$3.5 million for the quarter. Office revenue was fairly flat, while large gains in retail was the true driver behind the quarter's increase. Parking was off 2.2%. Comparing to a year prior, Office is down almost 8%, though a nearly 24% increase in Retail mitigates that shortfall. Occupancy in the office properties hovers near 90%. Rainier Tower is currently 100% leased (not including sublease space). Piper Jaffray recently moved out of IBM Building, dropping occupancy there to under 80%. Current lease activity at Puget Sound Plaza should bring its occupancy level up in the near term. The average occupancy in the Seattle Central Business District is approximately 88%.

**RAINIER TOWER SUBLEASE**

Revenue from the Rainier Tower Sublease totaled \$232,122 in the 4th quarter of 2005. Before comparing that to the previous quarter, it is worth noting that 3rd quarter's results were skewed by a one-time revenue event totaling \$175,000. Washington Mutual's vacation of two floors in the Tower also had the predictable revenue impact. Further, Washington Mutual will be vacating three more floors (20-22) in August, 2006. However, Marsh USA recently signed a lease to take over the majority of that space. Since 1995, the Rainier Tower Sublease has generated more than \$15.2 million dollars of net revenue.

**FAIRMONT OLYMPIC HOTEL**

The Fairmont Olympic Hotel generated revenue to the University in excess of \$800,000. This coincides with the autumnal downturn in the hospitality industry and therefore results in a 24% decrease from the preceding quarter. The 4th quarter's returns eclipsed 2004's year-ago period by 15.6%. This has been an unprecedented summer for the hotel, with occupancy, rates and RevPar exceeding all our historical records for the property. For the year, the hotel generated nearly 15% more revenue for the University than in 2004.

**COBB BUILDING ADJUSTMENT**

For comparison purposes, the Cobb Building has been factored out of all office and retail calculations in measurements of both revenue and occupancy.

**INTERNAL VALUATION**

The numbers presented represent the overall value of the real estate as estimated by Heitman and Urbis Partners as of 12/31/05, but do not account for the leasehold encumbrances.

## **MARKET UPDATE**

### **OFFICE MARKET**

The Puget Sound office market is maintaining its trend of steady improvement. As with the Metropolitan Tract properties, occupancy throughout the market continues to increase as many companies are expanding their operations and finding their old offices a tight fit. This appears to be a fairly sustainable trend in the near-term. Though the opening of Washington Mutual Center will certainly have its impact, it seems as though the approach of that additional space has been factored into the current market behavior and an anticipation of coming higher rents is prevalent in the market. As of 12/31/05, the CBD office vacancy was approximately 12% with total absorption for the year of nearly 1 million square feet over a 30 million square foot market.

### **HOTEL MARKET**

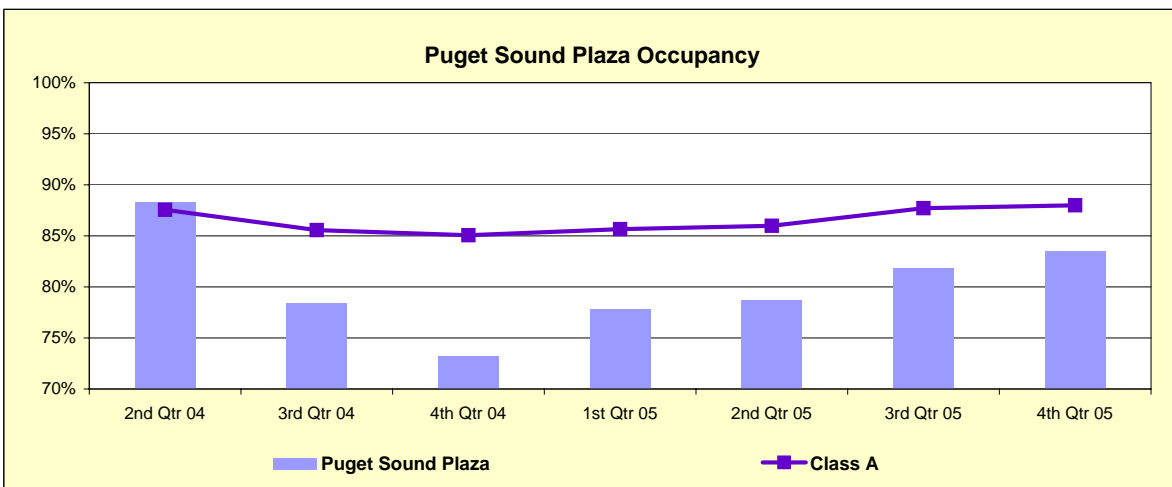
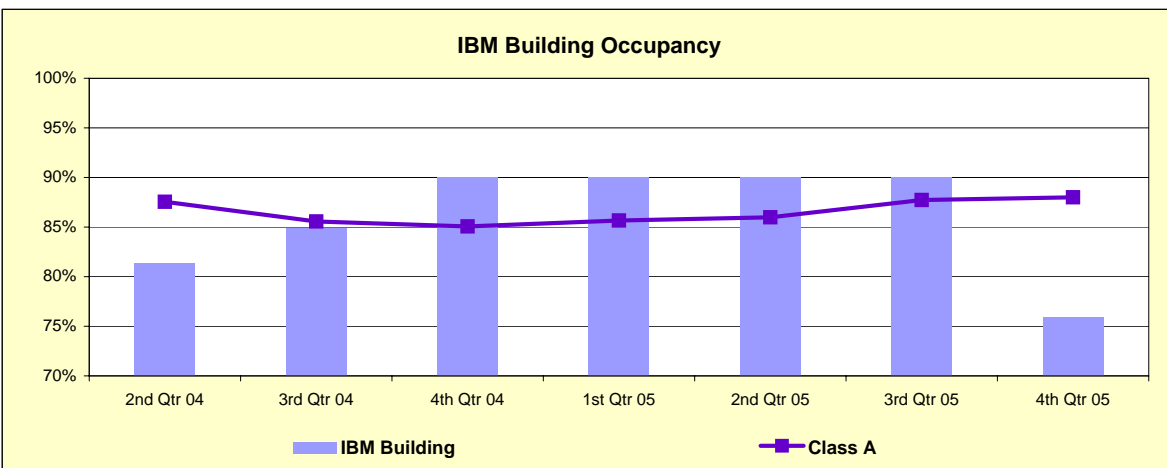
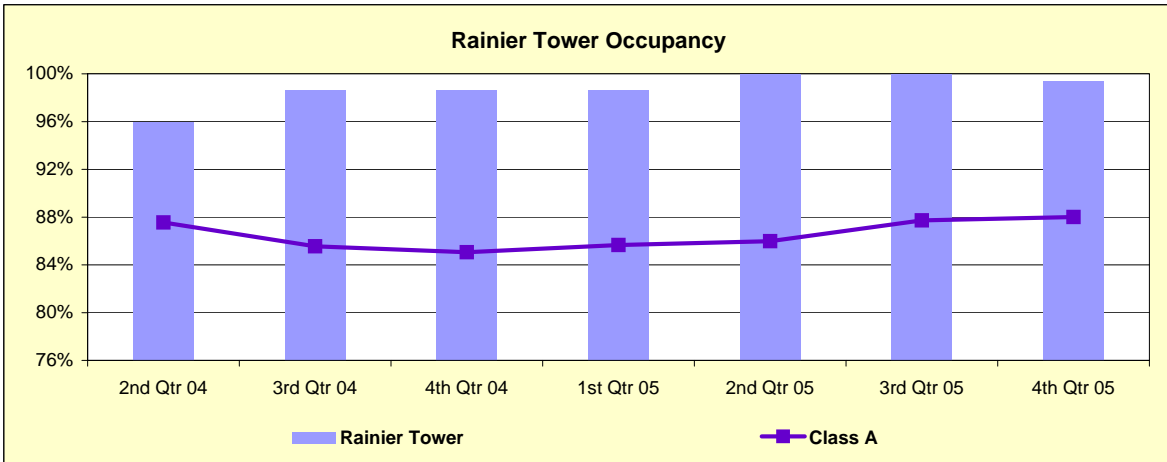
Despite a somewhat slow start to 2005, it was a phenomenal year throughout the hospitality industry and especially in the downtown luxury hotel market. By summer, occupancy, room rates and revenues were in excess of anything experienced in recent years. While it can be expected that 2006 will continue to build on the growth of the past year, it is unlikely that the market will see another year of 15% revenue growth. Looking further into the future, this market will begin to get crowded. Two new ultra-luxury condo-hotels are already under construction and the new tower at the Sheraton will add 415 rooms to the existing 838. With the new tower and their expanded meeting facilities, Seattle becomes a much more competitive city for drawing large conventions. Thus, this expansion is thought to be complementary to the market, rather than competitive as it will draw more business and revenue into the sector. In addition to the two under construction, there are two additional luxury condo-hotels planned to be built by 2008.

As of 1/31/06, Fairmont announced that it was being acquired by Saudi Prince Alwaleed bin Talal bin Abdulaziz Alsaud and Colony Capital. This should not impact the University's lease. Generally, industry insiders believe that this will be positive for Fairmont as the Prince is highly experienced with luxury hotels. The Fairmont brand will be retained.



University of Washington Metropolitan Tract  
**OFFICE BUILDING OCCUPANCY COMPARISON CHARTS**  
 Last Seven Quarters  
 Quarter Ending December 31, 2005

Includes Direct and Sublease Vacancy

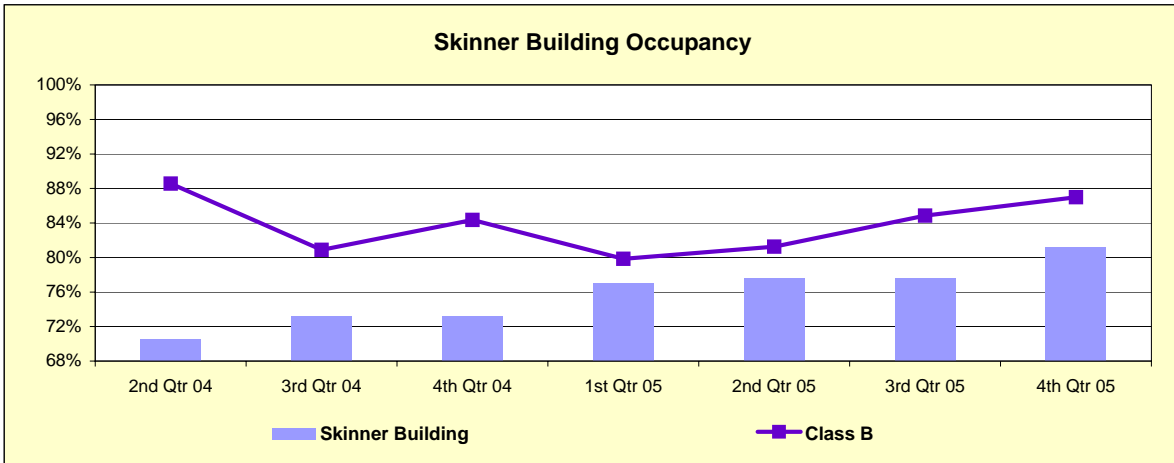
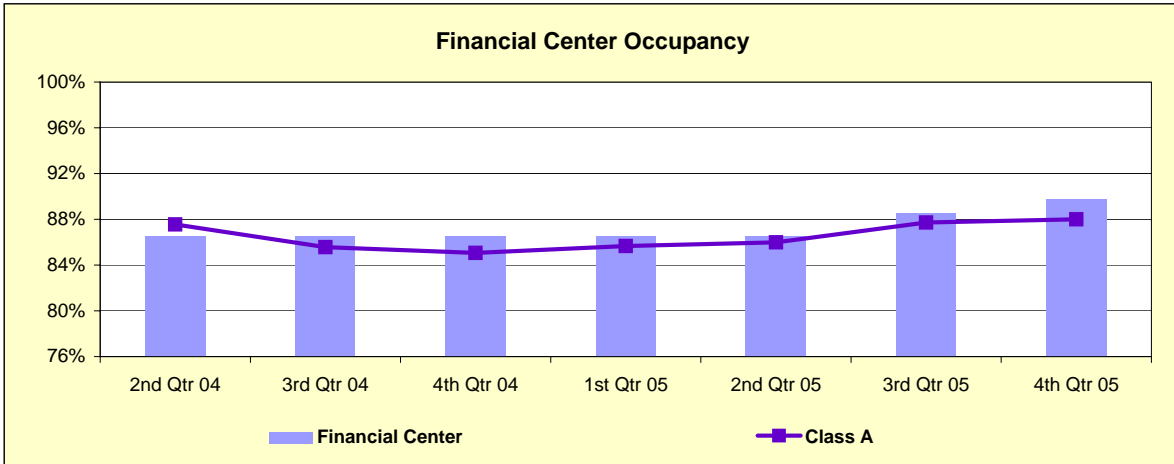


**OFFICE BUILDING OCCUPANCY COMPARISON CHARTS**

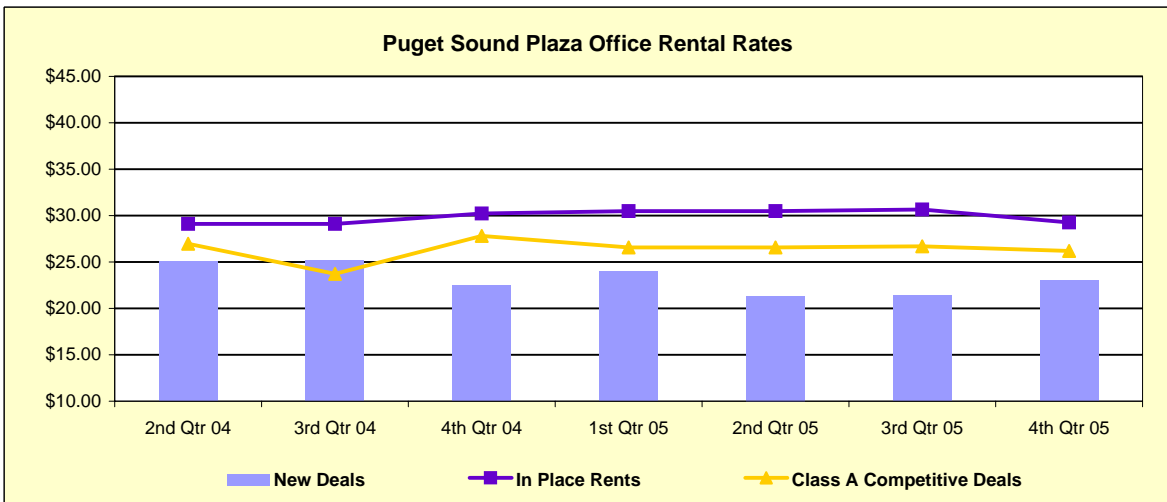
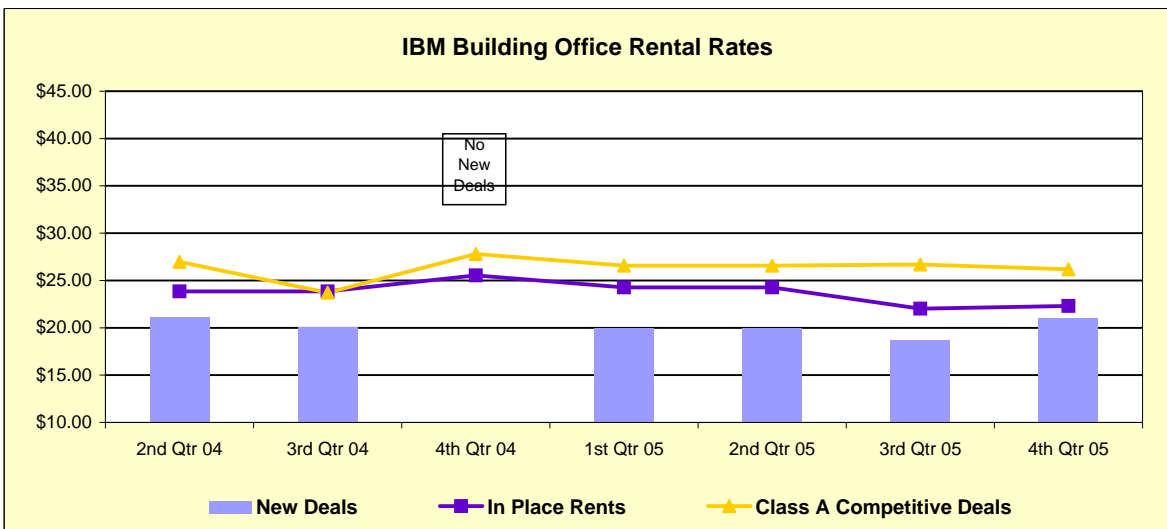
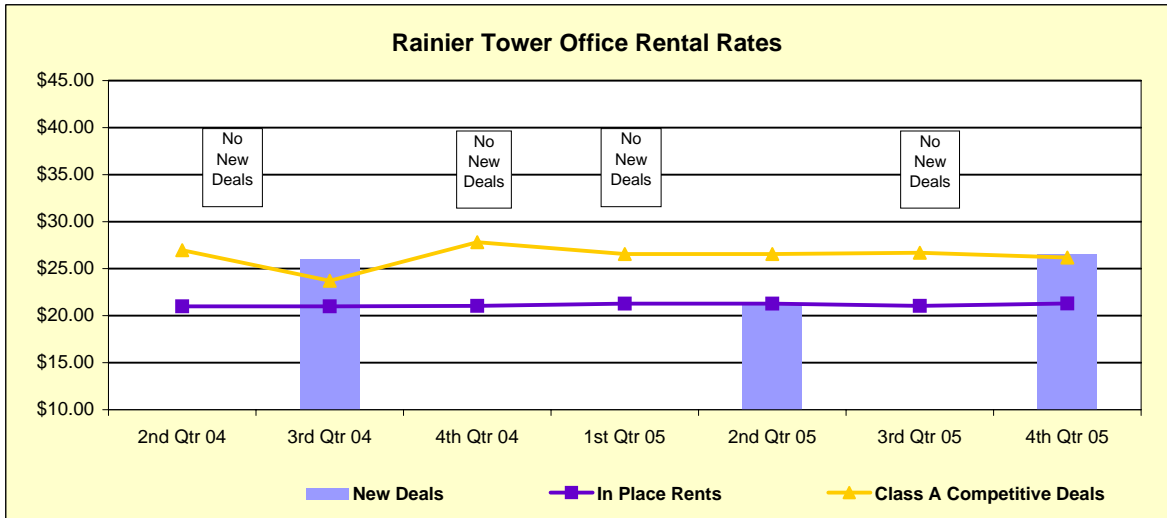
Last Seven Quarters

Quarter Ending December 31, 2005

Includes Direct and Sublease Vacancy

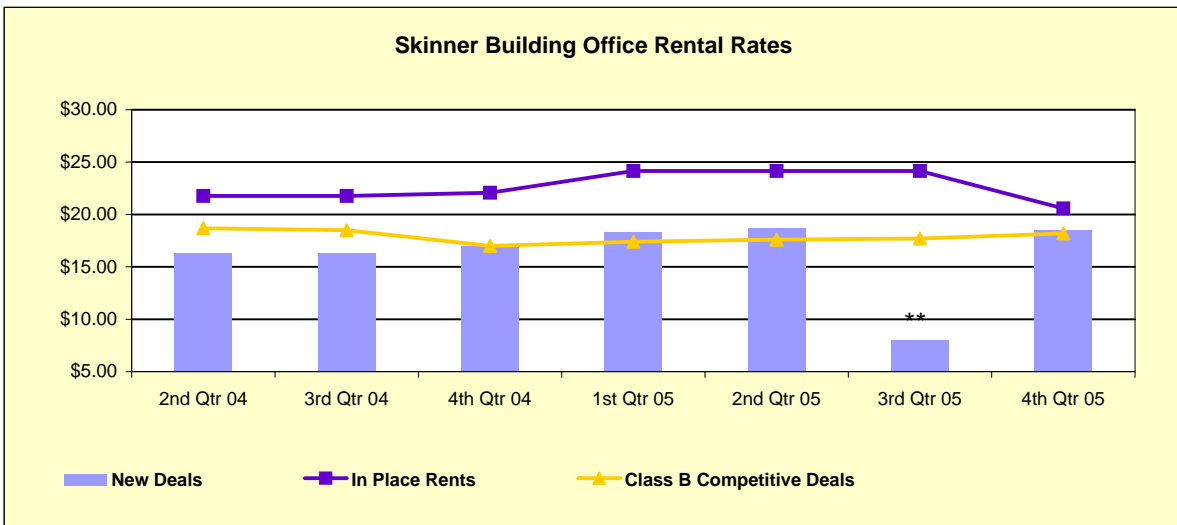
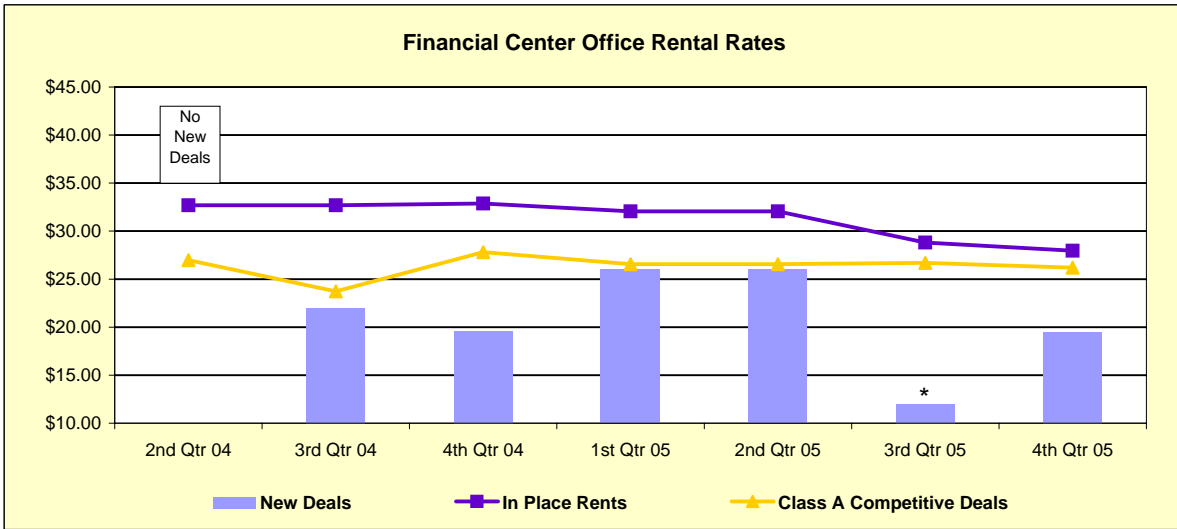


**OFFICE BUILDING RENTAL RATE COMPARISON**  
 Last Seven Quarters  
 Quarter Ending December 31, 2005



**Note:** Due to a decline in leasing velocity in the last several quarters, the competitive deals included in the charts above are based heavily upon asking rents, which are 10% to 20% higher than where lease deals are actually being done. The result is a gap between New Deals in the Metropolitan Tract and Competitive Deals in the market and should not reflect poorly on the performance of the properties.

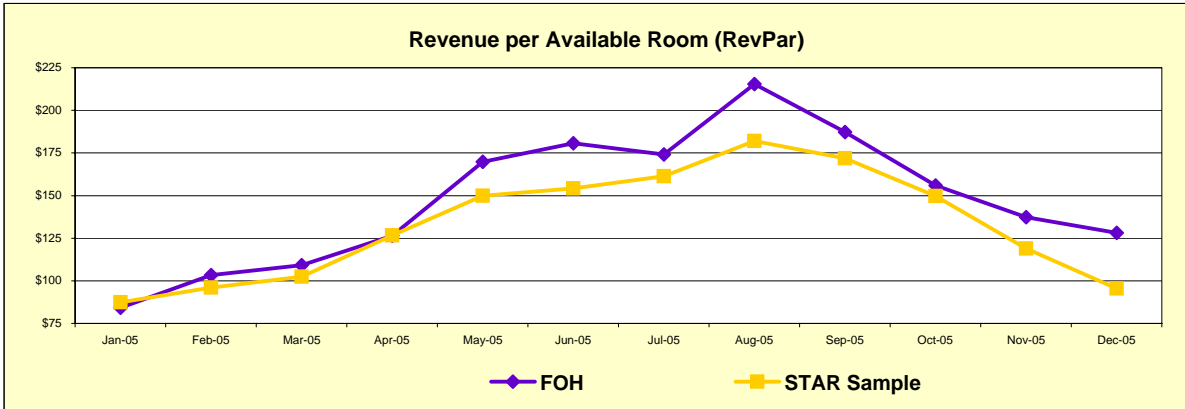
**OFFICE BUILDING RENTAL RATE COMPARISON**  
 Last Seven Quarters  
 Quarter Ending December 31, 2005



\*Represents short term lease deal  
 \*\*Represents 5th Avenue Theatre

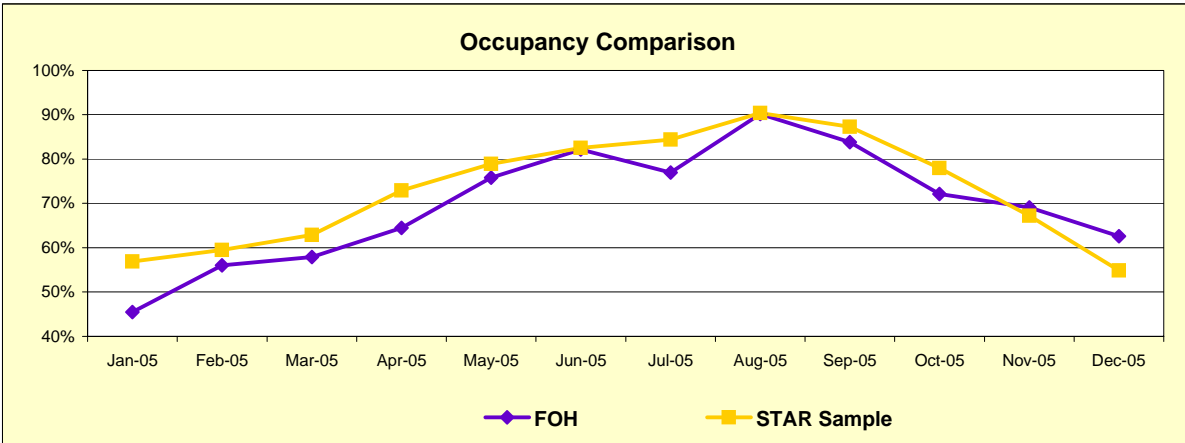
**Note:** Due to a decline in leasing velocity in the last several quarters, the competitive deals included in the charts above are based heavily upon asking rents, which are 10% to 20% higher than where lease deals are actually being done. The result is a gap between New Deals in the Metropolitan Tract and Competitive Deals in the market.

**FAIRMONT OLYMPIC HOTEL MARKET COMPARISONS**  
**Twelve Months Ended December 31, 2005**



RevPar 12-months Average	Dec-05	Dec-04	Change from Prior Year \$
FOH	\$147.65	\$127.77	\$19.87
STAR Sample Avg <1>	\$133.00	\$120.23	\$12.77

RevPar Current Month Ended	Dec-05	Dec-04	Change from Prior Year %
FOH	\$128.16	\$108.08	\$20.08
STAR Sample Avg <1>	\$95.39	\$82.62	\$12.77

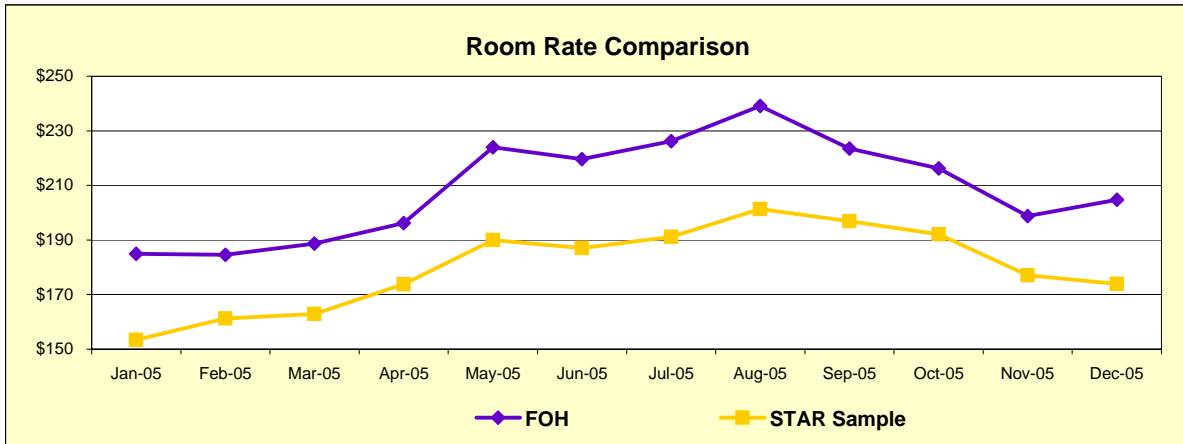


Occupancy 12-months Average	Dec-05	Dec-04	Change from Prior Year %
FOH	69.7%	63.8%	6.0%
STAR Sample Avg <1>	73.0%	69.4%	3.6%

Occupancy Current Month Ended	Dec-05	Dec-04	Change from Prior Year %
FOH	62.6%	53.1%	9.5%
STAR Sample Avg <1>	54.9%	52.0%	2.9%

<1> Information is based on Smith Travel Research (STAR) Report for the Sheraton Hotel, Hotel Vintage Park, Hotel Monaco, Seattle Alexis, Sorrento, Westin, W Hotel, Madison and Inn at the Market.

**FAIRMONT OLYMPIC HOTEL MARKET COMPARISONS**  
**Twelve Months Ended December 31, 2005**



Average Daily Rate 12-months Average	Dec-05	Dec-04	Change from Prior Year \$
FOH	\$208.87	\$199.36	\$9.52
STAR Sample Avg <1>	\$180.07	\$171.71	\$8.36

Average Daily Rate Month Ended	Dec-05	Dec-04	Change from Prior Year \$
FOH	\$204.80	\$203.61	\$1.19
STAR Sample Avg <1>	\$173.89	\$158.78	\$15.11

<1> Information is based on Smith Travel Research (STAR) Report for the Sheraton Hotel, Hotel Vintage Park, Hotel Monaco, Seattle Alexis, Sorrento, Westin, W Hotel, Madison and Inn at the Market.

VII. STANDING COMMITTEE

B. Finance, Audit and Facilities Committee

2005 Audit Report of the UW – Washington State Auditor

See attached.

VII. STANDING COMMITTEE

B. Finance, Audit and Facilities Committee

Sound Transit

Information will be available at the meeting.