

February 8, 2007

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 15, 2007

11:00 a.m.– 11:45 a.m.	142 Gerberding Hall	FINANCE, AUDIT AND FACILITIES COMMITTEE: Regents Jewell (Chr), Blake, Brotman, Cole, Kiga, Proctor
11:50 a.m.– 1:50 p.m.	142 Gerberding Hall	COMMITTEE OF THE WHOLE: Regents Kiga (Chair), Barer, Blake, Brotman, Cole, Faubion, Gates, Jewell, Proctor, Simon
2:00 p.m.– 2:40 p.m.	142 Gerberding Hall	ACADEMIC & STUDENT AFFAIRS COMMITTEE: Regents Barer (Chr), Cole, Faubion, Gates, Kiga, Simon
3:00 p.m.	Petersen Room Allen Library	REGULAR MEETING OF BOARD OF REGENTS
5:30 p.m.	Hill-Crest 808 36th Ave. East Seattle, WA 98112	DINNER FOR REGENTS, SPOUSES & OTHER GUESTS



**UNIVERSITY OF WASHINGTON
BOARD OF REGENTS**

February 8, 2007

TO: Members of the Academic and Student Affairs Committee
Regents Barer (Chair), Cole, Faubion, Gates, Kiga, Simon

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

RE: Meeting of Committee on 2/15/07 (2:00 p.m.–2:40 p.m., 142 Gerberding Hall)

The following topics are noted for discussion at the meeting of the committee on *Thursday, February 15, 2007*. 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. **Proposed Revisions to Tuition Waivers for Veterans and Members of the Washington National Guard** **INFORMATION** A-2
Gary Quarfoth, Interim Vice Provost, Planning and Budgeting
Eric Godfrey, Vice Provost, Student Life
3. **Graphic Bargaining Agreement – UW Ratification** **ACTION** A-3
Mindy Kornberg, V. P. for Human Resources
Lou Pisano, Executive Director, Labor Relations
4. **Health Metrics Institute** **INFORMATION** A-4
Paul Ramsey, MD, CEO, UW Medicine, Executive Vice President for Medical Affairs and Dean of the School of Medicine
Pat Wahl, PhD, Dean of the School of Public Health and Community Medicine
5. **Other Business**



**UNIVERSITY OF WASHINGTON
BOARD OF REGENTS**

February 8, 2007

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

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

RE: Meeting of Committee on 2/15/07 (11:50 a.m. –1:50 p.m., 142 Gerberding Hall)

The following topics are noted for discussion at the meeting of the committee on *Thursday, February 15, 2007*. Items requiring action by the full Board of Regents are marked "DRAFT."

1. **UW Medicine Board Annual Compliance Report** **INFORMATION** C-1
Sue Clausen, Associate Vice President, Medical Affairs
Compliance, UW Medicine
J. Shan Mullin, Chair, UW Medicine Board Compliance
Committee
2. **ICA Compliance Update** **INFORMATION** C-2
John Morris, Senior Associate Athletic Director for
Compliance
3. **Enterprise Risk Management** **INFORMATION** C-3
V'ella Warren, Vice President, Financial Management
Treasurer, Board of Regents



UNIVERSITY OF WASHINGTON
BOARD OF REGENTS

February 8, 2007

TO: Members of the Finance, Audit and Facilities Committee
Regents Jewell (Chair), Blake, Brotman, Cole, Kiga, Proctor

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

RE: Meeting of Committee on 2/15/07 (11:00 a.m.–11:45 a.m., 142 Gerberding Hall)

The following topics are noted for discussion at the meeting of the committee on *Thursday, February 15, 2007*. Items requiring action by the full Board of Regents are marked "DRAFT."

1. **Grant and Contract Awards – December, 2006** **ACTION** F–2
Weldon E. Ihrig, Executive Vice President
2. **Report of Contributions – December, 2006** **INFORMATION** F–1
Weldon E. Ihrig
3. **Actions Taken Under Delegated Authority** **INFORMATION** F–3
Richard Chapman, Associate V. P. for Capital Projects
4. **Graves Annex Improvements – Establish Project Budget and Report Contract Award** **ACTION** F–4
Richard Chapman
5. **University of Washington Job Order Contract – Contract Award** **ACTION** F–5
Richard Chapman
6. **Health Sciences Center H-Wing Renovation – Budget Approval and Contract Award** **ACTION** F–6
Richard Chapman
7. **Planned Replacement of Hospital Billing System** **INFORMATION** F–7
Bruce Ferguson, Chief Financial Officer, UW Medicine & Vice President for Medical Affairs
8. **Executive Session** (*to consider the minimum price at which real estate will be offered for sale or lease*)
9. **Other Business** **INFORMATION**



AGENDA

BOARD OF REGENTS University of Washington

February 15, 2007

3:00 p.m. – Petersen Room, Allen Library

(Item No.)

I. CALL TO ORDER

II. ROLL CALL

III. CONFIRM AGENDA

IV. REPORT OF THE CHAIR OF THE BOARD OF REGENTS: Regent Kiga

V. REPORT OF THE UNIVERSITY PRESIDENT: Dr. Emmert

VI. CONSENT AGENDA

Approval of Minutes of Meeting of January 18, 2007

Graphic Bargaining Agreement – UW Ratification A-3

Grant and Contract Awards – December, 2006 F-2

Graves Annex Improvements - Establish Project Budget and Report
Contract Award F-4

University of Washington Job Order Contract – Contract Award F-5

Health Sciences Center H-Wing Renovation – Budget Approval and Contract
Award F-6

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee: Regent Barer - Chair

Academic and Administrative Appointments (**ACTION**) A-1

Proposed Revisions to Tuition Waivers for Veterans and Members of the
Washington National Guard (Information only) A-2

Health Metrics Institute (Information only) A-4

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

Report of Contributions - December, 2006 (Information only)	F-1
Actions Taken Under Delegated Authority (Information only)	F-3
Planned Replacement of Hospital Billing System (Information only)	F-7

C. Committee of the Whole: Regent Kiga - Chair

UW Medicine Board Annual Compliance Report (Information only)	C-1
ICA Compliance Update (Information only)	C-2
Enterprise Risk Management (Information only)	C-3

VIII. OTHER BUSINESS

Reports from ex-officio representatives to the Board:

ASUW President – Mr. Cullen P. White

GPSS President – Ms. Kimberly A. Friese

Alumni Association President – Mr. Gregg Blodgett

Faculty Senate Chair – Professor Gail Stygall

IX. DATE FOR NEXT REGULAR MEETING: March 22, 2007, on the Bothell Campus**XI. ADJOURNMENT**

BOARD OF REGENTS
University of Washington
February 15, 2007

The Board of Regents held its regular meeting on Thursday, February 15, 2007, beginning at 3:30 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 Kiga (presiding), Barer, Blake, Brotman, Cole, Faubion, Gates, Jewell, Proctor, Simon; Dr. Emmert, Dr. Wise, Ms. Warren, Ms. Sams; ex-officio representatives: Mr. White, Mr. Blodgett, Professor Stygall.

Absent: Ms. Friesse

CONFIRM AGENDA

The agenda was confirmed as presented.

REPORT OF THE CHAIR OF THE BOARD OF REGENTS: Regent Kiga

Regent Kiga remarked he had nothing to report. Regent Gates asked to speak. He reminded the Board that at its meeting in December, it delegated to the University of Washington Foundation Board the question of what, if any change, should be made in the goal for UW Campaign, given the goal of \$2 billion has been reached one year early. The UW Foundation Board met in January and took action to increase the goal from \$2 to \$2.5 billion. The campaign will conclude as planned in June 2008. Regent Gates thanked the Board of Regents for extending the opportunity to the UW Foundation Board to deliberate and decide this important issue.

MOTION: Upon the recommendation of the Regent Cole and the motion made by Regent Brotman, seconded by Regent Jewell, the Board voted to express its appreciation to the UW Foundation Board for the enthusiasm it has displayed in carrying out the campaign thus far and for making the determination to extend the goal by another \$500 million. Regent Gates abstained.

Regent Brotman took a moment to thank Regent Gates, who serves as the Campaign Chair. A round of applause was given to Regent Gates.

REPORT OF THE UNIVERSITY PRESIDENT: Dr. Emmert

President Emmert gave brief remarks on the legislative session. The University continues to receive good support from Governor Gregoire and the legislative leadership. There continues to be discussion of higher education needs of Snohomish, Skagit and Island counties. The University remains vigilant in trying to obtain funding for the

operations and maintenance of the Safeco Building. The University is scheduled to take possession of this building early next year.

CONSENT AGENDA

Regent Kiga noted there were six 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 Jewell, the Board voted to approve the six items on the consent agenda as shown below.

Minutes for the meeting of January 18, 2007

Graphic Bargaining Agreement Collective Bargaining Agreement (Agenda no. A-3)

It was the recommendation of the administration that the Board of Regents approve the Collective Bargaining Agreement between the University of Washington and the Graphic Communications Union, Local 767 M that covers approximately 25 printers, electronic prepress workers and truck drivers working in the University's Print Plant. The duration of the agreement is three years, expiring on December 31, 2009. This contract is negotiated pursuant to RCW 41.56 which allows for agreements up to three years and do not have to be approved by the legislature, unlike our other agreements that were negotiated this past summer under RCW 41.80, which did require approval by the legislature.

Grant and Contract Awards – December, 2006 (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 December, in the total amount of \$31,802,140.

Graves Annex Improvements - Establish Project Budget and Report Contract Award (Agenda no. F-4)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Graves Annex Improvements project budget be established at \$5,233,316 and to report Action Taken to Award a Construction Contract to Wick Construction.

University of Washington Job Order Contract – Contract Award (Agenda no. F-5)

It was the recommendation of the administration and the Capital Assets Committee that the Executive Vice President be delegated authority to award a Job Order Contract (JOC) to Centennial Contractors Enterprises. The current law reads that the maximum contract amount for the cumulative value of all work orders for the first year shall not exceed \$3 million, \$5 million over two years, and \$8 million over three years. Each work order is currently limited to a maximum of \$150,000 with two work orders per year at \$200,000.

However, this could increase to a three-year total of \$12 million in new legislation with individual work orders at \$300,000.

Health Sciences Center H-Wing Renovation – Project Presentation (Agenda no. F-6)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the total project budget for the Health Sciences Center (HSC) H-Wing Renovation Project be revised to \$43.2 million, subject to the funding being available; and that the President be delegated authority to award the GC/CM construction contract in two phases, subject to the contract being within budget and the funding being available.

STANDING COMMITTEES

ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regent Barer, Chair

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

MOTION: Upon the recommendation of the administration and the motion made by Regent Proctor, seconded by Regent Jewell, the Board voted to approve the personnel appointments. Regent Faubion abstained from the discussion and vote.

Proposed Revisions to Tuition Waivers for Veterans and Members of the Washington National Guard (Agenda no. A-2) (Information only)

Health Metrics Institute (Agenda no. A-4) (Information only)

Regent Barer reported that the Academic and Student Affairs Committee felt the Proposed Revisions to Tuition Waivers for Veterans and Members of the Washington National Guard (Agenda no. A-2) was a thoughtful and well-deserved amendment and plans to take action on it at the March meeting. Regent Barer commented on the proposal to create a Health Metrics Institute (Agenda no. A-4), an entity which will develop innovative analytical frameworks, methods, and instruments to increase the efficiency and effectiveness of generating health information. He noted the establishment of the Health Metrics Institute is dependent on the recruitment of Professor Christopher Murray from Harvard University, as well as funding from the Bill and Melinda Gates Foundation.

FINANCE, AUDIT AND FACILITIES COMMITTEE: Regent Jewell, Chair

Report of Contributions - December, 2006 (Agenda no. F-1) (Information only)

Regent Jewell reported that the Committee approved an increase in the budget from \$18 million to \$43.2 million for the H-wing renovation at the Health Science Center. The expanded scope of the project will address dilapidated mechanical, electrical and laboratory utilities systems throughout the H-Wing. The increased funding was included

in the University's 2007-2009 capital budget request, which was recently endorsed by the Governor. It is anticipated the construction will commence in late April.

Regent Jewell also reported the Committee received a briefing on the UW Medical Center planned replacement of the hospital billing system, which is estimated to be an investment of \$30-\$40 million. The current system is written in Cobal and is fast becoming obsolete. The Regents will continue to receive information as the planned replacement moves forward.

COMMITTEE OF THE WHOLE: Regent Kiga, Chair

UW Medicine Board Annual Compliance Report (Agenda no. C-1) (Information only)

ICA Compliance Update (Agenda no. C-2) (Information only)

Enterprise Risk Management (Agenda no. C-3) (Information only)

Regent Kiga reported on three compliance-related information items. The UW Medicine Board Annual Compliance Report was delivered by Dr. Paul Ramsey, CEO, UW Medicine and Dean of the School of Medicine, and Ms. Sue Clausen, Associate Vice President, Medical Affairs Compliance. Regent Kiga noted there appears to be good mechanisms in place to support a culture of compliance within that entity. An update on the Intercollegiate Athletics (ICA) compliance program was presented by Mr. John Morris, Senior Associate Athletic Director for Compliance, and Mr. Todd Turner, Athletic Director. Regent Kiga noted that ICA has turned a compliance function into one of very broad collaboration of coaches, student athletes and boosters of the UW Athletic program, and it appears to be working well. The third and last presentation related to University-wide risk and compliance assessment. This effort is being lead by Ms. V'ella Warren, Vice President of the Treasury and Treasurer of the Board of Regents, and is aimed at enhancing University-wide communications and compliance.

Regent Kiga also reported the Committee reviewed and discussed draft performance measures for the President's 2006-2007 review. He noted the measures emanated from the UW Vision Statement, which President Emmert and Provost Wise presented to the Board in May 2006.

REPORTS FROM EX OFFICIO REPRESENTATIVES TO THE BOARD OF REGENTS

ASUW President: Mr. Cullen P. White

Mr. White reported he had just returned from Olympia, where he and approximately 130 other UW undergraduate students talked with legislators about what matters most to them. He announced the creation of the ASUW Husky Pride Fund, an account from which a variety of scholarship will be awarded to students. One of the initial projects to generate revenue for this scholarship is a design competition for a Husky Tee Shirt. The winner of the contest will be identified by April 2 and awarded a \$2,300 scholarship. The tee shirt will be mass produced and sold to raise money for the Fund. Mr. White also announced a partnership with Housing and Food Services to place containers at coffee stands across campus for change from coffee purchases. He noted most people are

willing to give a tip to their barista, and since state employees cannot accept tips, the ASUW hopes to capture the change that typically would be given as tips. The money collected also will be deposited in the Husky Pride Fund.

President Emmert complimented Mr. White for his and his colleagues' leadership in recommending changes to the University of Washington Student Conduct Code. He noted there has been much debate by students and others on the topic. Before the administration can present them to the Board of Regents for its approval, the proposed changes must work their way through numerous channels, including faculty councils.

Regent Faubion noted Mr. White was the recent recipient of the Mary Gates Research Grant. The Board gave Mr. White a round of applause.

GPSS President: Ms. Kimberly A. Friese

Ms. Friese was not present at the meeting. Regent Faubion spoke on her behalf, noting Ms. Friese was representing UW graduate students at the National Lobby Day in Washington, D.C. Regent Faubion reported Ms. Friese also worked hard on the proposed changes to the UW Student Conduct Code.

Alumni Association President: Mr. Gregg Blodgett

Mr. Blodgett reported Career Discovery Week was a success. The Alumni Associate was expecting approximately 6,000 participants but had over 8,000. He announced Washington Weekend will be held April 26–28. This is an annual event featuring open houses, class reunions, lectures, tours, live entertainment, Husky sporting events and more for the campus community and the general public. He also announced the 15th Annual Dawg Days in the Desert, in Palm Desert, California, will be held March 12 and 13. The event features a golf tournament and a luncheon and concludes with “Chow Down to Washington,” an eating, drinking and socializing opportunity for Huskies.

Faculty Senate Chair: Professor Gail Stygall

Professor Stygall indicated the Faculty Senate is in the process of starting a public discussion both in the Faculty Senate and with a wider group of voting faculty members on the issue of compensation. Based on responses, the Faculty Senate Committee on Salary Policy will develop either a questionnaire or a guided response form for further faculty comment. Professor Stygall told the Board of Regents that when it is asked to approve a compensation policy for faculty it should have the best possible assessment of faculty feelings and concerns. She indicated she and others will continue to work with Regent Jewell, who has been the Board's representative to the Faculty Senate. Professor Stygall noted Regent Jewell will be visiting the Faculty Senate's Committee on Planning and Budgeting in March and said the Senate is especially pleased she will join them.

Regent Jewell complimented Professor Stygall for her work on faculty compensation. She said it has been interesting representing the Board of Regents, and she is surprised by the lack of existing compensation policies. Regent Jewell noted she is trying to convey to the faculty the importance the Board of Regents places on their role. She also said the

Regents understand the clarity the faculty needs to attract and retain the caliber of scholars who make the University of Washington a premier institution. She noted it has become obvious to her that the appreciation and respect the Board has for the faculty has not been well articulated.

Regent Cole thanked Regent Jewell for her work with the Faculty Senate. He commented he did not think there is another issue that is brought up more often or with greater concern and sincerity by the Regents, the President and the Provost than the desire to solve the faculty salary problem. He noted the Board views the faculty as the core of the institution.

Regent Proctor said she supports Regent Cole's comments, noting that at this time she is the senior member of the Board and throughout her tenure, solving the faculty salary issue has been the Board's number one priority. She said there have been times over the years when there has been disagreement among the Board members on how to solve the problem, but there has always been agreement that each member of the faculty, irrespective of where they work, is significant to the University of Washington. She said the Board recognizes the UW faculty is the best in the country.

Regent Jewell said the comments by Regents Cole and Proctor are an indication of how the entire Board feels. She said the President and the Provost are working hard on the issue and the Board will support their efforts. She also said the administration and the Board look forward to guidance from Professor Stygall on what they can and should do to help bridge of communication gap.

Regent Kiga thanked Regent Jewell for her work with the Faculty Senate.

DATE FOR NEXT MEETING

The next regular meeting of the Board of Regents will be held on Thursday, March 22, 2007, on the UW Bothell campus.

ADJOURNMENT

The regular meeting was adjourned at 4:45 p.m.



Michele M. Sams
Secretary of the Board of Regents

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 NAVAL SCIENCE

ADMINISTRATIVE APPOINTMENTS

FITZPATRICK, RICHARD D.

(BS, 1979, US NAVAL ACADEMY; MS, 1984, US NAVAL POSTGRADUATE SCHOOL; MS, 1996, NAVAL WAR COLLEGE) TO BE PROFESSOR AND CHAIR OF NAVAL SCIENCE, EFFECTIVE 7/1/2007. (CAPTAIN FITZPATRICK IS CURRENTLY THE COMMANDING OFFICER OF THE USS SAIPAN.)

NEW APPOINTMENTS

CROWE, ARTHUR A.

(BS, 1995, UNIVERSITY OF WASHINGTON; MS, 2007, BOSTON UNIVERSITY) TO BE ASSISTANT PROFESSOR OF NAVAL SCIENCE WITHOUT SALARY FROM THE UNIVERSITY, EFFECTIVE 6/15/2007. (MAJOR CROWE IS DIRECTOR OF SAFETY AND STANDARDIZATION IN THE US MARINES.)

COLLEGE OF ARCHITECTURE AND URBAN PLANNING

DEPARTMENT OF ARCHITECTURE

NEW APPOINTMENTS

MEEK, CHRISTOPHER MARTIN

(BA, 1996, UNIVERSITY OF NEW MEXICO; MArch, 2002, UNIVERSITY OF WASHINGTON) TO BE RESEARCH ASSISTANT PROFESSOR OF ARCHITECTURE AT A SALARY RATE OF \$69,000 OVER TWELVE MONTHS, EFFECTIVE 12/16/2006. (PRIOR TO THIS APPOINTMENT MR. MEEK WAS A RESEARCH ASSOCIATE IN THE SAME DEPARTMENT.)

COLLEGE OF ARTS AND SCIENCES

DEPARTMENT OF BIOLOGY

NEW APPOINTMENTS

STROMBERG, CAROLYN

(BA, 1994, UNIVERSITY OF LUND (SWEDEN); MSc, 1997, UNIVERSITY OF LUND (SWEDEN); PHD, 2003, UNIVERSITY OF CALIFORNIA (BERKELEY)) TO BE ASSISTANT PROFESSOR OF BIOLOGY AT A SALARY RATE OF \$68,004 OVER NINE MONTHS, EFFECTIVE 12/16/2007. (PRIOR TO THIS APPOINTMENT, DR. STROMBERG WAS A POST-DOCTORAL RESEARCHER AT THE SWEDISH MUSEUM OF NATURAL HISTORY (SWEDEN).)

WILSON, GREGORY

(BA, 1995, STANFORD UNIVERSITY; PHD, 2004, UNIVERSITY OF CALIFORNIA (BERKELEY)) TO BE ASSISTANT PROFESSOR OF BIOLOGY AT A SALARY RATE OF \$68,004 OVER NINE MONTHS, EFFECTIVE 12/16/2007. (PRIOR TO THIS APPOINTMENT, DR. WILSON WAS CURATOR OF VERTEBRATE PALEONTOLOGY AT THE DENVER MUSEUM OF NATURE AND SCIENCE.)

DEPARTMENT OF EARTH AND SPACE SCIENCES

ADMINISTRATIVE APPOINTMENTS

ACKERMAN, THOMAS P.

(BA, 1970, CALVIN COLLEGE; MS, 1971, UNIVERSITY OF WASHINGTON; PHD, 1976, UNIVERSITY OF WASHINGTON) TO BE PROFESSOR OF EARTH AND SPACE SCIENCES AND DIRECTOR OF THE JOINT INSTITUTE FOR THE STUDY OF THE ATMOSPHERE AND THE OCEAN, EFFECTIVE 1/8/2007. (PRIOR TO THIS APPOINTMENT, DR. ACKERMAN WAS A BATTELLE FELLOW AT THE PACIFIC NORTHWEST NATIONAL LABORATORY.)

DEPARTMENT OF STATISTICS

NEW APPOINTMENTS

LINDGREN, FINN

(MSc, 1997, UNIVERSITY OF LUND (SWEDEN); PHD, 2003, UNIVERSITY OF LUND (SWEDEN)) TO BE VISITING ASSISTANT PROFESSOR OF STATISTICS WITHOUT SALARY FROM THE UNIVERSITY, EFFECTIVE 3/1/2007. (DR. LINDGREN IS CURRENTLY A RESEARCH ASSOCIATE AT LUND UNIVERSITY.)

COLLEGE OF ENGINEERING

DEPARTMENT OF BIOENGINEERING

NEW APPOINTMENTS

SAURO, HERBERT

(BSc, 1981, UNIVERSITY OF KENT; MSc, 1982, UNIVERSITY OF YORK (UK); PHD, 1986, OXFORD BROOKES UNIVERSITY (UK)) TO BE ASSOCIATE PROFESSOR WITHOUT TENURE OF BIOENGINEERING AT A SALARY RATE OF \$98,544 OVER TWELVE MONTHS, EFFECTIVE 1/2/2007. (PRIOR TO THIS APPOINTMENT, DR. SAURO IS AN ASSISTANT PROFESSOR AT THE KECK GRADUATE INSTITUTE.)

DEPARTMENT OF ELECTRICAL ENGINEERING

NEW APPOINTMENTS

HASEGAWA-JOHNSON, MARK

(BS, 1989, MASSACHUSETTS INSTITUTE OF TECHNOLOGY; MS, 1989, MASSACHUSETTS INSTITUTE OF TECHNOLOGY; PHD, 1996, MASSACHUSETTS INSTITUTE OF TECHNOLOGY) TO BE VISITING ASSOCIATE PROFESSOR OF ELECTRICAL ENGINEERING WITHOUT SALARY FROM THE UNIVERSITY, EFFECTIVE 1/1/2007. (DR. HASEGAWA-JOHNSON IS AN ASSOCIATE PROFESSOR OF ELECTRICAL AND COMPUTER ENGINEERING AT THE UNIVERSITY OF ILLINOIS, URBANA-CHAMPAIGN.)

SCHOOL OF SOCIAL WORK

SOCIAL WORK

NEW APPOINTMENTS

BALSAM, KIMBERLY FERN

(BA, 1991, UNIVERSITY OF OREGON; MS, 1994, UNIVERSITY OF OREGON; PHD, 2003, UNIVERSITY OF VERMONT) TO BE RESEARCH ASSISTANT PROFESSOR, PART-TIME, OF SOCIAL WORK AT A SALARY RATE OF \$60,255 OVER TWELVE MONTHS, EFFECTIVE 1/1/2007. (PRIOR TO THIS APPOINTMENT, PROFESSOR BALSAM WAS A RESEARCH SCIENTIST IN THE DEPARTMENT OF PSYCHOLOGY.)

DAVIS, KELLY LAYNE CUE

(BA, 1992, TRINITY UNIVERSITY, TEXAS; MS, 1996, UNIVERSITY OF WASHINGTON; PHD, 1999, UNIVERSITY OF WASHINGTON) TO BE RESEARCH ASSISTANT PROFESSOR OF SOCIAL WORK AT A SALARY RATE OF \$72,840 OVER TWELVE MONTHS, EFFECTIVE 3/1/2007. (PRIOR TO THIS APPOINTMENT, PROFESSOR DAVIS WAS A RESEARCH SCIENTIST IN THE DEPARTMENT OF PSYCHOLOGY.)

GROTE, NANCY KROPP

(BA, 1966, SMITH COLLEGE; MEd, 1968, TUFTS UNIVERSITY; MSW, 1980, UNIVERSITY OF PITTSBURGH; PHD, 1992, UNIVERSITY OF PITTSBURGH) TO BE RESEARCH ASSOCIATE PROFESSOR, PART-TIME, OF SOCIAL WORK AT A SALARY RATE OF \$62,036 OVER TWELVE MONTHS, EFFECTIVE 2/1/2007. (PRIOR TO THIS APPOINTMENT, PROFESSOR GROTE WAS AN ASSOCIATE PROFESSOR AT THE UNIVERSITY OF PITTSBURGH.)

SCHOOL OF MEDICINE

DEPARTMENT OF BIOCHEMISTRY

NEW APPOINTMENTS

BRZOVIC, PETER S.

(BA, 1984, UNIVERSITY OF CALIFORNIA (SAN DIEGO); PHD, 1991, UNIVERSITY OF CALIFORNIA (RIVERSIDE)) TO BE RESEARCH ASSISTANT PROFESSOR OF BIOCHEMISTRY AT A SALARY RATE OF \$59,484 OVER TWELVE MONTHS, EFFECTIVE 1/2/2007. (PRIOR TO THIS APPOINTMENT, DR. BRZOVIC WAS A RESEARCH SCIENTIST IN THE SAME DEPARTMENT.)

DEPARTMENT OF MEDICINE

NEW APPOINTMENTS

BROWNSTEIN, ALICE B.

(BA, 1993, UNIVERSITY OF WASHINGTON; MD, 1998, UNIVERSITY OF CHICAGO) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF MEDICINE AT A SALARY RATE OF \$130,140 OVER TWELVE MONTHS, EFFECTIVE 1/16/2007. (PRIOR TO THIS APPOINTMENT, DR. BROWNSTEIN WAS AN ACTING ASSISTANT PROFESSOR-TEMPORARY IN THE SAME DEPARTMENT.)

CHEEVER, MARTIN ALEXANDER

(MD, 1970, UNIVERSITY OF MICHIGAN) TO BE PROFESSOR WITHOUT TENURE OF MEDICINE AT A SALARY RATE OF \$265,008 OVER TWELVE MONTHS, EFFECTIVE 1/1/2007. (PRIOR TO THIS APPOINTMENT, DR. CHEEVER WAS A CLINICAL PROFESSOR IN THE SAME DEPARTMENT AND A MEMBER AND DIRECTOR OF SOLID TUMOR RESEARCH AT THE FRED HUTCHINSON CANCER RESEARCH CENTER.)

KALUS, ROBERT M.

(BS, 1991, YALE UNIVERSITY; MS, 1992, YALE UNIVERSITY; MD, 1998, YALE UNIVERSITY) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF MEDICINE AT A SALARY RATE OF \$130,140 OVER TWELVE MONTHS, EFFECTIVE 1/16/2007. (PRIOR TO THIS APPOINTMENT, DR. KALUS WAS AN ACTING ASSISTANT PROFESSOR-TEMPORARY IN THE SAME DEPARTMENT.)

UTZSCHNEIDER, KRISTINA M.

(BS, 1987, UNIVERSITY OF CALIFORNIA (BERKELEY); MD, 1993, HARVARD UNIVERSITY) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF MEDICINE PAID DIRECT BY VETERANS AFFAIRS PUGET SOUND HEALTH CARE SYSTEM EFFECTIVE 1/16/2007. (PRIOR TO THIS APPOINTMENT, DR. UTZSCHNEIDER WAS AN ACTING INSTRUCTOR AND SENIOR FELLOW IN THE SAME DEPARTMENT.)

DEPARTMENT OF NEUROLOGY

ENDOWED APPOINTMENTS

LUCAS, SYLVIA MARIA

(BS, 1973, UNIVERSITY OF WASHINGTON; PHD, 1982, UNIVERSITY OF WASHINGTON; MD, 1988, UNIVERSITY OF WASHINGTON) TO BE HOLDER OF THE WADSWORTH CLINICAL TERM PROFESSORSHIP IN HEADACHE RESEARCH AND PRACTICE, EFFECTIVE 9/1/2006. (DR. LUCAS WILL CONTINUE AS CLINICAL PROFESSOR-SALARIED IN NEUROLOGY AND IN REHABILITATION MEDICINE.)

DEPARTMENT OF PEDIATRICS

NEW APPOINTMENTS

RICHARDSON, CHARLES PETER

(BS, 1962, MONTANA STATE UNIVERSITY; PHD, 1968, UNIVERSITY OF UTAH) TO BE RESEARCH ASSOCIATE PROFESSOR OF PEDIATRICS AT A SALARY RATE OF \$150,000 OVER TWELVE MONTHS, EFFECTIVE 12/1/2006. (PRIOR TO THIS APPOINTMENT, DR. RICHARDSON WAS A RESEARCH SCIENTIST AT CHILDREN'S HOSPITAL AND REGIONAL MEDICAL CENTER.)

DEPARTMENT OF PSYCHIATRY AND BEHAVIORAL SCIENCES

NEW APPOINTMENTS

MUNSON, JEFFREY A.

(BA, 1988, STANFORD UNIVERSITY; PHD, 1998, UNIVERSITY OF WASHINGTON) TO BE RESEARCH ASSISTANT PROFESSOR OF PSYCHIATRY AND BEHAVIORAL SCIENCES AT A SALARY RATE OF \$80,472 OVER TWELVE MONTHS, EFFECTIVE 1/2/2007. (PRIOR TO THIS APPOINTMENT, DR. MUNSON WAS A RESEARCH SCIENTIST IN THE CENTER ON HUMAN DEVELOPMENT AND DISABILITY.)

UNIVERSITY OF WASHINGTON, TACOMA

MILGARD SCHOOL OF BUSINESS

NEW APPOINTMENTS

ALEXANDER, ELIZABETH

(BA, 1981, UNIVERSITY OF OXFORD (UK); MBA, 1987, UNIVERSITY OF STRATHCLYDE (UK); PHD, 206, GEORGE WASHINGTON UNIVERSITY) TO BE ASSISTANT PROFESSOR OF BUSINESS AT A SALARY RATE OF \$105,003 OVER NINE MONTHS, EFFECTIVE 1/30/2007. (PHD AWARDED JANUARY 2007 FROM GEORGE WASHINGTON UNIVERSITY.)

SOCIAL WORK PROGRAM

NEW APPOINTMENTS

CASEY, ERIN

(BA, 1993, POMONA COLLEGE; MSW, 1997, UNIVERSITY OF WASHINGTON; PHD, 2006, UNIVERSITY OF WASHINGTON) TO BE ASSISTANT PROFESSOR OF SOCIAL WORK AT A SALARY RATE OF \$54,000 OVER NINE MONTHS, EFFECTIVE 12/16/2006. (PHD AWARDED DECEMBER 2006 FROM THE UNIVERSITY OF WASHINGTON.)

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Proposed Revisions to Tuition Waivers for Veterans and Members of the Washington National Guard

BACKGROUND:

The purpose of this information item is to describe a proposed expansion of the tuition waiver framework for selected veterans and members of the Washington National Guard that the Board of Regents has previously implemented under the new legal structure imposed by Substitute House Bill (SHB) 1174. If the Board of Regents agrees with the proposed revisions, an action item implementing the changes will be brought to the March 2007 meeting of the Board.

In the 2005 State legislative session, SHB 1174 passed unanimously by the legislature and was signed by the Governor. SHB 1174 revised provisions in State law related to tuition waivers for veterans and members of the Washington National Guard. The provisions of SHB 1174 became effective on July 24, 2005. In response to this change in State law, in October 2005 the Board of Regents approved a revised tuition waiver structure for veterans and members of the Washington National Guard that was effective starting Autumn Quarter 2005.

Consistent with the structure of tuition waivers for selected veterans that had been in place prior to the passage of SHB 1174, the Board limited the revised tuition waiver to:

veterans and Washington National Guard members who have served in a combat zone;

children and spouses of eligible veterans and Washington National Guard members determined to be prisoners of war or missing in action;

children and spouses of eligible veterans and Washington National Guard members who are killed or become totally disabled while engaged in active military or naval service; and

limited the availability of the tuition waiver to undergraduate students pursuing their first Bachelor's degree; and

set the tuition waiver at an amount equal to 50% of undergraduate resident tuition and fees.

The implementation of these changes to tuition waivers for eligible veterans and members of the Washington National Guard increased the total amount of tuition and fees waived eligible individuals. In the 2004-05 academic year under the previous tuition waiver structure for veterans and members of the National Guard,

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Proposed Revisions to Tuition Waivers for Veterans and Members of the Washington National Guard (continued p. 2)

just over \$28,000 in tuition and fees was waived for eligible individuals; in the 2005-06 academic year under the revised tuition waiver structure for veterans and members of the National Guard, just under \$215,000 in tuition and fees was waived for eligible individuals. For the 2006-07 academic year, the Office of Planning and Budgeting estimates that approximately \$400,000 in tuition and fees will be waived; it appears that more of the eligible veterans and members of the Washington National Guard have become aware of the tuition waiver in its second year of availability.

A number of the students at UW who are veterans or members of the Washington National Guard who have served in a combat zone are graduate or professional students rather than undergraduate students. As the revised tuition waiver structure for veterans and members of the National Guard was implemented, these graduate and professional students are not eligible for the tuition waiver.

The administration is proposing that the provisions of the tuition waiver for eligible veterans and members of the Washington National Guard be expanded to offer eligible graduate and professional students a tuition waiver at an amount equivalent to 50% of resident tuition and fees for their applicable tuition category.

Specifically, the administration proposes that the tuition waiver provisions for veterans and members of the National Guard be expanded as follows:

- eligible graduate and professional veterans and Washington National Guard members who have served in a combat zone;

- children and spouses of eligible graduate and professional veterans or Washington National Guard members determined to be prisoners of war or missing in action;

- children and spouses of eligible graduate and professional veterans or Washington National Guard members who became totally disabled or deceased while engaged in active federal military or naval service; and

the tuition waiver for eligible graduate and professional students will be established at a dollar amount equivalent to 50% of their applicable resident tuition and fees. The tuition waiver will only be available to graduate and professional students pursuing their first advanced degree, including degrees transferred from other institutions of higher education. The waiver is also limited to those graduate and professional students attending full time. Additionally the recipient would not be eligible if they have previously received an undergraduate veterans' waiver.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Proposed Revisions to Tuition Waivers for Veterans and Members of the Washington National Guard (continued p. 3)

It is difficult to precisely estimate the cost of this proposed expansion of the tuition waiver for veterans and members of the National Guard as the UW does not have complete data on the number of graduate and professional students who are veterans or members of the Washington National Guard. Based on the limited information that is available, the Office of Planning and Budgeting estimates that approximately 50 graduate and professional students would make use of the revised tuition waiver for veterans and members of the National Guard which on an annual basis would result in approximately \$297,000 in additional tuition being waived than under the current waiver provisions.

Implementation Time Line and Process

The Board of Regents must affirmatively act to implement its waiver authority granted under RCW 28B.15.910. Implementing revisions to existing waivers or the addition of new waivers requires that the university adhere to the Washington Administrative Code (WAC) process. The process requires the University to 1) Formally publicize the proposed rule changes 2) Hold a rule-making hearing at which the university receives public comment regarding adoption of said rule or rules and 3) File the "Rule Making Order" with the Washington State Registrar.

The entire process time can vary due to mandated public comment periods. These comment periods may only be held during the academic year when all students and faculty are present.

If the Board of Regents agrees with the proposed waivers and approves the action item at the March 2007 meeting a WAC revision process will be initiated immediately. The waiver would officially go into effect as early as Autumn quarter 2007 with the Regents final action.

VII. STANDING COMMITTEES

A. Academic and Student Affairs

Graphic Bargaining Agreement – UW Ratification

RECOMMENDED ACTION:

It is the recommendation of the Administration that the Board of Regents approve the Collective Bargaining Agreement between the University of Washington and the Graphic Communications Union, Local 767 M that covers approximately 25 printers, electronic prepress workers and truck drivers working in the University's Print Plant. The duration of the agreement is three years, expiring on December 31, 2009. This contract is negotiated pursuant to RCW 41.56 which allows for agreements up to three years and do not have to be approved by the legislature, unlike our other agreements that were negotiated this past summer under RCW 41.80 and had to be approved by the legislature.

Background

This is a successor agreement for the contract that expired on December 31, 2006.

Following is a summary of the critical elements of the contract:

Efficiencies:

- Probationary period for new hires changed from 90 days to six months
- Adjustment of job categories (Shipping/Receiving Clerk, Truck Driver-Stockroom Assistant) and deletion of an outdated job category (Receiving/Stockroom Clerk) resulting in cost savings and improved departmental operations

Compensation:

- March 1, 2007 – 3 percent across-the-board increase (in addition the Shipping/Receiving Clerk received a one-time only extra increase of 7.5% and the Truck Driver-Stockroom Assistant received a one-time only extra increase of \$.50 per hour)
- March 2, 2008 – 2 percent across-the-board increase
- March 2, 2009 – 2 percent across-the-board increase

It should be noted that employees covered by this contract do not receive step increases.

February 7, 2007

Phyllis M. Wise, Ph.D.
Provost
Office of the Provost
301 Gerberding, Box 351237

Dear Provost Wise:

We write to propose the creation of a new research institute at the University of Washington. The proposed name for the institute would be the "Health Metrics Institute." The establishment of this proposed institute will be dependent on our ability to recruit Professor Christopher Murray from Harvard University and our ability to compete successfully for funding from the Bill and Melinda Gates Foundation. We have an unusual opportunity to recruit Professor Christopher Murray who is exceptionally well qualified to lead this proposed research institute as reflected on his curriculum vitae (attached).

The Health Metrics Institute will develop innovative analytical frameworks, methods, and instruments to increase the efficiency and effectiveness of generating health information. High quality health information is critical to facilitate evidence-based decision making in public health and medicine. There are enormous gaps in the availability and timeliness of current information on basic health outcomes, financial and human resources, and the quality and coverage of health interventions. Key questions about the potential impact of major investments in disease-specific or intervention-specific programs cannot be investigated adequately because of the poor quality and availability of health information. Valid information on health outcomes is needed to guide decisions on health spending, especially given the steady rise of global health spending.

The University of Washington does not have a research institute or center that is devoted to developing the high quality information needed for evidence-based decisions about healthcare systems. We believe that Professor Christopher Murray is exceptionally well-qualified to develop this research institute, which can fill this critical gap and will also serve to evaluate technologies and contribute to the development of national and international policies and reforms. Under Professor Murray's leadership, the Health Metrics Institute at the University of Washington will fill the information gap by recruiting the best researchers and analysts to conduct scientifically rigorous research and analyses on health services delivery and health outcomes. The Institute funding will also allow these researchers and analysts to engage in measurement, monitoring, and evaluation activities that are difficult to finance on a project-specific basis, and yet are critical to making evidence-based decisions in global health.

Establishment of the proposed institute will depend on funding by the Bill and Melinda Gates Foundation. Professor Murray is currently working on a final draft of the proposal to the Gates Foundation, and we will provide you with a copy of this proposal when it is complete. Funding for the proposed Institute's activities will also depend on the University's proposal to the state of Washington for funding for global health activities. Our request for the University to consider creation of the proposed Institute is dependent on the new funding from the Gates Foundation and the state of Washington. The proposal to the Gates Foundation will provide a summary of the Institute's research, training and policy translation agenda, the Institute's organizational structure, the Institute's budget and funding sources, and the recruitment plan for researchers and analysts. The proposed Institute would be administratively affiliated with the Department of Global Health in the School of Public Health and Community Medicine and the School of Medicine although some Institute faculty might have primary appointments in other departments or faculties. Due to the critical nature of the health information developed by the Institute, we believe that the Institute should have an international advisory board appointed by the University of Washington Board of Regents. Enclosed is a draft of proposed bylaws for the Institute to be presented to the Board of Regents.

We believe that the establishment of the Health Metrics Institute at the University of Washington represents an extraordinary opportunity. If Professor Christopher Murray accepts our offer to join the faculty at the University of Washington as a professor in the Department of Global Health, we request your approval to create the Institute.

Sincerely,

Paul G. Ramsey, M.D.
CEO, UW Medicine
Executive Vice President for Medical Affairs and
Dean of the School of Medicine,
University of Washington

Patricia W. Wahl, Ph.D.
Dean, School of Public Health
and Community Medicine
University of Washington

attachment

**HEALTH METRICS INSTITUTE
AT THE UNIVERSITY OF WASHINGTON**

**BOARD BYLAWS
2007**

TABLE OF CONTENTS

	Page
PREAMBLE	1
ARTICLE I BOARD.....	1
Section 1.1. Board Membership.....	1
Section 1.2. Duties	2
Section 1.3. Board Year	2
Section 1.4. Meetings and Notice	2
1.4.1. Regular Meetings.....	2
1.4.2. Special Meetings.....	3
1.4.3. Procedure	3
Section 1.5. Quorum	3
Section 1.6. Vacancies	3
Section 1.7. Removal	3
Section 1.8. Liability.....	3
Section 1.9. Compensation of Board and Board Committee Members.....	4
Section 1.10. Conflict of Interest	4
ARTICLE II OFFICERS.....	4
Section 2.1. Officers	4
Section 2.2. Chair.....	4
Section 2.3. Vice Chair	5
ARTICLE III ADMINISTRATION.....	5
Section 3.1. Appointment of Administrative Officers.....	5
3.1.1. Secretary of the Board	5
ARTICLE IV COMMITTEES.....	5
Section 4.1. Committee Designations.....	5
ARTICLE V AMENDMENTS	5

PREAMBLE

Whereas the Board of Regents of the University of Washington is empowered by the Washington State Legislature to develop and maintain educational, research and service programs in global health; and

Whereas the University of Washington (the “University”) carries out extensive activities in these areas; continues to build its strength in meeting its mission in these areas; and in doing so is endeavoring to contribute substantially to efforts to address regional, national and international needs for dramatic improvement of health services;

Whereas its contributions in these areas would be markedly enhanced by creation of a strong program for research, reporting, and training dedicated to monitoring global health and health systems and evaluating technologies, initiatives, policies and reforms;

Whereas the Health Metrics Institute at the University of Washington (the “Institute”) would be dedicated to this goal, providing needed programmatic focus in independent and objective monitoring and evaluation of global health, thereby allowing key actors in both governmental and private sectors to be strategic and empowered in their decisions; and

Whereas the Board of Regents has determined that a Board should be established for the governance of the Institute to promote the success of the Institute by overseeing its activities;

The Board of Regents hereby creates the Board of the Health Metrics Institute for at the University of Washington (the “Board”) which shall, subject to the authority of the Board of Regents, and the policies of the University, be charged with overseeing the Institute’s activities with the goal of making substantial contributions to promote the health of people throughout the world.

ARTICLE I THE BOARD

Section 1.1. Board Membership

The Board shall consist of nine (9) members. The Board members shall be appointed by the Board of Regents from nominations submitted by the President. The Chair of the Board of Regents shall appoint the Chair of the Board. Four members shall be from key global health institutions but shall serve in their individual capacity, four members shall be eminent scientists or policy makers from around the world, and the Chair of the Board shall be a leading figure with a scientific background and substantial leadership experience with health policy programs.

The term of office of each appointed Board member shall be three years. No appointed Board member may serve more than three successive three-year terms. However, the terms of Board members shall be staggered so that the final terms of no more than one-third (1/3) of the members will expire simultaneously on the last day of June in any one year. Whenever more

than one third (1/3) of the members' final terms expire simultaneously, lots will be drawn to determine which expiring term shall be extended for one more year to eliminate this condition.

The Board may grant a leave of absence to a member for a period not to exceed one year. If the leave of absence is less than six months, the term of the Board member will not change. If the leave of absence exceeds six months, the term of the Board member will be extended by one year.

In addition to the Board members, the Director of the Institute, the Deans of the Schools of Public Health and Community Medicine and Medicine, and the Chair of the Department of Global Health, shall be invited to attend Board meetings and to present agenda items to the Secretary. All agendas and insert materials of the Board meetings shall be provided by the secretary to all of the described positions.

Section 1.2. Duties

The Board shall have responsibility for providing general oversight and advising the Director regarding the programs and activities of the Institute. Specifically, the Board shall work to promote the success of the Institute's programs by:

- a. Reviewing and approving the annual operations budget of the Institute and its work program and long-term development plan, and advising the Director of the Institute regarding the development and strategic allocation of resources;
- b. Providing general advice and policy guidance for Institute strategic planning and program development including helping to define the role of present and future programs and the Institute's collaborative relationships;
- c. Approving mechanisms for formal affiliations of researchers and research institutions with the Institute; and
- d. Defining mechanisms for continuing assessment and improvement of the quality of the Institute's programs.

Section 1.3. Board Year

The Board year, including Board member appointments and Board officer terms, shall be from July 1 to June 30.

Section 1.4. Meetings and Notice

1.4.1. Regular Meetings. Regular meetings of the Board shall be held at least annually, the dates and places of which shall be determined by the Chair at least one month in advance, and notice of which shall be given in accordance with Chapter 42.30 RCW.

1.4.2. Special Meetings. Special meetings may be called by the Chair at any time, or by a majority of the members of the Board, provided that written notice to all Board members and to others as required by Chapter 42.30 RCW shall be given not less than twenty-four hours prior to the meeting, stating the time, place and business to be transacted at the meeting.

1.4.3. Procedure. Except as otherwise specified in these Bylaws, all meetings of the Board and its committees shall be conducted in accordance with the latest revision of Roberts Rules of Order.

Section 1.5. Quorum

A majority of the Board shall constitute a quorum.

Section 1.6. Vacancies

Whenever a vacancy occurs on the Board, for whatever reason, notice shall immediately be given to the President of the University so that a member may be appointed as soon as possible by the Board of Regents to fill the unexpired term. The Board may submit names of individuals recommended by the Board for the President's consideration.

Section 1.7. Removal

The Board may recommend to the Board of Regents that a member of the Board be removed. This action may be taken at any meeting by two-thirds vote of the entire Board, provided that the Board gives the affected member at least ten (10) days' written notice of such intended action and advises the affected member of the basis for such action. The Board member affected shall have the right to be heard and to explain to the Board why he/she should not be removed. Recommendation for suspension shall be made directly to the Board of Regents and shall not be effective until approved by the Board of Regents.

Any Board member who has three (3) unexcused absences for three (3) consecutive Board meetings or five (5) unexcused absences for Board meetings in an academic calendar year (July 1 through June 30), as determined by the Secretary, shall be automatically removed.

Section 1.8. Liability

All Board members and persons serving at the request of the Board shall, in the performance of their duties as members of the Board or appointees of the Board, be designated insureds, as "agents" under RCW 28.B.20.250, under the general liability coverage of the University. Each Board member or person serving at the request of the Board shall be protected against costs and expenses, including legal fees, in connection with the defense of any action, suit or proceeding in which the member or person serving at the request of the Board shall be made a party by reason of being a member or appointee of the Board. Such protection is subject to the condition that such person shall have acted in good faith and within the scope of his or her

duties, and subject further to the specific exemption and qualifications stated in either the University liability policy and RCW 23B.20.250 through 28B.20.255 which statute authorizes the indemnification of Regents, trustees, officers, and employees or agents of the University in relation to such matters.

Section 1.9. Compensation of Board and Board Committee Members

No Board member or any member of any committee appointed by the Board shall receive any compensation for services rendered in his/her capacity as a Board or committee member. However, nothing herein shall be construed to preclude any Board member or committee member from receiving a per diem for attending Board meetings, or reimbursement for expenses incurred for serving as a Board member or committee member or in any other capacity, all in accordance with established University practices and procedures, RCW 42.52, and RCW 43.03.050 and 43.03.060, as now existing or hereafter amended.

Section 1.10. Conflict of Interest

No Board member or any person appointed by the Board in any capacity may act as an agent for any person or organization where such an act would create a conflict of interest with the terms of the person's service to the Board. The policies, rules and regulations adopted by the University relating to conflict of interest and the provisions of RCW 42.52 shall apply to any person appointed by the Board in any capacity and to the Board members themselves.

**ARTICLE II
OFFICERS**

Section 2.1. Officers

The officers of the Board shall be members of the Board and shall consist of a chair, vice chair, and such other officers as the Board may deem advisable. The Chair is appointed by the Chair of the Board of Regents. The Vice Chair and other officers shall be elected annually by the Board.

Section 2.2. Chair

The Chair of the Board shall appoint such committee members as are specified under these Bylaws; shall preside at all meetings of the Board; shall serve as an ex-officio member, without vote, on all standing and special committees, unless otherwise specified in the Bylaws; and shall perform all of the acts usually attendant upon the office of the Chair or which may be set forth by these Bylaws or by the Board.

Section 2.3. Vice Chair

During the absence of the Chair or while he/she is unable to act, the Vice Chair shall perform the duties and exercise the powers of the Chair.

ARTICLE III ADMINISTRATION

Section 3.1. Appointment of Administrative Officers

3.1.1. Secretary of the Board. A secretary of the Board shall be appointed by the Director in consultation with the Chair, with such duties as shall be provided in these Bylaws and otherwise determined by the Director and the Chair. The Secretary of the Board shall provide or cause to be provided all secretarial assistance to the Board and its committees; assist the Chair in developing an agenda for each meeting; keep records of the minutes of the meetings of the Board and furnish copies of such minutes to each Board member, the President and Provost of the University, the Dean of the School of Public Health and Community Medicine, the Dean of the School of Medicine, the Chair of the Department of Global Health, and others, in accordance with these Bylaws. The Director shall be custodian of and shall faithfully keep, or cause to be kept, all records, books, documents and other valuable papers relating to the Board. The Secretary shall be responsible for arranging all meeting notices and for attending to all correspondence that may be ordered by the Board.

ARTICLE IV BOARD STANDING COMMITTEES

Section 4.1. Committee Designations

The Board shall approve the appointment of such committees as it may from time to time deem advisable.

ARTICLE V AMENDMENTS

These Bylaws are reviewed annually and updated as needed. Changes in these Bylaws, whether amendments, additions, deletions or replacements, may be made by a two-thirds vote of the entire Board at a meeting of which prior notice of the meeting and the proposed action shall have been given. Such changes shall be subject to approval by the Dean of the School of Public Health and Community Medicine, the Dean of the School of Medicine, the President of the University, and the Board of Regents.

CHRISTOPHER J.L. MURRAY
Curriculum Vitae

Address: Harvard University Initiative for Global Health
104 Mt Auburn, 3rd Floor
Cambridge, MA 02138
Telephone: +617-495-8300
Email: christopher_murray@harvard.edu
Nationality: New Zealand/US

Education

1991	MD (Magna Cum Laude)	Harvard Medical School, Boston Medicine
1987	DPhil	Oxford University, England International Health Economics
1984	BA SC (Summa Cum Laude)	Harvard University, Cambridge, MA Biology

Appointments

2006	-	Honorary Professor, School of Population Health, University of Auckland
2005	-	Director, Harvard Center for Population and Development Studies
2005	-	Honorary Professor, School of Population Health, University of Queensland
2003	-	Director, Harvard Initiative for Global Health Professor of Social Medicine, Harvard Medical School Richard Saltonstall Professor of Public Policy, Harvard School of Public Health Professor, Faculty of Arts and Sciences
2001-2003		Executive Director, Evidence and Information for Policy Cluster, World Health Organization
2001-2003		Adjunct Professor of International Health Economics, Department of Population and International Health, Harvard School of Public Health
2000-2001		Executive Director, <i>ad interim</i> , Evidence and Information for Policy Cluster, World Health Organization
1998-2000		Director, Global Programme on Evidence for Health Policy, Evidence and Information for Policy Cluster, World Health Organization
1998-2001		Professor of International Health Economics, Department of Population and International Health, Harvard School of Public Health
1994	-	Director, Burden of Disease Unit, Harvard Center for Population and Development Studies
1994-1998		Associate Professor of International Health Economics, Department of Population and International Health, Harvard School of Public Health
1991-1994		Assistant Professor of International Health Economics, Department of Population and International Health, Harvard School of Public Health

Medical Training

- 1995-1997 Clinical Fellow in Medicine, Division of Infectious Diseases, Beth Israel Hospital, Brigham and Women's Hospital, Dana Farber Cancer Institute, Brockton/West Roxbury, VA Medical Center
- 1991-1995 Resident in Internal Medicine, Brigham and Women's Hospital
- 1989-1991 Research Fellow, Department of Population Sciences, Harvard School of Public Health and Center for Population and Development Studies, Harvard University

Honours and Awards

- 2006 Inaugural Menolascino Lecture, Creighton University
- 2005 Inaugural Angeloupolos Professor, Kennedy School of Government
- 2004 Alvin L. Schultz Visiting Professor of Internal Medicine, University of Minnesota
- 2003 Black Distinguished Professor, University of Otago
- 2002 Honorary Professor, Fudan University
- 2000 Elias Bengtsson Medal
- 1990-92 Macarthur Fellow at the Center for Population and Development Studies
- 1984 T. Hoopes Prize (Harvard Thesis Prize)
- 1983 Marshall Scholar (Declined)
- 1983 Rhodes Scholar

Committees and Other Relevant Experience

- 2003-Present Editor-in-Chief, *Population Health Metrics*
- 1996-1998 Member, Technical and Research Advisory Committee, Global Programme on Tuberculosis, World Health Organization
- 1995-1996 Chair, Working Group I, Who Ad Hoc Committee on Health Research Relating to Future Intervention Options
- 1992-1996 Chairman, World Health Organization Steering Committee on Tuberculosis Operational Research
- 1992-1993 Member of the World Development Report 1993: Investing in Health Writing Team
- 1987-1990 Staff Economist, Commission on Health Research For Development

Publications

Journal Articles

1. **Murray CJL**. Towards good practice for health statistics: lessons from the MDG health indicators. *The Lancet* 2006 (in press).
2. **Murray CJL**, Lopez AD, Chin B, Feehan D, Hill KH. Pandemic influenza mortality: global forecasts based on the 1918-20 pandemic. *The Lancet* 2006 (in press).
3. Krabbe PFM, Salomon JA, **Murray CJL**. Quantification of health states with rank-based nonmetric multidimensional scaling. *Medical Decision Making* 2006 (in press).
4. Gakidou E, Lozano R, Gonzalez-Pier E, Abbott-Klafter J, Barofsky JT, Bryson-Cahn C, Feehan DM, Lee DK, Hernandez-Llamas H, **Murray CJL**. Assessing the effect of the 2001-06 Mexican health reform: an interim report card. *The Lancet* 2006 Nov 25, 368(9550): 1920-35.
5. Lozano R, Soliz P, Gakidou E, Abbott-Klafter J, Feehan DM, Vidal C, Ortiz JP, **Murray CJL**. Benchmarking of performance of Mexican states with effective coverage. *The Lancet* 2006 Nov 11, 368(9548): 1729-41.
6. Danaei G, Lawes CMM, Vander Hoorn S, **Murray CJL**, Ezzati M. Global and regional mortality from ischaemic heart disease and stroke attributable to higher-than-optimum blood glucose concentration: comparative risk assessment. *The Lancet* 2006, 368: 1651–1659.
7. Lu C, Michaud CM, Gakidou E, Khan K, **Murray CJL**. Effect of the Global Alliance for Vaccines and Immunisation on diphtheria, tetanus, and pertussis vaccine coverage: an independent assessment. *The Lancet* 2006 Sep 23, 368(9541):1088-1095.
8. Michaud CM, McKenna MT, Begg S, Ezzati M, Bulzacchelli MT, Gaber Kreiser J, Tomijima N, Majmudar M, Ebrahim S, Salomon JA, **Murray CJL**. The Burden of Disease and Injury in the United States 1996. *Population Health Metrics* 2006, 4:11 (18 October 2006).
9. **Murray CJL**, Kulkarni S, Michaud C, Tomijima N, Bulzacchelli MT, Iandiorio TJ, Ezzati M. Eight Americas: investigating mortality disparities across races, counties, and race-counties in the United States. *PLoS Medicine* 2006 Sept, 3(9):e260.
10. Lu C, Michaud CM, Khan K, **Murray CJ**. Absorptive capacity and disbursements by the Global Fund to Fight AIDS, Tuberculosis and Malaria: analysis of grant implementation. *The Lancet* 2006 Aug 5, 368(9534):483-488.
11. Lopez AD, Mathers CD, Ezzati M, Jamison DT, **Murray CJL**. Global and regional burden of disease and risk factors, 2001: systematic analysis of population health data. *The Lancet*, 2006 May 27, 367(9524):1747-1757.

12. Ezzati M, Martin H, Skjold S, Hoorn SV, **Murray CJL**. Trends in national and state-level obesity in the USA after correction for self-report bias: analysis of health surveys. *Journal of the Royal Society of Medicine*, 2006 May, 99(5):250-257.
13. **Murray CJL**, Kulkarni SC, Ezzati M. Understanding the coronary heart disease versus total cardiovascular mortality paradox. A method to enhance the comparability of cardiovascular death statistics in the United States. *Circulation*, 2006 May 2, 2071-2081.
14. **Murray CJL**, Kulkarni S, Ezzati M. Eight Americas: new perspectives on U.S. health disparities. *American Journal of Preventive Medicine*, 2005 Dec, 29(5 Suppl 1):4-10.
15. Danaei G, Vander Hoorn S, Lopez AD, **Murray CJL**, Ezzati M, Comparative Risk Assessment collaborating group (Cancers). Causes of cancer in the world: comparative risk assessment of nine behavioural and environmental risk factors. *The Lancet*, 2005 Nov 19, 366(9499):1784-1793.
16. Ezzati M, Vander Hoorn S, Lawes CM, Leach R, James WP, Lopez AD, Rodgers A, **Murray CJL**. Rethinking the "diseases of affluence" paradigm: global patterns of nutritional risks in relation to economic development. *PLoS Medicine*, 2005 May, 2(5):e133. Epub 2005 May 3.
17. Shengelia B, Tandon A, Adams OB, **Murray CJL**. Access, utilization, quality, and effective coverage: an integrated conceptual framework and measurement strategy. *Social Science & Medicine*, 2005 Jul, 61(1):97-109.
18. McKenna MT, Michaud CM, **Murray CJL**, Marks JS. Assessing the burden of disease in the United States using disability-adjusted life years. *American Journal of Preventive Medicine*, 2005 Jun, 28(5):415-423.
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253. **Murray CJL**, Evans D, Acharya A, Baltussen R. *Development of WHO guidelines on generalised cost-effectiveness analysis*. Global Programme on Evidence for Health Policy Discussion Paper No. 4. Geneva, World Health Organization, 1999. Available at: http://www3.who.int/whosis/discussion_papers/discussion_papers.cfm

254. Gakidou E, **Murray CJL**, Frenk J. A framework for measuring health inequality. Global Programme on Evidence for Health Policy Discussion Paper No. 5. Geneva, World Health Organization, 1999. Available at:
http://www3.who.int/whosis/discussion_papers/discussion_papers.cfm
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at:http://www3.who.int/whosis/discussion_papers/discussion_papers.cfm
256. Govindaraj R, **Murray CJL**, Chellaraj G. *Health expenditures in Latin America*. Technical Paper, 274. Washington, DC: World Bank, 1995.

Research Support

Ongoing

S3490-23/23, (10/1/2004-9/30/2007), CDC.
Disease Burden Attributable to Major Risk Factors in the United States.

This project aims to estimate burden of disease attributable to selected major risk factors in the United States, nationally and sub-nationally. The project goals are to estimate mortality and burden of disease attributable to selected major risk factors in the U.S., to estimate the distributions of total and risk-factor-attributable disease burden by race and state, and to estimate trends in risk factor exposure and risk-factor-attributable disease burden.

Role: Principle Investigator

Mexican Ministry of Health (7/1/04-12/31/06)
Mexico Cooperative Agreement

The research included in this project is a necessary prerequisite for laying a strong foundation for a comprehensive and evidence-based analytic framework to guide development of Mexico's future health system, including efficient allocation of resources, and investments in new technology.

Role: Principle Investigator.

Bill and Melinda Gates Foundation (7/2005-6/2010)
Grand Challenge 13. "Population Health Metrics Research Consortium Project."

The purpose of this project is to create global health solutions that can be made available at affordable prices to those most in need in the developing world, emphasizing new survey instruments, modeling, and biomarker strategies.

Role: Principle Investigator.

P01 AG-17625 (9/01/02-8/31/06), NIH/NIA.
The Global Burden of Disease 2000 in Aging Populations

This project investigates ways to strengthen the methodological and empirical basis for undertaking comparative assessments of health problems, their determinants and consequences in aging populations.

Role: Principle Investigator.

UW MEDICINE BOARD

**ANNUAL COMPLIANCE REPORT TO THE UW BOARD OF
REGENTS**

FEBRUARY 2007

CONTENTS

BACKGROUND

- UW Medicine Structure
- Corporate Integrity Agreement
- UW Medicine Board Review Committee

OVERVIEW AND EXECUTIVE SUMMARY

- Purpose of the Annual Report
- Executive Summary

UW MEDICINE COMPLIANCE STRUCTURE AND ORGANIZATION

- Evolution of Compliance Programs at UW Medicine
- UW Medicine Compliance Infrastructure and Reporting Relationships
- UW Medicine Board Compliance Committee (UWMB-CC)
- Additional Compliance Committees
- UW Medicine Compliance Roles and Responsibilities

PROCESS FOR MANAGING COMPLIANCE ISSUES

SUMMARY OF MAJOR COMPLIANCE ISSUES AND ACTIVITIES

LOOKING FORWARD: PRIORITIES FOR 2007

ATTACHMENTS

- UW Medicine Board Compliance Committee Charter
- UW Medicine Board Compliance Committee Roster
- UW Medicine Board Compliance Committee Agenda Calendar FY07

BACKGROUND

UW Medicine Structure¹

UW Medicine represents the institutional collaboration of several legally separate, but closely affiliated entities. The UW Medicine entities include the UW School of Medicine and two non-profit corporations, the University of Washington Physicians (UWP) and the University of Washington Physician Network (UWPN). UW Medicine is also a founding member of two other non-profit corporations: Childrens University Medical Group (CUMG) and the Seattle Cancer Care Alliance (SCCA). UW Medicine has a contractual relationship with Children's Hospital and Regional Medical Center to provide faculty physicians for the hospital through CUMG.

UW Medicine also includes the University of Washington Medical Center (UWMC) and Harborview Medical Center (HMC). The governance authority for hospital accreditation, operations, and quality of patient care at UWMC is vested in the UW Medicine Board. The UW Board of Regents retains authority for some financial matters and capital plant expansion at UWMC. Harborview Medical Center (HMC) is owned by King County and governed by a Board of Trustees appointed by King County. Pursuant to a contract between King County, the Board of Trustees and the University Board of Regents, UW Medicine provides operational management of HMC and provides physician services through UWP. All personnel at HMC, including faculty physicians, are employed by the University of Washington. UW Medicine also has faculty physicians employed at the area Veterans Administration hospitals, which are part of the Veterans Administration, a Federal agency.

A key element tying all of these entities together and to UW Medicine is that they are all staffed by UW Medicine faculty physicians and must meet UW Medicine standards for quality patient care, teaching, research and compliance. UW Medicine is a complex organization with an overall mission focused on improving health by its teaching, research and patient care activities.

Corporate Integrity Agreement

Between August 1999 and April 2004, UW Medicine's faculty practice plans (UWP and CUMG) were the subject of Federal criminal and civil investigations into allegations of fraudulent billing of the Medicare program. The investigation was launched by a "Whistleblower" lawsuit filed under the False Claims Act. The criminal investigation concluded with guilty pleas by two nationally prominent UW Medicine physicians. In April 2004, the civil investigation resulted in a \$35 million settlement and a negotiated Corporate Integrity Agreement (CIA) between the Federal government and the practice plans. The CIA establishes minimum standards for the billing compliance programs for each practice plan, and it provides for the imposition of monetary penalties for any violations of its terms.

¹ Some information in this section was taken from the UW Medicine Board Review Committee report "Achieving Excellence in Compliance" issued July 20, 2005

UW Medicine Board Review Committee

In August 2004, the UW Medicine Board, in response to a request from Dean Paul Ramsey and with the endorsement of the UW Board of Regents and President Mark Emmert, announced the formation of a special independent Review Committee. Its goal was to ascertain the “lessons learned” from the billing investigation, determine the adequacy of UW Medicine’s Compliance Programs, and make appropriate findings and recommendations.

Between September 2004 and June 2005, the Review Committee undertook an extensive review of documents, conducted interviews, and received briefings to gather information in furtherance of its mission. The Review Committee also commissioned a major consultant report on national best practices in compliance at leading academic medical centers. On June 20, 2005, the Review Committee issued its final Report, entitled “Achieving Excellence in Compliance.” The report and supporting appendices are available on the UW Medicine Compliance website (<http://www.uwmedicine.org/Global/Compliance/>).

On October 18, 2005, Dr. Ramsey responded to the Review Committee with his plans for implementing key recommendations contained in the Report and issued an implementation plan that is being used as the basis for monitoring programmatic and structural changes for UW Medicine compliance (<http://www.uwmedicine.org/Global/Compliance/Finalplan.htm>).

OVERVIEW AND EXECUTIVE SUMMARY

Purpose of the Annual Report

Section 1.4.3 of the UW Medicine Board Bylaws requires an annual report each winter to the UW Board of Regents regarding the effectiveness of UW Medicine compliance programs, which includes, but is not limited to, the following topics:

- Status of the compliance program infrastructure and reporting relationships
- Level of resources dedicated to the compliance programs
- Scope of authority of key positions
- Key compliance policies and issues
- Current assessment of compliance risks

Executive Summary

UW Medicine has been actively engaged in enhancing its compliance programs since early 2000. Since the 2004 settlement and negotiation of a CIA with the Federal government and the issuance of the UW Medicine Board Review Committee’s report in 2005, UW Medicine has continued to refine, reassess and improve its compliance programs.

Today, UW Medicine devotes approximately 42 FTE and nearly \$4.5 million annually to the support of compliance-specific functions. The organizational structure of compliance at UW Medicine establishes entity-specific accountability. System-wide oversight and coordination occurs through the Associate Vice President for Compliance (AVPC) and is enhanced by

activities of the UW Medicine Board Compliance Committee (UWMB-CC). Additional committees within UW Medicine provide mechanisms for engaging administrative, clinical and operational leaders in compliance initiatives. UW Medicine recognizes the importance of establishing compliance roles and responsibilities, and it is engaged in activities to convey those expectations.

Senior executives, academic/clinical leaders and operational administrators at UW Medicine review compliance issues on a regular basis, identify solutions, minimize barriers, and provide personal support of compliance initiatives.

As do all academic health centers, UW Medicine faces compliance issues in the following areas: clinical billing, information security, faculty effort certification, privacy, and research compliance. These issues have received significant attention in UW Medicine and will continue to be the focus of process improvement projects, expanded education and outreach efforts, enhanced auditing, and continued status reports.

UW MEDICINE COMPLIANCE STRUCTURE AND ORGANIZATION

Evolution of Compliance Programs at UW Medicine

UW Medicine has been actively engaged in enhancing its compliance programs since early 2000. As noted in the UW Medicine Board Review Committee's July 2005 report, "This has included the investment of significant resources, hiring and training new Compliance staff and auditors, revising billing compliance plans and related documents, naming Chief Compliance Officers for each entity, retaining expert consultants to review and assist in refining the compliance process, and other important initiatives."²

One of the key recommendations emanating from the July 2005 report was the need for an executive level compliance officer. In September 2005, Dr. Paul Ramsey announced the appointment of Sue Clausen as UW Medicine's first Associate Vice President for Compliance (AVPC) (<http://www.uwmedicine.org/Global/Compliance/AVPletter.htm>), charging her with responsibility for leadership of UW Medicine's compliance systems and initiatives.

UW Medicine Compliance Infrastructure and Reporting Relationships

The organizational structure of compliance programs in UW Medicine is based on entity-specific accountability. Each entity within UW Medicine has a compliance officer who reports to the senior executive. For example, the compliance officer for the University of Washington Medical Center reports to the Executive Director of UWMC. Each entity compliance officer also has a dotted line relationship to the AVPC. The AVPC reports directly to the CEO of UW Medicine and has a dotted line reporting relationship to the UW President.

² A detailed description of UW Medicine's initiatives up to May 2005 may be found in the UW Medicine Board Review Committee's report "Achieving Excellence in Compliance" in Appendix 5: "Developments in UW Medicine Compliance Program: 1999 – Present" and Appendix 6 (report prepared in May 2005 by UW Medicine at the Committee's request that reviews compliance developments and provides information on funding and personnel). See <http://www.uwmedicine.org/Global/Compliance/Appendices.htm>

Currently, there are approximately 42 FTEs specifically assigned to UW Medicine compliance functions. The total annual budget for the combined offices is approximately \$4.5 million, including \$3.5 million in salaries and \$1.1 million in supplies/operations/equipment.

UW Medicine Board Compliance Committee (UWMB-CC)

The UWMB-CC was established in 2001 by Dr. Paul Ramsey, then Vice President for Medical Affairs. Although not vested with governance responsibilities, the Committee has a wide scope of advisory responsibilities pertaining to the following areas:

- Strategic planning, program development, organizational structure and resource allocation associated with UW Medicine compliance efforts;
- The role of present and future UW Medicine compliance programs;
- Advocacy and support for UW Medicine compliance efforts;
- Risk assessment; and,
- Analysis of urgent, emergent and on-going compliance issues.

The Committee is currently chaired by Shan Mullin, a member of the UW Medicine Board, and staffed by Sue Clausen, AVPC. Voting members of the Committee include four additional UW Medicine Board members, including the Board Chair and the CEO of UW Medicine, and up to three additional members designated jointly by the UWMB-CC chair and the CEO. The following non-voting individuals also attend Committee meetings on a regular basis:

- Executive Directors of CUMG, HMC, UWMC, UWP and UWPB
- UWP President
- Vice President for Medical Affairs/CFO
- Associate Vice President for Medical Affairs Administration
- School of Medicine Vice Dean for Administration and Finance
- UWP Legal Counsel
- Assistant Attorney General
- Compliance officers for HMC, SCCA, SOM, UWMC, UWP/CUMG and UW Medicine HIPAA

Compliance officers present quarterly and annual reports to the UWMB-CC in addition to updates about the status of their programs, resolution of issues, and information about urgent and emerging issues at each UWMB-CC meeting. The Committee meets at least every other month or more often as necessary. The Committee Charter, current roster and current fiscal year meeting calendar are provided as attachments to this report.

Additional Compliance Committees

Compliance committees serve a valuable purpose in decentralized organizations. They provide a mechanism for engaging administrative, academic and clinical leaders in the analysis and problem-solving process. These venues also enable entities to focus on the regulatory requirements that are specific to each enterprise, which in turn allows for more informed decision making and risk assessment. At UW Medicine, each practice plan and medical center has its own compliance committee. While the specific committee charges vary, all have some level of oversight and/or advisory responsibility. Practice plan committees include the SOM Compliance Director and physicians who work closely with UWP/CUMG compliance and operations staff to evaluate the need for policy clarification, education and implementation

planning for new requirements. Medical center compliance committees include senior administrative and operational leaders, who work closely with compliance staff to identify urgent and emergent issues, monitor progress toward resolution of compliance issues, and communicate requirements to entity staff.

The AVPC also convenes compliance officers from the primary entities (UWMC, HMC, UWP, CUMG, UWPB, SCCA) as well as those from such areas as the General Clinical Research Center, Pharmacy, Laboratory, Hall Health, Patient Financial Services, School of Dentistry and UW Research Compliance. The bi-monthly meetings are used to identify proactively changes in the regulatory environment, assess risks and mitigation strategies, work collaboratively on mutual concerns, identify system-wide needs, and coordinate the handling of urgent/emergent issues that involve multiple entities.

Although not a compliance committee per se, the UW Medicine Finance and Operations Committee includes compliance as a standing agenda item. Convened weekly for two hours by Dr. Ramsey, this group includes the AVPC; the AVPMA/Executive Director of Health Sciences Administration; the VPMA/CFO; Vice Deans for Administration/Finance and Clinical Affairs; Executive Directors and Chief Operating Officers of the medical centers, UWPB and UWP; the School of Medicine CFO; and the Director of UW Medicine News and Community Relations. This group evaluates UW Medicine-wide compliance issues, helps develop and implement system-wide responses to urgent and emergent issues, and oversees the dissemination of new or modified standards and operational safeguards as needed.

The AVPC is a member of the UW Medicine Clinical Management Committee (CMC), a group convened by Dr. Ramsey, in which compliance issues are discussed frequently. The CMC provides an effective venue for disseminating new or modified policies, receiving feedback about the compliance culture, identifying best practices for operationalizing compliance requirements, and identifying risks.

The AVPC also sits on the UW Compliance Committee and serves on its Executive Council. Comprised of UW officials with compliance oversight responsibilities throughout the campus, the Council identifies system-wide risks and mitigation strategies.

UW Medicine Compliance Roles and Responsibilities

A successful compliance program requires clearly defined roles and responsibilities. In the past year, significant effort has been made to identify and communicate the following accountabilities:

- All UW Medicine faculty, staff and trainees are individually responsible for understanding and adhering to UW Medicine's policies and procedures, participating in required training, fulfilling recordkeeping requirements, reporting compliance concerns, seeking clarification when questions arise, and responding in a timely manner to requests for information associated with internal audits or investigations.
- Persons in executive leadership positions are accountable for the successful implementation and sustenance of compliance and related operational programs within their specific areas of oversight, and are responsible for participating in the development and implementation of UW Medicine-wide systems.

- Persons in management or supervisory positions have additional responsibilities, including communication of compliance and operational expectations, ensuring that appropriate training is taken, implementing and enforcing policies, and monitoring compliance.
- The Associate Vice President for Compliance (AVPC) develops UW Medicine-wide policies, establishes roles and responsibilities, regularly convenes UW Medicine compliance officers to discuss and process shared concerns, identifies effective education and outreach strategies, evaluates the effectiveness of auditing and monitoring efforts, and coordinates the investigation and resolution of alleged noncompliance.
- Compliance officers at the medical centers, School of Medicine and practice plans monitor developments in the regulatory environment, establish entity-specific policies and standards, work closely with operational departments to develop procedural safeguards, receive and investigate allegations of noncompliance, develop and implement effective auditing programs, and participate in the development and delivery of compliance training.

PROCESS FOR MANAGING COMPLIANCE ISSUES

UW Medicine's entities establish annual plans that address known and predicted compliance issues. The activities are planned, deliverables are identified, responsible parties are named, and the plan is monitored for progress.

Responding to urgent and emergent compliance issues in complex organizations requires effective communication. As a result, UW Medicine is engaged in efforts to standardize its process for analyzing issues, engaging accountable parties in the identification and implementation of suitable responses, and providing information to appropriate groups and officials. A more formal process will be finalized during the next year. In the meantime, the following overview describes the general practice in use today:

- Compliance issues are identified in multiple ways, including compliance officer assessments, regulatory changes, cases of noncompliance, internal audits and external reviews, feedback from training sessions, current events and court cases, questions from compliance committee members, etc.
- Compliance officers review these issues with appropriate parties, including legal counsel and external regulatory resources, to assess risk, identify response strategies, and prioritize next steps.
- The committee structures identified previously in this document serve as a venue for raising the issue, finalizing action plans, securing resources as needed, identifying barriers, and reporting progress.
- Often, process improvement projects are generated in response to urgent or emergent compliance issues. UW Medicine has engaged in more than five major projects of this type in the last two years. These projects continue to be the subject of regular updates to the appropriate committees until the project is completed.

UW Medicine's practice ensures that senior executives, academic/clinical leaders and operational administrators are aware of compliance issues and engaged actively in identifying solutions, minimizing barriers, and providing personal support, as appropriate, for compliance initiatives.

SUMMARY OF MAJOR COMPLIANCE ISSUES AND ACTIVITIES

Although each activity in which UW Medicine engages has a compliance or regulatory interface, several areas represent more significant risk and are the subject of enhanced attention.

Professional Fee and Facility Billing

Both medical centers have undergone external reviews of their compliance programs within the last two years. Both programs contain the required elements of an effective compliance program as defined by the US Federal Sentencing Guidelines. Both medical centers recognize the need to expand their auditing and monitoring functions.

The practice plans are entering the third year of their five-year CIA with the Federal government. In each year, the baseline requirements for the CIA have been satisfied completely within the timelines established by the Health and Human Services Office of the Inspector General (OIG). These requirements include annual mandatory training and auditing. A recent site visit from the OIG resulted in a favorable review. Although the CIA requires timely reports to the OIG about any material deficiencies (including substantial overpayments or potential violations of laws governing certain Federal health care programs), the plans have also disclosed non-reportable issues and events, sought guidance about courses of action, and informed the OIG about the status of various activities. This transparency has contributed to a positive relationship between the OIG and the practice plans.

Coders are obtaining certification at both the practice plans and medical centers, and audit results are being used to establish training priorities, identify the need for policy clarifications, and determine repayments in a timely, proactive manner. Repayments and disclosures have been made by both the practice plans and the medical centers, which is an expected and desirable outcome of effective compliance programs. Repayments most frequently occur as a result of routine reconciliations or in response to policy changes. Substantial overpayments are reported to the OIG within timelines established in the CIA; all other repayments are summarized in the CIA annual status report.

Clinical Research Billing

This area has been the focus of many academic health centers since passage of the National Coverage Decision in 2000 which allows certain costs of some clinical research studies to be paid by Medicare. Preliminary work in this area at UW Medicine commenced in 2001. Taskforces were established to identify how best to implement the NCD and prevent billing errors, a Director of Clinical Research Compliance was hired in 2004, and a new office charged with establishing budgets and ensuring appropriate billing was established in 2005. Current work involves creation of hospital-based safeguards and processes for registering subjects, researcher-based requirements for reconciling study charges, development of new internal tools and just-in-time resources, assignment of a medical director to help researchers make coverage decisions, education and outreach, and evaluation of new technology solutions for the charge-capture process.

A special session in August 2006 provided UWMB-CC and UW Medicine Board members with a comprehensive review of the issues, challenges and progress to date in August 2006.

Information Security

UW Medicine shares the same challenges as the UW in this arena. In response to security breaches in early 2006, UW Medicine made changes in its user access systems and is in the process of developing a new strategic plan for information security. As with most compliance areas, current activities focus on the need to modify business practices, create procedural safeguards, enhance technologies, and finance operational improvements.

Effort Certification

The University continued work throughout the year toward refinement and clarification of effort certification policies and procedures. The School of Medicine worked closely with UW officials in the Office of Sponsored Programs, sponsored numerous training sessions, and convened work groups that focused on resolving School of Medicine-specific questions and concerns. Work in this area will continue as national policy is refined, internal operational challenges are addressed, and technology solutions are developed.

HIPAA Privacy

The nature of work at UW Medicine will always keep privacy and confidentiality issues as one of the top five compliance concerns. UW Medicine's privacy program is well defined, but inadvertent distribution of personal health information can and does occur. Compliance staff are focusing their efforts on improving auditing and monitoring mechanisms, and on helping operational units identify and implement necessary changes to business practices.

Research Compliance

This category includes such a wide range of issues that it will always be a high priority for UW Medicine compliance. Since responsibility for compliance program development is not directly under UW Medicine control, issues involving human subjects protection, animal care and use, biosafety, radiation safety, environmental safety, grant accounting and reporting, export controls, and conflicts of interest are handled in collaboration with health science officials and UW central offices.

LOOKING FORWARD: PRIORITIES FOR 2007

- Transition the AVPC's current responsibilities for School of Medicine compliance to a separate School of Medicine Compliance Director.
- Building on existing plans established by the practice plans and medical centers, develop a comprehensive UW Medicine compliance plan and risk assessment process.
- Evaluate existing education and outreach programs to improve coordination and delivery, minimize duplication of effort across the entities, enhance curricula, improve access to just-in-time tools and resources, and focus on user needs.

- Evaluate existing auditing and monitoring mechanisms to determine where more rigorous programs are needed, to identify resource needs, and to modify organizational accountabilities where needed.
- Maintain the effectiveness of existing programs while continuing to enhance compliance efforts through process improvement projects, collaboration with UW Medicine operational units, and coordination with UW central compliance offices.

ATTACHMENTS

UW MEDICINE BOARD
UW MEDICINE COMPLIANCE COMMITTEE CHARTER
Revised January 2007

COMMITTEE FUNCTION

The UW Medicine Compliance Committee, hereinafter referred to as the “Committee”, is advisory to the Chief Executive Officer of UW Medicine (CEO). There are no governance responsibilities vested in the Committee. The Committee’s scope of advisory responsibility pertains to the following areas:

- Strategic planning, program development, organizational structure and resource allocation associated with UW Medicine compliance efforts;
- The role of present and future UW Medicine compliance programs;
- Advocacy and support for UW Medicine compliance efforts;
- Risk assessment; and,
- Analysis of urgent, emergent and on-going compliance issues.

Through its reports to the UW Medicine Board, the Committee provides essential input that supports the Board’s advisory and reporting responsibilities to the UW President and Board of Regents.

COMMITTEE MEMBERSHIP & MEETING FREQUENCY

The Committee is chaired by a member of the UW Medicine Board and staffed by the Associate Vice President for UW Medicine Compliance. Voting members of the Committee include:

- Four additional UW Medicine Board members, including the Chair of the UW Medicine Board or designee and the Vice President for Medical Affairs; and
- Up to three additional members designated jointly by the committee chair and the VPMA.

The following non-voting individuals are also invited to attend the Committee meetings on a regular basis:

- The Executive Directors of CUMG, HMC, UWMC, UWPB and UWP;
- The UWP President;
- The Associate Vice Presidents for Medical Affairs;
- The School of Medicine Vice Dean for Administration and Finance;
- The UWP Legal Counsel;
- A UW Medicine Assistant Attorney General; and,

- The compliance officers for HMC, SCCA, SOM, UWMC, UWP/CUMG and UW Medicine HIPAA.

The Committee meets at least every other month or more often as necessary.

MEETING CONTENT

Five key elements form the basis for the Committee's advisory activities. These include:

- Monthly and quarterly compliance updates from UW Medicine Compliance Officers;
- Quarterly updates on the status of the UWP/CUMG Corporate Integrity Agreement with the federal government;
- The annual UW Medicine risk assessment process;
- The annual report to the UW Board of Regents; and
- The UW Medicine compliance plan (which includes recommendations from the UW Medicine Board Review Committee) and semiannual report.

These regular activities are supplemented with:

- In-service sessions to educate and inform the committee about compliance developments at the university, local, regional and national levels; and
- In-depth discussions about urgent and emergent compliance issues facing UW Medicine.

Through review and discussion of these reports and topics, the Committee provides policy guidance to, and maintains general oversight of the strategic direction of compliance programs at UW Medicine.

MEETING CALENDAR

The meeting calendar (attached) is built around the key elements. Material referenced in the calendar is provided to Committee members one week in advance of the relevant meeting.



UW MEDICINE BOARD

COMPLIANCE COMMITTEE

Fiscal Year 2006-2007 Membership

Members

Stanley Barer
Dan Dubitzky
Gerald Grinstein
Rich Jones
Shan Mullin (Chair)
Paul Ramsey
Orin Smith

Non-Voting Members

Norm Beauchamp	Rick Nielsen
Lisa Brandenburg	Lori Oliver
John Coulter	Margaret Peyton
Sue Clausen	Larry Robinson
Rick Deese	F. Bruder Stapleton
Bruce Ferguson	Lisa Westlund
Teresa Gamble	Jacqueline Zehner
Julie Hamilton	
David Jaffe	
Ruth Mahan	
Richard Meeks	

UW Medicine Board Compliance Committee

FY 2007 Agenda Calendar

July 2006	August 2006	September 2006*	October 2006	November 2006*	December 2006
UPDATES - CIA - Review Committee Rec's: Workplan - CO Updates <ul style="list-style-type: none"> FEC Willed Body HIPAA privacy/security Risk Assessment Access to SSNs Prescription drugs - Clin Res Billing NEW ITEMS - Appointment of AVP-C - Matthews Resignation 1.5 hrs	SPECIAL MEETING: CLINICAL RESEARCH BILLING COMPLIANCE	UPDATES - CIA <ul style="list-style-type: none"> Not for cause OIG visit - Review Committee Rec's - Clin Res Billing: 8/06 session, process improvements - CO Updates <ul style="list-style-type: none"> Dental Billing HMC Compliance Assessment EPA issue UWMC facility billing settlement SCHEDULED REPORTS Quarterly/Annual CO Reports 2 hrs	UPDATES - CIA - Review Committee Rec's: UWP By-laws - Clin Res Billing NEW ITEMS UWP Mgmt Transition 1.5 hrs	UPDATES - CIA - Clin Res Billing: Retreat, Policy Changes, new manual - UWP Mgmt Transition - CO Updates - Review Comm Rec's SCHEDULED REPORTS Quarterly CO Reports NEW ITEMS EH&S Issues 2 hrs	NO MEETING
January 2007*	February 2007	March 2007	April 2007*	May 2007	June 2007*
UPDATES - CIA - Review Committee Rec's - Clin Res Billing - UWP Mgmt Transition - Dental Billing - CO Updates NEW ITEMS - Annual Report to UW BOR - New Professionalism Committee 2 hrs.	UPDATES - CIA - Review Committee Rec's - Clin Res Billing - UWP Mgmt Transition - CO Updates SCHEDULED REPORTS - Quarterly CO Reports - Annual Report to UW BOR NEW ITEMS UW Enterprise Risk Management Project: Elizabeth Cherry 2 hrs.	NO MEETING (Board Retreat)	UPDATES - CIA - Review Committee Rec's - Clin Res Billing - UWP Mgmt Transition - CO Updates - Information Security NEW ITEMS - Industry Relationships - Stark Educational Session	UPDATES • CIA • Review Committee Rec's • Clin Res Billing • UWP Mgmt Transition • CO Updates SCHEDULED REPORTS Quarterly CO Reports NEW ITEMS Human Research Protection Program: Jeff Cheek 2 hrs	UPDATES • CIA • Review Committee Rec's • Clin Res Billing • UWP Mgmt Transition • CO Updates • Professionalism Committee NEW ITEMS 2 hrs.

* Meetings of the Full Board

Last Updated: 1/31/2007

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ICA Compliance Update

UW Board of Regents
Finance, Audit & Facilities Committee

February 15, 2007

Presentation Overview

- I. NCAA Infractions History & Background
- II. Compliance Actions/Initiatives
 - A. Creation of Compliance Mission Statement
 - B. Recruiting Initiatives
 - C. Gambling Initiatives
 - D. Rules Education Initiatives
 - E. Other Compliance Notes/Initiatives
- III. Successes and Challenges

NCAA Infractions History & Background

- July 17, 2003
 - NCAA Infractions Committee cites UW for major violations related to men's basketball recruiting.
 - Penalties included:
 - NCAA probation until Feb. 9, 2005.
 - Public reprimand.
 - Reduction of men's basketball scholarships.
 - Various recruiting restrictions.
 - Comprehensive rules education program.
 - Annual reports to the NCAA.

NCAA Infractions

History & Background

- October 20, 2004
 - NCAA Infractions Committee cites UW for major violations related to gambling and recruiting.
 - Penalties included:
 - Extension of NCAA probation until Feb. 9, 2007.
 - Additional public reprimand.
 - Development of gambling education program.
 - Various recruiting restrictions (reduction of official visits in football; no use of watercraft for recruiting).
 - Annual reports to the NCAA.

NCAA Infractions History & Background

- June 2005
 - Annual infractions report submitted to and approved by the NCAA.
- June 2006
 - Annual infraction report submitted to and approved by the NCAA.
- February 9, 2007
 - End of NCAA probation

Compliance Mission Statement

- The University of Washington and the Department of Intercollegiate Athletics is committed to the principle of institutional control in the operation of its athletics program. It is the mission and goal of the UW athletics compliance office to protect the University by ensuring that the athletics program operates in a manner that is consistent with the letter and spirit of NCAA, Pac-10 Conference and University rules, regulations and policies.
- Athletics compliance is the responsibility of everyone associated with UW's athletics program, including coaches, student-athletes, athletics department personnel, faculty, staff, alumni, boosters and other supporters of UW. The compliance office is charged with leading and coordinating UW's compliance efforts and shall act as a resource for internal and external constituencies regarding NCAA and Pac-10 Conference compliance issues.

Compliance Mission Statement (cont.)

- **The primary functions of the compliance office are:**
 1. To educate coaches, student-athletes, staff and supporters regarding NCAA and Pac-10 Conference rules and the compliance expectations of the University.
 2. To serve coaches, student-athletes, staff and supporters by providing accurate and timely interpretations of the rules and assisting them in their compliance efforts.
 3. To monitor the activities of the athletics department and the University in a variety of critical areas (e.g., recruiting, eligibility certification, financial aid, amateurism, benefits, playing and practice season limitations) and verify compliance with all applicable rules.
 4. To investigate and report violations of NCAA and Pac-10 Conference rules.
- The compliance office seeks to carry out these essential functions in a manner that promotes a positive compliance atmosphere and demonstrates an unwavering commitment to highest standards of ethical behavior.

Recruiting Initiatives

- New Recruiting & Official Visit Policy
- Creation of new forms to monitor recruiting
- Improved booster education brochure sent to 18,000 households and posted on website
- Comprehensive audit of men's basketball recruiting phone call records
- Regular meetings with Head Football Coach and assistant men's basketball coach.
- Rules presentations to external booster groups.
- Regular communication w/ coaches re: recruiting issues (dead periods, new rules, etc.)

Gambling Initiatives

- FBI gambling presentation (2004)
- Gambling presentation by former mobster Michael Francese (Spring 2007)
- Quarterly gambling newsletters prepared by outside consultant
- New NCAA gambling newsletters
- Regular e-mail reminders about NCAA gambling rules sent to student-athletes and staff before major athletics events
- Annual gambling education for staff and student-athletes
- “The Truth About Gambling” brochures
- Meetings w/ local private investigator and NFL security representative re: gambling issues
- Meeting w/ UW police chief re: gambling issues

Rules Education Initiatives

- Mandatory monthly compliance meetings for all coaches
- Two mandatory compliance/rules education meetings for all student-athletes each year
- Mandatory annual rules education meetings for all ICA staff
- New Booster Brochure
- Enhancement of UW compliance website
- Meetings w/ external booster groups
- Rules education presentations for key campus offices (Financial, Admissions, Housing)
- Rules education presentations to medical staff treating UW student-athletes
- Distribution of Pac-10 violation summaries

Other Compliance Notes/Initiatives

- Elevated compliance director to senior management position
- “Compliance Cup” competition
 - Impacts each coach’s annual performance review and bonus compensation
- Monthly “Compliance Team” meetings
- NCAA certification completed successfully in 2006
- UW Department of Internal Audits – 2006 audit
 - Eligibility
 - Financial Aid
 - Playing & Practice Seasons
 - Rules Education
 - Investigating & Reporting Rules Violations
- Internal audits (e.g., awards, football GA compensation)

Other Compliance Notes/Initiatives

- Overhaul of many ICA compliance forms
- Re-writing/creation of major ICA compliance policies, including:
 - Camp and Clinics
 - Continuing Eligibility Certification
 - Extra Benefits
 - Freshman and Transfer Eligibility
 - Medical Hardships/Medical Disqualification
 - Playing and Practice Seasons
 - Reporting and Investigating Violations
 - Rules Education
 - Student-Athlete Employment
 - Transfer Appeal Policy
 - Football Summer Conditioning Policy

ICA Compliance Summary

- Major infractions: None since 2004
- Secondary infractions: 44 cases since 2004
 - Most in areas of recruiting & eligibility
- Most significant successes:
 - Positive compliance culture & atmosphere
 - Renewed feeling of integrity
- Most significant challenges:
 - Warding off complacency
 - Improvement needed in monitoring recruiting activities
 - Current initiatives underway to enhance auditing/monitoring of recruiting phone calls, contacts and evaluations.
 - Eliminate inadvertent mistakes in eligibility certification

Questions?

Enterprise Risk Management (ERM)



A Presentation to the Board of Regents
February 15, 2007

by

V'ella A. Warren
Treasurer, Board of Regents

“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.”

President Mark Emmert
April 22, 2005

Table of Contents

	<u>Pages</u>
The Issue: Culture of Compliance	2-5
The Approach: Enterprise Risk Management	6-8
Short-Term Goal: Common Language and Tools	9-10
Appendices	11-13

The Issue: Culture of Compliance

DRAFT

Why Is a Culture of Compliance Important?

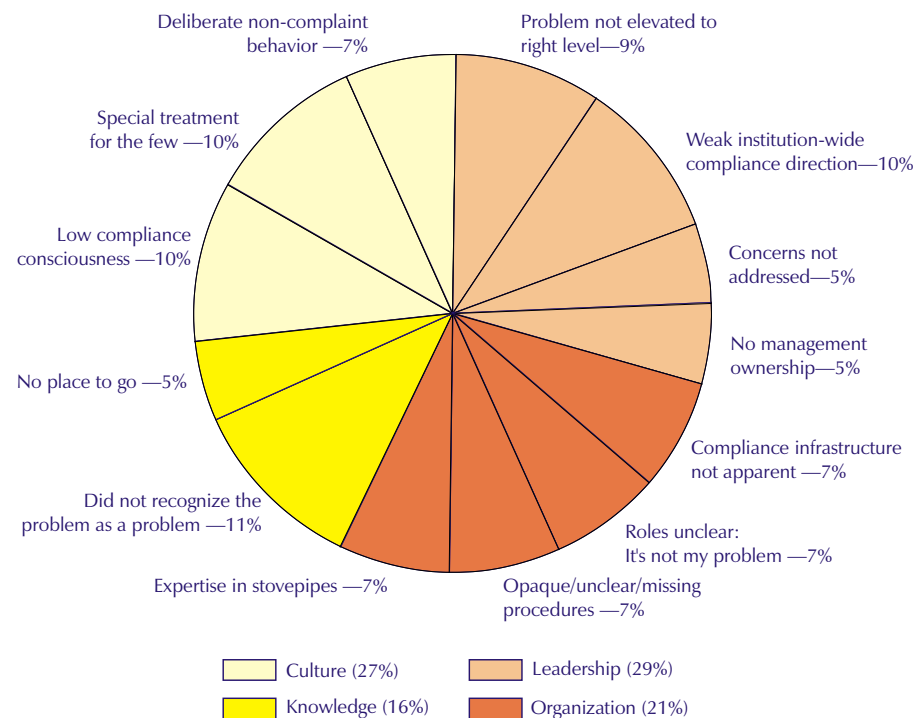
The University of Washington's (UW's) excellence is reflected in the institution's reputation. Creation of a strong model for compliance and risk management which encourages a culture of deserved trust will:

- Minimize threats to UW's leadership role in discovery and teaching.
- Protect our decentralized, collaborative and entrepreneurial culture.
- Ensure that stewardship of resources is consistent with best practices.
- Mitigate problems with institution-wide implications for reputation and resources.

What Were the Findings of the Review Committee on Strategic Risk Management?

- The President¹ asked the Dean of Arts & Sciences² and the Vice President for Financial Management³ to co-chair a Strategic Risk Initiative Review Committee charged with proposing a framework for managing institution-wide risk and compliance issues. The findings of that Committee are as follows:
 - UW has a long history of managing risk. Scattered throughout the institution are individuals and operations tasked with compliance, audit or risk management. These separate operations are done well, and many engage with an institutional perspective. However, due to the size, decentralization and complexity of the institution, expertise tends to be concentrated around separate and distinct risk areas (stovepipes).
 - An expanded role for oversight and regulation is likely in the future.
 - Risk and compliance are not formally integrated into strategic conversations.
 - Root causes of noncompliance events stem from persistent weaknesses in leadership, organization, culture, and knowledge.

Root Causes for Noncompliance at the UW



What Best Practices Were Identified?

- Seven best practices were highlighted by the Review Committee to serve as guideposts in strengthening UW's compliance and risk management model:
 - Integrate key risks into decision-making deliberations.
 - Create an integrated, institution-wide approach to compliance.
 - Ensure that good information is available.
 - Create a safe way to report problems.
 - Minimize surprises through identification of emerging risk issues.
 - Maintain a strong audit team.
 - Check progress on compliance and risk initiatives.
- The final report and executive summary are available at <http://www.washington.edu/admin/finmgmt/erm/>.

What Did the Review Committee Recommend?

- The UW should adopt an integrated approach to managing risk and compliance called Enterprise Risk Management (ERM).
- A President's Advisory Committee should be formed to oversee and improve the UW's culture of compliance by:
 - Debating risks of strategic importance.
 - Focusing on early identification.
 - Sponsoring education and other mitigation.
- A Compliance Council should be created, bringing compliance experts together to share information and advise the President's Advisory Committee by:
 - Identifying emerging compliance issues.
 - Ensuring good information is available to campuses.
 - Recommending safe, easy and effective ways for interested parties to report problems (help line, web guidance, early intervention program).
- Operational improvements identified in the final report on ERM should be evaluated and implemented as appropriate:
 - Maintaining a strong internal audit function.
 - Conducting formal risk assessments to advise an annual risk dialogue among senior leaders.
 - Adopting tools for self-assessment by campus units.
 - Analyzing risk benchmarks and trends.

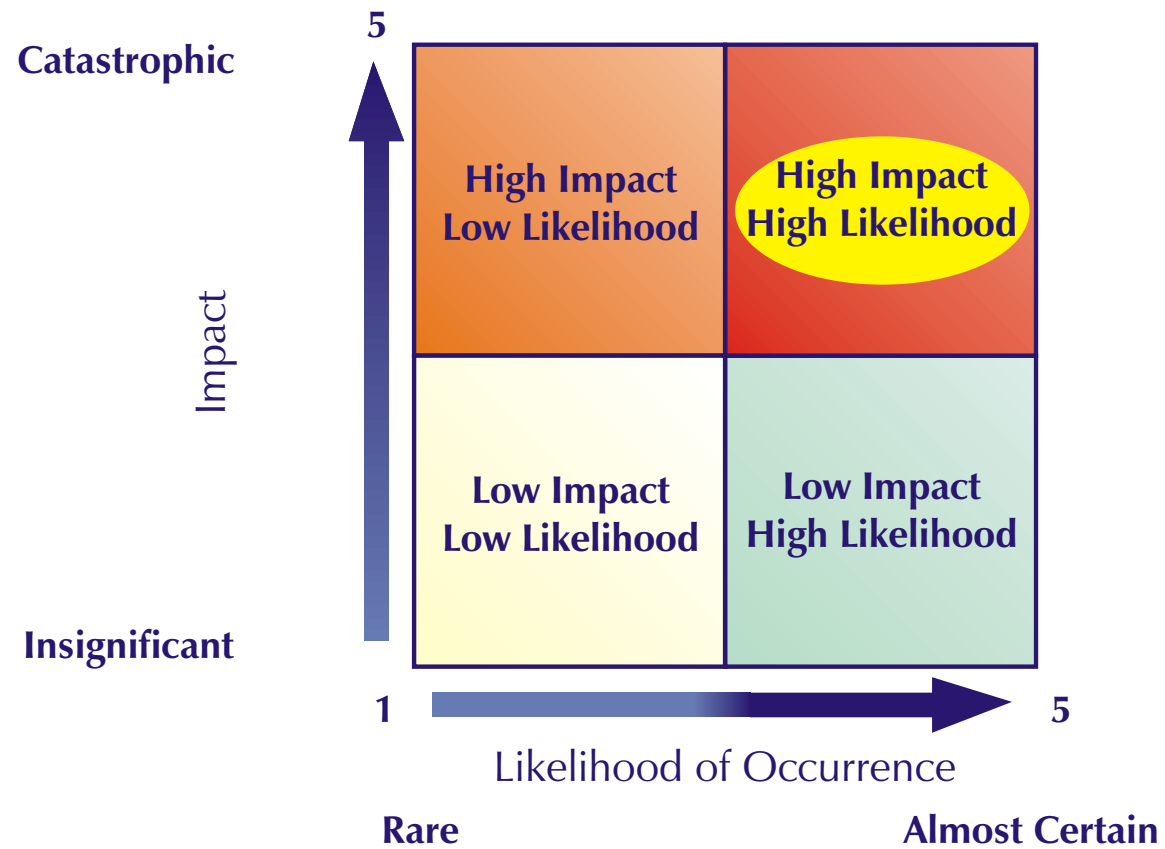
The Approach: Enterprise Risk Management

What Is Enterprise Risk Management (ERM)?

- ERM integrates risk into strategic deliberations, identifying the interrelations of risk factors across an organization's activities. Characteristics include:
 - Assessing risk in context of strategic objectives.
 - Viewing risk holistically, not functionally.
 - Covering all risk types: *compliance, financial, operational and strategic*.
 - Fostering a common awareness that allows individuals to focus their attention on risk with strategic impact.



What Is a Risk Map?



What Are the Benefits of ERM?

- A recent survey by the Risk and Insurance Management Society (RIMS) and Marsh, Inc documents ERM results:
 - Communications on risk with stakeholders and the Board are improved.
 - Decisions are more informed.
 - Resources to address risk are allocated better.
 - Governance practices are stronger.

Source: *Excellence in Risk Management: A Qualitative Survey of ERM Programs*,
Risk and Insurance Management Society (RIMS) and Marsh, April, 2005

Short-Term Goal: Common Language and Tools

What Progress Has Been Made Over the Last Year (2/06–1/07)?

- The Review Committee completed its work, forwarding its report to the President.
- The executive summary of that report was distributed to the Board of Regents.
- The President's Advisory Committee for Compliance and Risk Management (PACERM) and the Compliance Council were organized and meetings were scheduled for the academic year (see Appendices 1 and 2 for membership details).
- Short-term and long-term goals were established for both groups.
- The Compliance Council identified risk owners for major compliance issues and began educating one another across compliance stovepipes.
- PACERM identified areas for inaugural risk maps.
- Risk maps have been piloted on the Neptune project and data security.
- Internal Audit Peer Review was completed. Outcomes were discussed with the Board of Regents and PACERM.

What Are the Next Steps?

- PACERM will review inaugural risk maps for targeted high risk areas:
 - Data security
 - Safety of students
 - Global activities
 - Clinical billing
 - Environmental pollution
 - Human subjects
 - Post-award research
- The Compliance Council will develop a risk map for all compliance issues, which will be reviewed by PACERM.
- Risk Management staff will draft the first institution-wide risk map, covering all risk types.
- PACERM and the Compliance Council will continue to expand their common understanding of key risk issues. In addition to reviewing the inaugural risk maps (see above), PACERM will discuss minimum data standards, business continuity, the State Ethics Law, the Faculty Code and faculty effort reporting.
- A website will be developed to serve as a portal for access to information on compliance, risk issues and contacts.
- An annual report will be sent to the President from PACERM with input from the Compliance Council.

Appendices

Appendix 1: President's Advisory Committee on Enterprise Risk Management (PACERM)

Cathryn Booth-LaForce, Chair, Faculty Council on Research; Professor, Family and Child Nursing

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

Eric Godfrey, Vice Provost for Student Life, Student Life

Sara Gomez, Vice Provost / Interim Chief Information Officer, Office of Information Management

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

Ron Irving, Interim Dean, College of Arts and Sciences

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

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

Daniel Luchtel, Vice Chair, Faculty Senate; Professor, Environmental & Occupational Health Sciences

Suzanne Ortega, Vice Provost and Dean, The Graduate School

Gary Quarfoth, Interim Vice Provost for Planning and Budgeting

Patricia Spakes, Chancellor, UW Tacoma

Todd Turner, Athletic Director, Intercollegiate Athletics

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

V'Ella Warren, Vice President for Financial Management and Treasurer of the Board of Regents

Phyllis Wise, Provost, Office of the Provost

Nancy Woods, Dean, School of Nursing

Scott Woodward, Vice President for External Affairs

Kimberly Friese, Graduate and Professional Student Senate (GPSS)

Jonathan Evans, Associated Student of the University of Washington (ASUW)

Appendix 2: Compliance Council Members

Name	Organization	Compliance Area
Ann Anderson	Financial Management	Financial Compliance/reporting
Cheryl Angeletti-harris	Provost's office	ADA, EEO
Kirk Bailey	C&C	Information Security
Linda Barrett	Provost's office	Budget
Janelle Browne	Human Resources	Health Sciences Human Resources
Sue Camber	Financial Management	Post-Award Administration
Cheryl Cameron	Provost's office	Faculty/Staff Conflicts of Interest
Jeff Cheek	office of Research	Research
Elizabeth Cherry	Financial Management	Risk Management
Sue Clausen	School of Medicine	School of Medicine Compliance
Jeff Compher	ICA	NCAA Compliance
Walter Dryfoos	Development office	Donor Gift Restrictions
David Fenner	Provost's office	International Students, Faculty, Staff
Jessie Garcia	Human Resources	Upper Campus Human Resources
Kay Lewis	Student Affairs	Student Financial Aid
Richard Meeks	Uw Medicine	HIPAA Compliance
Karen Moe	office of Research	Human Subjects
John Morris	ICA	NCAA Compliance
Nona Phillips	Health Sciences	Animal Welfare
Marcia Rhodes	Health Sciences	Health Sciences Risk Management
Kate Riley	School of Dentistry	School of Dentistry Compliance
Jim Severson	Technology Transfer	Technology Licensing, Intellectual Property
Bill Shirey	Office of Information Management	IT/Data Security
Karen Vandusen	Health Sciences	Environmental Health & Safety
Lea Vaughn	Faculty Member	Faculty Compliance Issues
Kathryn Waddell	Health Sciences	Animal Subjects
Carol Zuiches	office of Research	OSP, Pre-award Administration

Erm Advisors: Andrew Faris, Kerry Kahl And Lori Oliver

Facilitator: Maureen Rhea

Appendix 3: Survey of Recent Fines, Penalties and Repayments Made by Research Universities

(Dollars in Millions)		
UW	Medical billing	\$35.0
Minnesota	Misuse of federal grants	32.0
Texas	Medical billing	20.0
Thomas Jefferson	Medical billing	12.0
Yale Medical	Credit balances	5.6
Northwestern	Effort reporting fraud	5.5
South Florida	Improper research charge	4.1
Johns Hopkins	Effort reporting	2.6
Stanford	Inflated overhead costs	1.2
Chicago	Research fraud and abuse	0.7
Duke	Sexual harassment	0.5
Michigan	Conflict of interest	0.1

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW

Report of Contributions

University of Washington
University of Washington Foundation

December, 2006

UW FOUNDATION REPORT OF CONTRIBUTIONS · DECEMBER 2006

NOTES AS OF DECEMBER 31, 2006

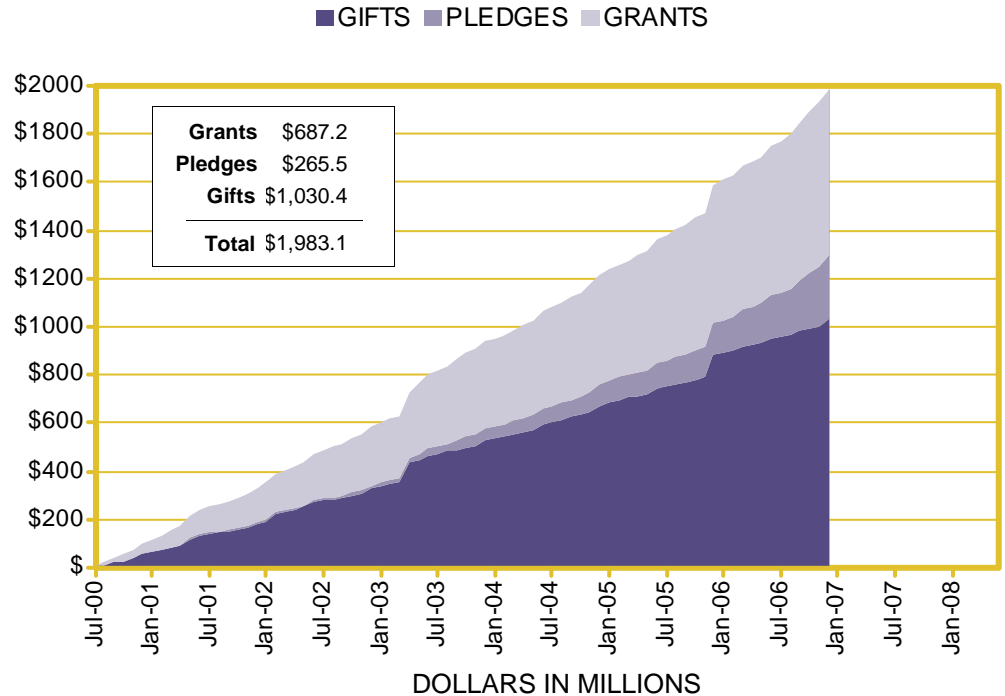
DATA POINTS

\$1,983,146,889 has been raised toward our campaign goal of \$2 billion.

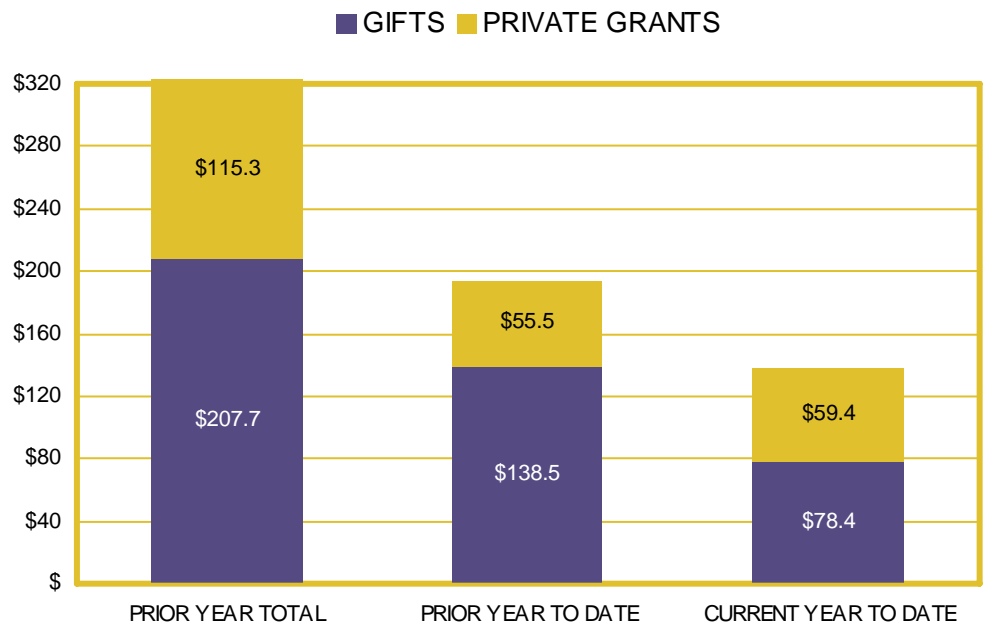
The UW received \$39.4 million in total private voluntary support (\$31.3 million in gifts and \$8.1 in grants) in December.

Areas including Arts and Sciences, Broadcast Services, Business School, Education, Graduate School, Information School, Intercollegiate Athletics, Nursing, Pharmacy, Social Work and UW Alumni Association are ahead of last year's year-to-date totals.

FUNDRAISING PROGRESS SINCE JULY 1, 2000



CURRENT GIFT AND PRIVATE GRANT TOTALS



DECEMBER 2006 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.

Floyd U. Jones - \$700,000 to the College of Arts and Sciences

- This gift completes funding for the Floyd & Delores Jones Chair in the Arts – the first chair ever pledged to the Arts Division in the College of Arts and Sciences. The endowment will enable the University to attract and retain distinguished faculty in the arts, including but not limited to the School of Art, the School of Music, the School of Drama, the Dance Program & the Center for Digital Arts and Experimental Media (DXArts) .
- The endowment invested on January 1, 2007 with \$1 million in gifts and \$500,000 in matching funds and will begin distributing to the college on September 30, 2007.
- Both alumni of the College of Arts and Sciences, Floyd and Delores Jones established this endowed chair to rotate among arts disciplines because they believe that the arts are fundamental to a successful society.

Medic One Foundation - \$162,150 to UW Medicine

- The Foundation's gift benefits the Harborview Medical Center Medic One Paramedic Training Program. A University of Washington Laureate, the Foundation has contributed more than \$500,000 to this training program since 2005.
- The goal of Medic One Training is to take young Emergency Medical Technicians and teach them how to think like doctors in certain situations. Medic One Foundation funding insures that paramedic students acquire extensive field training under the direct supervision of experienced paramedics. Students undergo 1,900 hours of instruction and average 700 patient contacts during training — more than three times the national average.
- The expression "If you have to have a heart attack, have it in Seattle," was coined by *60 Minutes* senior correspondent Morley Safer in a 1974 report that featured the fledgling Medic One program.

Harry and Ann Pryde - \$100,000 to the Evans School

- Mr. and Mrs. Pryde's gift to the Harry A. and Ann L. Pryde Endowed Fellowship will support outstanding graduate students committed to excellence in public service. The Prydes have pledged another \$100,000 to the fund; their gifts will receive \$75,000 in matching funds from the University and the state.
- Fellowship grants will be awarded annually to students in excellent academic standing. The grants may provide support for living expenses, books, fees, and may also cover all or part of tuition. This endowment will also provide support for internship opportunities for Evans School graduate students to work in Washington, D.C., including support for travel expenses.
- Ann and Harry Pryde met in class as students at the Evans Graduate School. After founding the Pryde Corporation, a Seattle real estate development company, Harry's passion for affordable housing led to his service as President of the National Association of Home Builders. His involvement there strengthened his belief in the importance of exposing graduate students to national and global policy issues.





REPORT OF CONTRIBUTIONS

December 2006

CAMPAIGN UW: CREATING FUTURES

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

1/8/2007 04:03 PM

TABLE OF CONTENTS

Campaign Progress to Date*	1
Campaign Progress by Giving Level*	2
Campaign Progress Pyramid*	3
Campaign Progress by Constituency*	4
Campaign Theme Progress*	5
Development Area Summary - Total Private Voluntary Support	6
Development Area Summary - Gifts and Private Grants	7
Development Area Summary - Gifts	8
Complete Fiscal Year Comparison	9
Year to Date Contribution Totals	10
Development Activity by Donor Type	11
Alumni Participation by Constituency	12

*All Campaign totals represented are from July 1, 2000 through the end of the preceeding 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.

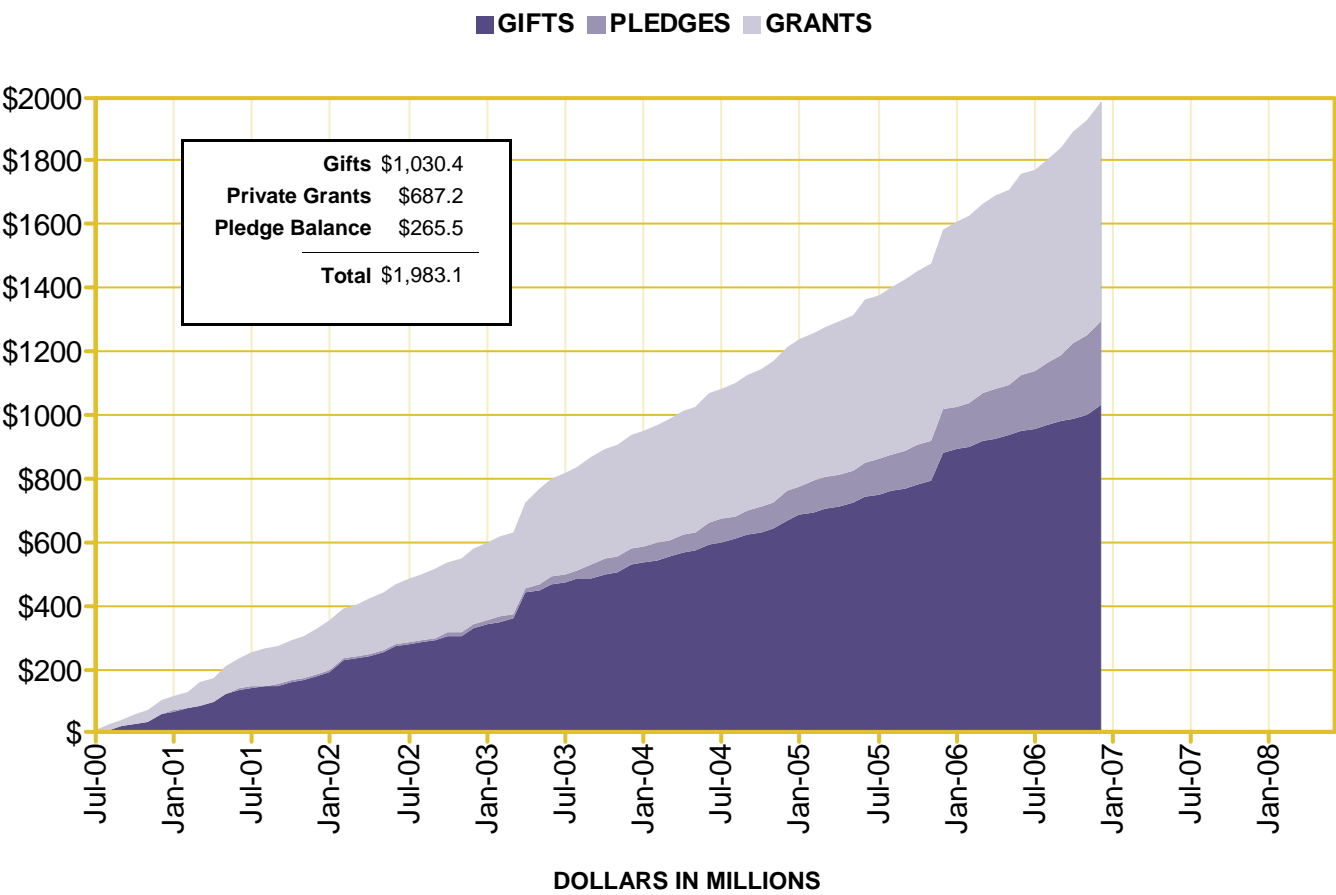
Annual reporting is July 1, 2006 through the end of the preceeding calendar month.

Job Number: 73477
December 2006

Table of Contents



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.

CAMPAIGN PROGRESS BY GIVING LEVEL

DOLLARS RAISED							
Gifts, Pledges & Grants							
Giving Level *	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$100M+	\$0	\$35,220	\$241,630,894	\$0	\$0	\$0	\$241,666,114
\$50M - \$99,999,999	\$0	\$0	\$0	\$0	\$0	\$0	\$0
\$10M - \$49,999,999	\$44,730,424	\$71,503,527	\$33,972,500	\$59,181,657	\$101,252,320	\$23,108,531	\$333,748,958
\$5M - \$9,999,999	\$36,732,765	\$10,296,947	\$0	\$58,050,477	\$38,970,995	\$75,362,845	\$219,414,028
\$1M - \$4,999,999	\$118,170,525	\$67,099,778	\$29,152,392	\$118,006,059	\$108,318,621	\$81,472,099	\$522,219,475
\$100,000 - \$999,999	\$99,378,635	\$71,774,724	\$22,810,076	\$125,950,020	\$63,740,390	\$55,367,896	\$439,021,742
\$25,000 - \$99,999	\$25,611,527	\$19,541,219	\$2,816,842	\$30,058,091	\$7,457,423	\$10,233,563	\$95,718,665
\$10,000 - \$24,999	\$17,794,726	\$12,752,809	\$859,940	\$9,542,039	\$1,623,992	\$2,222,409	\$44,795,914
\$5,000 - \$9,999	\$11,697,066	\$8,897,303	\$283,153	\$4,926,220	\$552,297	\$692,483	\$27,048,522
\$2,000 - \$4,999	\$9,794,964	\$7,816,515	\$73,628	\$3,242,512	\$259,950	\$471,307	\$21,658,876
\$1,000 - \$1,999	\$5,553,053	\$4,334,351	\$22,676	\$1,403,107	\$78,295	\$220,624	\$11,612,106
\$500 - \$999	\$5,114,865	\$3,661,277	\$5,865	\$695,449	\$30,405	\$91,516	\$9,599,377
\$250 - \$499	\$3,472,097	\$4,783,841	\$1,150	\$297,701	\$10,938	\$44,622	\$8,610,349
\$100 - \$249	\$2,989,921	\$2,029,515	\$2,665	\$279,916	\$7,132	\$31,582	\$5,340,731
\$1 - \$99	\$1,420,545	\$1,187,995	\$189	\$71,644	\$1,063	\$10,594	\$2,692,031
Total	\$382,461,114	\$285,715,022	\$331,631,969	\$411,704,892	\$322,303,823	\$249,330,069	\$1,983,146,889
DONOR COUNTS							
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	12	8	4	4	6	2	36
\$5M - \$9,999,999	8	7	0	8	6	10	39
\$1M - \$4,999,999	95	92	14	55	47	43	346
\$100,000 - \$999,999	561	608	71	464	192	183	2,079
\$25,000 - \$99,999	1,020	1,018	67	660	155	205	3,125
\$10,000 - \$24,999	2,140	1,998	60	715	112	151	5,176
\$5,000 - \$9,999	2,979	2,796	49	819	94	112	6,849
\$2,000 - \$4,999	5,129	5,226	26	1,241	89	168	11,879
\$1,000 - \$1,999	6,320	6,304	20	1,271	64	190	14,169
\$500 - \$999	10,504	9,720	12	1,262	50	154	21,702
\$250 - \$499	12,764	18,888	4	1,032	35	143	32,866
\$100 - \$249	23,304	20,888	18	2,169	51	250	46,680
\$1 - \$99	39,949	41,498	4	1,835	23	298	83,607
Total	104,785	109,053	350	11,535	924	1,909	228,556

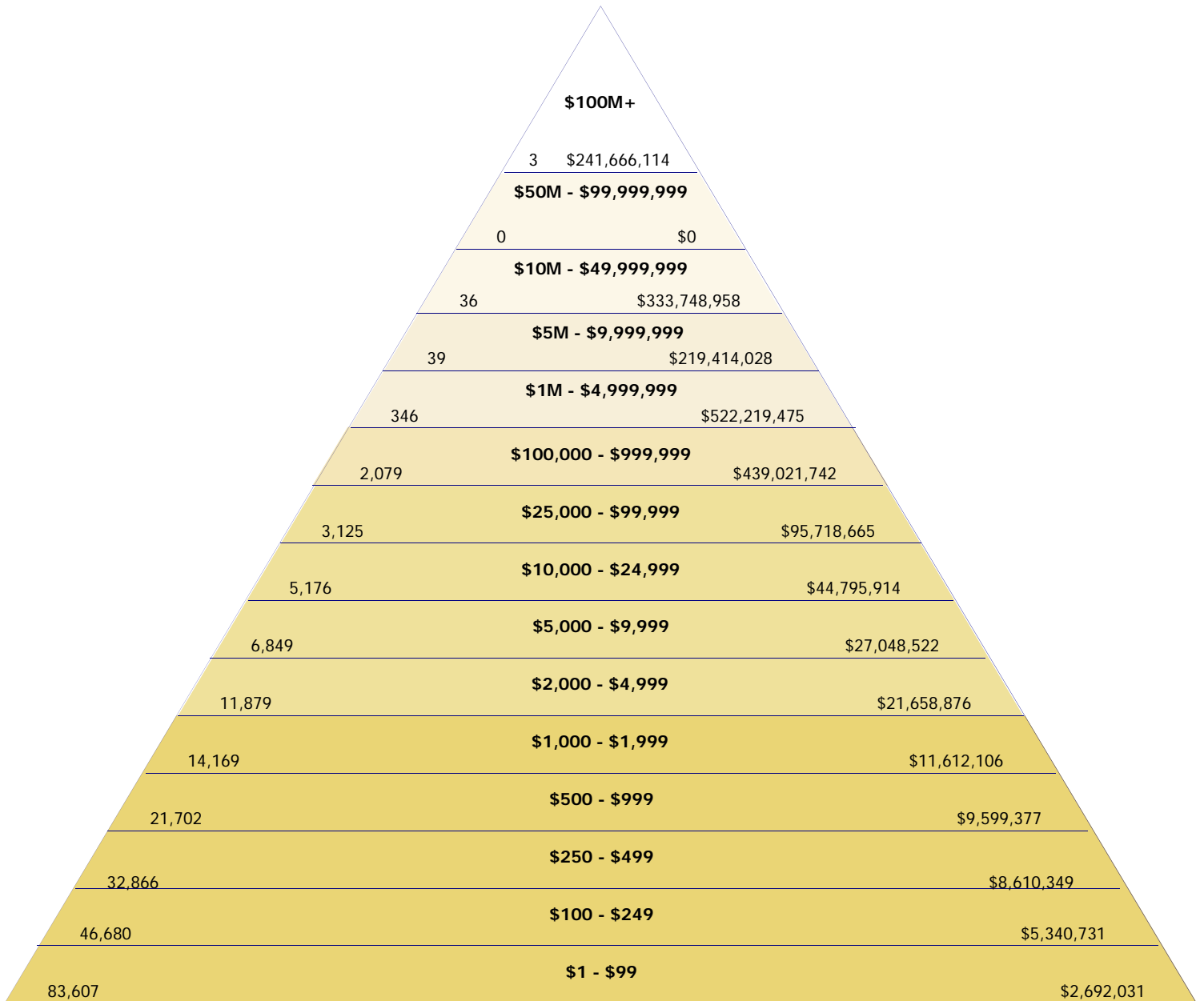
Source: UW Office of Development & Alumni Relations

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



228,556 Donor Count

Campaign Total: \$1,983,146,889

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

Percent Complete: 99.2%

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)

Job Number: 73477

December 2006

Campaign Progress Pyramid - Since July 1, 2000



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	³ Working Goal	% of Goal
UW Medicine	\$283,840,561	\$11,470,124	\$6,448,838	\$46,478,917	\$29,301,186	\$10,576,273	\$351,843,470	\$722,934,258	\$1,000,000,000	72.3%
Architecture	\$7,633,363	\$2,244,117	\$663,889	\$1,448,492	\$2,225,000	\$1,294,992	\$3,883,923	\$17,434,895	\$19,000,000	91.8%
Arts and Sciences	\$104,976,003	\$6,587,607	\$4,293,595	\$10,647,427	\$36,454,000	\$24,783,666	\$69,377,859	\$228,042,896	\$240,000,000	95.0%
Broadcast Services	\$44,831,673	\$0	\$0	\$16,747	\$0	\$0	\$0	\$44,848,420	N/A	N/A
Business School	\$60,845,119	\$1,025,743	\$702,307	\$36,894,416	\$7,905,271	\$5,411,103	\$368,335	\$107,038,884	\$135,000,000	79.3%
Dentistry	\$7,633,920	\$246,992	\$136,080	\$1,358,466	\$775,000	\$431,459	\$3,923,688	\$13,938,067	\$15,000,000	92.9%
Education	\$10,837,733	\$28,552	\$25,515	\$2,718,695	\$2,050,000	\$1,261,668	\$13,710,471	\$29,345,450	\$23,000,000	127.6%
Engineering	\$130,423,288	\$2,649,822	\$1,405,540	\$7,478,698	\$4,933,345	\$1,951,366	\$74,234,943	\$219,720,096	\$250,000,000	87.9%
Evans Schl. of Pub. Affairs	\$11,593,135	\$81,135	\$84,921	\$272,998	\$500,000	\$265,793	\$37,898,504	\$50,345,772	\$40,000,000	125.9%
Forest Resources	\$9,111,063	\$646,572	\$522,374	\$360,875	\$2,515,000	\$1,276,133	\$3,493,466	\$16,126,976	\$17,700,000	91.1%
Friday Harbor Labs	\$5,995,661	\$153,242	\$78,775	\$338,733	\$5,255,000	\$2,978,876	\$862,743	\$12,605,379	\$12,000,000	105.0%
Information School	\$3,089,334	\$25,000	\$8,102	\$104,746	\$100,000	\$64,666	\$1,420,959	\$4,740,039	\$5,000,000	94.8%
Intercollegiate Athletics	\$97,698,280	\$246,570	\$168,346	\$6,511,091	\$210,000	\$133,886	\$0	\$104,665,941	\$110,000,000	95.2%
Law	\$59,425,793	\$70,832	\$38,401	\$1,067,596	\$224,988	\$81,736	\$1,101,542	\$61,890,752	\$70,000,000	88.4%
Libraries	\$5,936,293	\$442,146	\$356,155	\$52,572	\$1,797,000	\$783,765	\$475,708	\$8,703,719	\$9,000,000	96.7%
Nursing	\$9,714,062	\$3,295,000	\$2,399,578	\$1,667,040	\$3,322,799	\$1,693,681	\$8,439,567	\$26,438,468	\$24,000,000	110.2%
Ocean and Fisheries	\$12,887,132	\$5,812,500	\$2,684,083	\$74,734	\$0	\$0	\$23,570,509	\$42,344,875	\$34,000,000	124.5%
Pharmacy	\$9,075,858	\$0	\$0	\$466,188	\$0	\$0	\$4,718,247	\$14,260,293	\$10,260,000	139.0%
President's Funds	\$5,590,538	\$698,472	\$561,864	\$409,161	\$3,230,000	\$1,543,929	\$0	\$9,928,170	N/A	N/A
Public Health	\$13,847,242	\$50,259	\$32,171	\$917,112	\$0	\$0	\$64,039,277	\$78,853,890	\$90,000,000	87.6%
Scholar. & Student Progs.	\$32,893,898	\$1,365,684	\$633,592	\$2,043,725	\$3,868,333	\$2,036,974	\$1,864,332	\$42,035,972	\$40,000,000	105.1%
Social Work	\$2,099,739	\$290,566	\$158,012	\$10,058,604	\$0	\$0	\$6,106,420	\$18,555,329	\$10,000,000	185.6%
University Press	\$3,521,746	\$108,239	\$84,817	\$15,200	\$0	\$0	\$0	\$3,645,185	\$3,000,000	121.5%
University Support	\$35,508,144	\$1,550,063	\$906,769	\$6,219,410	\$12,050,000	\$5,339,222	\$15,056,957	\$70,384,574	N/A	N/A
UW Bothell	\$2,353,330	\$0	\$0	\$47,260	\$0	\$0	\$750,500	\$3,151,090	\$5,700,000	55.3%
UW Tacoma	\$19,728,127	\$195,000	\$175,352	\$8,339,115	\$2,825,000	\$1,596,615	\$80,257	\$31,167,499	\$35,000,000	89.0%
All UW Total	\$991,091,035	\$39,284,236	\$22,569,076	\$146,008,019	\$119,541,922	\$63,505,803	\$687,221,677	\$1,983,146,889	\$2,000,000,000	99.2%

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.

Job Number: 73477

December 2006

Campaign Progress by Constituency - Since July 2000



CAMPAIGN FUNDING THEME PROGRESS - JULY 2000 - PRESENT

THEME	CURRENT USE	ENDOWMENT	TOTAL
Student Support	\$96,076,966	\$163,817,435	\$259,894,400
Faculty Support	\$85,656,345	\$131,078,284	\$216,734,629
Program Support for Faculty and Students	\$895,124,339	\$131,716,127	\$1,026,840,465
Capital	\$281,514,629	\$1,778,269	\$283,292,898
Unrestricted	\$164,785,698	\$31,598,799	\$196,384,497
Total	\$1,523,157,976	\$459,988,913	\$1,983,146,889
Goal	\$1,600,000,000	\$400,000,000	\$2,000,000,000
% to Goal	95.2%	115.0%	99.2%

Source: UW Office of Development

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

Job Number: 73477

December 2006

Campaign Theme Progress



DEVELOPMENT SUMMARY - TOTAL PRIVATE VOLUNTARY SUPPORT

AREA	YEAR TO DATE DONOR VALUES		
	GIFTS	PRIVATE GRANTS	TOTAL
UW Seattle			
UW Medicine	\$16,302,648	\$34,554,295	\$50,856,944
Architecture	\$614,680	\$162,000	\$776,680
Arts and Sciences	\$11,828,257	\$5,611,823	\$17,440,081
Broadcast Services	\$3,426,628		\$3,426,628
Business School	\$7,255,714	\$28,347	\$7,284,061
Dentistry	\$720,288	\$77,389	\$797,677
Education	\$1,029,012	\$930,031	\$1,959,043
Engineering	\$7,552,588	\$3,514,324	\$11,066,912
Evans Schl. of Pub. Affairs	\$2,186,480	\$1,525,941	\$3,712,421
Forest Resources	\$581,494	\$99,181	\$680,675
Graduate School	\$1,167,285	\$709,331	\$1,876,616
Information School	\$360,435	\$173,724	\$534,159
Intercollegiate Athletics	\$7,052,083		\$7,052,083
Law	\$758,140	\$112,000	\$870,140
Libraries	\$475,661		\$475,661
Nursing	\$4,230,751	\$616,547	\$4,847,298
Ocean and Fisheries	\$1,095,208	\$1,177,607	\$2,272,816
Pharmacy	\$770,496	\$462,743	\$1,233,239
President's Funds	\$231,735		\$231,735
Public Health	\$390,241	\$5,479,470	\$5,869,712
Scholar. & Student Progs.	\$3,506,042	\$1,000,000	\$4,506,042
Social Work	\$110,264	\$826,149	\$936,413
UW Alumni Association	\$560,857		\$560,857
University Press	\$1,608,179		\$1,608,179
University Support	\$3,105,669	\$2,335,700	\$5,441,369
UW Bothell	\$178,300		\$178,300
UW Tacoma	\$1,302,646	\$5,567	\$1,308,213
All UW Total	\$78,401,794	\$59,402,172	\$137,803,966

Source: UW Office of Development

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

Job Number: 73477

December 2006

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	4,587	\$10,369,938	10,761	\$50,856,944	11,618	\$61,845,399	18,379	\$108,952,952
Architecture	381	\$373,039	681	\$776,680	670	\$2,671,830	1,316	\$5,313,848
Arts and Sciences	3,500	\$6,871,216	10,904	\$17,440,081	10,431	\$15,466,815	16,381	\$26,555,640
Broadcast Services	622	\$234,261	2,476	\$3,426,628	1,849	\$3,203,467	3,307	\$8,323,416
Business School	818	\$3,856,527	3,158	\$7,284,061	2,909	\$6,563,660	4,406	\$10,411,034
Dentistry	303	\$279,077	998	\$797,677	883	\$1,065,315	1,363	\$1,760,021
Education	244	\$593,088	980	\$1,959,043	1,006	\$1,298,045	1,895	\$2,916,481
Engineering	862	\$3,883,315	3,086	\$11,066,912	2,843	\$23,314,720	4,224	\$38,867,802
Evans Schl. of Pub. Affairs	85	\$2,260,143	243	\$3,712,421	276	\$4,068,273	630	\$5,997,460
Forest Resources	226	\$195,147	522	\$680,675	608	\$1,923,050	1,024	\$3,078,045
Graduate School	76	\$162,561	185	\$1,876,616	492	\$1,866,997	683	\$2,470,722
Information School	90	\$141,527	497	\$534,159	419	\$245,560	610	\$811,461
Intercollegiate Athletics	1,628	\$3,053,120	4,762	\$7,052,083	4,250	\$5,741,776	20,414	\$17,642,469
Law	455	\$203,915	1,057	\$870,140	1,072	\$34,641,127	1,987	\$36,175,919
Libraries	387	\$309,586	968	\$475,661	1,065	\$789,092	4,256	\$1,343,782
Nursing	587	\$452,632	1,234	\$4,847,298	1,161	\$1,794,809	1,814	\$2,856,427
Ocean and Fisheries	254	\$817,894	500	\$2,272,816	404	\$5,168,638	708	\$14,035,193
Pharmacy	166	\$339,802	531	\$1,233,239	535	\$1,006,600	1,219	\$1,896,947
President's Funds	485	\$111,841	1,162	\$231,735	909	\$432,881	1,812	\$711,430
Public Health	154	\$487,521	448	\$5,869,712	359	\$6,270,571	793	\$8,346,379
Scholar. & Student Progs.	716	\$2,541,108	1,892	\$4,506,042	1,839	\$4,865,931	3,203	\$8,712,482
Social Work	183	\$580,434	455	\$936,413	325	\$837,330	821	\$1,187,969
UW Alumni Association	1,899	\$120,204	11,632	\$560,857	9,893	\$479,359	21,560	\$1,117,494
University Press	51	\$71,971	178	\$1,608,179	244	\$220,722	417	\$512,227
University Support	258	\$734,046	1,171	\$5,441,369	1,049	\$6,078,302	2,803	\$8,933,954
UW Bothell	45	\$14,868	160	\$178,300	147	\$650,889	533	\$893,379
UW Tacoma	123	\$354,624	324	\$1,308,213	308	\$1,483,100	770	\$3,180,471
All UW Unique Total	17,237	\$39,413,417	53,229	\$137,803,966	50,054	\$193,994,273	97,876	\$323,005,417

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: 73477

December 2006

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	4,543	\$6,608,698	10,584	\$16,302,648	11,421	\$36,647,270	18,096	\$49,328,735
Architecture	380	\$333,039	676	\$614,680	668	\$2,647,680	1,313	\$3,114,700
Arts and Sciences	3,485	\$5,672,873	10,857	\$11,828,257	10,388	\$10,720,672	16,304	\$18,125,791
Broadcast Services	622	\$234,261	2,476	\$3,426,628	1,849	\$3,203,467	3,307	\$8,323,416
Business School	818	\$3,856,527	3,157	\$7,255,714	2,908	\$6,538,660	4,403	\$10,271,846
Dentistry	302	\$274,077	993	\$720,288	880	\$1,047,315	1,353	\$1,419,981
Education	242	\$491,424	974	\$1,029,012	1,004	\$1,002,945	1,888	\$1,790,300
Engineering	859	\$2,877,828	3,053	\$7,552,588	2,801	\$13,598,244	4,157	\$20,093,019
Evans Schl. of Pub. Affairs	84	\$1,985,143	231	\$2,186,480	265	\$550,366	615	\$780,802
Forest Resources	224	\$152,520	516	\$581,494	602	\$1,709,218	1,010	\$2,485,778
Graduate School	74	\$101,428	180	\$1,167,285	490	\$1,757,203	681	\$2,352,479
Information School	90	\$141,527	494	\$360,435	415	\$206,824	605	\$401,173
Intercollegiate Athletics	1,628	\$3,053,120	4,762	\$7,052,083	4,250	\$5,741,776	20,414	\$17,642,469
Law	455	\$203,915	1,055	\$758,140	1,071	\$34,620,429	1,985	\$36,124,321
Libraries	387	\$309,586	968	\$475,661	1,063	\$723,710	4,254	\$1,278,400
Nursing	585	\$171,074	1,228	\$4,230,751	1,151	\$1,251,900	1,795	\$1,638,532
Ocean and Fisheries	242	\$554,497	481	\$1,095,208	382	\$1,955,400	676	\$7,379,889
Pharmacy	163	\$190,672	526	\$770,496	532	\$814,994	1,214	\$1,650,696
President's Funds	485	\$111,841	1,162	\$231,735	909	\$432,881	1,812	\$711,430
Public Health	148	\$115,669	424	\$390,241	330	\$652,925	744	\$891,850
Scholar. & Student Progs.	716	\$2,541,108	1,892	\$3,506,042	1,837	\$4,799,475	3,201	\$8,473,021
Social Work	181	\$34,434	449	\$110,264	320	\$483,925	814	\$582,220
UW Alumni Association	1,899	\$120,204	11,632	\$560,857	9,893	\$479,359	21,560	\$1,117,494
University Press	51	\$71,971	178	\$1,608,179	244	\$220,722	417	\$512,227
University Support	258	\$734,046	1,167	\$3,105,669	1,046	\$5,162,948	2,796	\$7,884,789
UW Bothell	45	\$14,868	160	\$178,300	146	\$50,889	532	\$193,379
UW Tacoma	123	\$354,624	322	\$1,302,646	307	\$1,478,110	769	\$3,175,481
All UW Unique Total	17,150	\$31,310,986	52,943	\$78,401,794	49,728	\$138,499,322	97,391	\$207,744,231

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.

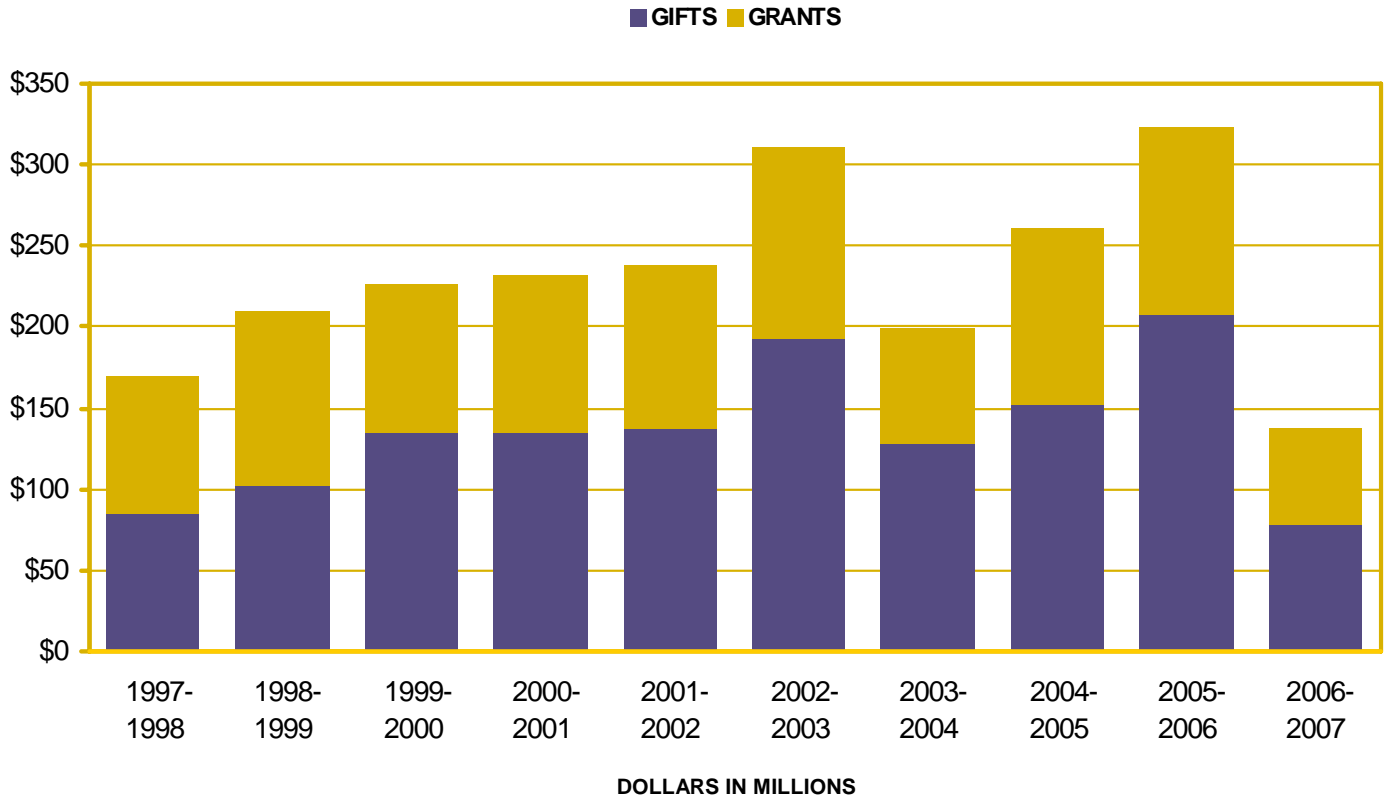
Job Number: 73477

December 2006

Development Area Summary - Gifts



COMPLETE FISCAL YEAR COMPARISON OF TOTAL CONTRIBUTIONS RECEIVED



FISCAL YEAR	GIFTS	GRANTS	TOTAL CONTRIBUTIONS
2006- 2007	\$78,401,794	\$59,402,172	\$137,803,966
2005- 2006	\$207,744,231	\$115,261,186	\$323,005,417
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

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.

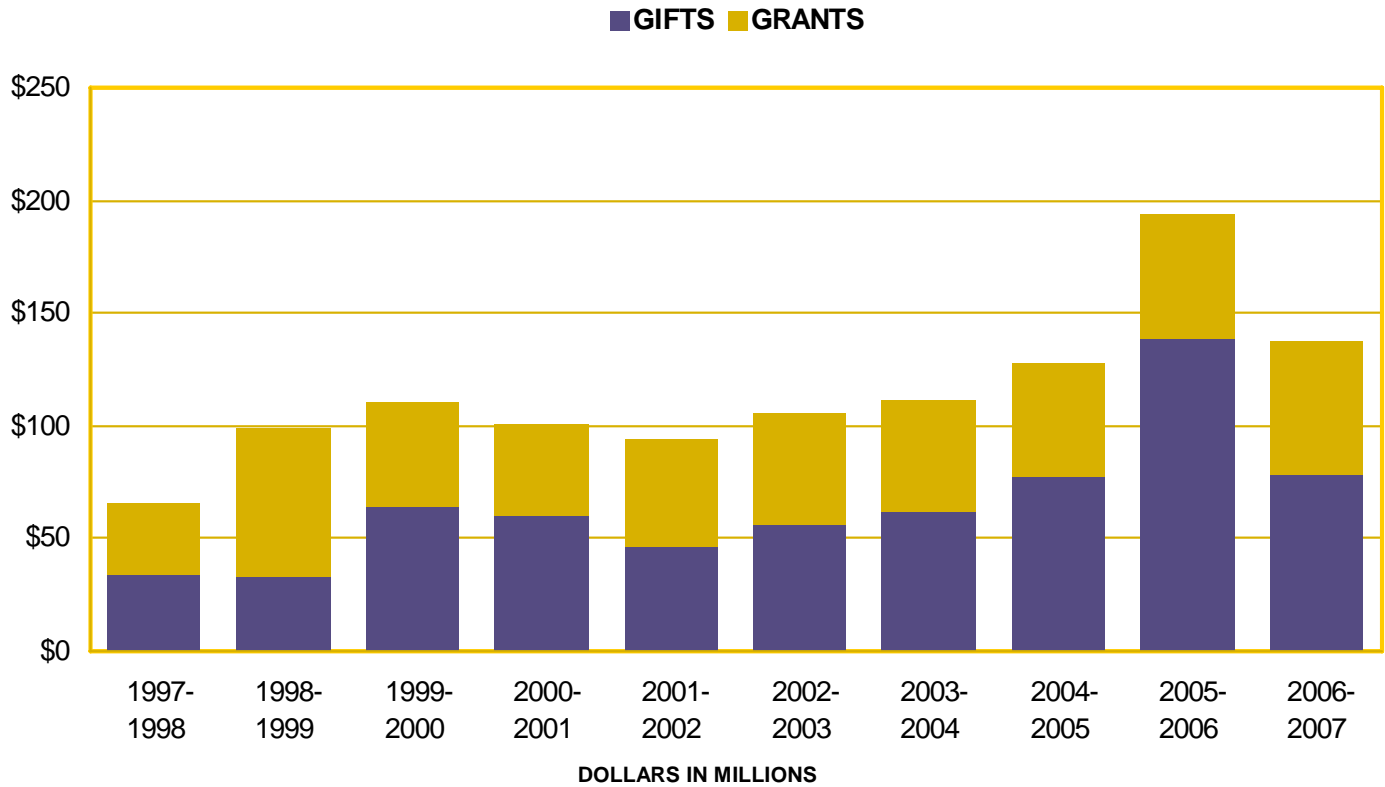
Job Number: 73477

December 2006

Fiscal Year Totals Graph



YEAR TO DATE CONTRIBUTION TOTALS



FISCAL YEAR	GIFTS	GRANTS	TOTAL CONTRIBUTIONS
2006- 2007	\$78,401,794	\$59,402,172	\$137,803,966
2005- 2006	\$138,499,322	\$55,494,951	\$193,994,273
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

Source: UW Office of Development

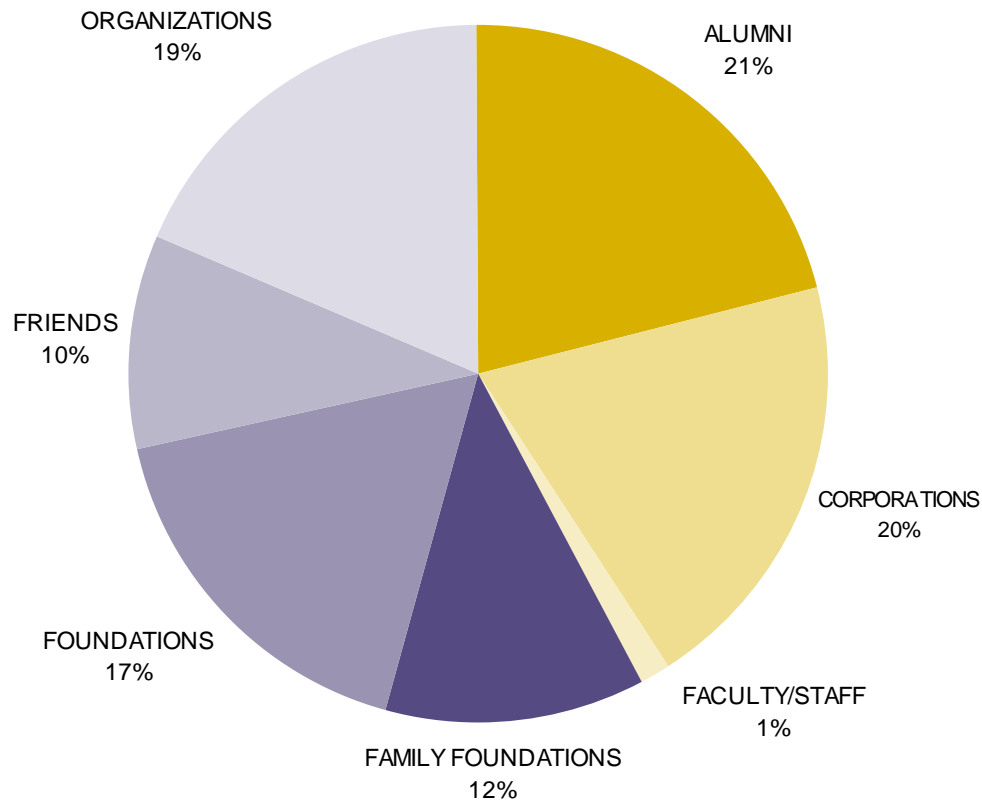
This graph compares the current fiscal year's contribution totals to each of the previous nine fiscal year's contribution totals.

Job Number: 73477
December 2006

Year to Date Graph



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	29,665	\$29,265,302	28,012	\$33,830,914	51,440	\$59,214,863
Corporations	1,502	\$26,952,088	1,690	\$30,254,749	3,523	\$62,670,936
Faculty/Staff	2,554	\$1,779,093	2,505	\$1,800,586	3,701	\$2,957,964
Family Foundations	100	\$16,591,772	124	\$65,795,977	173	\$82,336,824
Foundations	240	\$23,736,834	289	\$27,796,782	444	\$48,525,785
Friends	18,856	\$13,721,655	17,191	\$13,907,917	38,220	\$27,738,180
Organizations	312	\$25,757,222	312	\$20,607,348	558	\$39,560,865

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: 73477
December 2006

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			
	Solicitable	Donors	Partic. Rate	Solicitable	Donors	Partic. Rate	Final %
UW Seattle							
UW Medicine	16,867	1,921	11.4%	16,049	1,903	11.9%	20.4%
Architecture	7,709	778	10.1%	7,393	787	10.6%	18.7%
Arts and Sciences	138,301	12,653	9.1%	126,129	11,956	9.5%	15.6%
Business School	36,594	4,668	12.8%	34,923	4,239	12.1%	20.2%
Dentistry	4,525	767	17.0%	4,388	757	17.3%	27.4%
Education	19,116	1,935	10.1%	18,434	1,935	10.5%	19.2%
Engineering	31,945	3,212	10.1%	30,120	2,956	9.8%	15.7%
Evans School of Public Affairs	2,119	273	12.9%	1,964	234	11.9%	25.4%
Forest Resources	4,603	353	7.7%	4,446	417	9.4%	16.5%
Interdisc. Grad. Programs	1,463	132	9.0%	1,296	127	9.8%	17.3%
Interdisc. Undergrad. Programs	170	23	13.5%	119	7	5.9%	10.9%
Interschool Programs	353	38	10.8%	286	26	9.1%	14.7%
Information School	4,202	599	14.3%	3,976	588	14.8%	22.4%
Law	7,593	1,003	13.2%	7,320	1,035	14.1%	24.1%
School of Nursing	8,469	1,305	15.4%	8,181	1,216	14.9%	23.0%
Ocean & Fisheries	3,866	393	10.2%	3,642	369	10.1%	18.6%
Pharmacy	3,364	458	13.6%	3,255	413	12.7%	29.1%
Public Health	4,104	441	10.7%	3,766	390	10.4%	20.5%
Social Work	6,232	541	8.7%	5,804	473	8.1%	16.8%
UW Bothell	5,245	307	5.9%	4,324	245	5.7%	13.5%
UW Tacoma	5,850	309	5.3%	4,892	228	4.7%	11.8%
Unspecified	11,278	1,309	11.6%	11,097	1,354	12.2%	20.6%
All UW Total	297,648	29,665	10.0%	276,793	28,012	10.1%	18.6%

Source: UW Office of Development

Job Number: 73477
December 2006

Alumni Participation



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Grant and Contract Awards – December, 2006

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

Grant and Contract Awards Summary

to

The Board of Regents

of the

University of Washington

for

December 2006

Office of Research

Office of Sponsored Programs

Table of Contents

Award Highlights	3
Graphical Summary of Award Activity	4
Summary of Grant and Contract Awards	5
Comparison of Grants and Contract Awards by Agency	6
Comparison of Grants and Contract Awards by School/College	7
Listing of Awards for College of Arts and Sciences by Department	8
Summary of Grant Awards – Excluding Private Awards	9
Summary of Private Awards	10
Summary of Contract Awards	11
Grant & Contract Awards over \$1,000,000	12

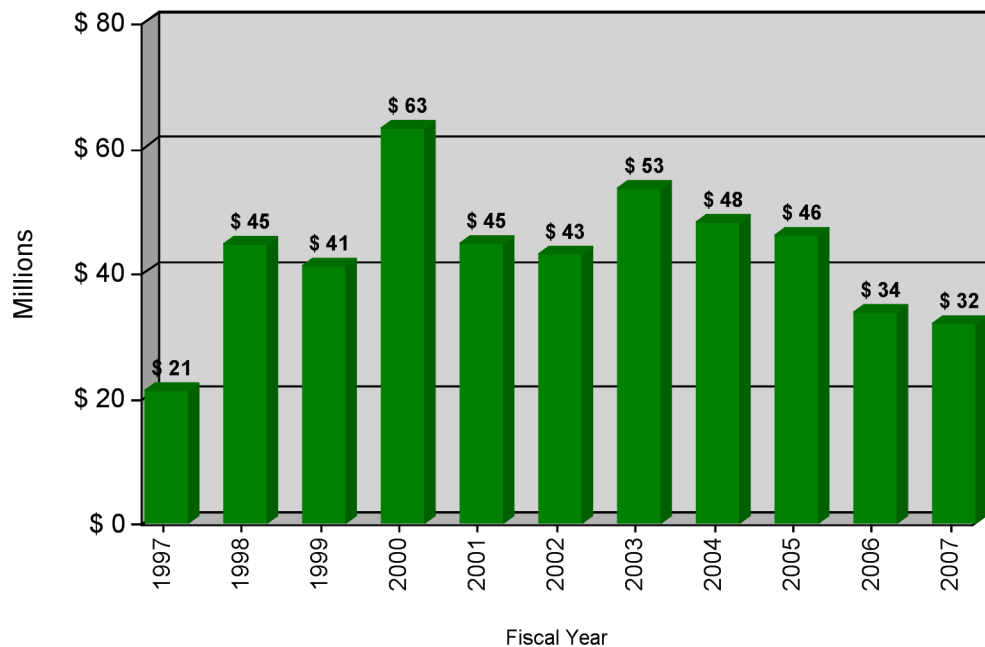
DECEMBER 2006 HIGHLIGHTS

The M.J. Murdock Charitable Trust awarded a grant in the amount of \$493,500 for a project under the direction of Research Professor Stephen Malone of the Department of Earth & Space Sciences entitled “Pacific Northwest Seismograph Network Instrument Upgrade.” The Pacific Northwest Seismograph Network has long provided world-class research and effective earthquake monitoring for the State, but its technological foundation is decades old. This award will be used to permanently upgrade the instruments in a well distributed selection of sites. These new, high-quality instruments will provide for enhancing our earthquake detection, location and interpretation ability throughout the region by improving network bandwidth, signal quality and station density. Data from these stations will be archived in an international database along with other PNSN data for use by researchers worldwide.

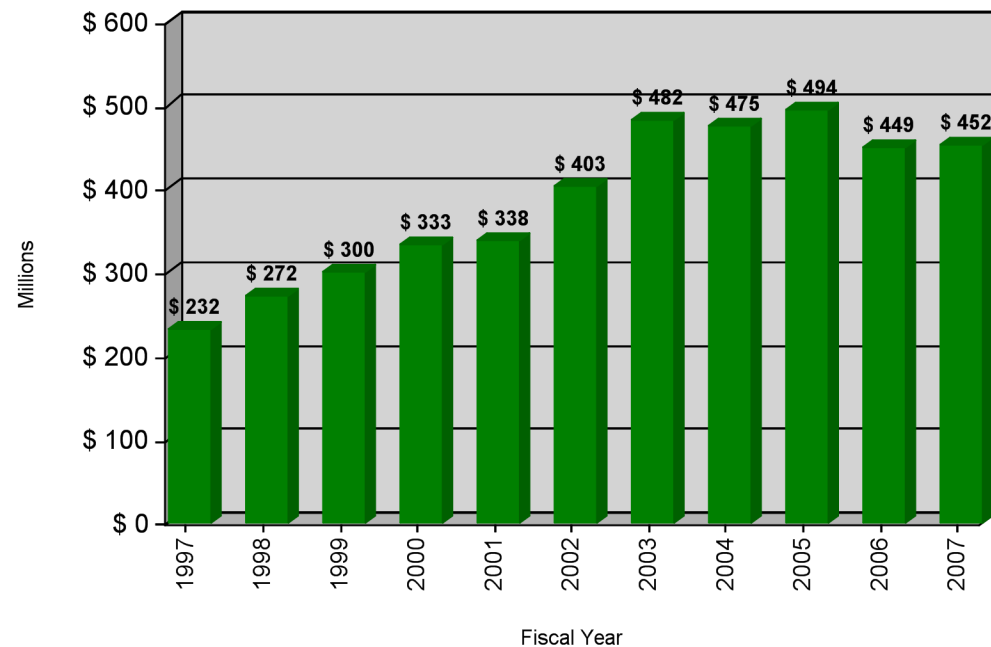
The Rand Corporation awarded a grant in the amount of \$110,314 for a project under the direction of Barbara B. Cochrane, Associated Professor of the Department of Family and Child Nursing and Director of The de Tornyay Center for Healthy Aging, entitled “University of Washington Center for Interdisciplinary Geriatric Research.” The need for research on healthy aging looms large on the national agenda as demographic trends chart the dramatic increase in the number and proportion of older adults in the United States. The development and dissemination of health enhancement interventions in older adults --strategies to promote health, prevent disease and disability, and maintain physical, cognitive, and mental function -- represent a particular strength of researchers at the UW, and this award will build on those strengths by establishing a UW Center for Interdisciplinary Geriatric Research. The immediate goals of the Center are to i) create and foster a center identity as a visible, accessible, shared resource that promotes high quality, interdisciplinary research; ii) promote interdisciplinary linkages for conducting and disseminating geriatric health care research that emphasizes health-enhancing interventions for older adults; and iii) to establish a durable mechanism for training and mentoring junior faculty to launch successful careers in interdisciplinary geriatric health care research. This project represents an important opportunity to establish an infrastructure and mentorship program that will support and enhance future interdisciplinary geriatric health care research at the UW.

The Henry Luce Foundation awarded a grant in the amount of \$88,000 for a project under the direction of Stevan Harrell, Professor of Anthropology and Curator of Asian Ethnology at the Burke Museum, entitled “Tribal and Contemporary Aboriginal Art from Taiwan.” This award will support an exhibit of both traditional and contemporary Aboriginal art from Taiwan at the Burke Museum, the Henry Art Gallery, and various outdoor locations on campus at the University of Washington, from January through May of 2008. The exhibit will consist of traditional art borrowed from the National Taiwan Museum, the National Museum of Prehistory, and the Shung-Ye Museum of Formosan Aborigines, along with pieces from the Burke's own collection, and contemporary art borrowed or commissioned from, or created on the University of Washington campus by a series of contemporary aboriginal artists. In conjunction with the exhibit, the UW will present performances by Aboriginal dramatic and musical performers from Taiwan, demonstrations by the artists, and a series of lectures on Taiwan aborigines and Taiwan aboriginal art.

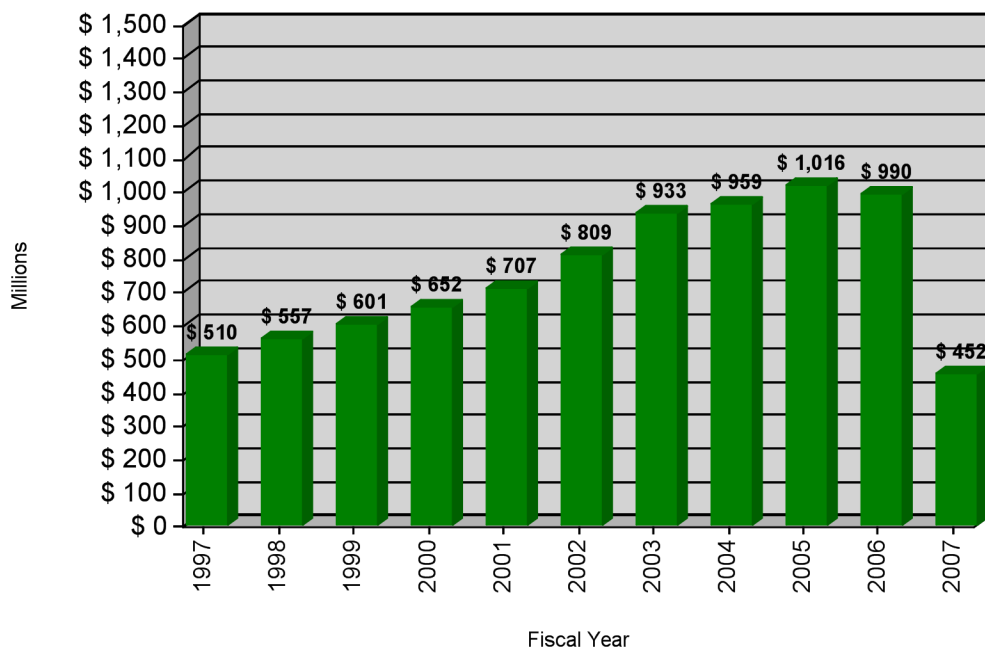
December Only
Comparison of Grant & Contract Awards



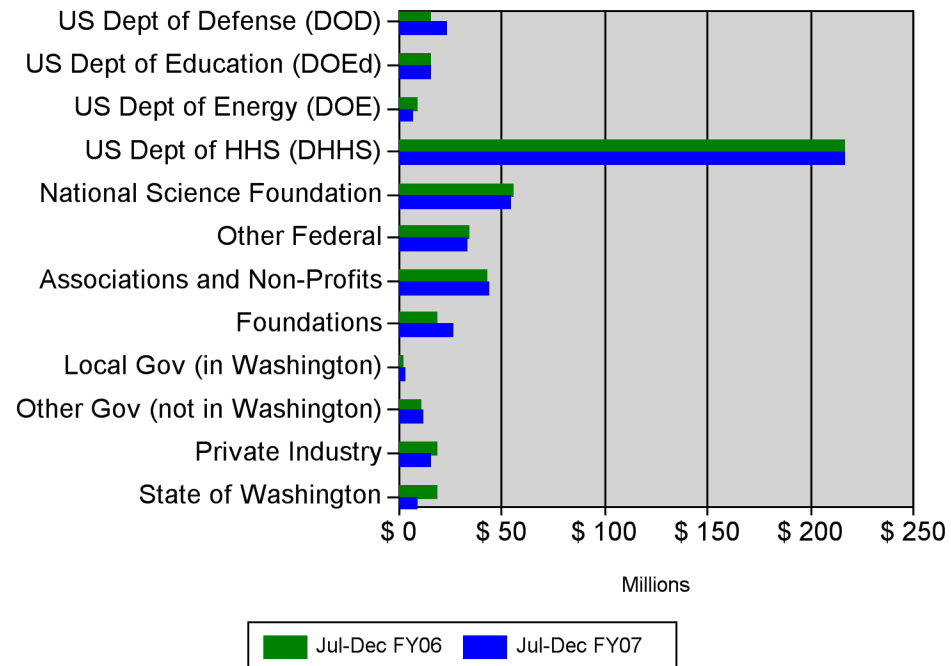
Fiscal Year to Date
Comparison of Grant & Contract Awards



Complete Fiscal Year
Comparison of Grant & Contract Awards



Fiscal Year to Date
Two-Year Comparison of Grant and Contract Awards



Summary of Grant and Contract Awards

Fiscal Year 2006-2007

Month	RESEARCH AND OTHER		TRAINING		Total Grants and Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 47,163,420	\$ 10,699,020	\$ 6,191,659	\$ 693,994	\$ 64,748,090
August	\$ 117,139,800	\$ 11,808,260	\$ 6,156,148	\$ 443,216	\$ 135,547,500
September	\$ 64,660,620	\$ 23,947,570	\$ 4,289,084	\$ 905,277	\$ 93,802,540
October	\$ 53,216,540	\$ 17,106,880	\$ 11,166,060	\$ 1,883,808	\$ 83,373,280
November	\$ 20,631,830	\$ 21,429,790	\$ 375,521	\$ 651,926	\$ 43,089,070
December	\$ 16,091,400	\$ 14,941,460	\$ 604,006	\$ 165,262	\$ 31,802,140
FY07 to Date	\$318,903,646	\$99,932,977	\$28,782,481	\$4,743,483	\$452,362,587
FY06 to Date	\$309,833,789	\$96,470,517	\$32,737,323	\$10,300,402	\$449,342,031
Over (Under) Previous Year	\$9,069,857	\$3,462,460	(\$3,954,842)	(\$5,556,919)	\$3,020,556

Assuming acceptance of all awards by the Board of Regents

Comparison of Grant and Contract Awards by Agency Fiscal Years 2005-2006 and 2006-2007		
Agency	Jul-Dec FY06	Jul-Dec FY07
US Department of Defense (DOD)	\$ 15,380,226	\$ 23,164,865
US Department of Education (DOEd)	\$ 15,387,626	\$ 15,405,535
US Department of Energy (DOE)	\$ 8,207,900	\$ 6,553,982
US Department of Health and Human Services (DHHS)	\$ 215,680,167	\$ 215,605,835
National Science Foundation (NSF)	\$ 54,331,207	\$ 54,163,230
Other Federal	\$ 33,583,986	\$ 32,792,680
Subtotal for Federal :	\$ 342,571,112	\$ 347,686,127
Associations and Non-Profits	\$ 41,792,148	\$ 42,652,506
Foundations	\$ 17,823,572	\$ 26,052,627
Local Government (in Washington)	\$ 1,368,922	\$ 2,010,979
Other Government (not in Washington)	\$ 10,492,886	\$ 10,925,028
Private Industry	\$ 17,418,516	\$ 14,791,584
State of Washington	\$ 17,874,875	\$ 8,243,737
Subtotal for Non-Federal :	\$ 106,770,919	\$ 104,676,460
Grand Total :	\$ 449,342,031	\$ 452,362,587

Amount of Increase (Decrease) : \$ 3,020,556

Percent of Increase (Decrease) : 0.7 %

Assuming acceptance of all awards by the Board of Regents

Comparison of Grant and Contract Awards by School/College**Fiscal Years 2005-2006 and 2006-2007**

School/College		Jul-Dec FY06	Jul-Dec FY07
Upper Campus			
	Architecture and Urban Planning	\$ 1,738,235	\$ 768,491
	Arts and Sciences	\$ 35,755,512	\$ 43,295,325
	Business Administration	\$ 189,102	\$ 58,147
	Director of Libraries	\$ 405,685	\$ 3,000
	Education	\$ 8,661,672	\$ 6,067,024
	Educational Outreach	\$ 301,957	\$ 366,528
	Engineering	\$ 47,355,928	\$ 44,743,797
	Evans School of Public Affairs	\$ 2,415,905	\$ 2,983,563
	Executive Vice President	\$ 746,160	
	Forest Resources	\$ 4,851,998	\$ 3,040,077
	Graduate School	\$ 4,584,447	\$ 2,053,702
	Information School	\$ 1,059,405	\$ 1,641,990
	Law	\$ 258,994	\$ 114,750
	Ocean and Fishery Sciences	\$ 37,038,009	\$ 43,037,563
	Office of Research	\$ 16,300,738	\$ 18,784,763
	Social Work	\$ 6,109,061	\$ 6,242,329
	Undergraduate Education	\$ 117,665	\$ 1,250,161
	VP Educational Partnerships	\$ 80,853	\$ 131,347
	VP Minority Affairs	\$ 6,861,608	\$ 4,059,253
	VP Student Life	\$ 5,500	
	Subtotal :	\$ 174,838,434	\$ 178,641,811
Health Sciences			
	Dentistry	\$ 5,578,659	\$ 2,825,733
	Health Sciences Admin	\$ 11,748,449	\$ 13,611,760
	Medical Centers	\$ 13,934	\$ 1,000
	Medicine	\$ 200,618,023	\$ 205,603,693
	Nursing	\$ 7,899,828	\$ 7,546,093
	Pharmacy	\$ 4,719,027	\$ 5,676,060
	Public Health and Community Medicine	\$ 42,036,212	\$ 37,570,284
	Subtotal :	\$ 272,614,132	\$ 272,834,624
Special Programs			
	Subtotal :		
Other UW Campuses			
	Bothell	\$ 1,321,636	\$ 680,323
	Tacoma	\$ 567,829	\$ 205,829
	Subtotal :	\$ 1,889,465	\$ 886,152
	Grand Total :	\$ 449,342,031	\$ 452,362,587

List of Awards for Arts and Sciences

Fiscal Years 2005-2006 and 2006-2007

Department	Jul-Dec FY06	Jul-Dec FY07
Center for Statistics and the Social Sciences	\$ 149,211	\$ 809,139
Center for Studies in Demography and Ecology	\$ 2,095,156	\$ 1,080,915
Department of Anthropology	\$ 81,037	\$ 136,250
Department of Applied Mathematics	\$ 916,229	\$ 1,726,247
Department of Asian Languages and Literature	\$ 140,000	\$0
Department of Astronomy	\$ 994,639	\$ 1,878,725
Department of Atmospheric Sciences	\$ 3,576,022	\$ 3,524,254
Department of Biology	\$ 4,585,580	\$ 6,271,238
Department of Chemistry	\$ 5,323,128	\$ 9,666,046
Department of Classics	\$ 30,000	\$0
Department of Communication	\$ 1,124,550	\$ 201,100
Department of Comparative Literature	\$0	\$ 21,178
Department of Earth and Space Sciences	\$ 2,716,507	\$ 2,487,289
Department of Economics	\$ 7,250	\$ 24,800
Department of English	\$0	\$ 5,000
Department of Geography	\$0	\$ 180,909
Department of Germanics	\$ 36,000	\$ 45,000
Department of History	\$ 354,000	\$ 70,694
Department of Mathematics	\$ 764,804	\$ 695,925
Department of Near Eastern Languages and Civilization	\$ 17,500	\$0
Department of Physics	\$ 2,244,068	\$ 3,440,958
Department of Political Science	\$ 70,479	\$ 558,733
Department of Psychology	\$ 5,162,021	\$ 6,422,655
Department of Sociology	\$ 360,788	\$ 77,244
Department of Speech and Hearing Sciences	\$ 508,138	\$ 677,086
Department of Statistics	\$ 774,930	\$ 479,115
Department of Women Studies	\$0	\$ 23,592
Henry M. Jackson School of International Studies	\$ 1,072,020	\$ 1,642,194
Institute for Nuclear Theory	\$ 2,373,000	\$ 135,000
Language Learning Center	\$ 20,274	\$ 20,000
Law, Societies and Justice Program	\$ 53,571	\$ 90,017
Other Arts and Sciences Programs	\$0	\$ 9,500
Public Performing Arts	\$ 76,400	\$ 81,565
School of Art	\$0	\$ 48,000
School of Music	\$0	\$ 300,000
Thomas Burke Memorial Washington State Museum	\$ 128,210	\$ 464,958
Total :	\$ 35,755,510	\$ 43,295,320

Summary of Grant Awards**Fiscal Year 2006-2007***Excluding private awards from Foundations, Industry, Associations and Others*

Month	RESEARCH AND OTHER		TRAINING		Total Grants
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 46,551,120	\$ 3,501,075	\$ 6,191,659	\$ 116,675	\$ 56,360,530
August	\$ 115,153,700	\$ 1,805,011	\$ 6,156,148	\$ 0	\$ 123,114,900
September	\$ 59,774,620	\$ 835,114	\$ 4,289,084	\$ 170,000	\$ 65,068,820
October	\$ 44,817,340	\$ 2,573,647	\$ 11,142,060	\$ 23,528	\$ 58,556,580
November	\$ 13,934,800	\$ 2,200,982	\$ 375,521	\$ 192,752	\$ 16,704,050
December	\$ 11,488,120	\$ 1,484,791	\$ 604,006	\$ 74,000	\$ 13,650,920
Year to Date	\$ 291,719,700	\$ 12,400,620	\$ 28,758,480	\$ 576,955	\$ 333,455,800

Assuming acceptance of all awards by the Board of Regents

Summary of Grant Awards**Fiscal Year 2006-2007***Private awards from Foundations, Industry, Associations and Others*

Month	RESEARCH AND OTHER	TRAINING	Total Grants
July	\$ 4,734,940	\$ 61,206	\$ 4,796,146
August	\$ 7,107,670	\$ 184,174	\$ 7,291,844
September	\$ 20,026,620	\$ 266,485	\$ 20,293,100
October	\$ 9,431,585	\$ 123,297	\$ 9,554,882
November	\$ 13,850,920	\$ 187,000	\$ 14,037,920
December	\$ 8,775,336	\$ 5,000	\$ 8,780,336
Year to Date	\$ 63,927,070	\$ 827,162	\$ 64,754,230

Assuming acceptance of all awards by the Board of Regents

Summary of Contract Awards					
Fiscal Year 2006-2007					
Month	RESEARCH AND OTHER		TRAINING		Total Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 612,297	\$ 2,463,009	\$ 0	\$ 516,113	\$ 3,591,419
August	\$ 1,986,095	\$ 2,895,583	\$ 0	\$ 259,042	\$ 5,140,720
September	\$ 4,885,993	\$ 3,085,836	\$ 0	\$ 468,792	\$ 8,440,621
October	\$ 8,399,199	\$ 5,101,643	\$ 24,000	\$ 1,736,983	\$ 15,261,830
November	\$ 6,697,038	\$ 5,377,880	\$ 0	\$ 272,174	\$ 12,347,090
December	\$ 4,603,284	\$ 4,681,336	\$ 0	\$ 86,262	\$ 9,370,882
Year to Date	\$ 27,183,910	\$ 23,605,290	\$ 24,000	\$ 3,339,366	\$ 54,152,560

Assuming acceptance of all awards by the Board of Regents

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

December 2006

**Requiring action of
The Board of Regents
of the
University of Washington**

**Office of Research
Office of Sponsored Programs**

Detail of Contract Awards

Federal

US Department of Health and Human Services (DHHS)

National Institutes of Health (NIH)

National Institute of Allergy and Infectious Diseases (NIAID)

To: Christopher B Wilson, Chair \$ 2,661,484
Department of Immunology

For: Population Genetics Analysis Program: Immunity to
Vaccines/Infections

Eff: 9/30/2004

*Total for National Institute of Allergy and Infectious Diseases
(NIAID):* \$ 2,661,484

Total for National Institutes of Health (NIH): \$ 2,661,484

Total for US Department of Health and Human Services (DHHS): \$ 2,661,484

Total for Federal: \$ 2,661,484

Total Contracts: \$ 2,661,484

Grand Total for all Awards \$ 2,661,484

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

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.

Health Sciences Center E-Wing Elevator 186/187 Controllers, Project No. 201113
Action Reported: Contract Award

On January 16, 2007 a construction contract was awarded to Cope Construction Company for the Health Sciences Center (HSC) E-Wing Elevator 186/187 Controllers project, in the amount of \$622,720 (no alternates were included in bid package). Six bids were received for the project. The high bid was \$651,900. The budget for construction is \$678,325.

Cope Construction is a general contractor located in Issaquah, Washington that has successfully completed several elevator projects for the University of Washington including Haggett Hall Elevator Upgrade and Husky Stadium Elevators.

This project will replace controllers, machines, hoist ropes and install new cars and slings. All updated systems include capabilities for responses to fire and seismic events and for use on emergency power.

Design started on November 29, 2005; construction is scheduled to start January 31, 2007 and is expected to be completed December 20, 2007.

The project budget is \$1,196,679. This project is funded from Facilities Services Building Renewal funds.

Budget Summary:	Current Approved Budget	Forecast Cost to Complete
Total Consultant Services	\$123,929	\$143,762
Total Construction Cost*	\$957,607	\$854,434
Other Costs	\$19,227	\$9,372
Project Administration	\$95,916	\$95,915
Total Project Budget	\$1,196,679	\$1,103,483

* Includes construction contract amount, contingencies and state sales tax.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 2)

University of Washington Medical Center Institute for Surgical and Interventional Simulation (ISIS) Suite,

Project No. 201529

Action Reported: Contract Award / Budget Adjustment

On January 9, 2007, a construction contract was awarded to CDK Construction Services, Inc., in the amount of \$509,700 (no alternates were included in bid package) for the University of Washington Medical Center (UWMC) ISIS project. Three bids were received for the project; the high bid was \$603,000. The budget for construction is \$630,313.

CDK Construction Services, Inc., is located in Duvall, Washington and they have completed several projects for the University including UWMC Cardiac Procedures Area Remodel, UWMC PET/CT, HMC Elevator Upgrades, HSC School of Nursing Distant Learning Center Relocation, HSC D209 Lecture Hall Remodel, HSC T-Wing Library Security Improvements and UWMC Steam Kettle Replacement.

The ISIS suite project is located in the UWMC Surgery Pavilion; it is approximately 2,500 square feet of tenant improvements to create a venue for surgical planning and training of surgeons and residents using simulation equipment.

Construction started in January 2007 and is expected to be completed in early June 2007, with occupancy scheduled for mid-June 2007.

At the time of bid, the project budget was \$1,016,432. Based on bid results and the corresponding forecast to complete, the budget was decreased to \$833,218. Funding is available from the University of Washington Medical Center patient revenues.

Budget Summary:	Original Approved Budget July 2006	Current budget and Forecast Cost At Completion
Total Consultant Services	\$122,799	\$123,526
Total Construction Cost*	\$788,648	\$621,100
Other Costs	\$6,249	\$10,302
Project Administration	\$98,736	\$78,290
Total Project Budget	\$1,016,432	\$833,218

* includes construction contract, construction contingency and state sales tax

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 3)

University of Washington Medical Center Equipment Financing Action Reported: 5 Year Equipment Lease Agreement

On February 2, 2007, the University of Washington Medical Center (UWMC) closed a 5-year equipment lease agreement with Banc of America Leasing & Capital in the amount of \$2,431,339.80, at 3.598 percent interest. The authority for this financing was granted to the Administration in the Standing Orders of the Board of Regents, Delegation of Authority, for contracts exceeding \$1,000,000 but less than \$5,000,000. The proceeds reimbursed UWMC for the purchase of MRI equipment from Philips Medical Systems North America, vendor.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Graves Annex Improvements - Establish Project Budget and Report Contract Award

RECOMMENDED ACTION

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Graves Annex Improvements project budget be established at \$5,233,316 and to report Action Taken to Award a Construction Contract to Wick Construction.

BACKGROUND:

The goal of this project is to improve the existing Graves Annex building to provide a new building entry, new space for a Husky Football Legends Center (with exhibits to be built out as a separate project), modifications and improvements to the existing weight training and conditioning facilities, and new football meeting space, all in order to aid the recruitment and performance of student-athletes and increase awareness of Husky football history.

The Graves Annex building now houses student-athlete weight training and conditioning facilities, offices for football and most “Olympic Sports” coaches, and some administrative offices. The building was originally designed to house the Husky Band and other non-coaching functions, and has a poorly oriented “front door”, no reception area to greet visitors, and limited space for display. Concurrent with the ICA Facilities Study, a study of a variety of potential improvements to the Graves Annex was completed, with the “Legends Center” design option selected and its cost estimated. The ICA Facilities Study proposed creating a pedestrian way along Walla Walla Road leading south to Husky Stadium, and this project accordingly provides a new entry lobby on the east side of the building and incorporates a glass wall to allow pedestrians to see exhibits and be encouraged to visit, particularly on football game days. A mezzanine level will house the relocated cardio-training space.

Total project costs at the outset of the project were under \$5 million. Recent development of the project scope and cost estimates led to project costs rising above the \$5 million threshold. The project was issued for public bid, and the resulting low bid by Wick Construction, without alternates, was well below the estimate and would lead to a project cost under \$5 million. However, with the alternates accepted, as desired by the Department of Intercollegiate Athletics, the project scope has been increased resulting in a project budget slightly above \$5 million. With the need to complete this project by the start of the 2007 football season, a construction contract was signed to allow a February 5 construction start.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Graves Annex Improvements - Establish Project Budget and Report Contract Award (continued p. 2)

The project was most recently noted in a report on the ICA Facilities Study to the Board of Regents in November 2006. The appointment of the design firm HOK Sport + Venue + Event to perform the ICA Facilities Study and other projects to be determined, including improvements to the Graves Annex, was reported at the March 2005 meeting. Full design of the project began February 2006 and concluded in November 2006, with construction completion in August 2007, and occupancy September 2007.

The project budget is \$5,233,316; all funding has been raised by ICA.

ENCLOSURE: Capital Projects Office Project Summary

**UNIVERSITY OF WASHINGTON
CAPITAL PROJECTS OFFICE - SUMMARY PROJECT BUDGET
STANDARD PROCUREMENT**

PROJECT: **Graves Annex Improvements**

200673

ESTIMATED DATE OF COMPLETION: September -07

Original	Forecast
Budget	Cost
Agreement	at Completion

BUDGET SUMMARY:

A. ACQUISITION		0
B. CONSULTANT SERVICES		
1. PREDESIGN	79,294	81,254
2. BASIC DESIGN SERVICES	328,457	390,488
3. EXTRA SERVICES/REIMBURSABLES	141,500	236,293
4. OTHER SERVICES	37,500	37,500
5. DESIGN SERVICES CONTINGENCY	78,675	20,000
TOTAL CONSULTANT SERVICES	665,426	765,535
C. PRIMARY CONSTRUCTION CONTRACTS		
1. CONSTRUCTION CONTRACT	3,000,000	3,235,900
2. OTHER CONTRACTS	5,000	5,000
SUBTOTAL CONSTRUCTION	3,005,000	3,240,900
3. CONSTRUCTION CONTINGENCY & RESERVE	450,000	495,000
4. SALES TAX	304,040	313,235
TOTAL CONSTRUCTION COST	3,759,040	4,049,135
D. EQUIPMENT & FURNISHINGS	54,400	54,400
E. ARTWORK	0	0
F. OTHER COSTS	47,700	28,965
G. PROJECT ADMINISTRATION	335,281	335,281
H. RELATED PROJECTS/MITIGATION COSTS	0	0
TOTAL PROJECT BUDGET	4,861,847	5,233,316

SOURCE OF FUNDS:

UW Department of Intercollegiate Athletics	4,861,847	5,233,316
TOTAL FUNDS	4,861,847	5,233,316

F-4/202-07

2/15/2007

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

University of Washington Job Order Contract – Contract Award

RECOMMENDED ACTION:

It is the recommendation of the administration and the Capital Assets Committee that the Executive Vice President be delegated authority to award a Job Order Contract (JOC) to Centennial Contractors Enterprises. The current law reads that the maximum contract amount for the cumulative value of all work orders for the first year shall not exceed \$3 million, \$5 million over two years, and \$8 million over three years. Each work order is currently limited to a maximum of \$150,000 with two work orders per year at \$200,000. However, this could increase to a three year total of \$12 million in new legislation with individual work orders at \$300,000.

CONTRACTUAL QUALIFICATION:

Provisions of the contract allow the maximum contract amounts and individual work order amounts to be adjusted to any new limits established by the Legislature during the current session and effective in July of 2007. These will be exercised if the changes are considered advantageous to the University and agreeable to the contractor.

The University reserved the right to award a second contract to the next highest scoring applicant from this solicitation after the existing JOC contract expires on March 19, 2007. If this right is exercised, a recommendation will be submitted to the Board of Regents at that time.

BACKGROUND:

JOC is a legislatively-approved, public works procurement tool of which the University has had a contract in place for the past 3 years. It is a fixed unit price, indefinite quantity type contract for the performance of a broad range of construction services to include minor construction, renovation, repair, alterations and maintenance projects on an as-needed basis, as may be required. The current contract which was established in 2003 expires on March 19, 2007. The new contract will have a term that is for two years with the option to renew for a third year. The minimum guaranteed volume for this contract is \$100,000. Individual work orders are anticipated to be in the \$35,000 to \$150,000 range, except that a maximum of two work orders per year may be for up to \$200,000, in accordance with State law.

In December 2006, the Capital Projects Office advertised for firms interested in providing JOC services. Four firms submitted qualifications and the University chose to interview all four firms. These firms were then invited to submit bids which consisted of coefficient markups for work to be performed at the University of

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

University of Washington Job Order Contract – Contract Award (continued p. 2)

Washington Seattle, Bothell and Tacoma campuses, UW Medical Center and Harborview Medical Center, Friday Harbor Labs and Pac Forest in Eatonville. The firm with the highest scoring proposal, resulting from the evaluation of the Request for Qualifications, the interview, and the submittal of a composite coefficient, was Centennial Contractors Enterprises, of Fife Washington. Centennial and its staff has had extensive experience working on indefinite delivery/indefinite quantity and job order contracting projects around the country, including work on 35 university and college campuses, and six contracts in Washington State for the U.S. Coast Guard, State of Washington General Administration (two contracts), U.S. Postal Service, U.S. Army Corps of Engineers, and the U.S. Air Force.

Funding will be provided by various sources on a project by project basis.

ENCLOSURE: JOC Selection – Final Proposal Bid/Point Tabulation, 1/24/07



University of Washington
Capital Projects Construction Office
JOC Evaluation Form

Master containing all 4 evaluators

Contractor

Evaluation Criteria		Burton	Centennial	Global	Shinn	Remarks
Qualifications	Possible Points					
Similar Contracts	5	5	4.5	4.75	2	
Experience in Hospitals/Health	5	4.25	4	4.25	2.5	
Customers Feedback	5	4.75	4.25	3.5	2.5	
Concept of proposal						
Corporate Organization	2	2	2	1.75	1.5	
Project Organization	9	7.25	6.5	5.25	3.75	
Quality Control Procedures	2	1.75	1.75	1.5	0.75	
Safety Procedures	2	2	2	1.75	1.75	
Professional Personnel Ability	15	11.5	10.5	9	7.5	
Location	5	3.25	4	4.5	5	
Workload	5	4.25	3.75	3	4	
Interview	30	25.75	24	19.75	18.5	
Final Proposals	15	8	15	0	12	
Total Points	100 Possible points	79.75	82.25	59	61.75	

Rated By Master

Date 1/24/2007



University of Washington
Capital Projects Construction Office
JOC Evaluation Form

Contractor		Bid Coefficient		% above Low Coefficient		Points Awarded
Burton		1.14		5.56%		8
Centennial		1.08		0.00%		15
Global		1.254		16.11%		0
Shinn		1.1		1.85%		12
Low Coefficient		1.08				
		Low Bid 00 % points from Low bid	5% from Low bid	10% from Low bid	15% from Low bid	Exceeding 15% of Low bid
Points to Award		15	12	8	5	0

VII. STANDING COMMITTEES**B. Finance, Audit and Facilities Committee****Health Sciences Center H-Wing Renovation – Budget Approval and Contract Award****RECOMMENDED ACTION:**

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the total project budget for the Health Sciences Center (HSC) H-Wing Renovation Project be revised to \$43.2 million, subject to the funding being available; and that the President be delegated authority to award the GC/CM construction contract in two phases, subject to the contract being within budget and the funding being available.

Project Scope

In September 2005 the Board of Regents approved a budget for a seismic structural retrofit of HSC H- and G-Wings (which are a single structure), energy code compliance work on the H-Wing exterior and National Institute of Health (NIH) NCCR grant-funded laboratory renovations on H-Wing floors 2, 3 and 4 for the Department of Physiology and Biophysics (PBio). By that same action, the Regents further approved commencement of the design for renovations of the 5th floor of F, G, H and I Wings for the Department of Biological Structure (BStr), for which a second NCCR grant had been announced just days before the Regents meeting.

Repair and replacement of dilapidated mechanical, electrical and laboratory utilities systems throughout H-Wing is necessary to allow the PBio and BStr laboratories to operate. The University's 2007-2009 capital budget request, recently endorsed by the Governor, includes funds for this infrastructure work and is discussed in the project funding strategy below. A third NCCR grant received in mid-2006 provided funding to renovate the Fish Lab in H-Wing.

The totality of the above described work is consolidated into the revised scope of the H-Wing Renovation project. A vicinity map of the project is shown in Attachment 1. The total area encompassed by the project scope is 97,000 GSF.

Project Schedule

The project schedule is summarized in Attachment 2.

The schedule calls for construction to commence on April 25, 2007. A timely start of construction is essential to minimize escalation costs of approximately \$300,000 per month, ameliorate concerns that grant-funded research is late in commencing, and to address aging of state funds, further explained in the following budget summary.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Health Sciences Center H-Wing Renovation – Project Presentation (continued p. 2)

In order to meet this schedule, approval of the new budget and expanded scope is requested so that other key milestones can be met. This is discussed further in the funding and delivery strategy below.

Critical to the project schedule is the decanting of existing H-Wing occupants prior to the commencement of construction. The School of Medicine is managing the process of relocating these occupants and their research operations to various facilities throughout the campus. Funding for this relocation and the return to H-Wing after construction is not included in the project budget and has been approved separately as minor repair projects from central, School of Medicine, and department sources.

Project Budget

The total project cost estimate to consolidate the scope totals \$43.2 million, as outlined in Attachment 3. The consolidated proposed budget reflects the addition of the BStr laboratory renovations, the Fish Lab and the building infrastructure systems repairs that have been added to the project scope as described above. Escalation and market condition costs in the Seattle area are currently in excess of 1% per month. The budget is based on an April 25 start of construction. Delaying construction would result in increased costs.

The laboratory renovation work is funded by three federal NCRR grants and matching funds from State, central University, School of Medicine and department sources. The major seismic, energy code and building infrastructure systems renovations are funded by State appropriations from the 2003-05 and 2005-07 biennia, with the balance to be funded from the 2007-09 state appropriation and central sources. Construction of items utilizing the 2003-05 State funds needs to commence as soon as possible.

Project Funding and Delivery Strategy

In order to maintain the project schedule, Skanska, the GC/CM, must take public subcontractor bids for demolition, hazardous materials abatement, structural work and selected long-lead equipment items in late February, prior to the architect's final completion of the construction documents. The schedule calls for Skanska to then open all remaining subcontractor bids in late April, after completion of the construction documents. The governing State statute requires that Skanska be under contract to the University prior to opening any of the bids, making it necessary to execute a contract in late February. However, a contract for the full value of the construction would require a commitment of all project funds,

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Health Sciences Center H-Wing Renovation – Project Presentation (continued p. 3)

including the full \$10 million contained in the University's 2007-09 capital budget request. Since the commitment for those funds will not be certain until the end of the legislative session in late April, the University intends to award the construction contract in two phases.

In the two-phase contract approach, the Capital Projects Office will negotiate an agreement with Skanska on the guaranteed construction cost (GCC) for the entire project prior to opening the early bids in late February. The first of the two contracts will then be executed for a portion of the total GCC that covers the scope of the early bid packages and for which funds are in hand. The early bids will then be opened. Upon confirmation of the commitment of the 2007-09 biennium funds in late April, the second phase of the contract will be awarded to Skanska, such that the total of the two contract phases equals the previously agreed GCC. The remaining bids will then be opened and the GC/CM would mobilize and begin construction activities.

This strategy ensures that contracts are backed with committed funds and allows the project to proceed on schedule. The strategy also depends upon the appropriation of the full \$10 million state funding requested in the University's 2007-09 Capital Budget Request. Without this full funding, the project is not viable.

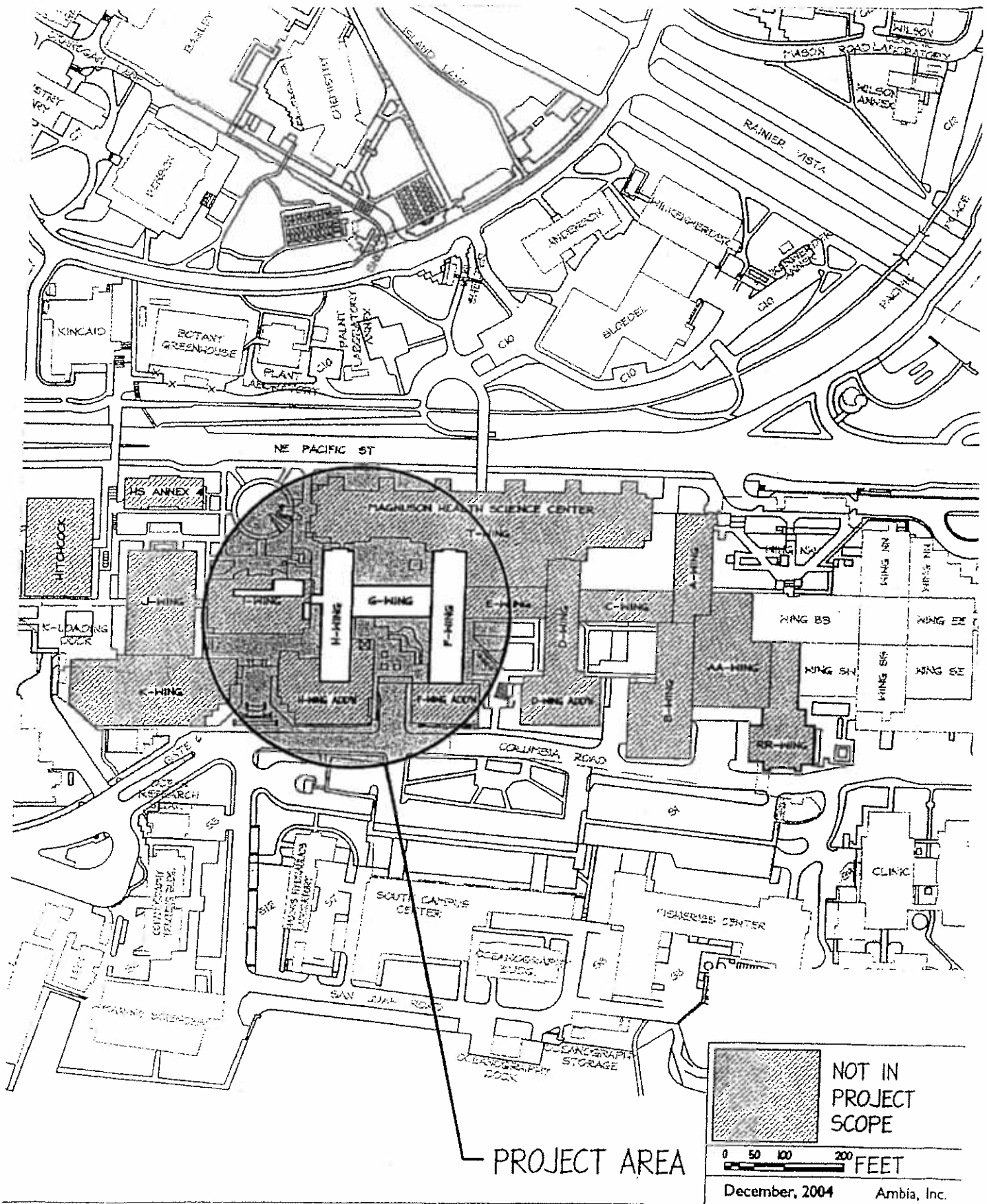
ENCLOSURES:

Attachment 1 – H-Wing Vicinity Map

Attachment 2 – Project Schedule

Attachment 3 – Project Budget

Attachment 1



VICINITY MAP



FIGURE 1.0

Attachment 2

10402 Health Science Center H-Wing Renovation

Data: Jan-01-2007;

Activity Name	Start	Finish	2004			2005				2006				2007				2008				2009				2010			
			Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	
10402 Health Science Center H-Wing Renovation	Sep-03-2004 A	Nov-07-2009	10402 Health Science Center H-Wing Renovation																										
Predesign	Sep-03-2004 A	Jul-01-2005 A	Predesign																										
Schematic Design Phase One	Aug-19-2005 A	Feb-01-2006 A	Schematic Design Phase One																										
Schematic Design Phase Two	Dec-15-2005 A	May-23-2006 A	Schematic Design Phase Two																										
Design Development Phase One	Jan-31-2006 A	Jul-18-2006 A	Design Development Phase One																										
Design Development Phase Two	May-23-2006 A	Oct-30-2006 A	Design Development Phase Two																										
Construction Documents Phase One	Jul-18-2006 A	Jan-30-2007	Construction Documents Phase One																										
Construction Documents Phase Two	Oct-25-2006 A	Apr-25-2007	Construction Documents Phase Two																										
Permit Phase One	Nov-20-2006 A	Mar-29-2007	Permit Phase One																										
Permit Phase Two	Feb-12-2007	May-29-2007	Permit Phase Two																										
Agency Reviews	Dec-27-2006 A	Apr-24-2007	Agency Reviews																										
Construction	Apr-25-2007	Oct-10-2008	Construction																										
GCCM Preconstruction Activities	Apr-18-2006 A	Apr-24-2007	GCCM Preconstruction Activities																										
Occupancy	Oct-10-2008	Jan-29-2009	Occupancy																										
Closeout	Oct-10-2008	Nov-07-2009	Closeout																										

Attachment 3

HSC H-WING RENOVATION

Cost EstimateTotal Escalated Cost
September 2005Total Escalated Cost
January 2007

\$ of TEC

Consultant Services

Pre-Schematic Design Services	69,000	49,000	0.1%
A/E Basic Services	832,000	1,696,000	3.9%
A/E Extra Services	421,000	651,000	1.5%
Other Services	649,000	1,626,000	3.8%
Design Services Contingency	113,000	257,000	0.6%

Construction

MACC- Primary	10,070,000	27,008,000	62.5%
GC/CM Costs	1,536,000	4,975,000	11.5%
Sales Tax on Construction	1,021,000	197,000	0.5%
Construction Contingencies	1,611,000	3,376,000	7.8%
Sales Tax on Contingencies	142,000	45,000	0.1%

Other

Equipment			
Artwork		132,000	0.3%
Other Costs	529,000	764,000	1.8%
Project Management	1,153,000	2,434,000	5.6%

Total Escalated Cost	18,146,000	43,210,000	100.0%
Escalation (included in above)	1,560,000	3,028,000	
Unfunded Costs (included in above)			

Source of Funds

State Gen'l Fund GO Bond/Notes	13,996,000	19,647,000
UW Non-state Revenue	500,000	6,412,000
Non-state Revenue Grant/Gift	3,650,000	17,151,000
	18,146,000	43,210,000

Replacement of the Admission, Discharge, Transfer (ADT) and Hospital Billing Systems
Briefing Paper
February 15, 2007

BACKGROUND

The hospital billing system supports UW Medicine's two medical centers, UW Medical Center (UWMC) and Harborview Medical Center (HMC), and the Seattle Cancer Care Alliance (SCCA). Software for the hospital billing system and its associated ADT module was developed internally in the early 1960s.

The system bills over \$2 billion in annual charges to public and private insurers and individuals. Revenues from these charges represent approximately 93% of the medical centers financial support.

Replacement of the facility billing system must be accompanied by a replacement of the admission, discharge/transfer and patient registration system (ADT) that provides essential patient demographic and census data that feed the facility billing system.

The overarching strategic objective of the facility billing & ADT replacement is to place the UW Medicine revenue cycle on a contemporary, efficient, and effective IT foundation that:

- Improves cash flow;
- Monitors third-party payer compliance with contract terms;
- Supports billing requirements for clinical trials and other regulatory standards; and
- Enhances communications with patients.

Estimated cost is in the range \$30 to \$40 million (internal and external costs).

PROCESS

Issued RFI in October – evaluated four responses.

Selected Epic, Inc. (Epic is the electronic medical record for UWP; Epic supports outpatient registration and scheduling in the outpatient clinics of UWMC and HMC; and Epic is the professional billing system used by UWP and CUMG.)

Contracted with Epic to assist in developing a readiness plan and document that will detail the project scope, plan, budget, strategic choices, and risk mitigation strategy.

C&C has contracted with First Consulting Group to assist UW Medicine in evaluating overall readiness to take on the ADT/Facility Billing project.

TIMING

March/April – Present plan and budget to UW Medicine and Harborview Boards for approval.

April/May – Present plan and budget to UW Administration and Regents for approval.

July – Present plan and budget to State Information Services Board for approval.

July – Commence work.