



UNIVERSITY OF WASHINGTON
Board of Regents

January 8, 2009

TO: Members of the Board of Regents
Ex-officio Representatives to the Board of Regents
FROM: Joan Goldblatt, Secretary of the Board of Regents
RE: Schedule of Meetings

THURSDAY, JANUARY 15, 2009

**8:45 a.m. to 12:05 p.m. 142 Gerberding Hall FINANCE, AUDIT AND FACILITIES
COMMITTEE:** Regents Blake (Chr), Brotman,
Jewell, Kiga, Simon

**12:20 to 1:50 p.m. 142 Gerberding Hall ACADEMIC AND STUDENT AFFAIRS
COMMITTEE:** Regents Simon (Chr), Barer,
Gates, Proctor, Willynck

in Joint Session with

**FINANCE, AUDIT AND FACILITIES
COMMITTEE:** Regents Blake (Chr), Brotman,
Jewell, Kiga, Simon

**2:05 to 2:30 p.m. 142 Gerberding Hall ACADEMIC AND STUDENT AFFAIRS
COMMITTEE:** Regents Simon (Chr), Barer,
Gates, Proctor, Willynck

**3:00 p.m. Petersen Room REGULAR MEETING OF BOARD OF
Allen Library REGENTS**

ENCLOSURES: Agendas for Committees



PRELIMINARY AGENDA

BOARD OF REGENTS

University of Washington

January 15, 2009

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 Cole

V. REPORT OF THE UNIVERSITY PRESIDENT: Dr. Emmert

VI. CONSENT AGENDA

Approval of Minutes of Meetings of November 20 and December 11, 2008

Revisions to Resolution: Federal Contracts–Officers of the University A–1

Approval of Name Change for the School of Public Health and Community Medicine A–3

Honorary Degree–Ban Ki-moon A–4

Grant & Contract Awards Summary–September, 2008 F–1

Husky Union Building Renovation and Addition–Approve Use of Alternative Public Works and Delegate Award of Pre-Construction Contract F–2

Student Housing Project Phase 1–Approve Use of Alternative Public Works F–3

Interim Adjustment to the Consolidated Endowment Fund Spending Policy F–5

Elevator Design Services Term Architect and Professional Services Agreement–Select Architect F–11

On-Call Heating Ventilation and Air Conditioning Master Term Engineering Agreement–Select Engineering Firm F–12

VII. STANDING COMMITTEES**A. Academic and Student Affairs Committee: Regent Simon – Chair**

Academic and Administrative Appointments (**ACTION**) A-2

Joint Session**A. Academic and Student Affairs Committee: Regent Simon – Chair****B. Finance and Audit Committee: Regent Blake – Chair**

Budget Updates (Information only) F-19

UW Medicine Compliance Update (Information only) F-20

B. Finance, Audit and Facilities Committee: Regent Blake – Chair

Actions Taken Under Delegated Authority (Information only) F-4

UWINCO Update (Information only) F-6

Market Update (Information only) F-7

Debt Funded Project Update (Information only) F-8

Internal Lending Program Quarterly Report (Information only) F-9

Purpose and Use of Term or Master Agreements and Contracted Services Opportunities (Information only) F-10

Husky Stadium Renovation–Review Schematic Design (Information only) F-13

Report of Contributions–October & November, 2008 (Information only) F-14

Update on the Faculty/Staff/Retiree Campaign for Students (Information only) F-15

FY 2008 Advancement Returns (Information only) F-16

2008 Audit Reports of the UW and UWMC–KPMG (Information only) F-17

2008 Metropolitan Tract Audit–Peterson Sullivan (Information only) F-18

VIII. OTHER BUSINESS

Reports from ex-officio representatives to the Board:

Faculty Senate Chair – Professor David Lovell

ASUW President – Mr. Anttimo Bennett

GPSS President – Mr. Jake Faleschini

Alumni Association President – Mr. Rick Osterhout

IX. DATE FOR NEXT REGULAR MEETING: February 19, 2009**X. ADJOURNMENT**



AGENDA

BOARD OF REGENTS University of Washington

January 15, 2009
3:00 p.m.
Petersen Room, Allen Library

(Item No.)

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Academic and Administrative Appointments (**ACTION**) A–2

*Joint Session***A. Academic and Student Affairs Committee: Regent Simon–Chair****B. Finance and Audit Committee: Regent Blake–Chair**

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UW Medicine Compliance Update (Information only) F–20

B. Finance, Audit and Facilities Committee: Regent Blake–Chair

Actions Taken Under Delegated Authority (Information only) F–4

UWINCO Update (Information only) F–6

Market Update (Information only) F–7

Debt Funded Project Update (Information only) F–8

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ASUW President–Mr. Anttimo Bennett

GPSS President–Mr. Jake Faleschini

Alumni Association President–Mr. Rick Osterhout

IX. DATE FOR NEXT REGULAR MEETING: February 19, 2009**X. ADJOURNMENT**



**UNIVERSITY OF WASHINGTON
BOARD OF REGENTS**

Finance, Audit and Facilities Committee
Regents Blake (Chair), Brotman, Jewell, Kiga, Simon

**January 15, 2009
8:45 a.m.to 12:05 p.m.
142 Gerberding Hall**

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|-----|---|--------------------|------|
| 1. | Grant & Contract Awards Summary–September, 2008
Phyllis M. Wise, Provost and Executive Vice President | ACTION | F–1 |
| 2. | Husky Union Building Renovation and Addition–Approve Use of Alternative Public Works and Delegate Award of Pre-Construction Contract
Richard Chapman, Associate Vice President, Capital Projects Office | ACTION | F–2 |
| 3. | Student Housing Project Phase 1–Approve Use of Alternative Public Works
Richard Chapman | ACTION | F–3 |
| 4. | Actions Taken Under Delegated Authority
Richard Chapman | INFORMATION | F–4 |
| 5. | UWINCO Update
Keith Ferguson, Chief Investment Officer, Treasury Office | INFORMATION | F–6 |
| 6. | Market Update
Keith Ferguson | INFORMATION | F–7 |
| 7. | Interim Adjustment to the Consolidated Endowment Fund Spending Policy
V’Ella Warren, Senior Vice President | ACTION | F–5 |
| 8. | Debt Funded Project Update
Doug Breckel, Associate Vice President, Treasury Office | INFORMATION | F–8 |
| 9. | Internal Lending Program Quarterly Report
Chris Malins, Senior Associate Treasurer, Treasury Office
Doug Breckel | INFORMATION | F–9 |
| 10. | Purpose and Use of Term or Master Agreements and Contracted Services Opportunities
Richard Chapman | INFORMATION | F–10 |
| 11. | Elevator Design Services Term Architect and Professional Services Agreement–Select Architect
Richard Chapman | ACTION | F–11 |
| 12. | On-Call Heating Ventilation and Air Conditioning Master Term Engineering Agreement–Select Engineering Firm
Richard Chapman | ACTION | F–12 |

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|-----|---|-------------------------|
| 13. | Husky Stadium Renovation–Review Schematic Design
Scott Woodward , Athletic Director
Ty Bennion , Project Manager, Hines Development
Sherri Privitera , Project Manager, HOK Architects
John Palewicz , Director, Capital Projects Central, Capital Projects Office | INFORMATION F–13 |
| 14. | Report of Contributions–October & November, 2008
Walter G. Dryfoos , Associate Vice President, Advancement Services
Connie Kravas , Vice President, University Advancement | INFORMATION F–14 |
| 15. | Update on the Faculty/Staff/Retiree Campaign for Students
Walter G. Dryfoos
Connie Kravas | INFORMATION F–15 |
| 16. | FY 2008 Advancement Returns
Walter G. Dryfoos
Connie Kravas | INFORMATION F–16 |
| 17. | 2008 Audit Reports of the UW and UWMC–KPMG
Ann Anderson , Associate Vice President and Controller
Jacque Cabe , Partner, KPMG
Steve Huebner , Partner, KPMG
Ann Nelson , Partner, KPMG | INFORMATION F–17 |
| 18. | 2008 Metropolitan Tract Audit–Peterson Sullivan
Charlene Hansen , Interim Director, Internal Audit
Roy Holmdahl , Partner, Peterson Sullivan
Mark Nelson , Senior Manager, Peterson Sullivan | INFORMATION F–18 |
| 19. | Executive Session
(to review the performance of public employees) | |
| 20. | Other Business | |



**UNIVERSITY OF WASHINGTON
BOARD OF REGENTS**

Academic and Student Affairs Committee

Regents Simon (Chr), Barer, Gates, Proctor, Willynck

In Joint Session with

Members of the Finance, Audit and Facilities Committee

Regents Blake (Chr), Brotman, Jewell, Kiga, Simon

January 15, 2009

12:20 to 1:50 p.m.

142 Gerberding Hall

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|---|--|--------------------|-------------|
| 1. Budget Updates | Mark Emmert , President
Phyllis M. Wise , Provost and Executive Vice President | INFORMATION | F-19 |
| 2. UW Medicine Compliance Update | Sue Clausen , Associate Vice President/Chief Compliance Officer, UW Medicine
Shan Mullin , UW Chair, UW Medicine Board Compliance Committee | INFORMATION | F-20 |
| 3. Other Business | | | |



**UNIVERSITY OF WASHINGTON
BOARD OF REGENTS**

Academic and Student Affairs Committee
Regents Simon (Chair), Barer, Gates, Proctor, Willynck

**January 15, 2009
2:05 to 2:30 p.m.
142 Gerberding Hall**

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|----|---|---------------|-----|
| 1. | Revisions to Resolution: Federal Contracts–Officers of the University
Mary Lidstrom, Vice Provost for Research
Jeffrey Cheek, Associate Vice Provost for Research,
Compliance & Operations
James Poland, Facility Security Officer | ACTION | A–1 |
| 2. | Academic and Administrative Appointments
Phyllis M. Wise, Provost and Executive Vice President | ACTION | A–2 |
| 3. | Approval of Name Change for the School of Public Health and Community Medicine
Patricia Wahl, Dean, School of Public Health and
Community Medicine | ACTION | A–3 |
| 4. | Honorary Degree–Ban Ki-moon
Phyllis M. Wise | ACTION | A–4 |
| 5. | Other Business | | |

MINUTES

BOARD OF REGENTS University of Washington

January 15, 2009

The Board of Regents held its regular meeting on Thursday, January 15, 2009, beginning at 3:00 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 Cole (presiding), Barer, Blake, Brotman, Gates, Jewell, Kiga, Proctor, Simon, Willynck; Dr. Emmert, Dr. Wise, Ms. Warren, Ms. Goldblatt; ex-officio representatives: Professor Lovell, Mr. Bennett, Ms. Faleschini, Mr. Osterhout.

CONFIRM AGENDA

The agenda was confirmed as presented.

Interim Adjustment to the Consolidated Endowment Fund Spending Policy (Agenda no. F-5)

Regents took no action on this item. This item was removed from the Consent Agenda.

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

Regent Cole presented a draft of "Customs and Protocols." Suggested changes were incorporated in the document.

Board of Regents Customs and Protocols (Agenda no. BP-1)

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 Board of Regents Customs and Protocols (Agenda no. BP-1).

REPORT OF THE UNIVERSITY PRESIDENT: Dr. Emmert

President Emmert said the budget challenges and legislative issues facing the University were discussed in detail in the morning's Finance, Audit, and Facilities Committee meeting, so he would not include that information in his report. He said the administration is thinking about strategically positioning the University for the future, and giving serious consideration to how the University operates, including its core functions and values.

January 15, 2009

President Emmert updated the Regents on three recent personnel items.

Eric Godfrey's title was changed to Vice President and Vice Provost, Student Life, to reflect his extraordinary contribution to the University across a broad span of areas.

The new Director of Federal Relations is Christy Guillon. The former Director, Barbara Perry, accepted a position at the University of California.

President Emmert updated Regents on the search for a Dean of the School of Law. Four candidates are scheduled to be on campus for interviews and presentations. They are:
Jim Chen, Dean and Professor of Law, Louis D. Brandeis School of Law University of Louisville

Lawrence O. Gostin, Associate Dean and Linda D. and Timothy J. O'Neill Professor of Global Health Law, Georgetown University Law Center

Patricia White, Jack Brown Professor of Law and Dean Emeritus, Sandra Day O'Connor College of Law, Arizona State University

Kellye Testy, Dean and Professor of Law, Seattle University

CONSENT AGENDA

Regent Cole noted item F-5 was removed from the consent agenda and there were nine items for approval. Regent Cole called for a motion.

MOTION: Upon the recommendation of the Chair of the Board and the motion made by Regent Jewell seconded by Regent Kiga, the Board voted to approve the nine items on the consent agenda as shown below:

Minutes for the meetings of November and December, 2008

Revisions to Resolution: Federal Contracts--Officers of the University (Agenda no. A-1)

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve updates to a resolution passed on October 21, 1994 regarding security of classified information related to Federal contracts with the University of Washington.

See Attachment A-1.

Approval of Name Change for the School of Public Health and Community Medicine (Agenda no. A-3)

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve changing the name of the School of Public Health and Community Medicine to the School of Public Health, effective immediately.

See Attachment A-3.

Honorary Degree–Ban Ki-moon (Agenda no. A–4)

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve the granting of an Honorary Doctor of Laws degree to Ban Ki-moon, U.N. Secretary General, humanitarian and distinguished diplomat.

See Attachment A–4.

Grant & Contract Awards Summary–September, 2008 (Agenda no. F–1)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee the Board of Regents accept Grant and Contract Awards for the month of September, 2008, in the total amount of \$135,387,400.

See Attachment F–1.

Husky Union Building Renovation and Addition–Approve Use of Alternative Public Works and Delegate Award of Pre-Construction Contract (Agenda no. F–2)

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that on the Husky Union Building (HUB) Renovation/Addition project the use of alternative public works utilizing the General Contractor/Construction Manager (GC/CM) method of contracting be approved; and that the President be delegated authority to award the pre-construction contract to the selected contractor.

Following an affirmative second vote by students at the end of the Spring 2009 quarter, we will return to present the project and funding plan, and to request approval to establish the budget, award the GC/CM construction contract and the debt funding.

See Attachment F–2.

Student Housing Project Phase 1–Approve Use of Alternative Public Works
(Agenda no. F–3)

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that on the Student Housing Phase I project the use of alternative public works utilizing the General Contractor/Construction Manager (GC/CM) method of contracting be approved for each of the two sets of Phase 1 Residence Halls.

After the completion of the predesign phase at the end of January we will return in March to present the project, establish the project budget, approve debt funding and request approval to award the GC/CM contracts.

See Attachment F–3.

**Elevator Design Services Term Architect and Professional Services Agreement–
Select Architect** (Agenda no. F-11)

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award term agreements for architectural and professional services for elevator modifications to SM Stemper Architects, subject to successful negotiation of the architectural and professional services agreements.

SM Stemper Architects, a Seattle firm, was formed in 1988. They have a successful track record at the University of Washington for projects involving renovations of building systems such as roofing and elevator replacement.

In the event of an unsuccessful negotiation with the selected firm, it is requested that authority be delegated to open negotiations with Greenbusch Group, Inc., the firm recommended as first alternate.

See Attachment F-11.

**On-Call Heating Ventilation and Air Conditioning Master Term Engineering
Agreement–Select Engineering Firm** (Agenda no. F-12)

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award a term agreement for on-call Heating Ventilation and Air Conditioning (HVAC) engineering services to Wood Harbinger, Inc., subject to successful negotiation of the engineering and professional services agreements.

Wood Harbinger, Inc. is a Bellevue, Washington firm established in 1967 and currently employs 74 people. Wood Harbinger, Inc. has provided services to the University of Washington for the Savery Hall Renovation and Guggenheim Hall Renovation. Wood Harbinger, Inc. has also provided services for a broad range of project types to other public agencies including the University of Oregon, Centralia College, Central Washington University, King County and Washington State Department of Transportation.

In the event of an unsuccessful negotiation with the selected firm, it is requested that authority be delegated to open negotiations with Affiliated Engineers, Inc., the firm recommended as first alternate.

See Attachment F-12.

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STANDING COMMITTEES

ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regent Simon, Chair

At the request of Regent Simon, Provost Wise highlighted two new endowed chair appointments. Dr. Paul Yager was appointed to the Hunter and Dorothy Simpson endowed chair in bioengineering. Dr. Patricia Kuhl, Director of ILabs (Institute for Learning and Brain Sciences) was appointed to be the holder of the Bezos Family Foundation Endowed Chair for Early Childhood Learning. Regent Gates commended the work of Dr. Kuhl, and that of ILabs, in early childhood learning. Dr. Kuhl and her husband, Dr. Andrew Meltzoff, are prominent researchers in the field of advancing early learning. Regent Gates expressed admiration for the work of ILabs and his hope to hear more about this in the future.

Regent Proctor thanked Regent Gates for his support of ILabs and early learning research.

Academic and Administrative Appointments (Agenda no. A-2)

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

Regent Simon described three items from the Academic and Student Affairs agenda which were approved by the Regents on the Consent Agenda:

The Regents approved updates to a resolution passed in October, 1994 regarding security of classified information related to Federal contracts with the University of Washington. Changes to the resolution updated the title of the Vice Provost for Research, a phrase referring to a more diverse group of sponsors of classified research contracts, and the exclusion of each member of the Board of Regents by name rather than by position.

The revised resolution states the University shall not engage in research or other activities involving violation of professional standards of academic, legal, or medical conduct; US-recognized international law; and/or U.S. or Washington state law.

Regent Simon acknowledged Regent Barer's attention to the revision process.

The Regents approved the name change of the "School of Public Health and Community Medicine" to the "School of Public Health." This name change was requested to more closely align the name of the School with its focus and that of its faculty members.

The Board approved awarding an Honorary Doctor of Laws Degree to Ban Ki-moon, United Nations Secretary General, humanitarian and distinguished diplomat. This degree is awarded in recognition of Mr. Ban's achievement as a diplomat in more than 30 years

of public service, and for his efforts in addressing worldwide humanitarian causes. The Regents look forward to Mr. Ban's visit to the campus in 2009.

FINANCE, AUDIT AND FACILITIES COMMITTEE: Regent Blake, Chair

Actions Taken Under Delegated Authority (Agenda no. F-4)

UWINCO Update (Agenda no. F-6)

Market Update (Agenda no. F-7)

Regent Blake said Chief Investment Officer, Keith Ferguson, provided an update on the University's endowment and the current financial market. Mr. Ferguson told the Regents the University is being cautious due to the uncertainty of the market. Mr. Ferguson is optimistic for the long-term and believes there will be opportunities to take advantage of good valuations in the future. Ferguson said cash liquidity is "OK to good" to meet the needs of the University. The University's investment return is down 25% through November, 2008, with no additional losses in December.

Debt Funded Project Update (Agenda no. F-8)

Regent Blake reported the Finance, Audit and Facilities Committee received an update on the University's debt funded projects. Treasury staff continue to evaluate projects to assure their ability to repay loans. Regents expect a full report, no later than at the March meeting, regarding the standing of the University's debt funded projects.

Internal Lending Program Quarterly Report (Agenda no. F-9)

Regent Blake told the Regents the University issued \$30 million in commercial paper to meet the needs of its projects and anticipates issuing longer term debt in the spring.

Regents discussed the spending policy on the consolidated endowment fund. At next month's meeting, Regents will receive recommendations from the administration regarding the spending policy for the current year as well as for future spending.

Purpose and Use of Term or Master Agreements and Contracted Services Opportunities (Agenda no. F-10)

Blake reported Richard Chapman provided an update on master and contracted services agreements for on-call professionals with design and consulting firms. Services are priced to reflect the current market.

Husky Stadium Renovation-Review Schematic Design (Agenda no. F-13)

The Finance, Audit, and Facilities Committee members reviewed the schematic design for the Husky Stadium Renovation. Regent Blake commended the impressive amount of work that has gone into the project.

Report of Contributions–October and November, 2008 (Agenda no. F–14)

The total amount of gifts received in October was \$44,006,807 and in November it was \$24,132,174. The year-to-date total is \$131,195,577.

The dollar amount of contributions increased from last year and the number of donors has decreased by 11%. This indicates donors who give smaller amounts are not making commitments as they have in the past, and that donors who give larger amounts continue to support the University.

Update on the Faculty/Staff/Retiree Campaign for Students (Agenda no. F–15)

The goal of the Campaign was to raise \$10 million from University faculty, staff, and retirees. This target amount included matching funds from Development, approved by the Board of Regents. The actual amount raised was \$13 million, with a significant number of faculty, staff, and retirees participating in the campaign.

FY 2008 Advancement Returns (Agenda no. F–16)

The Regents received an annual report on cost of raising funds for the University of Washington. This amount is in an appropriate range. Regent Blake noted University Advancement is committed to placing advancement staff in academic units, to better serve the needs of individual units.

2008 Audit Reports of the UW and UWMC–KPMG (Agenda no. F–17)

2008 Metropolitan Tract Audit–Peterson Sullivan (Agenda no. F–18)

Regents received audit reports from KPMG regarding UW and UWMC and from Peterson Sullivan regarding the Metropolitan Tract. Regent Blake noted she and Regent Kiga met with the State auditors to discuss the reports in depth.

ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regent Simon, Chair

In joint session with

FINANCE, AUDIT AND FACILITIES COMMITTEE: Regent Blake, Chair

Budget Updates (Agenda no. F–19)

Medicine Compliance Update (Agenda no. F–20)

REPORTS FROM EX OFFICIO REPRESENTATIVES TO THE BOARD OF REGENTS

Faculty Senate Chair: Professor David Lovell

Dr. Lovell discussed the role of the Senate in the UW budget process and said he sent a budget information letter to UW faculty in December. This document included directions

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to faculty on where to get more information and how to participate in the process. While Professor Lovell said he deals with a “chorus of dissenting voices,” he remains hopeful and believes in the value of the collective judgment of the faculty who are working together to explore alternate scenarios for budget reductions.

ASUW President: Mr. Anttimo Bennett

Mr. Bennett reported on student activities on and off campus. Students are organizing Lobby Day in Olympia (scheduled for Friday, January 23), when they hope to rally support for Husky Stadium renovations. Students are also looking for ways to be involved in discussions about budget cuts, tuition increases, and the potential loss of research opportunities and teaching assistants.

Commenting on student activism, Mr. Bennett noted recent rallies associated with a controversial Daily article, and the Israeli-Palestinian conflict, were peaceful and well-planned.

Mr. Bennett said students are concerned about campus safety and the perceived rise in crime on and off campus. ASUW leaders are working on communications and strategies for students to be safer.

Regent Barer asked about the increased level of crime, specifically if there were statistics or if student concern based was on anecdotal evidence. Bennett replied the UW sends email notifications when crimes occur, which may give the impression of increased criminal and illegal activity, including violent crimes. ASUW leadership is working with the UWPD and Eric Godfrey to assure student safety.

Regent Proctor complimented the students for being active and engaged.

GPSS President: Mr. Jake Faleschini

Mr. Faleschini reported he discussed campus safety with Eric Godfrey and said he believes the additional information provided in the electronic campus alerts may give the community the impression more crime is taking place.

Mr. Faleschini reported GPSS leadership is working with the University’s administration to minimize the impact of the financial crisis on students. Faleschini said he is serving on the Provost’s Joint Policy Advisory Committee on Tuition, Access, Financial Aid, Enrollment, Retention and Service Operations.

Noting the shrinking market for student jobs and restricted availability of loans, Mr. Faleschini said he encouraged University administrators to carefully consider reductions in Research Assistant and Teaching Assistant positions and tuition increases.

Mr. Faleschini noted GPSS efforts to secure a second tier health insurance plan for students. This type of plan costs more but also offers greater access and coverage. He hopes such a plan could be in place in the next academic year.

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Elaborating on Mr. Bennett's remarks, Mr. Faleschini said on November 25, 2008, *The Daily*, UW's student newspaper, published an opinion piece entitled, "Gay marriage? Let's stop and think about this," accompanied by a graphic which many found offensive. The graphic was selected by *The Daily's* editor-in-chief. The GPSS leadership is taking a strong position, calling on the editor-in-chief to apologize or resign. GPSS encourages journalistic integrity, and advocates sexual harassment awareness training for staff of *The Daily*.

Mr. Faleschini is working with Eric Godfrey and staff from the Office of Student Life on plans for student housing and the potential issues arising from price increases for the UPass.

Regent Jewell asked about the impact of potential budget cuts on graduate students, particularly with regard to tuition waivers. Faleschini said graduate students lose stipends and tuition waivers when a position is eliminated. The number of fellowships awarded is expected to decrease. Potentially 700-800 graduate student positions could be lost to budget cuts.

Regent Proctor asked about the loan market for graduate students. Faleschini said it is more difficult for graduate students to get loans because there are restrictions on the loan amounts subsidized by the federal government as well as limits on unsubsidized loans. When tuition rates increase, those who borrow the maximum federal loan amount use all their loan funds to pay tuition. These students then seek private loans to pay their living expenses. Faleschini added that the private loan market is no longer liquid. These circumstances create financial challenges for graduate students.

Regent Jewell asked if UW graduate student leadership talks with other institutions about their funding problems. Faleschini said the UW is working with other institutions to form an association of "public Ivies." Currently they are contacting other schools in the country to create a federal advocacy group for graduate students. This organization, Student Advocates for Graduate Education (SAGE), is lobbying the federal government to establish a loan repayment program for students who work in the public interest field. Regent Jewell suggested funding for graduate students should be included in the federal economic stimulus program. Graduate students represent future innovation and the discoveries our country relies upon.

Regent Barer asked if graduate students in professional schools (for example law, medical, and dental) have teaching assistant appointments available to them, and said professional school students have comparably higher tuition rates compared to students in other graduate programs. Faleschini said the need for two different student government organizations has been suggested to address the diverse needs of both graduate and professional students. He said the higher tuition in professional schools is a response to the market. Graduate students generally receive a lower rate of pay after graduation than students from professional schools.

Regent Willynck said undergraduates share the concern of graduate and professional school students. Undergraduates have direct interaction with graduate level Teaching Assistants in the classroom, especially in sections of large lecture classes.

Regent Cole asked if the University of Washington pools with other universities to create a cooperative health care buying entity. Eric Godfrey replied the University does not at this time, but this is common in systems such as California and is possible for UW in the future.

Alumni Association President: Mr. Rick Osterhout

Mr. Osterhout reported on the UWAA budget. Through November, 2008 operating revenues were down 3% and expenses were down 15%. Association membership year-to-date was down 8%, including annual renewals. Mr. Osterhout is confident budget cuts will not significantly impact the Alumni Association's programming, events, or marketing.

Mr. Osterhout announced upcoming events, Higher Education Day on February 17 and Career Discovery Week, scheduled for the week of January 26-31.

He described the "Legislature 101" program for UWAA Board members. Those who participate in the program are coached on how to approach legislators and lobby in Olympia in support of the University of Washington.

Mr. Osterhout commended UW Intercollegiate Athletic Director Scott Woodward, his staff, coaches, and student athletes for achieving a third-place ranking in Director's Cup points for Autumn quarter. He also noted the achievements of the teams competing in women's cross country, women's volleyball, and men's basketball. Osterhout observed Intercollegiate Athletics staff have been forming a strong connection with the Alumni Association, and he is looking forward to future partnering opportunities.

Regent Barer asked about the legal status of UWAA lobby efforts. UWAA is a 501(c) (3) organization and is cognizant of the limitations imposed regarding use of University resources.

Regent Jewell asked if the economy was affecting the UWAA's travel programs. Osterhout said places in this year's trips are already reserved and participants have paid their fees. UWAA Executive Director, Chuck Blumenfeld, added the trips are a public relations tool and are not a significant source of revenue.

Regent Proctor noted she heard the cost of maintaining Husky Stadium, without a renovation, is in excess of \$10 million per year. She encouraged administrators to explore this issue.

Regent Cole noted the passing of Harold A. "Barney" Goltz, who died December 25, 2008, at the age of 84. Goltz, from Bellingham, was elected to the state House as a 42nd District Democrat in 1972. He was elected to the state Senate in 1974, and served three terms, becoming and chair of Senate Higher education committee and president pro tem of the Senate, before his retirement in 1986. Goltz was a strong supporter of higher education.

January 15, 2009

DATE FOR NEXT MEETING

The next regular meeting of the Board of Regents will be held on Thursday, February 19, 2009, at the UW Tower.

ADJOURNMENT

The regular meeting was adjourned at 4:15 p.m.



Joan Goldblatt
Secretary of the Board of Regents

A. Academic and Student Affairs Committee

Revisions to Resolution: Federal Contracts–Officers of the University

RECOMMENDED ACTION:

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve the following three updates to a resolution passed on October 21, 1994 regarding security of classified information related to Federal contracts with the University of Washington.

Proposed updates to the resolution:

1. The first change to the 1994 resolution involves the title of a member of the managerial group. The resolution uses the title “Assistant Provost for Research”. It is recommended that the resolution be amended to change to “Vice Provost for Research or their designee”.
2. The second change involves the phrase, “the negotiation, execution, and administration of classified ‘Department of Defense contracts with the University of Washington under the meaning of the Industrial Security Manual for Safeguarding Classified Information’.” Since the diversity of sponsors of classified contracts at the University has increased since the 1994 resolution, it is recommended that the phrase be changed to “classified U.S. Government contracts with the University of Washington under the meaning of the National Industrial Security Program Operating Manual.”
3. The third change involves the exclusion of each Board member by name rather than by position.

BACKGROUND:

A signed security agreement between the University of Washington and the Department of Defense establishes the context for classified research contracts. This agreement includes mandatory elements of the University’s classified security program and guidelines for compliance. One mandatory element is the designation of key management personnel. The minimum key management personnel list is the President, Board of Regents and the Facility Security Officer. All key management personnel must either have a TOP SECRET security clearance, or be legally excluded from matters related to classified contracts.

Security clearances are conducted by the US Office of Personnel Management and a full background check may take anywhere from 60 days to 12 months. A TOP SECRET security clearance requires full disclosure of 10 years of personal data including details on family members, all residences, employment and

VII. STANDING COMMITTEES

B. Academic and Student Affairs Committee

Revisions to Resolution: Federal Contracts–Officers of the University (continued p. 2)

employment relationships, all foreign travel, and a list of all contact with foreign nationals. Interviews are conducted with family members, neighbors, references and employers/employees. Cleared individuals must also participate in annual training and report all travel to foreign countries, including Canada. A full re-investigation is required every 5 years.

The Board of Regents passed a resolution on October 21, 1994 to amend the University's agreement with the Department of Defense to exclude the Regents from access to classified information, thereby exempting the Regents from the requirement that each voting member obtain and maintain a TOP SECRET government security clearance. That resolution created a managerial group, to which the Board delegates all of its duties and responsibility for the negotiation, execution, and administration of classified Defense Department contracts with the University of Washington. The managerial group was designated as the President, the Assistant Vice Provost for Research, and the Facility Security Officer.

Prior to the 1994 resolution, the Department of Defense granted a waiver to the security requirement that each regent must be excluded as an individual, as opposed to the exclusion of the entire Board as a group. During the University's annual classified security program audit in April 2008, Defense Department auditors informed the Facility Security Officer that the waiver was not consistent with national policy and the administration of the National Industrial Security Program at other universities. The waiver has been rescinded, resulting in the need to name each regent in the resolution.

Proposed Management Group

As detailed in the University Handbook, the President (or the President's designee) is authorized to act for the Board regarding all matters concerning grants and contracts for research.

The Vice Provost for Research has designated the Associate Vice Provost for Research Compliance and Operations as the managerial group member who provides institutional perspective and oversight for classified research and contracts at the University. The Associate Vice Provost reviews and addresses any audit findings that have institutional policy issues and serves as a back up to the Facility Security Officer.

The Facility Security Officer (FSO) is the security program manager for classified research at the UW. The FSO directs and oversees the federally mandated security measures necessary to protect national security information.

VII. STANDING COMMITTEES

B. Academic and Student Affairs Committee

Revisions to Resolution: Federal Contracts–Officers of the University (continued p. 3)

REVIEW AND APPROVALS:

The resolution has been reviewed and approved by the Facility Security Officer and reviewed by the Vice Provost for Research and the Associate Vice Provost for Research Compliance & Operations.

Attachments:

1. Security Clearance Resolution
2. October 21, 1994 Regents Item: Security Clearance–Officers of the University

BOARD OF REGENTS

UNIVERSITY OF WASHINGTON

RESOLUTION

DATED JANUARY 15, 2009

Security Clearance–Officers of the University

- 1) RESOLVED, that the members of the University of Washington Board of Regents named below shall not require access to classified information in the possession of the University of Washington and, therefore, shall not require, shall not have, and can be effectively excluded from access to all classified information in the possession of the University of Washington and would not be able to affect adversely the institution's performance of classified contracts or programs for the U.S. Department of Defense or other Federal agencies.

Stanley H. Barer
Kristianne Blake
Jeffrey H. Brotman
Craig W. Cole
William H. Gates
Sally Jewell
Fredrick C. Kiga
Constance L. Proctor
Herb Simon
Jean-Paul A. Willynck

- 2) RESOLVED, that the Board of Regents shall and does hereby authorize and designate the President, the Vice Provost for Research or their designee, and the Facility Security Officer as the managerial group of the University of Washington to which is delegated all of the Board's duties and responsibility for the negotiation, execution, and administration of classified U.S. Government contracts with the University of Washington under the meaning of the National Industrial Security Program Operating Manual, with the President being the final authority on such matters.
- 3) Resolved that the University shall not engage in research or other activities involving violation of:
 - a. Professional standards of academic, legal, or medical conduct;
 - b. U.S.-recognized international law; and/or
 - c. U.S. or Washington State law

VII. STANDING COMMITTEES

B. Finance Committee

Security Clearance - Officers of the University

RECOMMENDED ACTION:

It is the recommendation of the administration that the Board of Regents adopt the following two-part resolution:

- 1) RESOLVED, that the current Board of Regents, and all subsequently appointed members of that Board, shall not require access to classified information in the possession of the University of Washington and, therefore, shall not require, shall not have, and can be effectively excluded from access to all classified information in the possession of the University of Washington and would not be able to affect adversely the institution's performance of classified contracts or programs for the Department of Defense of other Federal agencies.
- 2) RESOLVED, that the Board of Regents shall and does hereby authorize and designate the President, the Assistant Provost for Research, and the Facility Security Officer as the managerial group of the University of Washington to which is delegated all of the Board's duties and responsibility for the negotiation, execution, and administration of classified Department of Defense contracts with the University of Washington under the meaning of the Industrial Security Manual for Safeguarding Classified Information.

BACKGROUND:

The University's agreement with the Department of Defense (DoD) covering the control of classified information requires either that all members of the Board of Regents have and maintain security clearances or that the University declare that the Regents have no need for access to classified information and are, therefore, excluded from access to such information. The Regents and the administration have opted for the latter. Since 1987, it has been necessary to list all Regents by name in this declaration, but Mr. Baldwin has recently gained DoD approval to omit listing the Regents by name and instead refer to "the current Board of Regents, and all subsequently appointed members of that Board". Thus, it will not be necessary, in the future, to adopt a new resolution each time there is a change in membership of the Board of Regents.

10/21/94

A-1.2/201-09

1/15/09

VII. STANDING COMMITTEES

B. Finance Committee

Security Clearance - Officers of the University (continued - page 2)

The University is also required by the DoD to identify the officers having authority and responsibility for the negotiation, execution, and administration of classified DoD contracts with the University of Washington. It is, therefore, necessary to modify previous Board resolutions to establish the generalized reference to the Board of Regents and to reaffirm the University officers included in the managerial group.

Classified research affects only a few contracts at the University of Washington and, even in those areas, the security restrictions apply mainly to the handling of classified reference materials or reports directly related to the research.

The Managerial Group of three remains the same: President Gerberding, Donald Baldwin, Assistant Provost for Research, and Kelley Knickerbocker, Facility Security Officer.

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

COLLEGE OF ARTS AND SCIENCES

AMERICAN ETHNIC STUDIES

NEW APPOINTMENTS

DARTT-NEWTON, DEANA

(BA, 2001, UNIVERSITY OF OREGON; MA, 2003, UNIVERSITY OF OREGON; PHD, 2008, UNIVERSITY OF OREGON) TO BE ASSISTANT PROFESSOR OF AMERICAN ETHNIC STUDIES AND CURATOR OF THE BURKE MUSEUM AT A SALARY RATE OF \$62,100 OVER NINE MONTHS, EFFECTIVE 12/16/2008.

DEPARTMENT OF ASIAN LANGUAGES AND LITERATURE

NEW APPOINTMENTS

RUBIN, JAY

(BA, 1963, UNIVERSITY OF CHICAGO; PHD, 1970, UNIVERSITY OF CHICAGO) TO BE VISITING PROFESSOR, PART-TIME, OF ASIAN LANGUAGES AND LITERATURE AT A SALARY RATE OF \$8,400 OVER THREE MONTHS, EFFECTIVE 12/16/2008. (DR. RUBIN IS A RESEARCH PROFESSOR EMERITUS OF JAPANESE LITERATURE AT HARVARD UNIVERSITY.)

SCHOOL OF LAW

LAW

NEW APPOINTMENTS

KARMEL, ROBERTA

(BA, 1959, RADCLIFFE; LLB, 1962, NEW YORK UNIVERSITY) TO BE VISITING PROFESSOR OF LAW WITHOUT SALARY FROM THE UNIVERSITY, EFFECTIVE 12/16/2008. (PRIOR TO THIS APPOINTMENT, PROFESSOR KARMEL WAS A PROFESSOR AT BROOKLYN LAW SCHOOL.)

DANIEL J. EVANS SCHOOL OF PUBLIC AFFAIRS

EVANS SCHOOL OF PUBLIC AFFAIRS

NEW APPOINTMENTS

MCCURDY, HOWARD

(BA, 1962, UNIVERSITY OF WASHINGTON; MA, 1965, UNIVERSITY OF WASHINGTON; PHD, 1969, CORNELL UNIVERSITY) TO BE VISITING PROFESSOR OF PUBLIC AFFAIRS WITHOUT SALARY FROM THE UNIVERSITY, EFFECTIVE 12/16/2008. (PRIOR TO THIS APPOINTMENT, DR. MCCURDY WAS A PROFESSOR OF PUBLIC ADMINISTRATION AT AMERICAN UNIVERSITY.)

SCHOOL OF MEDICINE

DEPARTMENT OF ANESTHESIOLOGY AND PAIN MEDICINE

NEW APPOINTMENTS

GOFELD, MICHAEL

(MD, 1989, CRIMEA STATE MEDICAL UNIV (UKRAINE)) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF ANESTHESIOLOGY AND PAIN MEDICINE AT A SALARY RATE OF \$69,768 OVER TWELVE MONTHS, EFFECTIVE 11/17/2008. (PRIOR TO THIS APPOINTMENT, DR. GOFELD WAS AN ASSISTANT PROFESSOR OF MEDICINE AT THE UNIVERSITY OF TORONTO.)

TRESCOT, ANDREA

(BS, 1978, UNIVERSITY OF FLORIDA; MD, 1983, MEDICAL UNIVERSITY OF SOUTH CAROLINA) TO BE PROFESSOR WITHOUT TENURE OF ANESTHESIOLOGY AND PAIN MEDICINE AT A SALARY RATE OF \$90,576 OVER TWELVE MONTHS, EFFECTIVE 12/1/2008. (PRIOR TO THIS APPOINTMENT, DR. TRESCOT WAS THE DIRECTOR OF THE PAIN FELLOWSHIP PROGRAM AT THE UNIVERSITY OF FLORIDA.)

DEPARTMENT OF BIOENGINEERING

ENDOWED APPOINTMENTS

YAGER, PAUL

(BA, 1975, PRINCETON UNIVERSITY; PHD, 1980, UNIVERSITY OF OREGON) TO BE HOLDER OF THE HUNTER AND DOROTHY SIMPSON ENDOWED CHAIR IN BIOENGINEERING, EFFECTIVE 11/24/2008. (DR. YAGER WILL CONTINUE AS PROFESSOR AND CHAIR OF BIOENGINEERING, ADJUNCT PROFESSOR OF CHEMICAL ENGINEERING, ADJUNCT PROFESSOR OF CHEMISTRY, ADJUNCT PROFESSOR OF ORAL BIOLOGY AND ADJUNCT PROFESSOR OF GLOBAL HEALTH - MEDICINE.)

DEPARTMENT OF FAMILY MEDICINE

NEW APPOINTMENTS

KEEN, MISBAH

(MBBS, 1993, GOVERNMENT MEDICAL COLLEGE (INDIA)) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF FAMILY MEDICINE AT A SALARY RATE OF \$116,172 OVER TWELVE MONTHS, EFFECTIVE 12/1/2008. (PRIOR TO THIS APPOINTMENT, DR. KEEN WAS AN ACTING ASSISTANT PROFESSOR - TEMPORARY IN THE SAME DEPARTMENT.)

DEPARTMENT OF GENOME SCIENCES

NEW APPOINTMENTS

BRUCE, JAMES

(BS, 1987, TROY STATE UNIVERSITY; PHD, 1992, UNIVERSITY OF FLORIDA) TO BE PROFESSOR OF GENOME SCIENCES AT A SALARY RATE OF \$170,016 OVER TWELVE MONTHS, EFFECTIVE 12/8/2008. (PRIOR TO THIS APPOINTMENT, DR. BRUCE WAS A PROFESSOR OF CHEMISTRY AT WASHINGTON STATE UNIVERSITY.)

DEPARTMENT OF MEDICINE

NEW APPOINTMENTS

HUGHES, GRANT

(BS, 1990, OREGON STATE UNIVERSITY; MD, 2001, OREGON HEALTH SCIENCES UNIVERSITY) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF MEDICINE AT A SALARY RATE OF \$135,000 OVER TWELVE MONTHS, EFFECTIVE 12/1/2008. (PRIOR TO THIS APPOINTMENT, DR. HUGHES WAS AN ACTING INSTRUCTOR IN THE SAME DEPARTMENT.)

OEHLER, VIVIAN

(BA, 1989, HARVARD UNIVERSITY; MD, 1997, CASE WESTERN RESERVE UNIVERSITY) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF MEDICINE PAID DIRECT BY FRED HUTCHINSON CANCER RESEARCH CENTER EFFECTIVE 12/1/2008. (PRIOR TO THIS APPOINTMENT, DR. OEHLER WAS AN ACTING ASSISTANT PROFESSOR - TEMPORARY IN THE SAME DEPARTMENT.)

DEPARTMENT OF NEUROLOGICAL SURGERY

ENDOWED APPOINTMENTS

MORRISON, RICHARD STEVEN

(BS, 1976, UNIVERSITY OF CALIFORNIA (LOS ANGELES); PHD, 1982, UNIVERSITY OF CALIFORNIA (LOS ANGELES)) TO BE HOLDER OF THE WALLACE T. STAATZ ENDOWED PROFESSORSHIP IN NEUROLOGICAL SURGERY, EFFECTIVE 12/1/2008. (DR. MORRISON WILL CONTINUE AS PROFESSOR WITHOUT TENURE OF NEUROLOGICAL SURGERY.)

NEW APPOINTMENTS

WEI, AGUAN

(BA, 1978, UNIVERSITY OF CALIFORNIA (BERKELEY); PHD, 1985, UNIVERSITY OF OREGON) TO BE RESEARCH ASSISTANT PROFESSOR OF NEUROLOGICAL SURGERY AT A SALARY RATE OF \$54,996 OVER TWELVE MONTHS, EFFECTIVE 11/1/2008. (PRIOR TO THIS APPOINTMENT, DR. WEI WAS A RESEARCH ASSISTANT PROFESSOR OF NEUROBIOLOGY AT WASHINGTON UNIVERSITY IN ST. LOUIS.)

DEPARTMENT OF OPHTHALMOLOGY

NEW APPOINTMENTS

HERLIHY, ERIN

(BS, 1999, UNIVERSITY OF NOTRE DAME; MD, 2003, LOYOLA UNIVERSITY (CHICAGO)) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF OPHTHALMOLOGY PAID DIRECT BY SEATTLE CHILDREN'S EFFECTIVE 11/3/2008. (PRIOR TO THIS APPOINTMENT, DR. HERLIHY WAS A CLINICAL LECTURER AT THE UNIVERSITY OF MICHIGAN.)

DEPARTMENT OF PATHOLOGY

NEW APPOINTMENTS

HERR, ALAN

(BS, 1992, PACIFIC LUTHERAN UNIVERSITY; PHD, 2000, UNIVERSITY OF UTAH) TO BE RESEARCH ASSISTANT PROFESSOR OF PATHOLOGY AT A SALARY RATE OF \$85,008 OVER TWELVE MONTHS, EFFECTIVE 12/1/2008. (PRIOR TO THIS APPOINTMENT, DR. HERR WAS A SENIOR FELLOW IN THE SAME DEPARTMENT.)

MAHONEY, WILLIAM

(BS, 1999, TRINITY COLLEGE (CONNECTICUT); PHD, 2004, UNIVERSITY OF MARYLAND) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF PATHOLOGY AT A SALARY RATE OF \$85,008 OVER TWELVE MONTHS, EFFECTIVE 11/1/2008. (PRIOR TO THIS APPOINTMENT, DR. MAHONEY WAS A SENIOR FELLOW IN THE SAME DEPARTMENT.)

DEPARTMENT OF PEDIATRICS

NEW APPOINTMENTS

KOVES, ILDIKO

(MD, 1994, UNIVERSITY MEDICAL SCHOOL (HUNGARY)) TO BE ASSISTANT PROFESSOR WITHOUT TENURE OF PEDIATRICS AT A SALARY RATE OF \$66,000 OVER TWELVE MONTHS, EFFECTIVE 12/2/2008. (PRIOR TO THIS APPOINTMENT, DR. KOVES WAS A FELLOW AT THE ROYAL CHILDREN'S HOSPITAL IN AUSTRALIA.)

DEPARTMENT OF PSYCHIATRY AND BEHAVIORAL SCIENCES

ENDOWED APPOINTMENTS

PESKIND, ELAINE

(BS, 1975, CALIFORNIA STATE UNIV, SAN BERNARDINO; MS, 1978, WASHINGTON STATE UNIVERSITY; MD, 1986, UNIVERSITY OF WASHINGTON) TO BE HOLDER OF THE FRIENDS OF ALZHEIMER'S RESEARCH ENDOWED PROFESSORSHIP, EFFECTIVE 12/1/2008. (DR. PESKIND WILL CONTINUE AS PROFESSOR WITHOUT TENURE OF PEDIATRICS.)

DEPARTMENT OF RADIOLOGY

NEW APPOINTMENTS

CROSS, DONNA

(BSENG, 1988, UNIVERSITY OF MICHIGAN; PHD, 2007, UNIVERSITY OF MICHIGAN) TO BE RESEARCH ASSISTANT PROFESSOR OF RADIOLOGY AT A SALARY RATE OF \$85,008 OVER TWELVE MONTHS, EFFECTIVE 11/1/2008. (PRIOR TO THIS APPOINTMENT, DR. CROSS WAS A SENIOR FELLOW IN THE SAME DEPARTMENT.)

DEPARTMENT OF UROLOGY

ENDOWED APPOINTMENTS

KOYLE, MARTIN

(MD, 1976, UNIVERSITY OF MANITOBA (CANADA)) TO BE HOLDER OF THE DR. MICHAEL MITCHELL ENDOWED CHAIR IN PEDIATRIC UROLOGY, EFFECTIVE 6/1/2008. (DR. KOYLE WILL CONTINUE AS PROFESSOR WITHOUT TENURE OF UROLOGY.)

SCHOOL OF PHARMACY

DEPARTMENT OF MEDICINAL CHEMISTRY

NEW APPOINTMENTS

LEE, KELLY

(BA, 1996, HARVARD UNIVERSITY; PHD, 2001, JOHNS HOPKINS UNIVERSITY) TO BE ASSISTANT PROFESSOR OF MEDICINAL CHEMISTRY AT A SALARY RATE OF \$90,000 OVER TWELVE MONTHS, EFFECTIVE 4/1/2009. (DR. LEE IS CURRENTLY A SENIOR RESEARCH ASSOCIATE AT THE SCRIPPS INSTITUTE.)

SCHOOL OF PUBLIC HEALTH AND COMMUNITY MEDICINE

DEPARTMENT OF ENVIRONMENTAL AND OCCUPATIONAL HEALTH SCIENCES

ENDOWED APPOINTMENTS

DANIELL, WILLIAM E.

(BA, 1975, UNIVERSITY OF CALIFORNIA (SAN DIEGO); MD, 1979, TUFTS UNIVERSITY; MPH, 1986, UNIVERSITY OF WASHINGTON) TO BE HOLDER OF THE ROHM AND HASS ENDOWED PROFESSORSHIP IN PUBLIC HEALTH SCIENCES OVER TWELVE MONTHS, EFFECTIVE 1/1/2009. (DR. DANIELL WILL CONTINUE AS ASSOCIATE PROFESSOR AND DIRECTOR OF ENVIRONMENTAL AND OCCUPATIONAL HEALTH SCIENCES.)

DEPARTMENT OF GLOBAL HEALTH

NEW APPOINTMENTS

LOZANO, RAFAEL PEDRO ASCENCIO

(MD, 1979, U NACIONAL AUTONOMA DE MEXICO (MEXICO); MSc, 1984, U NACIONAL AUTONOMA DE MEXICO (MEXICO)) TO BE PROFESSOR WITHOUT TENURE OF GLOBAL HEALTH - PUBLIC HEALTH AND OF GLOBAL HEALTH - MEDICINE AT A SALARY RATE OF \$180,000 OVER TWELVE MONTHS, EFFECTIVE 11/1/2008. (PRIOR TO THIS APPOINTMENT, DR. LOZANO WAS THE GENERAL DIRECTOR OF HEALTH INFORMATION IN THE MINISTRY OF HEALTH, MEXICO)

DEPARTMENT OF HEALTH SERVICES

ADMINISTRATIVE APPOINTMENTS

KESSLER, LARRY GLENN

(BS, 1973, BOSTON UNIVERSITY; ScD, 1978, JOHNS HOPKINS UNIVERSITY) TO BE PROFESSOR AND CHAIR OF HEALTH SERVICES AT A SALARY RATE OF \$205,008, EFFECTIVE 1/1/2009. (PRIOR TO THIS APPOINTMENT, DR. KESSLER WAS THE DIRECTOR OF THE FOOD AND DRUG ADMINISTRATION OFFICE OF SCIENCE AND ENGINEERING LABORATORIES.)

NEW APPOINTMENTS

HELFRICH, CHRISTIAN DAVID

(BA, 1998, GONZAGA UNIVERSITY; MPH, 2000, UNIVERSITY OF WASHINGTON; PHD, 2005, UNIVERSITY OF NORTH CAROLINA) TO BE RESEARCH ASSISTANT PROFESSOR OF HEALTH SERVICES PAID DIRECT BY VETERANS AFFAIRS PUGET SOUND HEALTH CARE SYSTEM EFFECTIVE 1/1/2009. (PRIOR TO THIS APPOINTMENT, DR. HELFRICH WAS A RESEARCH ASSOCIATE IN THE SAME DEPARTMENT.)

ADDENDUM

JANUARY 15, 2009

COLLEGE OF ARTS AND SCIENCES

DEPARTMENT OF SPEECH AND HEARING SCIENCES

ENDOWED APPOINTMENTS

KUHL, PATRICIA

(BA, 1967, ST. CLOUD STATE UNIVERSITY; MA, 1971, UNIVERSITY OF MINNESOTA; PHD, 1973, UNIVERSITY OF MINNESOTA) TO BE HOLDER OF THE BEZOS FAMILY FOUNDATION ENDOWED CHAIR FOR EARLY CHILDHOOD LEARNING, EFFECTIVE 1/1/2009. (DR. KUHL WILL CONTINUE AS PROFESSOR OF SPEECH AND HEARING SCIENCES, ADJUNCT PROFESSOR OF PSYCHOLOGY, ADJUNCT PROFESSOR OF OTOLARYNGOLOGY/HEAD AND NECK SURGERY, ADJUNCT PROFESSOR OF LINGUISTICS AND ADJUNCT PROFESSOR OF EDUCATION.)

A. Academic and Student Affairs Committee

Approval of Name Change for the School of Public Health and Community MedicineRECOMMENDED ACTION

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve changing the name of the School of Public Health and Community Medicine to the School of Public Health, effective immediately.

BACKGROUND

The School of Public Health and Community Medicine was established in 1970 by faculty members in the former Department of Preventive Medicine in the School of Medicine. At that time, many of the faculty members were MDs, and the School's professional degree, the Master of Public Health, was open only to physicians. Thus, the term "community medicine" was used to reflect the new School's strong medical orientation. However, the focus and the faculty members of the School have changed significantly over the intervening years to the point where community medicine has no meaning in the School.

There are a number of excellent reasons to drop the community medicine part of the School's name. As indicated above, no one, either in the School or externally, knows what "community medicine" is in the context of public health. Of the 40 accredited schools of public health, the UW's School of Public Health is the only school that has community medicine in the title. Having community medicine in the name also falsely advertises the School since there are no faculty or programs of study that reflect community medicine. Finally, community medicine in the School's name often leads to confusion locally with the School of Medicine.

The proposal to drop the community medicine portion of the School of Public Health's name has been discussed and approved by the School's Executive Council, the faculty in all of the School's departments, and also by its Faculty Council. The Dean of the School of Public Health and the Provost have reviewed and approved the recommendation.

A. Academic and Student Affairs Committee

Honorary Degree–Ban Ki-moonRECOMMENDED ACTION:

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve the granting of an Honorary Doctor of Laws degree to Ban Ki-moon, U.N. Secretary General, humanitarian and distinguished diplomat.

BACKGROUND:

RCW 28B.20.130(3) grants to the Board of Regents, upon recommendation of the faculty, the authority to confer honorary degrees upon persons other than graduates “in recognition of their learning or devotion to literature, arts, or sciences.” The Faculty Council on University Relations is responsible for recommending candidates for honorary degrees. On October 20, 2008, the Council recommended to President Emmert that Mr. Ban be awarded an Honorary Doctor of Laws degree in the spring of 2009. President Emmert concurs with the recommendation and brings it to the Board of Regents on behalf of the faculty.

Ban Ki-moon, the eighth Secretary-General of the United Nations, brings to his post 37 years of service both in Government and on the global stage.

At the time of his election as Secretary-General, Mr. Ban was his country's Minister of Foreign Affairs and Trade. His long tenure with the Ministry included postings in New Delhi, Washington D.C. and Vienna, and responsibility for a variety of portfolios, including Foreign Policy Adviser to the President, Chief National Security Adviser to the President, Deputy Minister for Policy Planning and Director-General of American Affairs. Throughout this service, his guiding vision was that of a peaceful Korean peninsula, playing an expanding role for peace and prosperity in the region and the wider world.

Mr. Ban has long-standing ties with the United Nations, dating back to 1975, when he worked for the Foreign Ministry's United Nations Division. That work expanded over the years, with assignments as First Secretary at the Republic of Korea's Permanent Mission to the United Nations in New York, Director of the United Nations Division at the Ministry's headquarters in Seoul and Ambassador to Vienna, during which time, in 1999, he served as Chairman of the Preparatory Commission for the Comprehensive Nuclear Test Ban Treaty Organization. In 2001-2002, as Chef de Cabinet during the Republic of Korea's presidency of the General Assembly, he facilitated the prompt adoption of the first resolution of the session, condemning the terrorist attacks of September 11, 2001, and undertook a number of initiatives aimed at strengthening the Assembly's functioning, thereby

VII. STANDING COMMITTEES

B. Academic and Student Affairs Committee

Honorary Degree–Ban Ki-moon (continued p. 2)

helping to turn a session that started out in crisis and confusion into one in which a number of important reforms were adopted.

Mr. Ban has also been actively involved in issues relating to inter-Korean relations. In 1992, as Special Adviser to the Foreign Minister, he served as Vice-Chair of the South-North Joint Nuclear Control Commission following the adoption of the historic Joint Declaration on the Denuclearization of the Korean Peninsula. In September 2005, as Foreign Minister, he played a leading role in bringing about another landmark agreement aimed at promoting peace and stability on the Korean peninsula with the adoption at the six-party talks of the Joint Statement on resolving the North Korean nuclear issue.

Mr. Ban received a bachelor's degree in international relations from Seoul National University in 1970. In 1985, he earned a master's degree in public administration from the Kennedy School of Government at Harvard University. In July 2008, Mr. Ban received an honorary Doctoral Degree from Seoul National University.

Mr. Ban has received numerous national and international prizes, medals and honors. In 1975, 1986 and again in 2006, he was awarded the Republic of Korea's Highest Order of Service Merit for service to his country. In April 2008, he was awarded the dignity of the “Grand-Croix de L'Ordre National” (Grand Cross of the National Order) in Burkina Faso, and in the same month received the “Grand Officier de L'Ordre National” (Grand Officer of the National Order) from the Government of Côte d'Ivoire.

For his achievements as a diplomat in more than three decades of public service, and for his tireless efforts in addressing worldwide humanitarian causes, it would be an honor to confer upon U.N. Secretary General Ban Ki-moon an Honorary Doctor of Laws degree in the spring of 2009.

VII. STANDING COMMITTEES**B. Finance, Audit and Facilities Committee****Grant and Contract Awards–September, 2008****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

September 2008

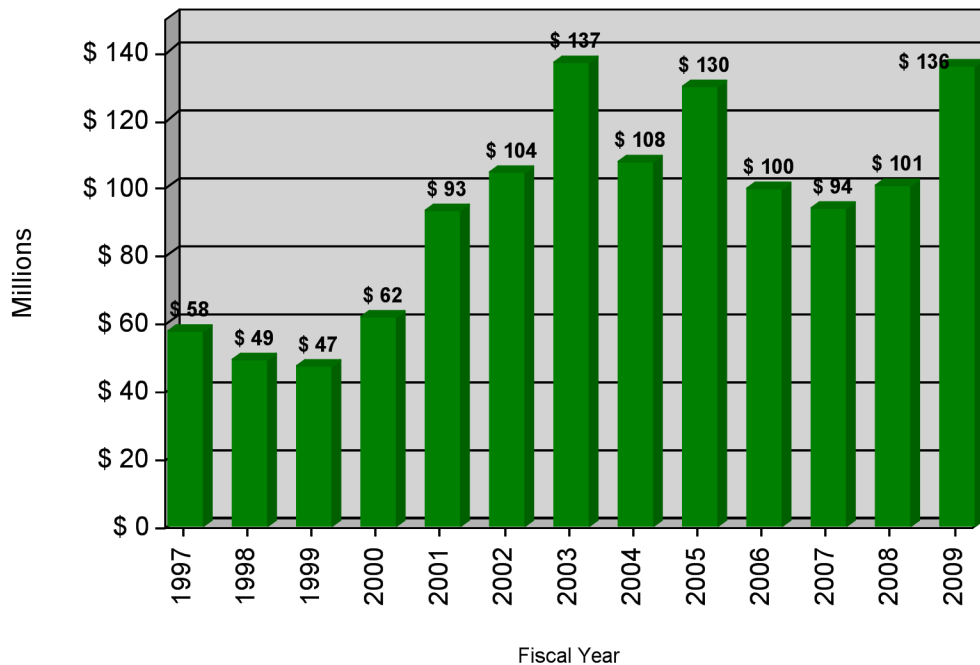
Office of Research

Office of Sponsored Programs

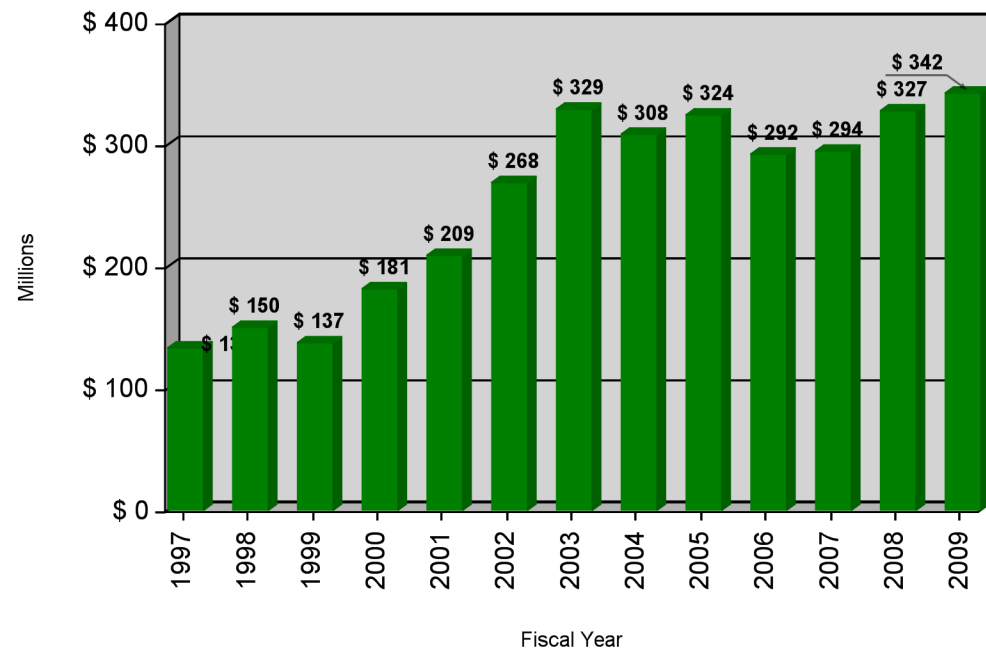
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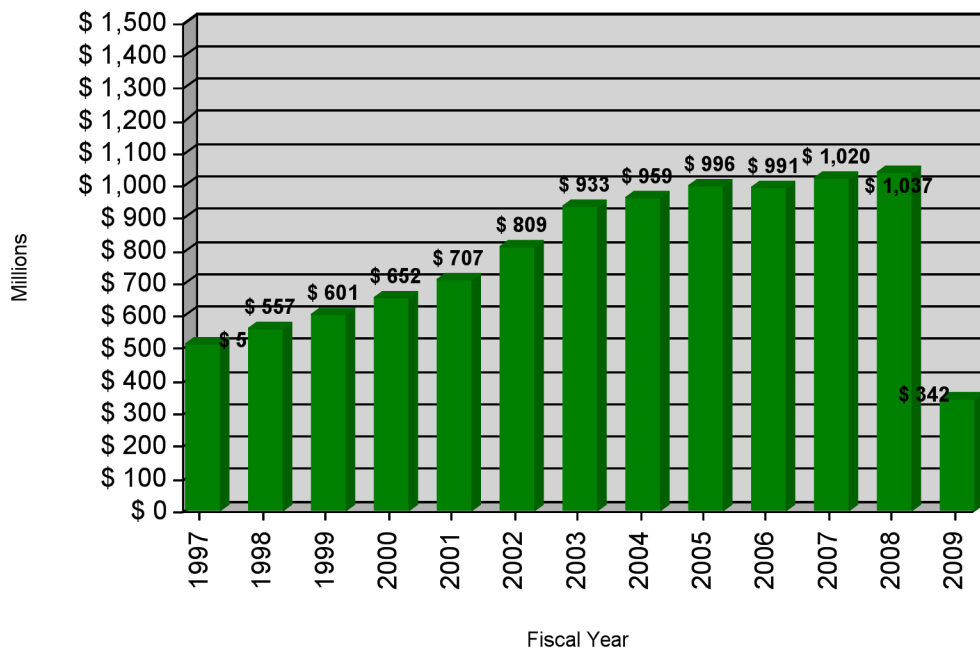
September Only
Comparison of Grant & Contract Awards



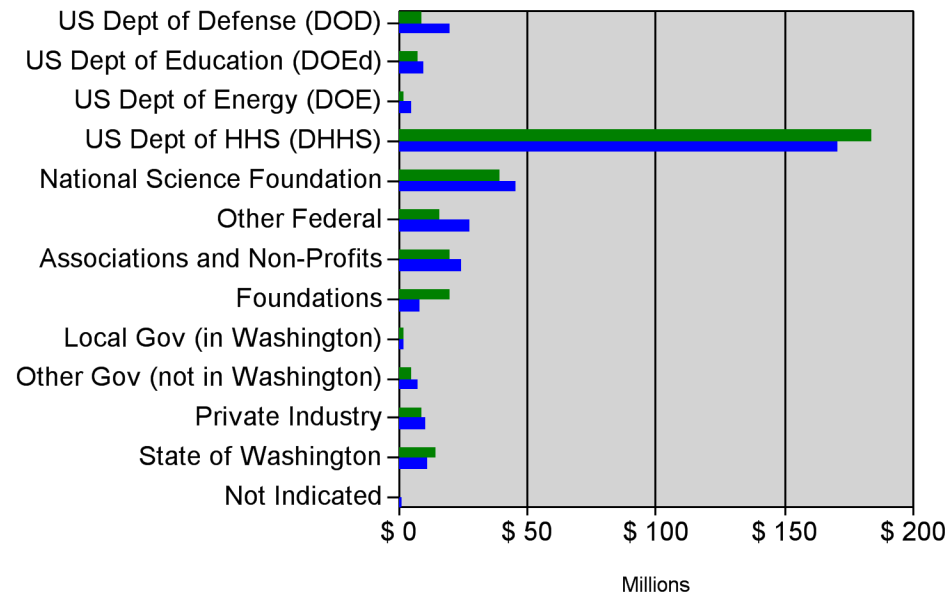
Fiscal Year to Date
Comparison of Grant & Contract Awards



Complete Fiscal Year
Comparison of Grant & Contract Awards



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



Jul-Sep FY08 Jul-Sep FY09

Summary of Grant and Contract Awards

Fiscal Year 2008-2009

Month	RESEARCH AND OTHER		TRAINING		Total Grants and Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 86,211,310	\$ 16,220,680	\$ 9,776,757	\$ 3,001,990	\$ 115,210,700
August	\$ 59,011,790	\$ 22,563,880	\$ 7,944,685	\$ 1,036,159	\$ 90,556,520
September	\$ 105,369,800	\$ 20,093,510	\$ 9,282,558	\$ 1,091,509	\$ 135,837,400
<hr/>					
FY09 to Date	\$250,592,902	\$58,878,075	\$27,004,000	\$5,129,658	\$341,604,636
FY08 to Date	\$229,974,065	\$60,447,893	\$28,211,314	\$8,492,624	\$327,125,896
Over (Under) Previous Year	\$20,618,837	(\$1,569,818)	(\$1,207,314)	(\$3,362,966)	\$14,478,740

Assuming acceptance of all awards by the Board of Regents

Comparison of Grant and Contract Awards by Agency

Fiscal Years 2007-2008 and 2008-2009

Agency	Jul-Sep FY08	Jul-Sep FY09
US Department of Defense (DOD)	\$ 9,250,283	\$ 19,450,810
US Department of Education (DOEd)	\$ 7,378,777	\$ 9,409,857
US Department of Energy (DOE)	\$ 2,218,845	\$ 4,819,482
US Department of Health and Human Services (DHHS)	\$ 183,982,218	\$ 170,482,241
National Science Foundation (NSF)	\$ 39,539,829	\$ 45,682,089
Other Federal	\$ 15,815,427	\$ 27,752,423
Subtotal for Federal :	\$ 258,185,379	\$ 277,596,902
Associations and Non-Profits	\$ 19,573,086	\$ 24,740,250
Foundations	\$ 19,374,283	\$ 8,249,183
Local Government (in Washington)	\$ 2,259,608	\$ 1,988,887
Other Government (not in Washington)	\$ 4,756,236	\$ 7,156,151
Private Industry	\$ 8,611,658	\$ 10,453,140
State of Washington	\$ 14,365,646	\$ 11,407,741
Not Indicated	\$ 0	\$ 12,382
Subtotal for Non-Federal :	\$ 68,940,517	\$ 64,007,734
Grand Total :	\$ 327,125,896	\$ 341,604,636
Amount of Increase (Decrease) :		\$ 14,478,740
Percent of Increase (Decrease) :		4.4 %

Assuming acceptance of all awards by the Board of Regents

Comparison of Grant and Contract Awards by School/College

Fiscal Years 2007-2008 and 2008-2009

School/College		Jul-Sep FY08	Jul-Sep FY09
Upper Campus			
	Architecture and Urban Planning	\$ 232,546	\$ 245,118
	Arts and Sciences	\$ 29,988,191	\$ 37,487,698
	Business Administration	\$ 724,471	\$ 445,000
	Director of Libraries	\$ 96,500	
	Education	\$ 668,546	\$ 3,620,029
	Educational Outreach	\$ 267,568	\$ 39,001
	Engineering	\$ 22,015,217	\$ 31,197,387
	Evans School of Public Affairs	\$ 1,106,006	\$ 852,855
	Executive Vice President		\$ 621,238
	Forest Resources	\$ 2,151,247	\$ 3,496,798
	Graduate School	\$ 864,778	\$ 674,303
	Information School	\$ 1,624,647	\$ 3,470,221
	Law	\$ 209,134	\$ 1,258,309
	Ocean and Fishery Sciences	\$ 32,279,029	\$ 25,237,323
	Office of Research	\$ 7,621,674	\$ 15,202,213
	Provost	\$ 200,000	
	Social Work	\$ 6,172,107	\$ 6,399,868
	Undergraduate Education		\$ 10,640
	VP Educational Partnerships	\$ 43,745	\$ 30,000
	VP Minority Affairs	\$ 2,914,398	\$ 5,660,106
	Subtotal :	\$ 109,179,804	\$ 135,948,107
Health Sciences			
	Dentistry	\$ 4,275,525	\$ 2,827,482
	Medicine	\$ 151,786,545	\$ 149,204,960
	Nursing	\$ 7,905,246	\$ 6,006,350
	Pharmacy	\$ 3,903,441	\$ 4,477,620
	Public Health and Community Medicine	\$ 23,316,877	\$ 23,864,413
	Subtotal :	\$ 191,187,634	\$ 186,380,825
Special Programs			
	Alcohol and Drug Abuse Institute	\$ 2,757,273	\$ 1,394,716
	CHDD Administration	\$ 6,982,058	\$ 2,838,617
	Regional Primate Center	\$ 15,722,366	\$ 13,607,672
	Subtotal :	\$ 25,461,697	\$ 17,841,005
Other UW Campuses			
	Bothell	\$ 1,085,370	\$ 1,009,756
	Tacoma	\$ 202,000	\$ 424,023
	Subtotal :	\$ 1,287,370	\$ 1,433,779
Not Indicated	Not Indicated	\$ 9,391	

School/College		Jul-Sep FY08	Jul-Sep FY09
Not Indicated	Tacoma		\$ 920
	Subtotal :	\$ 9,391	\$ 920
	Grand Total :	\$ 327,125,896	\$ 341,604,636

Assuming acceptance of all awards by the Board of Regents

List of Awards for Arts and Sciences

Fiscal Years 2007-2008 and 2008-2009

Department	Jul-Sep FY08	Jul-Sep FY09
Center for Statistics and the Social Sciences	\$ 388,907	\$ 58,774
Center for Studies in Demography and Ecology	\$ 628,915	\$ 932,440
Department of Anthropology	\$ 246,138	\$ 307,026
Department of Applied Mathematics	\$0	\$ 598,580
Department of Asian Languages and Literature	\$0	\$ 100,000
Department of Astronomy	\$ 1,325,332	\$ 2,249,952
Department of Atmospheric Sciences	\$ 878,931	\$ 1,694,765
Department of Biology	\$ 2,202,058	\$ 3,609,168
Department of Chemistry	\$ 11,443,260	\$ 11,801,330
Department of Communication	\$ 14,458	\$ 322,385
Department of Earth and Space Sciences	\$ 785,360	\$ 3,526,230
Department of Economics	\$ 6,575	\$0
Department of English	\$ 72,573	\$ 43,000
Department of Geography	\$ 336,787	\$ 12,000
Department of Germanics	\$ 45,000	\$0
Department of Linguistics	\$ 164,666	\$ 74,795
Department of Mathematics	\$ 2,089,271	\$ 875,109
Department of Physics	\$ 3,258,462	\$ 1,901,610
Department of Political Science	\$ 1,124,910	\$ 14,400
Department of Psychology	\$ 2,819,851	\$ 2,584,772
Department of Sociology	\$ 10,350	\$0
Department of Speech and Hearing Sciences	\$ 643,619	\$ 1,208,502
Department of Statistics	\$ 16,173	\$ 150,186
Henry M. Jackson School of International Studies	\$ 1,418,414	\$ 1,120,097
Institute for Nuclear Theory	\$0	\$ 47,200
Language Learning Center	\$0	\$ 137,000
Other Arts and Sciences Programs	\$0	\$ 4,033,304
Public Performing Arts	\$ 23,875	\$ 46,450
Thomas Burke Memorial Washington State Museum	\$ 44,305	\$ 38,620
Total :	\$ 29,988,190	\$ 37,487,700

Assuming acceptance of all awards by the Board of Regents

Summary of Grant Awards**Fiscal Year 2008-2009***Excluding private awards from Foundations, Industry, Associations and Others*

Month	RESEARCH AND OTHER		TRAINING		Total Grants
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 84,799,550	\$ 3,384,315	\$ 9,776,757	\$ 226,080	\$ 98,186,700
August	\$ 53,590,660	\$ 5,137,674	\$ 7,914,685	\$ 0	\$ 66,643,020
September	\$ 90,787,430	\$ 3,932,069	\$ 9,263,558	\$ 164,451	\$ 104,147,500
Year to Date	\$ 229,177,600	\$ 12,454,060	\$ 26,955,000	\$ 390,531	\$ 268,977,200

Assuming acceptance of all awards by the Board of Regents

Summary of Grant Awards**Fiscal Year 2008-2009***Private awards from Foundations, Industry, Associations and Others*

Month	RESEARCH AND OTHER	TRAINING	Total Grants
July	\$ 6,878,668	\$ 512,428	\$ 7,391,096
August	\$ 12,286,370	\$ 397,418	\$ 12,683,790
September	\$ 10,619,370	\$ 83,395	\$ 10,702,760
Year to Date	\$ 29,784,410	\$ 993,241	\$ 30,777,650

Assuming acceptance of all awards by the Board of Regents

Summary of Contract Awards					
Fiscal Year 2008-2009					
Month	RESEARCH AND OTHER		TRAINING		Total Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 1,411,756	\$ 5,957,698	\$ 0	\$ 2,263,482	\$ 9,632,936
August	\$ 5,421,129	\$ 5,139,839	\$ 30,000	\$ 638,741	\$ 11,229,710
September	\$ 14,582,370	\$ 5,542,074	\$ 19,000	\$ 843,663	\$ 20,987,100
Year to Date	\$ 21,415,250	\$ 16,639,610	\$ 49,000	\$ 3,745,886	\$ 41,849,750

Assuming acceptance of all awards by the Board of Regents

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

September 2008

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

**Office of Research
Office of Sponsored Programs**

Detail of Public Grant Awards

Federal

US Department of Defense (DOD)

US Department of Defense (DOD)

To: Ann E. Downer, Senior Lecturer-full Time \$ 1,438,000
Public Health and Community Medicine

For: Department of Defense HIV/AIDS Prevention, Care and Treatment
Program

Eff: 6/14/2007 Classified: No

Total for US Department of Defense (DOD): \$ 1,438,000

Total for US Department of Defense (DOD): \$ 1,438,000

US Department of Education (DOEd)

US Department of Education (DOEd)

To: Loueta D. Johnson, Director \$ 1,846,187
VP Minority Affairs

For: Two Valleys One Vision GEAR UP program 2006-2012

Eff: 9/29/2008 Classified: No

Total for US Department of Education (DOEd): \$ 1,846,187

Total for US Department of Education (DOEd): \$ 1,846,187

US Department of Energy (DOE)

US Department of Energy (DOE)

To: Caroline Harwood, Professor \$ 1,100,000
Department of Microbiology

For: Integrating large-scale functional genomics data to dissect metabolic
networks for hydrogen production

Eff: 9/15/2008 Classified: No

Total for US Department of Energy (DOE): \$ 1,100,000

Total for US Department of Energy (DOE): \$ 1,100,000

US Department of Health and Human Services (DHHS)

Centers for Disease Control and Prevention (CDC)

To: Mark W. Oberle, Professor \$ 1,274,502
Department of Health Services

For: Center of Excellence in Public Health Informatics (CEPHI)

Eff: 9/30/2008 Classified: No

To: Jeffrey R Harris, Professor \$ 2,281,311
Department of Health Services

For: Health Promotion and Disease Prevention Research Centers

Eff: 9/30/2008 Classified: No

Total for Centers for Disease Control and Prevention (CDC): \$ 3,555,813

National Institutes of Health (NIH)

To: Allan E. Rettie, Professor \$ 1,360,630
Department of Medicinal Chemistry

For: Drug Interactions

Eff: 9/1/2008 Classified: No

To: Trisha Nell Davis, Professor \$ 1,950,476
Department of Biochemistry

Detail of Public Grant Awards

Federal

US Department of Health and Human Services (DHHS)

National Institutes of Health (NIH)

For:	Comprehensive Biology: Exploiting the Yeast Genome	
Eff:	9/1/2006	Classified: No
To:	John D Hawkins, Professor School of Social Work	\$ 1,660,697
For:	The Community Youth Development Study: A Test of Communities That Care	
Eff:	9/1/2008	Classified: No
To:	King K. Holmes, Professor Department of Medicine	\$ 1,870,584
For:	University of Washington STI-TM Cooperative Research Center Y18	
Eff:	9/1/2008	Classified: No
To:	Scott S. Emerson, Professor Department of Biostatistics	\$ 5,008,796
For:	EMS Network Data Coordinating Center	
Eff:	7/1/2008	Classified: No

National Institute of Child Health and Human Development (NICHD)

To:	Michael J Guralnick, Director CHDD Administration	\$ 1,725,438
For:	Research in Mental Retardation and Child Development	
Eff:	7/1/2008	Classified: No

<i>Total for National Institute of Child Health and Human Development (NICHD):</i>	<i>\$ 1,725,438</i>
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National Institute of General Medical Sciences (NIGMS)

To:	Lawrence A Loeb, Professor Department of Pathology	\$ 1,050,213
For:	Medical Scientist Training Program	
Eff:	7/1/2008	Classified: No

<i>Total for National Institute of General Medical Sciences (NIGMS):</i>	<i>\$ 1,050,213</i>
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National Institute on Drug Abuse (NIDA)

To:	Dennis Donovan, Director Alcohol and Drug Abuse Institute	\$ 1,249,086
For:	Clinical Trials Network: Pacific Northwest Node	
Eff:	9/1/2008	Classified: No

<i>Total for National Institute on Drug Abuse (NIDA):</i>	<i>\$ 1,249,086</i>
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Total for National Institutes of Health (NIH):	\$ 15,875,920
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Total for US Department of Health and Human Services (DHHS):	\$ 19,431,733
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National Science Foundation (NSF)

National Science Foundation (NSF)

To:	Karen Goldberg, Professor Department of Chemistry	\$ 3,000,000
For:	Center for Enabling New Technologies Through Catalysis Year 2	
Eff:	8/1/2007	Classified: No
To:	Jeffrey William Berman, Assistant Professor Civil and Environmental Engineering	\$ 1,531,077

Detail of Public Grant Awards

Federal

National Science Foundation (NSF)

National Science Foundation (NSF)

For: NEESR-SG: International Development of Innovative Steel Plate
Shear Wall Systems and Methods
Eff: 10/1/2008 Classified: No

Total for National Science Foundation (NSF): \$ 4,531,077

Total for National Science Foundation (NSF): \$ 4,531,077

Other Federal

National Oceanic and Atmospheric Administration (NOAA)

To: Edward Sarachik, Professor Emeritus \$ 1,462,000
Department of Atmospheric Sciences

For: Center for Science in the Earth System 2008-2009
Eff: 4/2/2001 Classified: No

To: Thomas Ackerman, Director \$ 7,489,022
Joint Institute for Study of the Atmosphere and Ocean (JISAO)

For: Joint Institute for the Study of the Atmosphere and Ocean: Tasks I &
II
Eff: 4/2/2001 Classified: No

Total for National Oceanic and Atmospheric Administration (NOAA): \$ 8,951,022

US Department of State

To: Veronica Taylor, Professor \$ 1,049,175
School of Law

For: US-Afghan LLM/Certificate Program for Afghan Legal Educators
Eff: 4/1/2008 Classified: No

Total for US Department of State: \$ 1,049,175

Total for Other Federal: \$ 10,000,197

Total for Federal: \$ 38,347,194

Total Public Grants: \$ 38,347,194

Detail of Contract Awards

Federal

US Department of Defense (DOD)

US Navy

To: Frederick W Karig, Apl-principal Engineer \$ 3,000,000
Applied Physics Laboratory

For: ICEX09 PREP AND CAMP (TO# 0096-02)

Eff: 7/11/2008

Classified: Yes

Total for US Navy: \$ 3,000,000

Total for US Department of Defense (DOD): \$ 3,000,000

US Department of Health and Human Services (DHHS)

National Institutes of Health (NIH)

National Institute of Allergy and Infectious Diseases (NIAID)

To: Michael Gerald Katze, Professor \$ 6,592,165
Department of Microbiology

For: A Systems Biology Approach to Emerging Respiratory Viral
Diseases

Eff: 9/26/2008

Classified: No

*Total for National Institute of Allergy and Infectious Diseases
(NIAID): \$ 6,592,165*

Total for National Institutes of Health (NIH): \$ 6,592,165

Total for US Department of Health and Human Services (DHHS): \$ 6,592,165

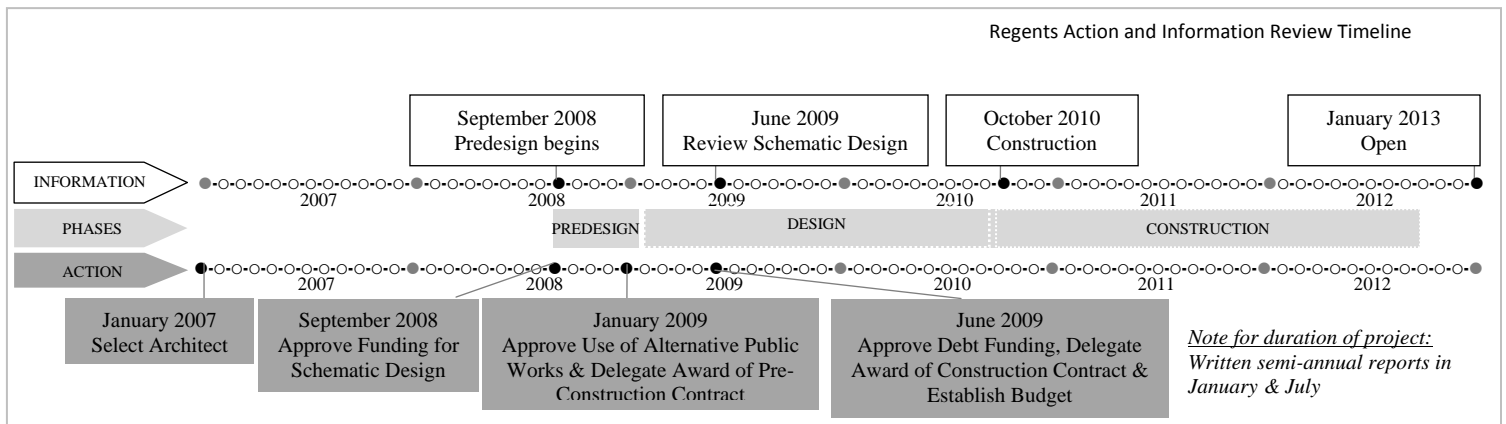
Total for Federal: \$ 9,592,165

Total Contracts: \$ 9,592,165

Grand Total for all Awards \$ 47,939,359

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Husky Union Building Renovation and Addition—Approve Use of Alternative Public Works and Delegate Award of Pre-Construction ContractRECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that on the Husky Union Building (HUB) Renovation/Addition project the use of alternative public works utilizing the General Contractor/Construction Manager (GC/CM) method of contracting be approved; and that the President be delegated authority to award the pre-construction contract to the selected contractor.

Following an affirmative second vote by students at the end of the Spring 2009 quarter, we will return to present the project and funding plan, and to request approval to establish the budget, award the GC/CM construction contract and the debt funding.

BACKGROUND

The mission of the HUB is to serve as the primary campus community center for students, faculty, staff, alumni and guests; provide and support a program of cultural, educational, social, and recreational service activities; offer amenities and services for the diverse needs and activities of the campus community; and to create a sense of community. This project seeks to achieve University and HUB goals such as: strengthening campus community by increasing programs and services; encouraging interactions between students, faculty and staff; cultivating engagement between student leaders; fostering tradition and affiliation; and enhancing student involvement.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Husky Union Building Renovation and Addition—Approve Use of Alternative Public Works and Delegate Award of Pre-Construction Contract (continued p.2)

A master plan for the HUB renovation/addition was completed in Spring 2008. This project is currently in the predesign phase that is anticipated to be complete by January 2009. Construction is anticipated to start in October 2010 with completion in November 2012 for occupancy in January 2013.

The preliminary project cost is \$140 million. A funding plan is being developed that combines student fee supported General Revenue Bonds, University funds, and private contributions.

PREVIOUS ACTION

At the January 2007 Board of Regents meeting, the President was delegated authority to award design contracts to Perkins + Will for this project.

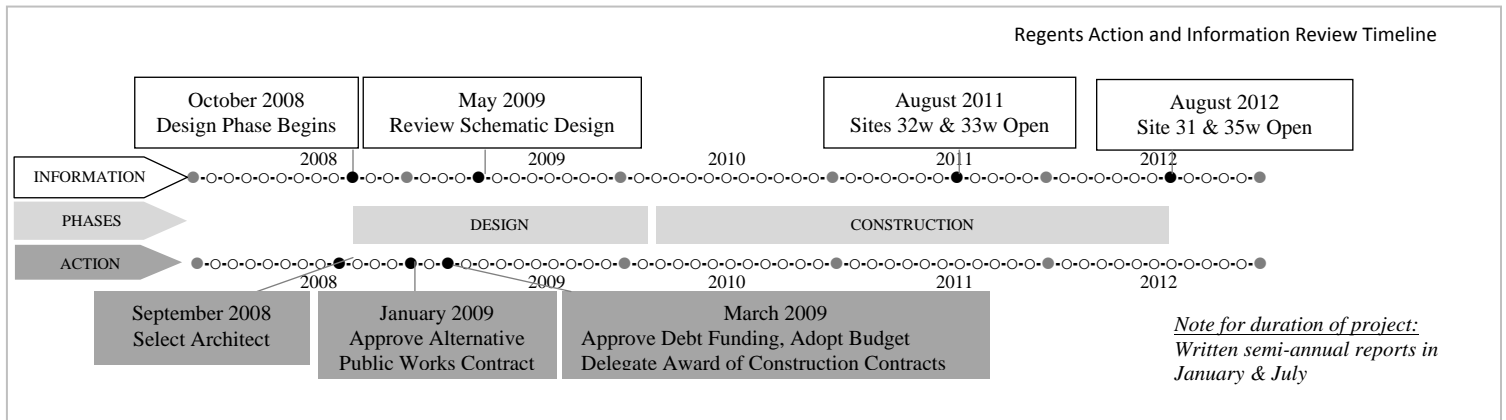
In September 2008 at the Board of Regents meeting, predesign and schematic funding was approved.

CONTRACTING STRATEGY

The recommendation of the Capital Projects Office is to use the alternative public works contracting procedure, General Contractor/Construction Manager (GC/CM), authorized by RCW 39.10 for construction of this project. The use of a GC/CM during design has been absolutely critical to the success of our previous renovation and Restore the Core projects such as Architecture Hall, Clark Hall, Johnson Hall, Guggenheim Hall, Savory Hall and Suzzallo Library. During the design phase the GC/CM has been able to provide detailed construction scheduling, input into design constructability issues, coordination of construction documents, determination of construction logistics and needed lay-down areas, detailed cost estimates and investigation of existing construction as-built conditions. To help meet the overall project schedule, the GC/CM is able to bid out and start construction on early work packages before the construction documents are 100% complete, if there are compelling reasons to do so. In today's construction market contraction now is an excellent time to seek bids from contractors for its specified fee and general conditions costs. The intent is to have the GC/CM chosen and under contract for preconstruction services before the completion of the schematic design phase.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Student Housing Project Phase 1 – Approve Use of Alternative Public WorksRECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that on the Student Housing Phase I project the use of alternative public works utilizing the General Contractor/Construction Manager (GC/CM) method of contracting be approved for each of the two sets of Phase 1 Residence Halls.

After the completion of the predesign phase at the end of January we will return in March to present the project, establish the project budget, approve debt funding and request approval to award the GC/CM contracts.

BACKGROUND:

The project purpose is to construct four student residence halls, primarily for undergraduate students, on four sites 31W, 32W, 33W, and 35W. The project was previously reported as three residence halls on three sites. A fourth residence hall on site 31W, located just north of Condon Hall on NE 41st Street and 12 Ave NE (parking lot W2) was added to the project. The additional residence hall will increase the number of student beds from 1,200 to 1,700 and increase the estimated project from \$114 million to \$158 million. The anticipated occupancy dates are August 2011 for sites 32W and 33W, and August 2012 for sites 31W and 35W.

The addition of the fourth residence hall will further assist in alleviating the currently overcrowded conditions within student housing and will also provide

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Student Housing Project Phase 1—Approve Use of Alternative Public Works (continued p. 2)

surge space to allow renovation of existing residence halls, which are slated to begin in 2014.

The estimated project budget of \$158 million will be funded by the Department of Housing and Food Services through the University's Internal Lending Program.

PREVIOUS ACTION:

At the September 2008 Board of Regents meeting, the President was delegated authority to award design contracts to Mahlum Architects for this project.

CONTRACTING STRATEGY:

The recommendation of the Capital Projects Office is to use the alternative public works contracting procedure, General Contractor/Construction Manager (GC/CM), authorized by RCW 39.10 for construction of this project. The use of a GC/CM during design has been absolutely critical to the success of many of our recent buildings including the Foege Research Building, PACCAR Hall and the Molecular Engineering Building. Having a GC/CM contract for this first phase is the only public works contracting method available to the University which would allow the possibility of an August 2011 occupancy date.

During the design phase the GC/CM provides detailed construction scheduling, input into design constructability issues, coordination of construction documents, determination of construction logistics and needed lay-down areas, detailed cost estimates and investigation of existing construction as-built conditions. To help meet the overall project schedule, the GC/CM is able to bid out and start construction on early work packages before the construction documents are 100% complete, if there are compelling reasons to do so. In today's construction market contraction, it is an excellent time to seek bids from contractors for specified fees and general conditions costs. To improve competition, the project will be divided into two packages of two sites each for solicitation of bids for each separate package. The intent is to have GC/CM's chosen and under contract for preconstruction services before the completion of the schematic design phase.

Attachment:
Campus Map

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 Senior Vice President in Administrative 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.

REPORT OF ACTIONS TAKEN UNDER GENERAL DELEGATED
AUTHORITY – CAPITAL PROJECT BUDGETS

1. Magnuson Health Sciences Center WaNPRC I-Wing Surgery Corridor and
Cagewash, Project No. 201925 Action Reported: Award Construction
Contract

On September 24, 2008, a construction contract was awarded to Regency NW Construction, in the amount of \$1,210,750 for the Magnuson Health Sciences Center WaNPRC I-Wing Surgery Corridor and Cagewash, Project No. 201925. Five bids were received for this project; the highest bid was \$1,410,000. The budgeted construction cost was \$1,151,304.

Regency NW Construction is a general contractor that has successfully completed numerous projects for the University of Washington (UW), including other projects with similar scope such as the HSC 6th Floor Vet Services project.

This project is one of several located in the Magnuson Health Sciences Building that will resolve some of the issues arising from a recent regulatory review. This particular project helps eliminate the mixing of animal and non-animal areas, as well as relocating a cagewash area.

Construction activities began in October, 2008 with completion anticipated in April of 2009.

Funding is being provided by University Central Funding, WaNPRC and the Health Sciences Business Office. Any excess funding will be returned to the Provost for reallocation.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 2)

Budget Summary	Curent Approved Budget	Cost Forecast at Completion
Total Consultant Services	\$152,156	\$152,156
Total Construction Cost *	\$1,500,981	\$1,500,981
Other Costs	\$235,436	\$235,436
Project Administration	\$120,682	\$120,682
Total Project Budget	2,009,255	2,009,255

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

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Interim Adjustment to the Consolidated Endowment Fund (CEF) Spending PolicyRECOMMENDED ACTION:

It is the recommendation of the Finance, Audit and Facilities Committee that the Board of Regents hold FY09 endowment spending at FY08 spending levels. This exception to policy will expire June 30, 2009.

BACKGROUND:

In 1988, the Board of Regents adopted the “Statement of Investment Objectives and Policy for the Consolidated Endowment Fund”. This policy defines the spending rate as “five percent of the average market value of the CEF for the previous three years.” Later policy amendments capped year-to-year spending increases at 5%. The cap was removed in December 2000, resulting in significant increases in payouts in the ensuing years.

Endowment spending policies typically include a smoothing mechanism to create a more predictable payout stream. Extreme positive or negative movements in the capital markets work their way through the spending calculation over a number of years enabling program managers to effectively plan for change.

INTERIM ADJUSTMENT:

The financial markets are currently suffering through an unprecedented period of turbulence. Global recession is now a reality and it is feared that it will be deeper and more prolonged than originally predicted.

The recommended adjustment to the spending policy in FY09 will enable program spending to remain at FY08 levels. This is 5% below what the policy spending calculation with its current smoothing mechanism would have generated. With the assistance of Cambridge Associates, current and alternative spending policies will be thoroughly evaluated over the coming months. Conversations with campus deans are in process to further assess the impact of the global recession on current and future endowed programs. The analysis, discussions and continued monitoring of the endowment spending policy will be communicated to the Board.

REVIEW AND APPROVALS:

This interim adjustment recommendation has been reviewed by the Senior Vice President and the administration, the Chief Investment Officer, and by the University’s investment consultant, Cambridge Associates.

ENDOWMENT SPENDING POLICY

CURRENT POLICY:	Distribute 5% of the three year average market value
POLICY OBJECTIVE:	<ul style="list-style-type: none"> • Balance the needs of current and future beneficiaries • Minimize year-to-year variability in spending • Be understandable to donors and campus
CURRENT RECOMMENDATION:	Hold FY09 distributions at FY08 level
NEXT STEPS:	<ul style="list-style-type: none"> • Monitor and evaluate spending policy for possible change • Initiate discussions with campus on current situation and identify options • Develop plan in the event that the total market value of the CEF falls below cost

HISTORY AND PROJECTIONS:

		Return	Dist. Per Unit	Total Dist. (thousands)	Percentage Change in Dist.	Beg. Mkt. Val. Per Unit	Percentage Change in Ave. MV	Total Market Value (thousands)	Dist. As % of Ave. Market	
<div><div>AAR's through 6/30/08:</div><div><div>3 years14.0%</div><div>5 years14.4%</div><div>10 years9.7%</div></div></div>	Actual	FY99	14.9%	\$2.36	\$24,374		\$62.91	\$669,859	3.8%	
		FY00	21.9%	2.48		5.0%	67.79	7.8%		3.7%
		FY01	-5.0%	3.28		32.0%	79.72	17.6%		4.1%
		FY02	-3.9%	3.65		11.3%	73.02	-8.4%		5.0%
		FY03	0.8%	3.61		-1.1%	65.028855	-10.9%		5.5%
		FY04	17.8%	3.35		-7.1%	68.26	5.0%		4.9%
		FY05	12.5%	3.30		-1.7%	73.06	7.0%		4.5%
		FY06	17.8%	3.49		5.7%	81.41	11.4%		4.3%
		FY07	23.3%	3.78		8.4%	95.14	16.9%		4.0%
		FY08	1.9%	4.18	\$94,314	10.5%	92.47	-2.8%	\$2,161,438	4.5%
Estimated	FY09	-28.0%	3.75		-10.2%	62.19	-32.7%		6.0%	
	FY10	-10.0%	3.07		-18.1%	51.52	-17.2%		6.0%	
	FY11	0.0%	2.85		-7.2%	47.46	-7.9%		6.0%	
	FY12	8.0%	2.86		0.4%	47.92	1.0%		6.0%	
	FY13	10.0%	2.39		-16.3%	49.63	3.6%		4.8%	
	FY14	13.0%	2.35		-1.8%	53.11	7.0%		4.4%	
	FY15	15.0%	2.43	\$58,925	3.6%	58.07	9.3%	\$1,357,263	4.2%	

UNDERWATER ENDOWMENTS:

(dollars in millions)

	Cost	Market	Market Less Cost	Number Underwater	Mkt. Val. Of Underwater Endowments	% of Mkt. Value Underwater
30-Jun-08	\$ 1,389	\$ 2,161	\$ 772	345	\$ 84	3.9%
30-Sep-08	1,429	1,907	479	811	241	12.6%
Estimated 30-Nov-08	1,455	1,647	192	1,416	814	49.4%

NOTE: Documentation has been reviewed for all underwater endowments. Only six prohibit spending.

VII. STANDING COMMITTEES

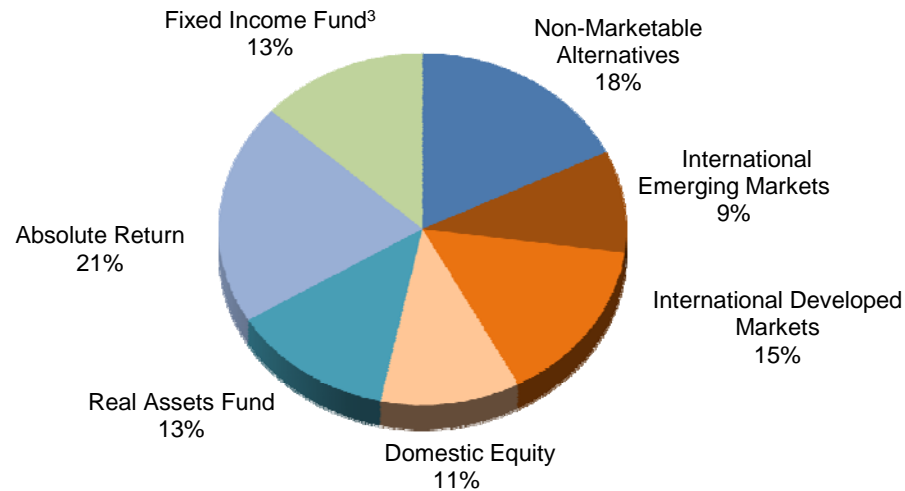
B. Finance, Audit and Facilities Committee

UWINCO Update

See attached information.

Asset Allocation

Consolidated Endowment Fund¹ -- \$ 1,647 Million
As of November 30, 2008



	Current Allocation ² (\$'s in Millions)		Policy Target	Policy Range
Non-Marketable Alternatives	\$296	18%	12%	5%-25%
International Emerging Markets	\$139	9%	13%	5%-35%
International Developed Markets	\$251	15%	16%	5%-35%
Domestic Equity	\$184	11%	15%	5%-35%
Equity Fund	\$871	53%	56%	45%-75%
Real Assets Fund	\$216	13%	15%	5%-25%
Absolute Return	\$339	21%	18%	5%-25%
Fixed Income Fund³	\$221	13%	11%	5%-35%
Total Consolidated Endowment Fund	\$1,647	100%		

1. At 9/30/08 Int'l exposure: 41%, foreign currency exposure: 39%.
2. Current exposures may not add to 100% due to rounding.
3. Includes allocation to cash.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Market Update

This item is for information only and will be an oral presentation at the meeting.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Debt Funded Project Update

This item is for information only and will be an oral presentation at the meeting.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Internal Lending Program Quarterly Report

See attached information.

Average
Cost of
Debt
4.7%

Internal Lending Program Quarterly Report

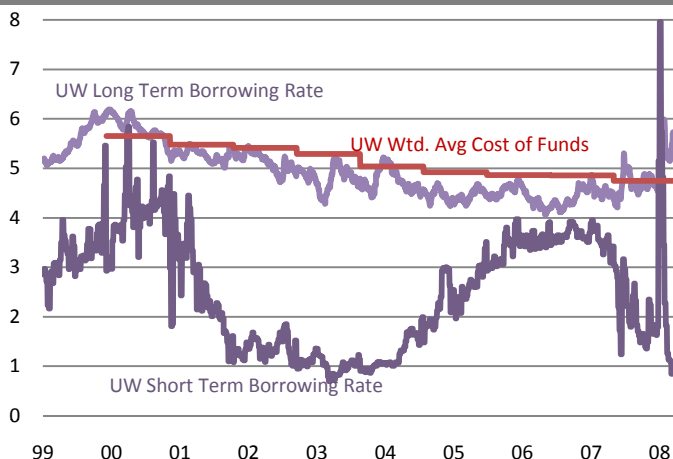
Quarter Ended December 31, 2008

Internal
Lending
Rate
5.5%

- Retail investors continue to drive the long term tax exempt market, as institutional buyers invest heavily in treasury securities. As a result, 10 year treasuries are yielding below 2.5%, further widening the already significant spread with muni's.
- For highly rated borrowers, liquidity has returned to the commercial paper market. Rates on tax-exempt commercial paper have been well below 2% for 1 month maturities, and weekly resets on variable rate bonds have been below 1%.
- The tax exempt yield curve shifted from inverted to quite steep in the last quarter with the spread between short and long term tax exempt bonds nearly 500 basis points as of 12/11/2008.
- If the UW were able to borrow long term today, the all-in interest rate would be about 5.5%.

(dollars in millions)

Interest Rates



Short term rates have declined significantly but the yield curve has steepened, putting the ILP rate on par with the long term external rate.

External Borrowing

Debt Issued to Fund ILP	Issued FY09	Total Outstanding	Wtd. Avg Rate	Wtd. Avg Maturity (yrs)
Commercial Paper	30	30	1.1%	0.01
Variable Rate	0	0	n/a	n/a
Fixed Rate	0	554	4.7%	13.8
ILP Total	30	584	4.5%	13.1
Non-ILP Debt	0	389	5.1%	12.9
Total Debt	30	973	4.7%	13.0

Note: FY09 authorized debt remaining \$70M of \$100M

The UW borrowed \$20 million in commercial paper and made \$7 million in principal payments in the quarter ending 12/31/08. In the near term the UW will continue to issue commercial paper to fund projects.

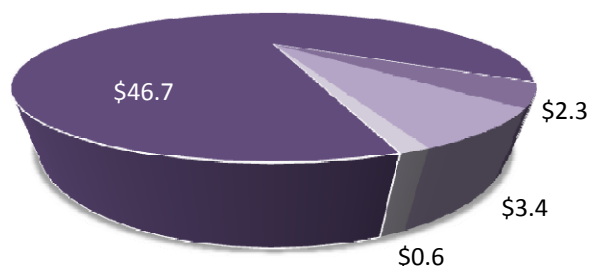
Internal Lending

	As of 6/30/08	FY09 to date	Total
Approved Project Budget			
Internal Loans	212	59	271
Cash	34	72	106
Total Approved Budget	246	131	377
Funded to Date			
Internal Loans	5	25	30
Cash	13	23	36
Total Funded to Date	18	48	66

The Board has authorized \$13.4 million in new loans in the quarter ending 12/31/08. ILP construction draws through FY end are expected to be an additional \$38 million.

Cash Position

Beginning Balance 07/08	\$42.9
Internal Payments	\$29.9
External Debt Service	(\$27.1)
Net Debt Proceeds	\$8.1
Expenses	(\$0.8)
Ending Balance 12/08	\$53.0



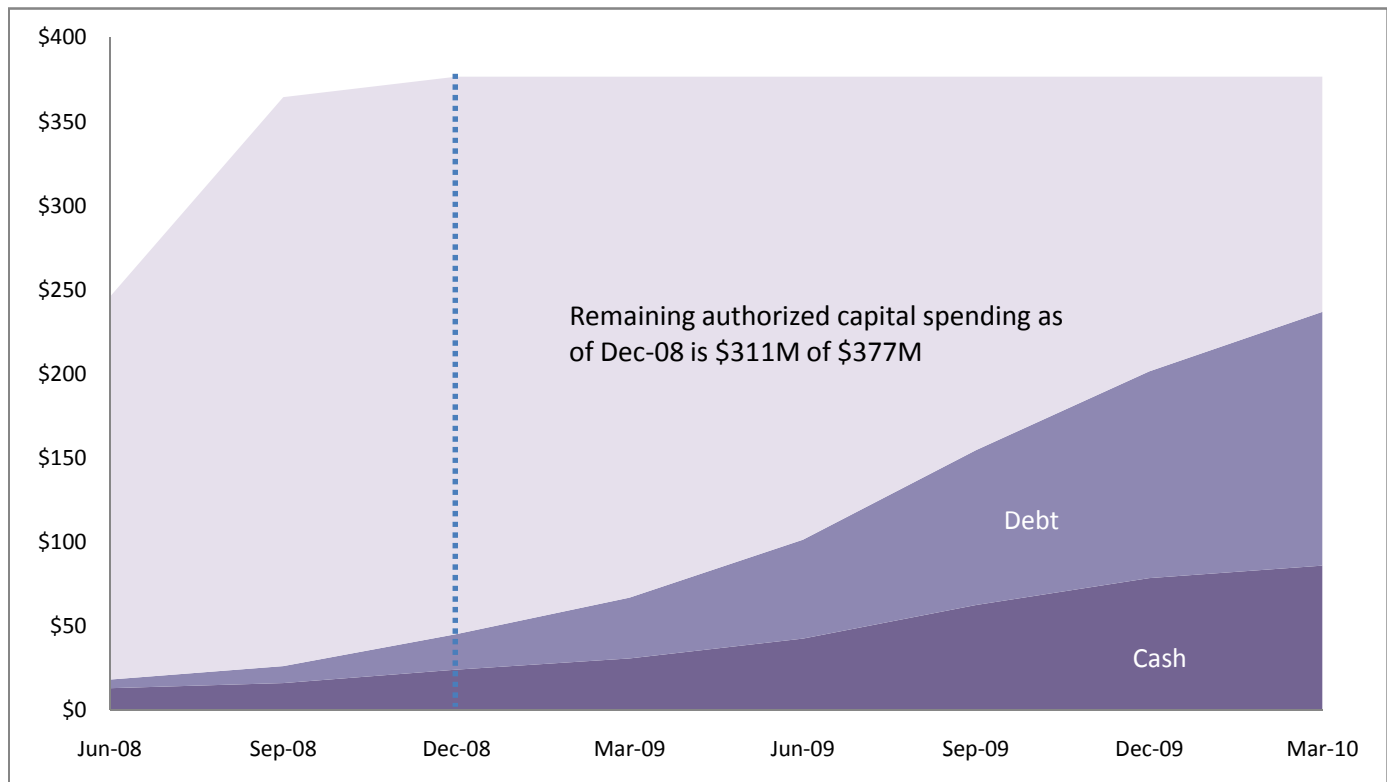
The majority of ILP balances are restricted project funds and debt service reserves. With just 6 months since inception, the ILP has very little in rate stabilization reserves. This could be a near term issue given a steepening yield curve.

Internal Lending Program - Approved Funding

Project Name	Date Approved	Debt	Cash	Total Approved Budget	Spent to date (all sources)
4545 ESCO	Feb-08*	4	0	4	94%
West Campus Garage	Oct-07	3	15	18	50%
UWMC Expansion	Feb-08	156	9	165	6%
AAALAC Projects	Mar-08	25	3	28	17%
Pediatric Dentistry	Mar-08	11	6	17	0%
Tower Improvements	Mar-08	13	0	13	66%
J-Wing	Jul-08	16	8	24	0%
PACCAR Business School	Jul-08	30	65	95	8%
AAALAC Budget Increase	Nov-08	7	0	7	0%
Cavalier Purchase	Dec-08	6	0	6	100%
Total		271	106	377	

Note: * Approved under delegated authority.

Project Funding By Source - Actual and Projected



VII. STANDING COMMITTEES**B. Finance, Audit and Facilities Committee****Purpose and Use of Term or Master Agreements and Contracted Services
Opportunities****INFORMATION:**

At the request of the Chair of the Finance, Audit and Facilities Committee, the Capital Projects Office will conduct a discussion for informational purposes covering two topics of interest to the Regents. The first topic will cover the purpose and use of Term or Master Agreements that the University has with several design and consulting firms. The second topic will cover opportunities on current and upcoming projects to ensure that the prices that the University pays for contracted services are in line with the current economic environment with respect to design and construction costs.



Term or Master Agreements and Contracted Services Opportunities

Term Agreements

- What
 - Design or Consulting Agreement
 - Specific time duration
 - Maximum specified value
- Type
 - Architecture
 - Engineering
 - Specialty
 - Hazardous Materials
 - Personnel/Audit/Expert

Term Agreements

■ Process

- Open competition for “Most Qualified”
- Rates and markups negotiated
- Extension potential enhances performance
- Each Work Order from a new budget
- Work Orders individually negotiated
- Fee approximately 10% of Total Project Cost

Term Agreements

- On Call Civil and Structural Term Agreement
 - 2 year term with option for extension
 - No single total project value over \$4 million
 - Aggregate value of all projects \$8 million
 - Total project value Includes:
 - Design (term Agreement) Fees
 - Other consulting
 - Construction
 - State Sales Tax
 - Permits, Project Management, Misc. Fees

2005-2008 Civil/Structural Term Agreement

Project	Design Fee	Other Consultant	Construction Contract	Taxes & Fees	Other	Total Project Cost
Project 1	\$174,610	\$67,655	\$1,521,599	\$152,527	\$162,647	\$2,079,038
Project 2	\$57,644	\$181,862	\$429,460	\$59,116	\$81,762	\$809,844
Project 3	\$180,536	\$106,444	\$878,936	\$100,309	\$123,775	\$1,390,000
Subtotal	\$412,790	\$355,961	\$2,829,995	\$311,952	\$368,184	\$4,278,882
% of total	9.6%	8.3%	66.1%	7.3%	8.6%	100%
Studies						
3 Studies	\$74,080					

Term Agreements

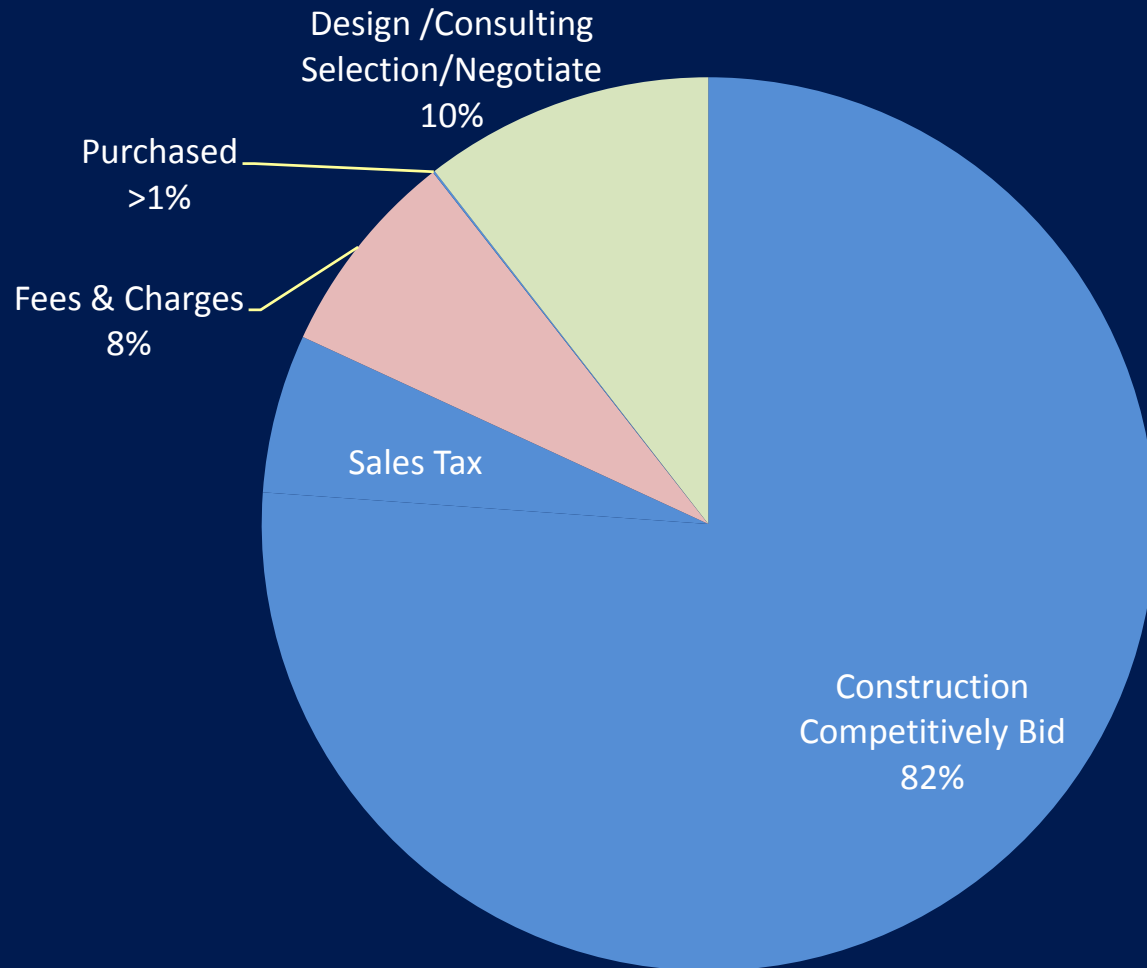
- Benefits

- Rapid commencement
- Reduced learning curve
- Fewer hours
- Quality of firm
- Fewer errors
- Priority emergency services

Term Agreements

- History 2005 – 2008
 - Expired Contracts had 41% utilization
 - Average fee paid 9.76% of Total Project Cost
- Opportunities
 - Renegotiate annually
 - Renegotiating 9 current agreements
 - Rebidding 7 agreements
 - 6 approved/in-process agreements
 - Aggressively negotiate new fees

Contracted Services Opportunities



Construction Contract Aging

- Projects valued at less than \$5 Million
 - Start work average of 45 days after bidding
 - Complete work average of 140 days from start
- Projects valued at more than \$5 Million
 - start work average of 84 days after bidding
 - Complete work average of 546 days from start

Opportunities

- Renegotiate Term Agreements as appropriate
- Aggressively negotiate project design fees
- Improve Legislation for Capital Projects
- Develop University Standards
- Refocus Project Management
- Reduce Project Process (Duration)



Term or Master Agreements and Contracted Services Opportunities

Term Agreements

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Term Agreements

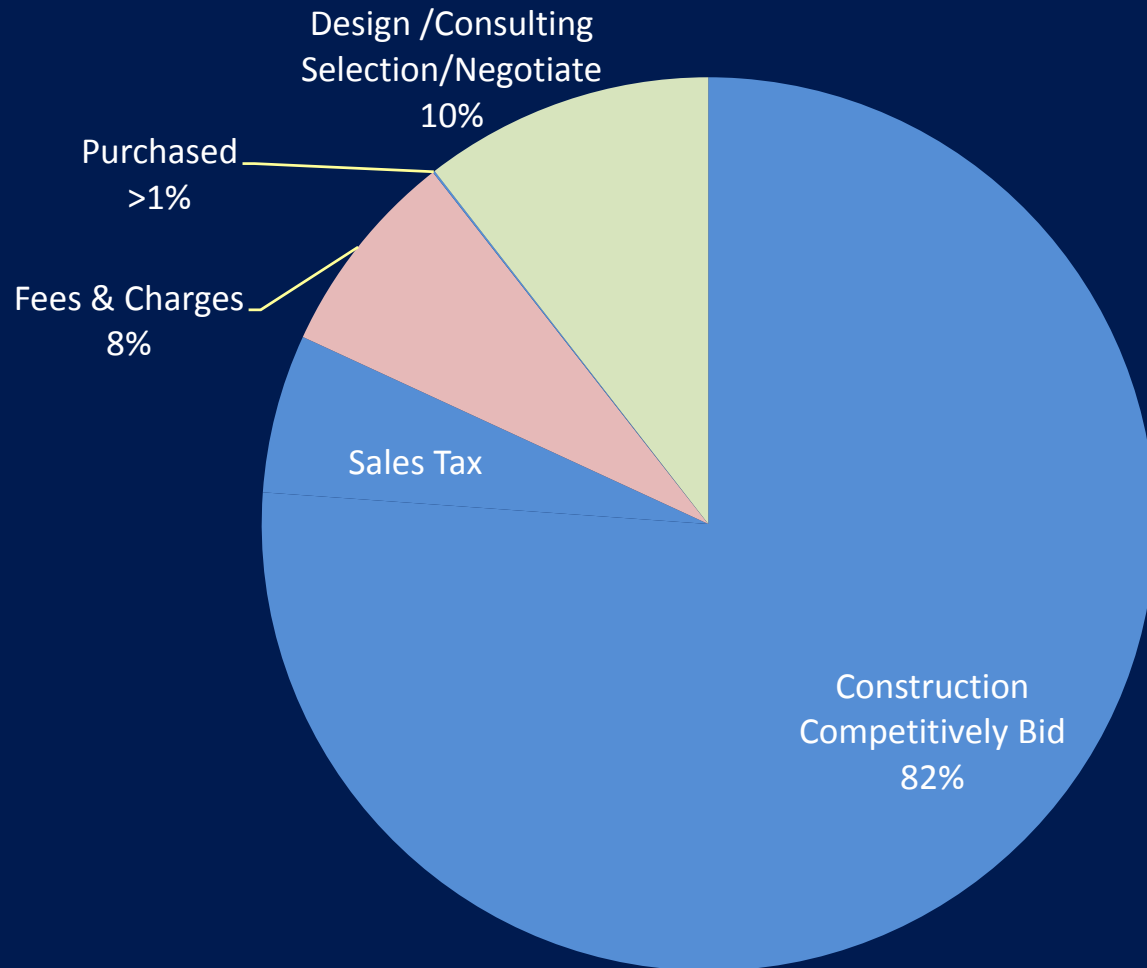
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- Reduce Project Process (Duration)

VII. STANDING COMMITTEES**B. Finance, Audit and Facilities Committee****Elevator Design Services Term Architect and Professional Services Agreement–
Select Architect****RECOMMENDED ACTION:**

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award term agreements for architectural and professional services for elevator modifications to SM Stemper Architects, subject to successful negotiation of the architectural and professional services agreements.

SM Stemper Architects, a Seattle firm, was formed in 1988. They have a successful track record at the University of Washington for projects involving renovations of building systems such as roofing and elevator replacement.

In the event of an unsuccessful negotiation with the selected firm, it is requested that authority be delegated to open negotiations with Greenbusch Group, Inc., the firm recommended as first alternate.

BACKGROUND:

The Capital Projects Office recommends the selection of a firm for an architectural and professional services term agreement for various elevator modifications. As individual projects arise, the parties will negotiate the scope of work and fee, and formalize it in a project authorization.

The term agreements will have a maximum total project amount of \$10 million (for the aggregate value of all projects), and will be for an initial two- year period with an optional two-year renewal (for a total term of four years). If the consultant performs well on work awarded during the first two-year period then it is the intention of the Capital Projects Office to continue architectural services with the same consultant for a second two-year period (up to the total value of \$10 million). It is anticipated that working with a consultant with successful recent experience in the design and delivery of projects for the University of Washington may result in the production of better design documents in a more timely fashion. It also assures that planning work initiated at the latter end of the first two-year period can be executed by the same consultant in the second two-year period.

In October 2008, the Capital Projects Office advertised for firms interested in providing architectural and professional services on elevator modifications. Five firms responded to the Request for Qualifications, and three firms were

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Elevator Design Services Term Architect and Professional Services Agreement– Select Architect (continued p. 2)

interviewed in December 2008. The three firms interviewed were Rolluda Architects, SM Stemper Architects, and The Greenbusch Group, Inc. It is the interview team's recommendation that SM Stemper Architects be awarded a term agreement for architectural and professional services.

VII. STANDING COMMITTEES**B. Finance, Audit and Facilities Committee****On-Call Heating Ventilation and Air Conditioning Master Term Engineering Agreement–Select Engineering Firm****RECOMMENDED ACTION:**

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award a term agreement for on-call Heating Ventilation and Air Conditioning (HVAC) engineering services to Wood Harbinger, Inc., subject to successful negotiation of the engineering and professional services agreements.

Wood Harbinger, Inc. is a Bellevue, Washington firm established in 1967 and currently employs 74 people. Wood Harbinger, Inc. has provided services to the University of Washington for the Savery Hall Renovation and Guggenheim Hall Renovation. Wood Harbinger, Inc. has also provided services for a broad range of project types to other public agencies including the University of Oregon, Centralia College, Central Washington University, King County and Washington State Department of Transportation.

In the event of an unsuccessful negotiation with the selected firm, it is requested that authority be delegated to open negotiations with Affiliated Engineers, Inc., the firm recommended as first alternate.

BACKGROUND:

The Capital Projects Office recommends the selection of an engineering firm for an on-call Master Term Agreement for various HVAC projects. As individual projects arise, the parties will negotiate the scope of work and fee, and formalize it in a project authorization. Project authorizations under the Master Term Agreement will be executed prior to the expiration of the Master Term Agreement, and will be limited to those with a total project budget (including design, construction, contingency and other costs) of less than \$4 million.

The term agreement will have a maximum total project amount of \$8 million (for the aggregate value of all projects), and will be for an initial two-year period with an optional two-year renewal (for a total term of four years). If the consultant performs well on work awarded during the first two-year period then it is the intention of the Capital Projects Office to continue engineering services with the same consultant for a second two-year period (up to the total value of \$8 million). It is anticipated that working with a consultant with successful recent experience in the design and delivery of projects for the University of Washington may result

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

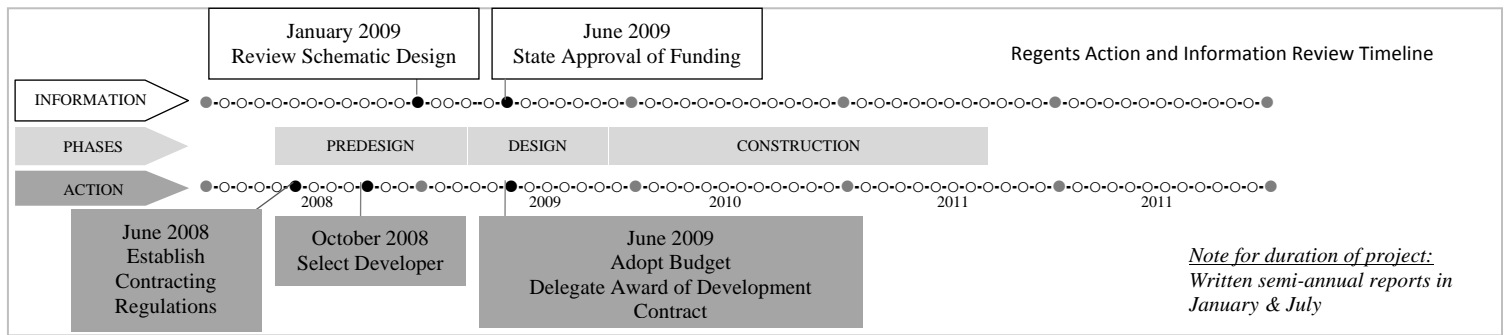
On-Call Heating Ventilation and Air Conditioning Master Term Engineering Agreement–Select Engineering Firm (continued p. 2)

in the production of better design documents in a more timely fashion. It also assures that planning work initiated at the latter end of the first two-year period can be executed by the same consultant in the second two-year period.

In September 2008, the Capital Projects Office advertised for firms interested in providing on-call HVAC engineering services. Eleven firms responded to the Request for Qualifications, and four firms were interviewed on November 3, 2008. The four firms interviewed were: Wood Harbinger, Affiliated Engineers, Inc., Greenbush Group, Inc., and FSI Consulting Engineers. It is the interview team's recommendation that Wood Harbinger, Inc. be awarded the term agreement for on-call HVAC engineering services.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Husky Stadium Renovation–Review Schematic DesignINFORMATION:

The Schematic Design phase of the project has been completed. This presentation is for information only.

PROJECT DESCRIPTION:

The general work elements of the recommended Husky Stadium Renovation include: replace the lower seating bowl; remove and relocate the track; lower the football field about seven feet and add additional seating; renovate and update the south stands and concourse including concessions and toilet facilities; renovate the north concourse including concessions and toilet facilities; replace the west end bowl, closer to the football field, with new seating, concourse, concessions and toilets; replace the press box; upgrade site utilities; upgrade stadium services including utilities, support space, sound system, elevators and seismic strengthening.

Also included in this project is a Football Operations Support Building of approximately 70,000 gross square feet. This building will be located at the northwest corner as part of the Stadium and will contain weight training, equipment, lockers, video support, meeting and congregating areas, coaches' offices, public spaces and football displays and other football team related services. The conceptual design project cost estimate, assuming starting construction in December 2009, was \$250 million for the Stadium Renovation and \$50 million for the Football Operations Support Building. The University has proposed funding this project with one half State funding for the renovation, seismic and ADA work, and one half private funding from donations and seat revenues for the Stadium upgrades and football building.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Husky Stadium Renovation–Review Schematic Design (continued p. 2)

PREVIOUS ACTION:

The Board of Regents, in March 2005, delegated authority to the President to award a design contract for the Intercollegiate Athletics Facilities Study to HOK Sport Architects. At the November 2006 meeting the Final Draft of the Study was presented. In January 2008, the Regents established contracting regulations to allow a developer project delivery process and the President was authorized to have these regulations take effect immediately. Permanent contracting regulations were established at the June 2008 meeting. Following an open and competitive selection process, Hines Interests Limited Partnership was the Selected Developer and at the October 2008 meeting the Regents delegated authority to the President to sign an Agreement for Pre-Development services. The budgeted amount for the total Pre-Development Agreement is \$3 million.

SCHEDULE:

Developer Selection:	October 2008
Pre-Development (Phase 1):	October 2008 to January 2009
Pre-Development (Phase 2):	January 2009 to May 2009
Award Development Agreement:	June 2009
Construction:	December 2009 to August 2011
Occupancy and Use:	September 2011

CURRENT PROJECT STATUS:

The developer Hines Interests Limited Partnership, with Mortenson Construction, HOK Sport Architects and Magnusson Klemencic Associates has completed Phase 1 of the Pre-Development process, which is equivalent to schematic design. This design has been presented to the Stadium Committee and the information developed will be used in the effort to obtain state funding for the renovation and update portion. The developer is prepared to start Phase 2 of Pre-Development on January 22, 2009, after a direction to proceed from Intercollegiate Athletics.

SIGNIFICANT RISKS OR OPPORTUNITIES:

The foremost opportunity is to renovate Husky Stadium and with the inclusion of the Football Operations Building revitalize the football experience.


Obtaining funding depends on both State participation for the renovation work and enhanced seating income and donor contributions for the upgrade portions.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Husky Stadium Renovation–Review Schematic Design (continued p. 3)

The impact from the Sound Transit construction period of approximately 5 ½ years will be a significant risk to the Stadium construction process as well as the overall operations of the Intercollegiate Athletics programs and events.



Husky Stadium Renovation & Football Training Facility University of Washington

Phase One Submittal
01.15.09

Husky Stadium Collaborative





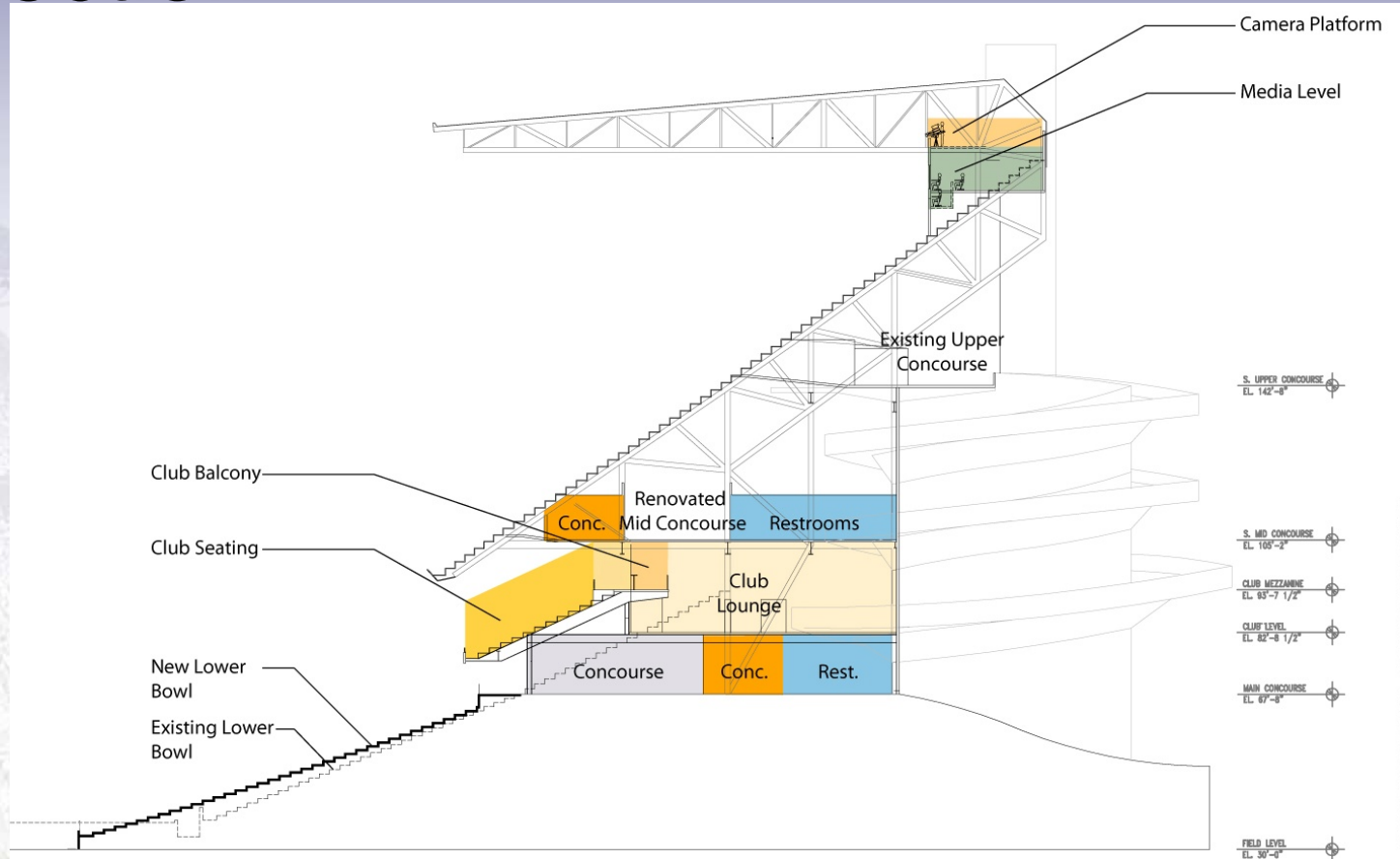
Design



Design Summary

- 72,300 Seats
- Replaces 40,000 seats
- Lower Bowl 32" treads
- Mid Bowl 33" treads
- 2,000 South Club seats
- 575 Don James seats
- Lowered field 6'-6"
- Upper deck seating and East bleachers remain as is
- New football training facility
- Press / Media in 2 locations
- Football training facility pursuing LEED Silver certification

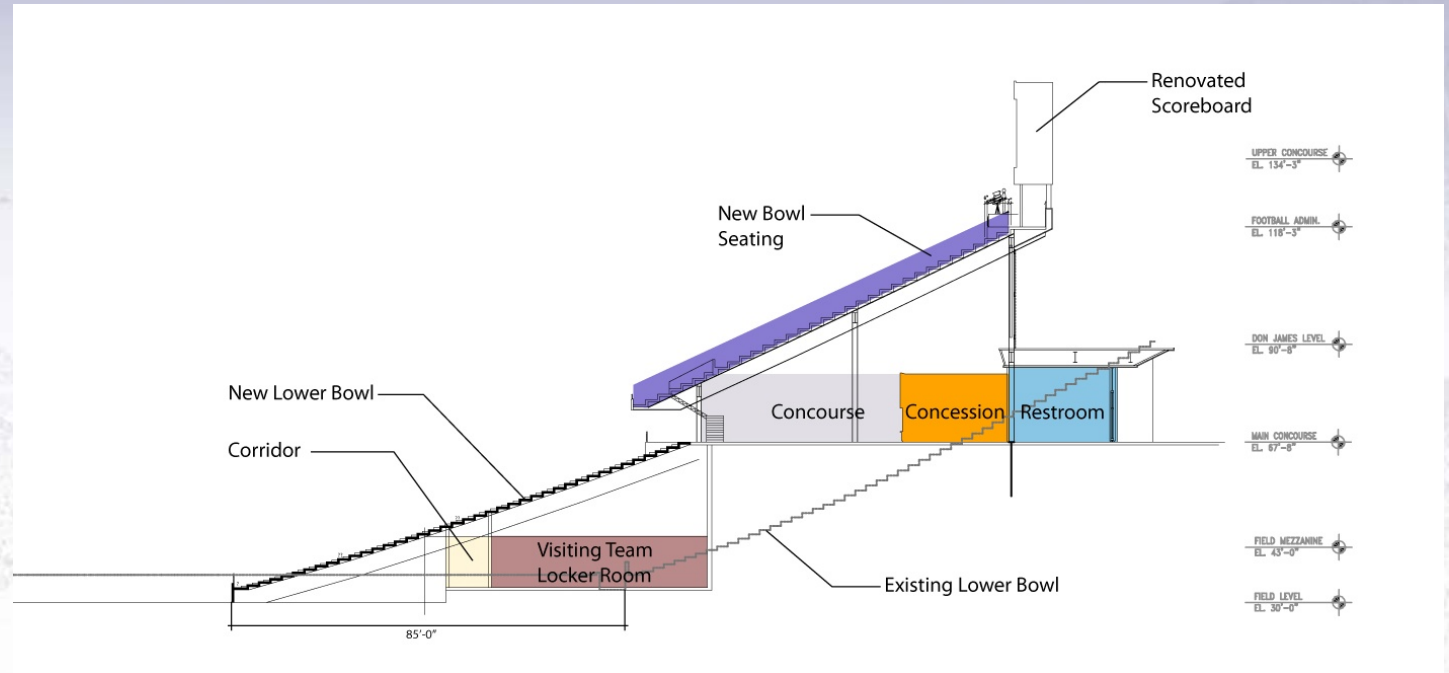
South Section



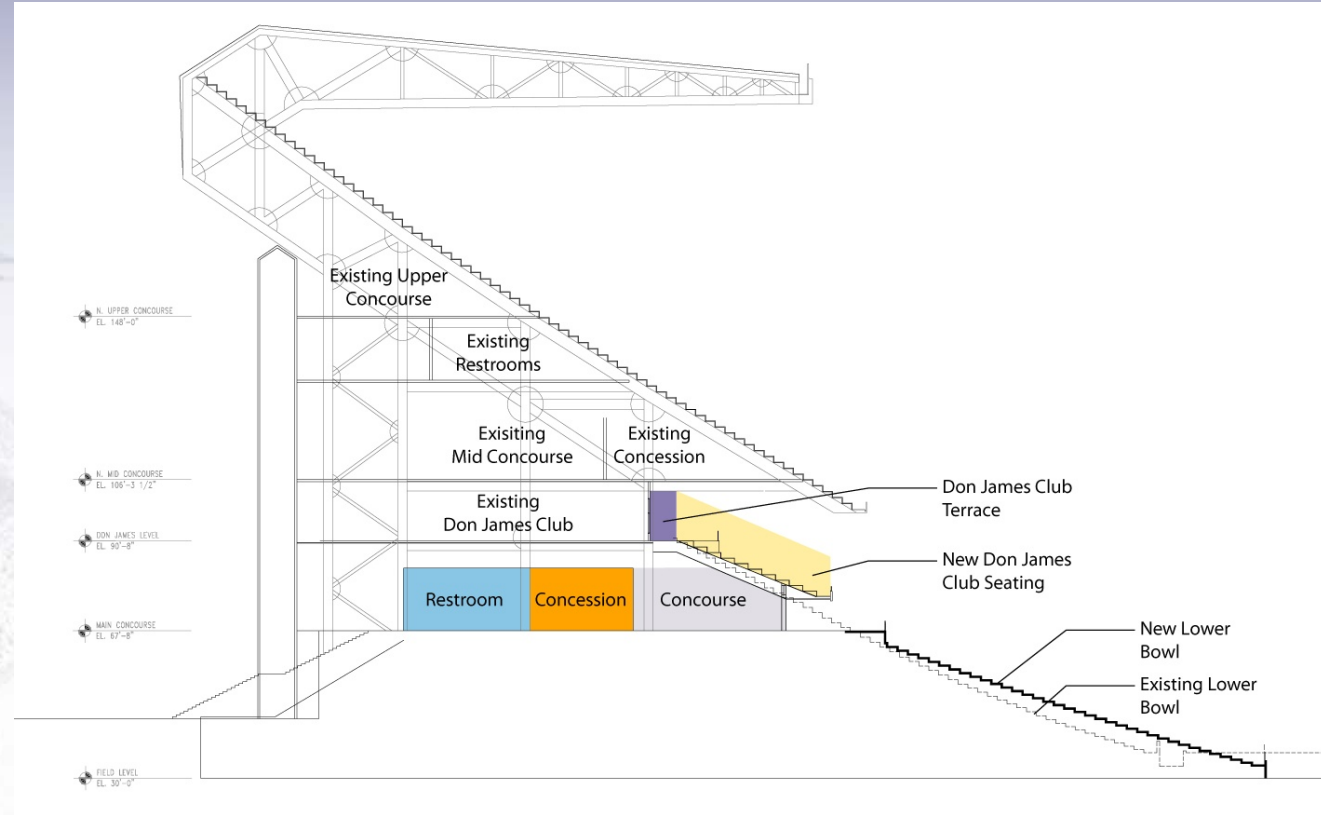
Husky Stadium Collaborative



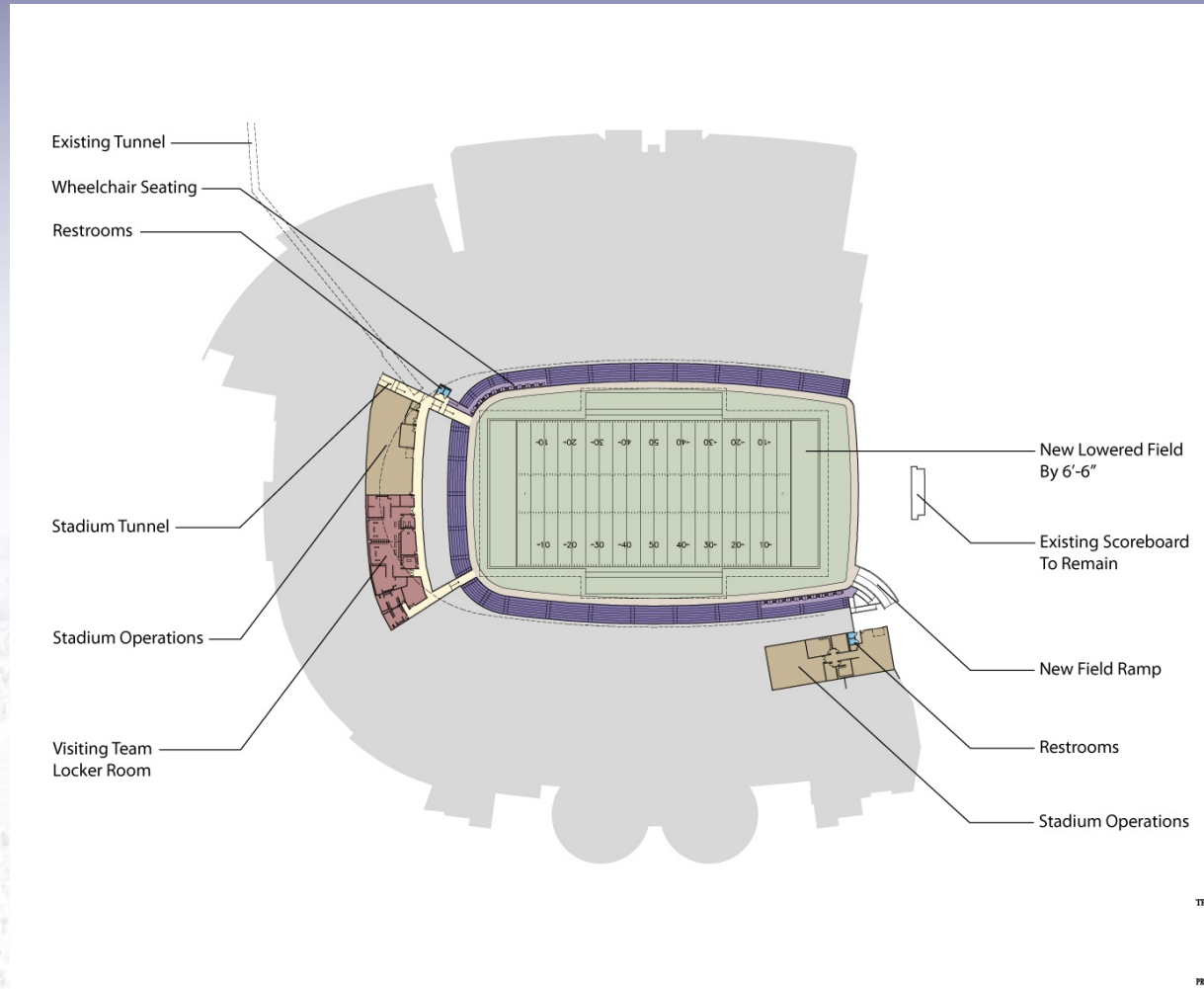
West Section



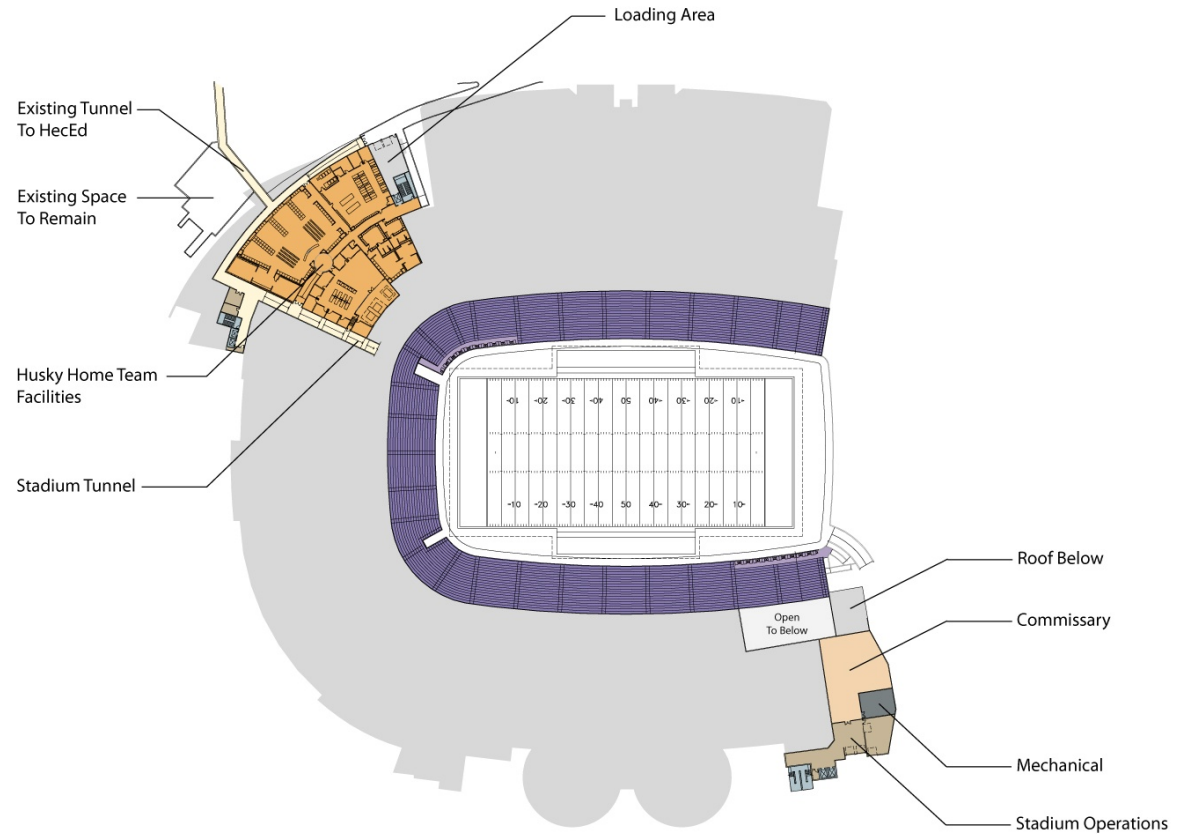
North Section



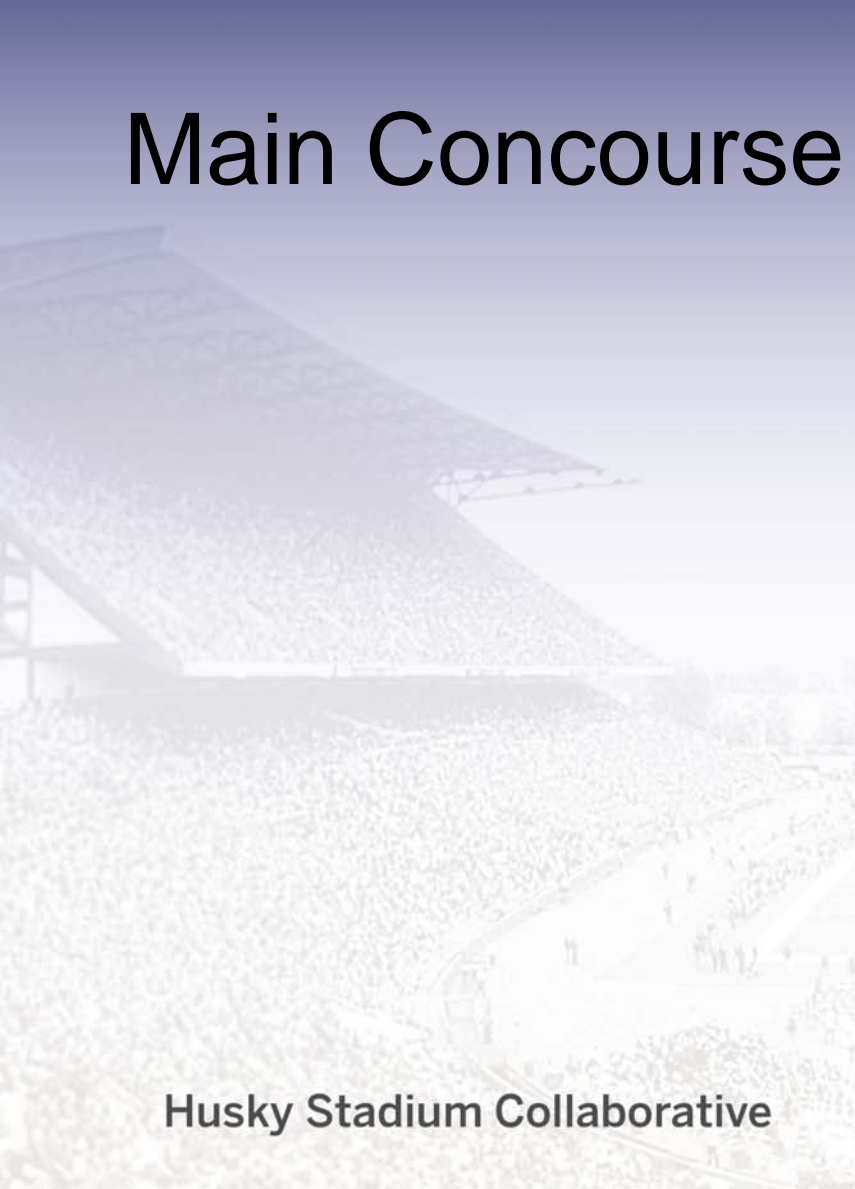
Field Level



Field Mezz Level

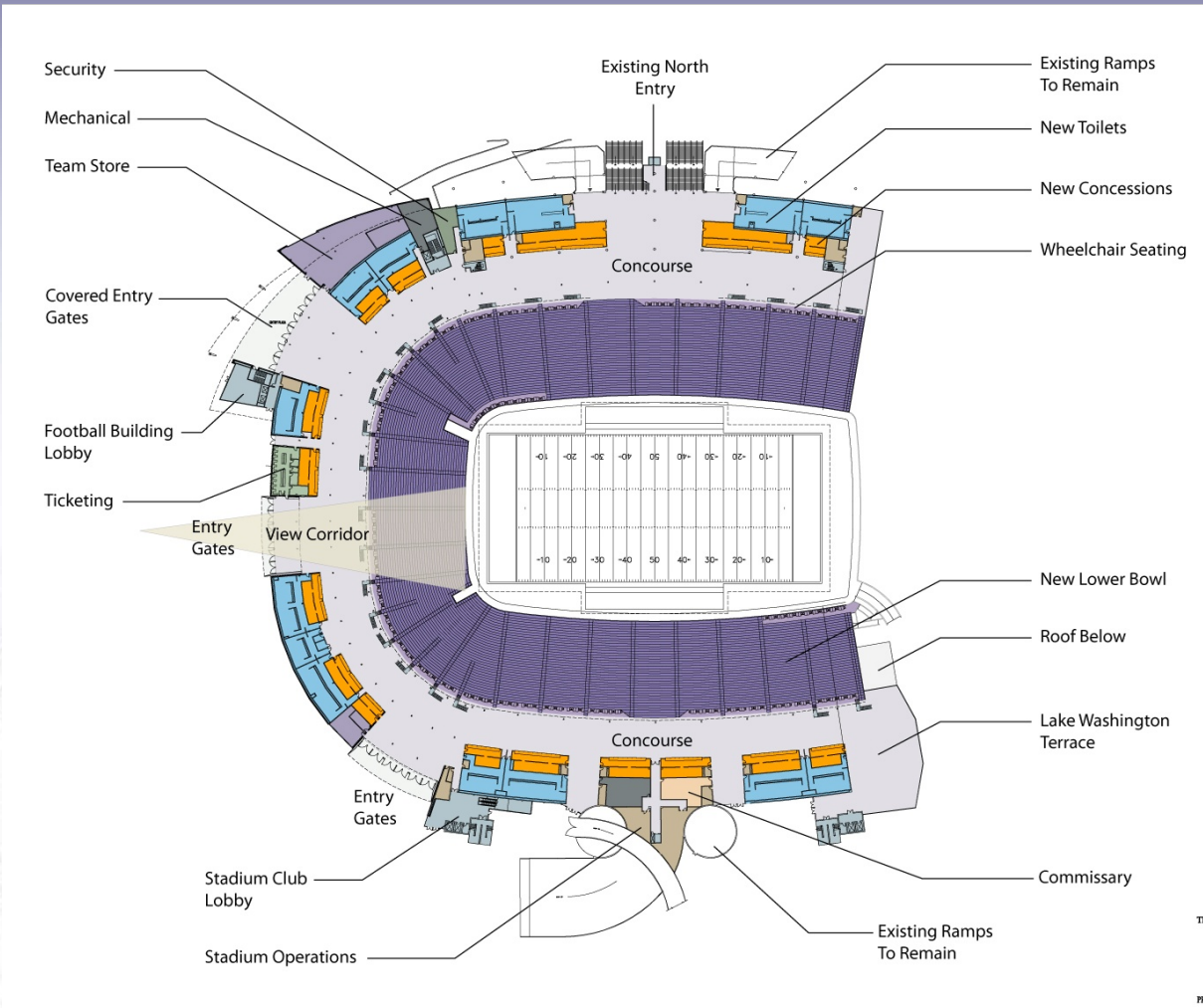


Husky Stadium Collaborative

An aerial photograph of Husky Stadium, showing the large, sloping seating bowl filled with spectators. The field is visible at the bottom, with players and officials on it. The sky is clear and blue. The text 'Main Concourse' is overlaid in a large, black, sans-serif font at the top of the image.

Main Concourse

Husky Stadium Collaborative

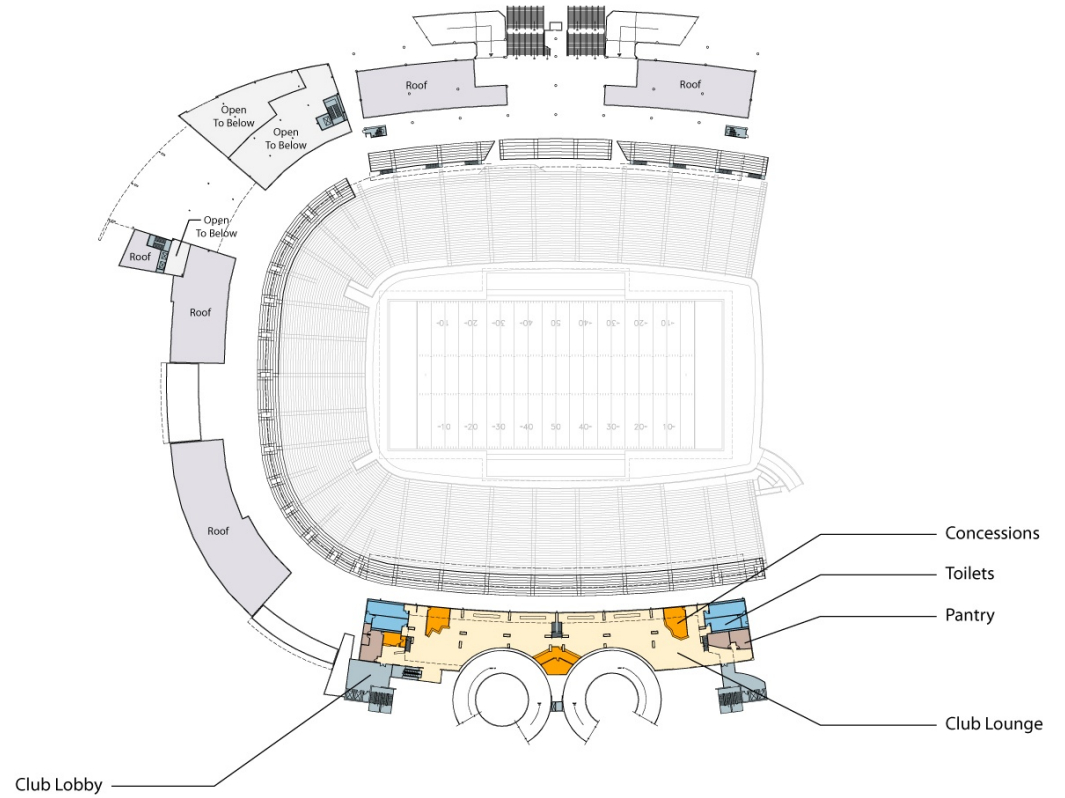


Husky Stadium Collaborative



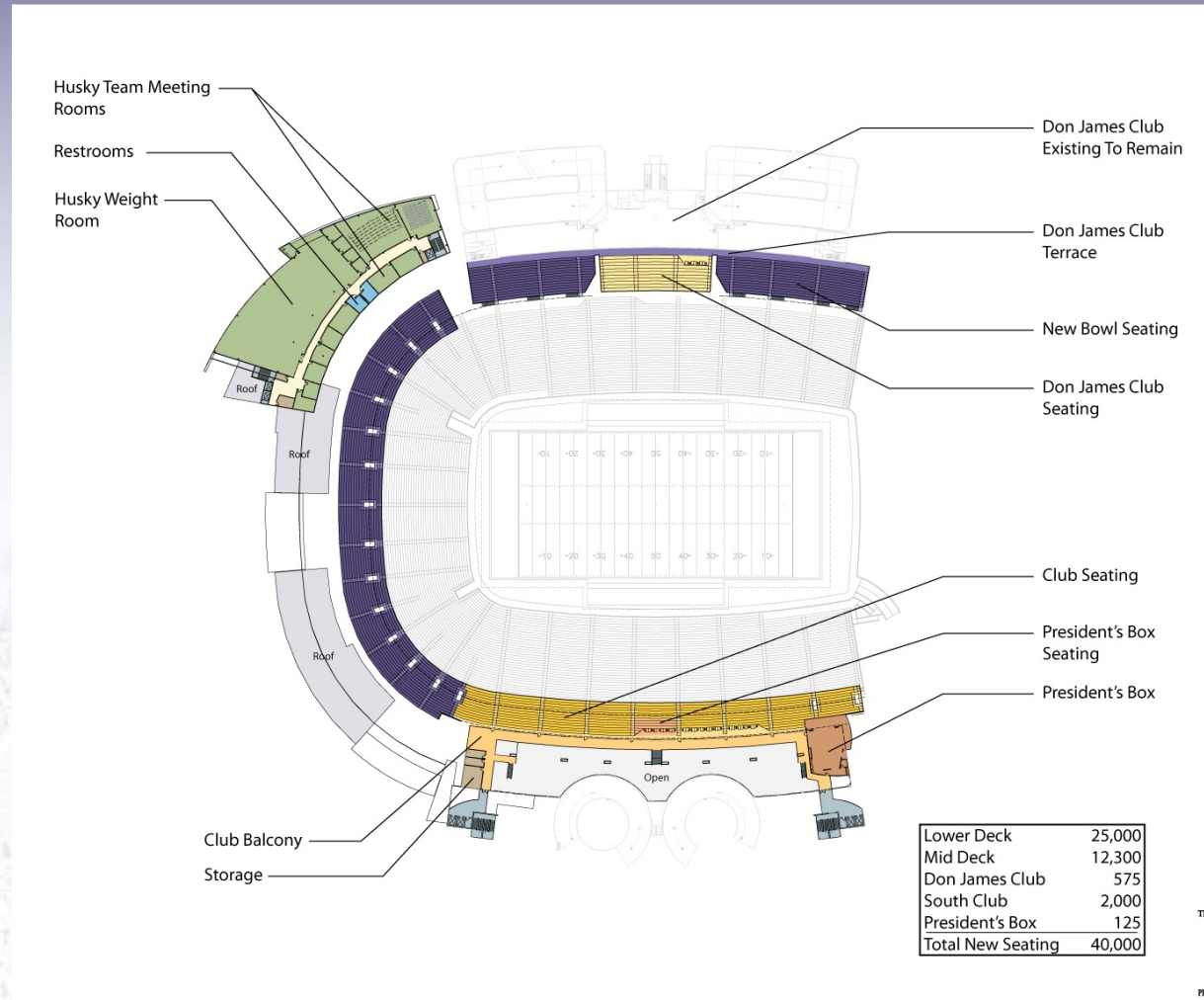


Stadium Club



Husky Stadium Collaborative

Stadium Club Mezzanine Level



Husky Stadium Collaborative

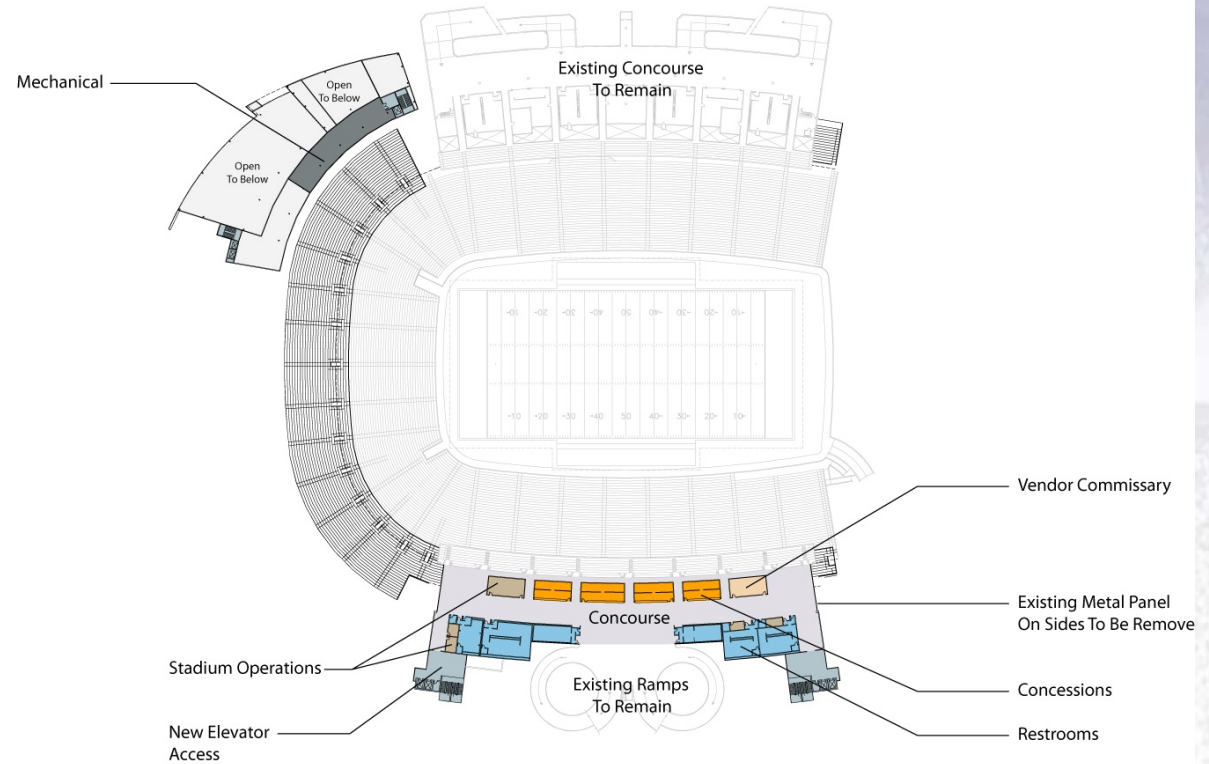








Mid-Concourse

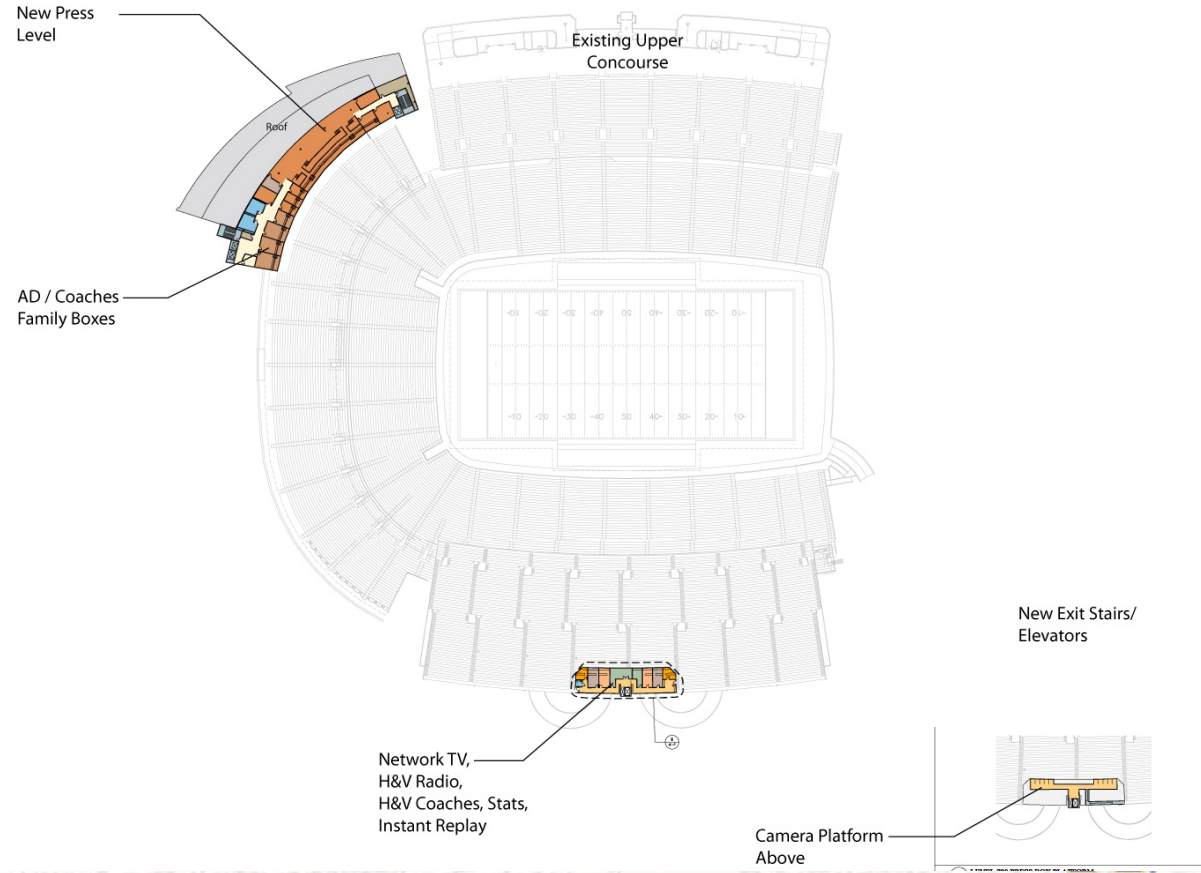


Husky Stadium Collaborative

Press Levels



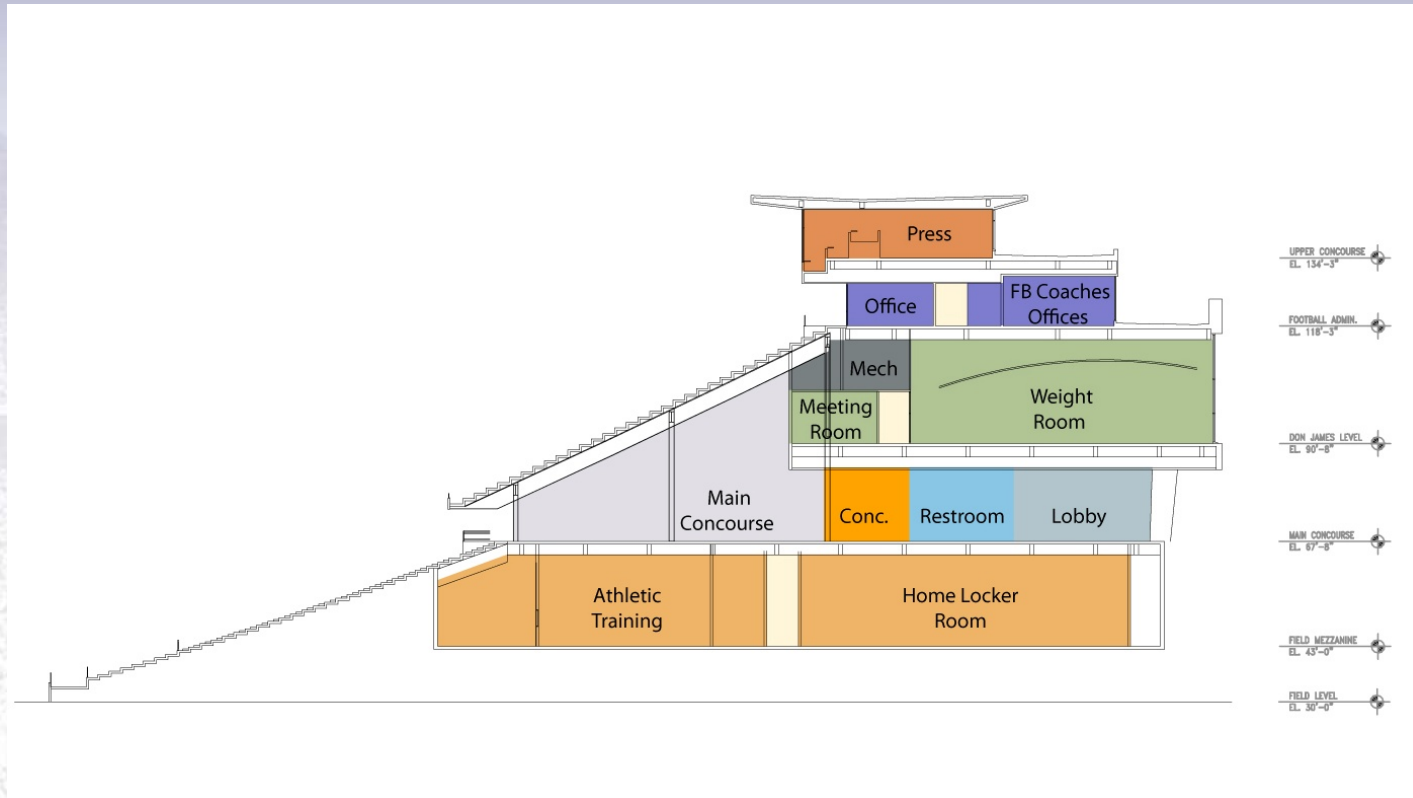
Husky Stadium Collaborative



Football Training Facility



Section – Football Training Facility

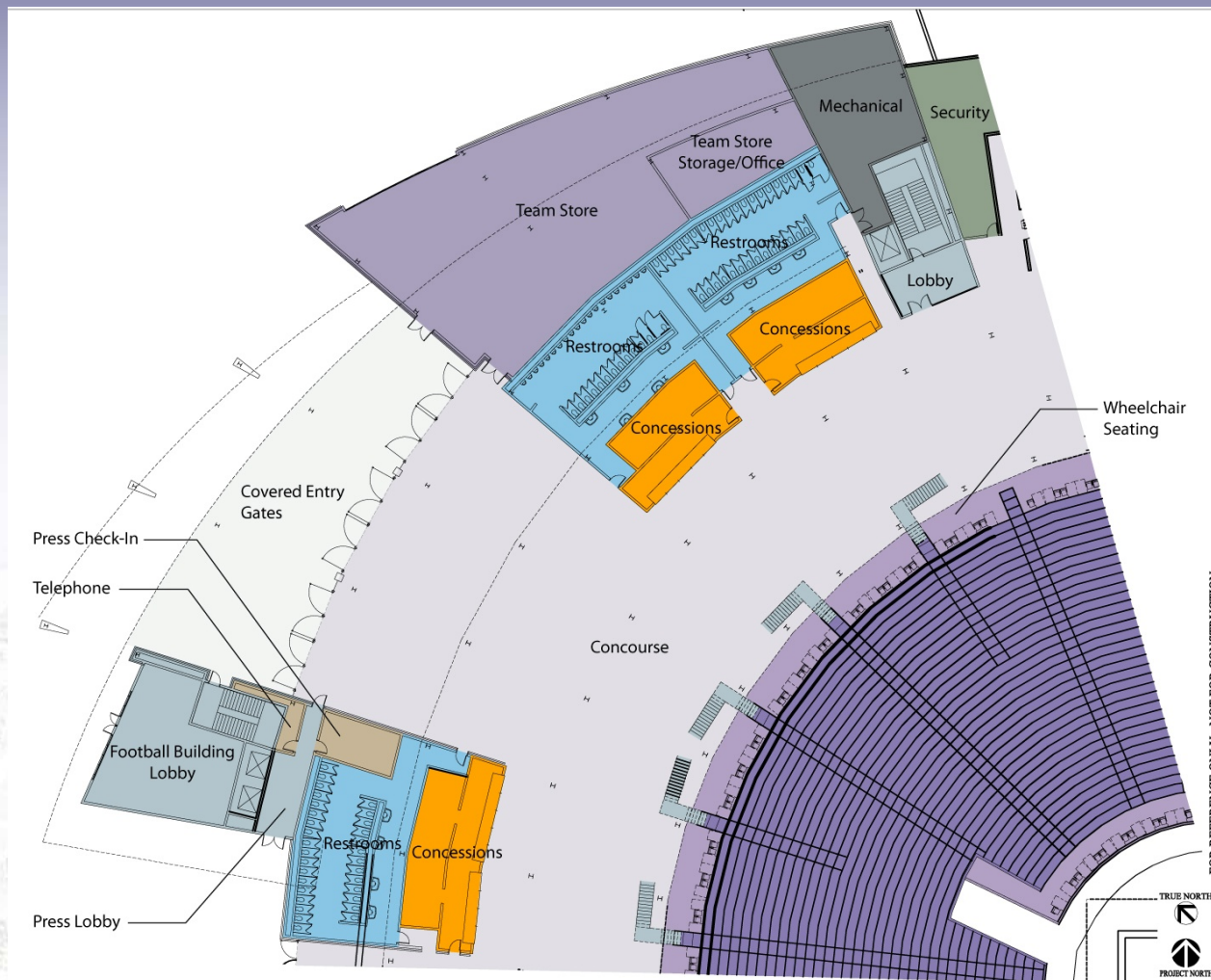


First Level



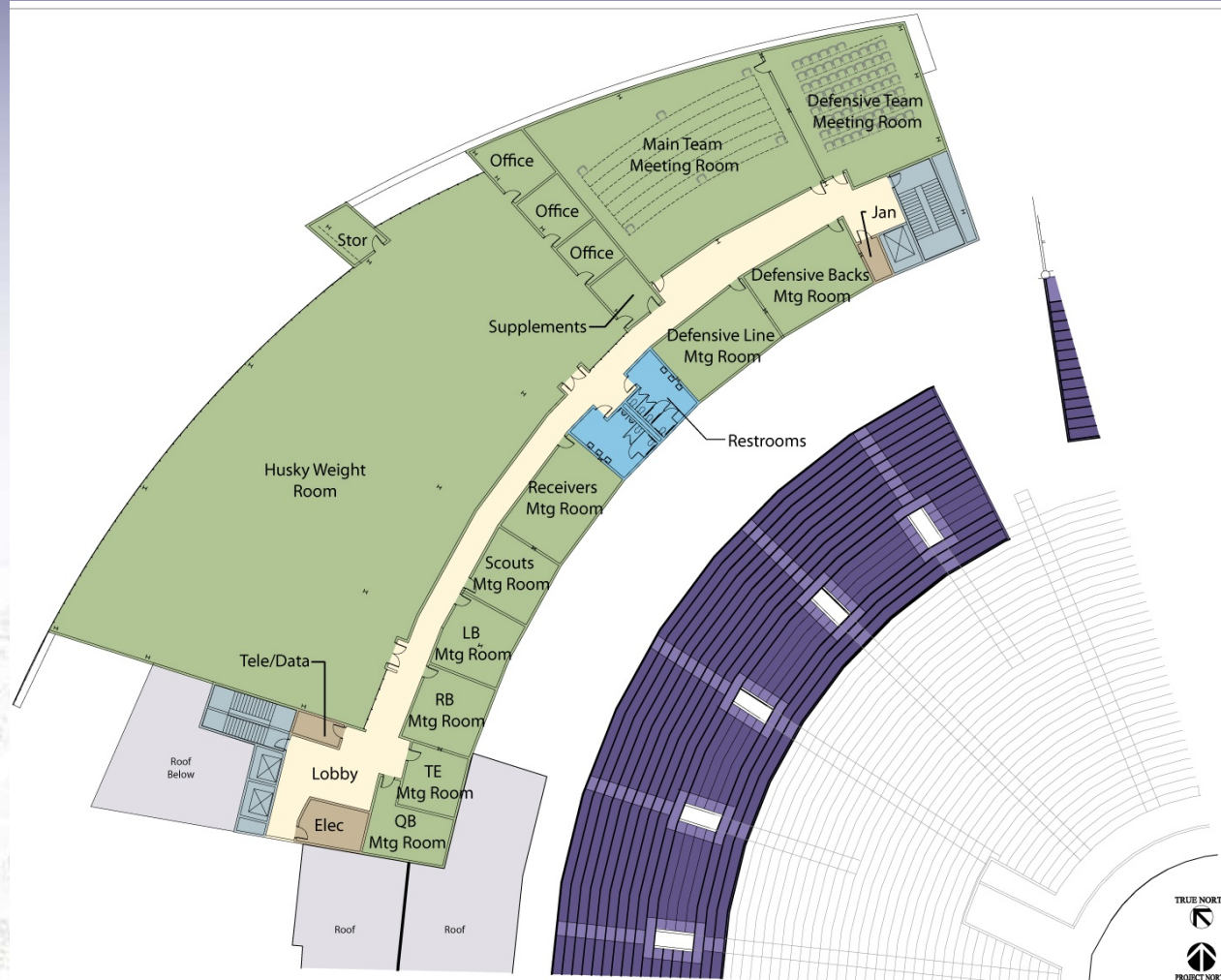
Husky Stadium Collaborative

Concourse Level Entry



Husky Stadium Collaborative

Second Level



Husky Stadium Collaborative




Husky Stadium Collaborative



Husky Stadium Collaborative



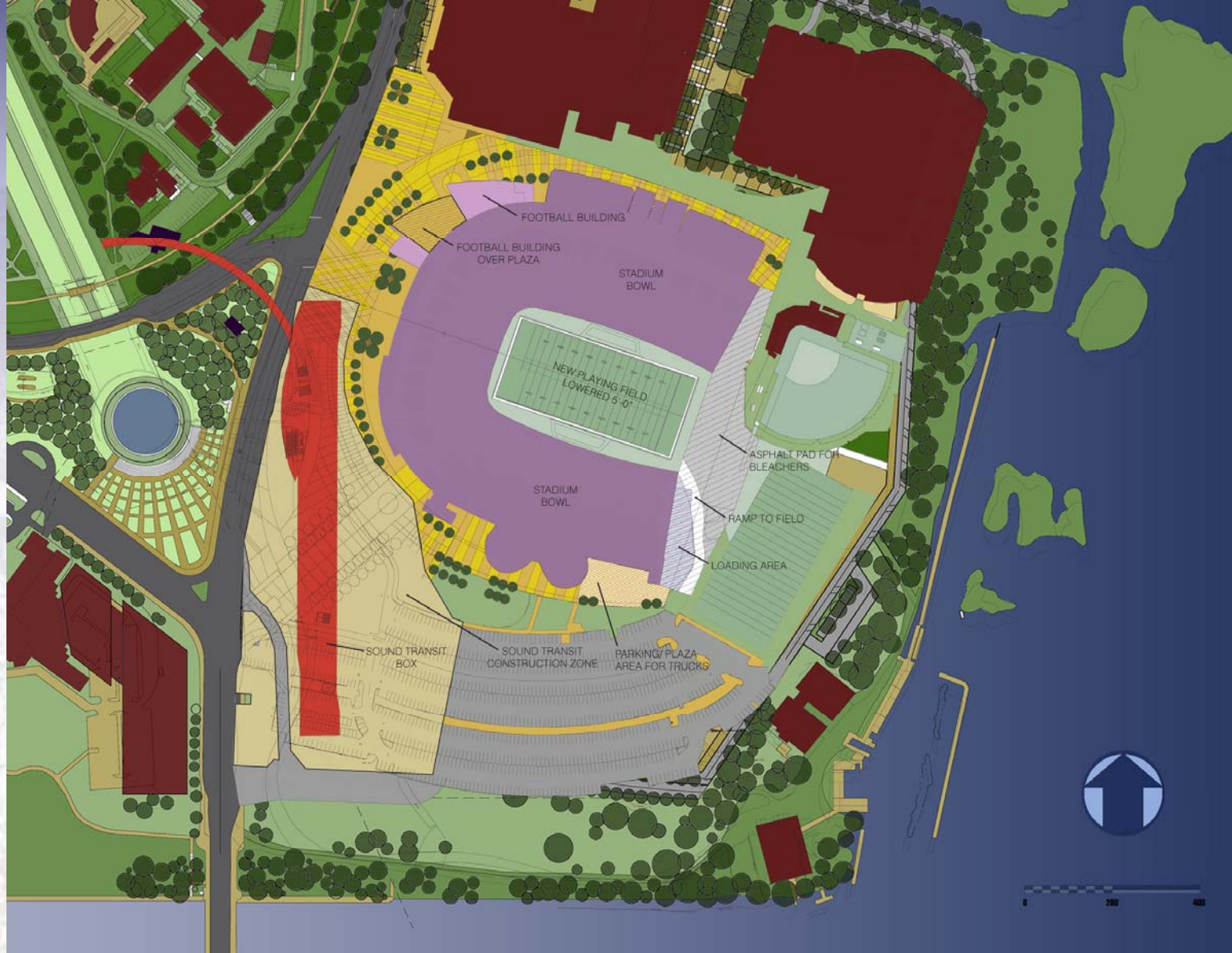


Husky Stadium Renovation & Football Training Facility University of Washington

Phase One Submittal
01.15.09

Husky Stadium Collaborative





VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW

Report of Contributions

University of Washington
University of Washington Foundation

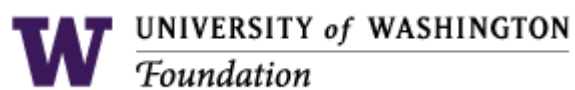
October and November, 2008



REPORT OF CONTRIBUTIONS

OCTOBER 2008

REPORT BY: UNIVERSITY ADVANCEMENT, ADVANCEMENT SERVICES, INFORMATION MANAGEMENT



PROGRESS BY CONSTITUENCY

School	Current Month				Year to Date			
	Gifts	Grants	Total	Donors	Gifts	Grants	Total	Donors
UW Medicine	\$2,731,567	\$24,859,853	\$27,591,421	3,228	\$10,120,891	\$58,926,554	\$69,047,445	5,745
Architecture and Urban Planning	\$75,713	\$0	\$75,713	86	\$296,361	\$2,500	\$298,861	263
Arts and Sciences	\$946,187	\$2,173,457	\$3,119,644	2,256	\$6,187,614	\$3,314,254	\$9,501,868	5,000
Broadcast Services	\$224,893	\$0	\$224,893	526	\$1,099,903	\$0	\$1,099,903	930
Business School	\$1,571,763	\$0	\$1,571,763	800	\$10,310,537	\$0	\$10,310,537	1,858
Dentistry	\$150,541	\$76,850	\$227,391	229	\$399,696	\$95,288	\$494,984	500
Education	\$25,790	\$230,000	\$255,790	120	\$908,678	\$614,500	\$1,523,178	680
Engineering	\$2,167,911	\$965,515	\$3,133,426	927	\$4,311,378	\$2,584,544	\$6,895,922	1,790
Environment	\$0	\$0	\$0	0	\$4,309,994	\$0	\$4,309,994	1
Evans School of Public Affairs	\$4,893	\$0	\$4,893	41	\$164,628	\$295,000	\$459,628	137
Forest Resources	\$4,125	\$255,624	\$259,749	50	\$223,916	\$667,644	\$891,560	243
Friday Harbor Labs	\$34,303	\$0	\$34,303	44	\$58,396	\$0	\$58,396	110
Information School	\$15,297	\$0	\$15,297	129	\$241,323	\$512,000	\$753,323	313
Intercollegiate Athletics	\$123,388	\$0	\$123,388	361	\$2,813,494	\$0	\$2,813,494	3,207
Law	\$99,566	\$0	\$99,566	199	\$549,930	\$0	\$549,930	362
Libraries	\$31,060	\$0	\$31,060	110	\$401,373	\$0	\$401,373	842
Nursing	\$183,444	\$80,000	\$263,444	105	\$1,468,732	\$169,553	\$1,638,285	372
Ocean and Fishery Sciences	\$79,837	\$4,218,531	\$4,298,368	83	\$227,414	\$5,346,844	\$5,574,258	185
Minority Affairs	\$13,833	\$0	\$13,833	123	\$46,469	\$0	\$46,469	200
Pharmacy	\$37,434	\$198,695	\$236,129	97	\$307,288	\$437,166	\$744,454	240
President's Funds	\$202,734	\$0	\$202,734	173	\$1,799,805	\$0	\$1,799,805	542
Public Health	\$31,802	\$581,205	\$613,007	147	\$340,546	\$1,650,517	\$1,991,063	264
Student Affairs	\$74,567	\$0	\$74,567	344	\$470,486	\$0	\$470,486	833
Social Work	\$36,160	\$0	\$36,160	83	\$61,848	\$0	\$61,848	157
Undergraduate Education	\$151,542	\$0	\$151,542	47	\$246,307	\$0	\$246,307	98
University Press	\$10,847	\$0	\$10,847	10	\$69,761	\$0	\$69,761	37
UW Alumni Association	\$106,315	\$0	\$106,315	2,014	\$313,809	\$0	\$313,809	6,105
UW Bothell	\$122,682	\$0	\$122,682	70	\$161,938	\$0	\$161,938	138
UW Tacoma	\$31,267	\$0	\$31,267	106	\$259,615	\$0	\$259,615	236
Other University Support	\$781,114	\$296,500	\$1,077,614	176	\$1,114,476	\$357,195	\$1,471,671	972
Total	\$10,070,577	\$33,936,230	\$44,006,807	11,890	\$49,286,607	\$74,973,560	\$124,260,166	29,574

Donors are defined as those entities with a credit amount of greater than \$0.00

Source: Univeristy Advancement, Information Management Report # 83393

REPORT OF CONTRIBUTIONS, UNIVERSITY OF WASHINGTON OCTOBER 2008

PAGE 1

FUNDING THEME PROGRESS

Theme	Year to Date		
	Current Use	Endowments	Total
Student Support	\$2,179,750	\$5,669,183	\$7,848,933
Faculty Support	\$2,069,309	\$4,849,200	\$6,918,508
Program Support for Faculty and Students	\$86,071,898	\$9,917,258	\$95,989,156
Capital	\$6,739,926	\$100	\$6,740,026
Discretionary	\$6,458,726	\$304,817	\$6,763,543
Total	\$103,519,609	\$20,740,557	\$124,260,166



UNIVERSITY OF WASHINGTON

All Areas

REPORT OF CONTRIBUTIONS

November 2008

REPORT BY: UNIVERSITY ADVANCEMENT, ADVANCEMENT SERVICES, INFORMATION MANAGEMENT

ANNUAL PROGRESS BY CONSTITUENCY

School	Current Month				Year to Date			
	Gifts	Grants	Total	Donors ¹	Gifts	Grants	Total	Donors
UW Medicine	\$3,059,884	\$9,640,828	\$12,700,712	2,645	\$13,180,775	\$51,338,560	\$64,519,335	6,933
Architecture and Urban Planning	\$23,609	\$0	\$23,609	85	\$319,971	\$2,500	\$322,471	335
Arts and Sciences	\$381,389	\$253,770	\$635,159	1,740	\$6,569,103	\$3,568,024	\$10,137,127	6,391
Broadcast Services	\$104,238	\$0	\$104,238	467	\$1,205,041	\$0	\$1,205,041	1,009
Business School	\$852,060	\$0	\$852,060	347	\$11,162,597	\$0	\$11,162,597	2,145
Dentistry	\$230,401	\$303,671	\$534,072	136	\$630,097	\$398,959	\$1,029,056	575
Education	\$111,782	\$192,811	\$304,593	96	\$1,020,460	\$807,311	\$1,827,771	724
Engineering	\$375,414	\$60,000	\$435,414	450	\$4,686,792	\$2,644,544	\$7,331,337	2,142
Environment	\$100,350	\$0	\$100,350	7	\$4,410,344	\$0	\$4,410,344	10
Evans School of Public Affairs	\$23,253	\$0	\$23,253	50	\$187,881	\$295,000	\$482,881	161
Forest Resources	\$77,082	\$0	\$77,082	52	\$300,999	\$667,644	\$968,643	287
Friday Harbor Labs	\$14,463	\$0	\$14,463	37	\$72,859	\$0	\$72,859	134
Information School	\$63,201	\$0	\$63,201	70	\$304,524	\$512,000	\$816,524	369
Intercollegiate Athletics	\$96,761	\$0	\$96,761	218	\$2,909,354	\$0	\$2,909,354	3,357
Law	\$59,466	\$0	\$59,466	191	\$609,296	\$0	\$609,296	535
Libraries	\$63,072	\$0	\$63,072	153	\$464,445	\$0	\$464,445	975
Nursing	\$70,683	\$425,433	\$496,116	216	\$1,538,515	\$594,986	\$2,133,501	558
Ocean and Fishery Sciences	\$13,123	\$92,313	\$105,436	91	\$240,536	\$5,439,157	\$5,679,693	229
Minority Affairs	\$3,202	\$0	\$3,202	118	\$49,339	\$0	\$49,339	209
Pharmacy	\$124,871	\$0	\$124,871	84	\$432,159	\$437,166	\$869,325	292
President's Funds	\$9,995	\$0	\$9,995	119	\$1,809,749	\$0	\$1,809,749	612
Public Health	\$121,108	\$6,148,664	\$6,269,771	106	\$461,654	\$7,836,570	\$8,298,223	306
Student Affairs	\$51,345	\$0	\$51,345	267	\$522,165	\$0	\$522,165	1,065
Social Work	\$7,634	\$40,000	\$47,634	116	\$69,482	\$40,000	\$109,482	261
Undergraduate Education	\$10,455	\$0	\$10,455	22	\$256,762	\$0	\$256,762	106
University Press	\$16,800	\$0	\$16,800	5	\$86,561	\$0	\$86,561	41
UW Alumni Association	\$80,244	\$0	\$80,244	1,567	\$394,053	\$0	\$394,053	7,598
UW Bothell	\$4,214	\$0	\$4,214	88	\$166,153	\$0	\$166,153	196
UW Tacoma	\$632,590	\$0	\$632,590	80	\$892,205	\$0	\$892,205	267
Other University Support	\$191,996	\$0	\$191,996	332	\$1,302,093	\$357,195	\$1,659,288	1,254
Total	\$6,974,684	\$17,157,490	\$24,132,174	9,340	\$56,255,961	\$74,939,616	\$131,195,577	35,435

MONTHLY HIGHLIGHTS

The UW received \$24.13M in total private voluntary support (\$6.97M in gifts and \$17.16M in grants) in the current month.

Areas including Business School, Dentistry, Education, Engineering, Environment, Forest Resources, Libraries, Nursing, Minority Affairs, Pharmacy, Public Health, Student Affairs, Undergraduate Education and UW Bothell are ahead of last year's year-to-date totals.

¹ Donors are defined as those entities who have a credit amount of greater than \$0.00.

The donor total at the bottom of the chart is not a cumulative total of the rows above. The donor total is the number of unique donors who have been credited with a gift to the UW during the given time period.

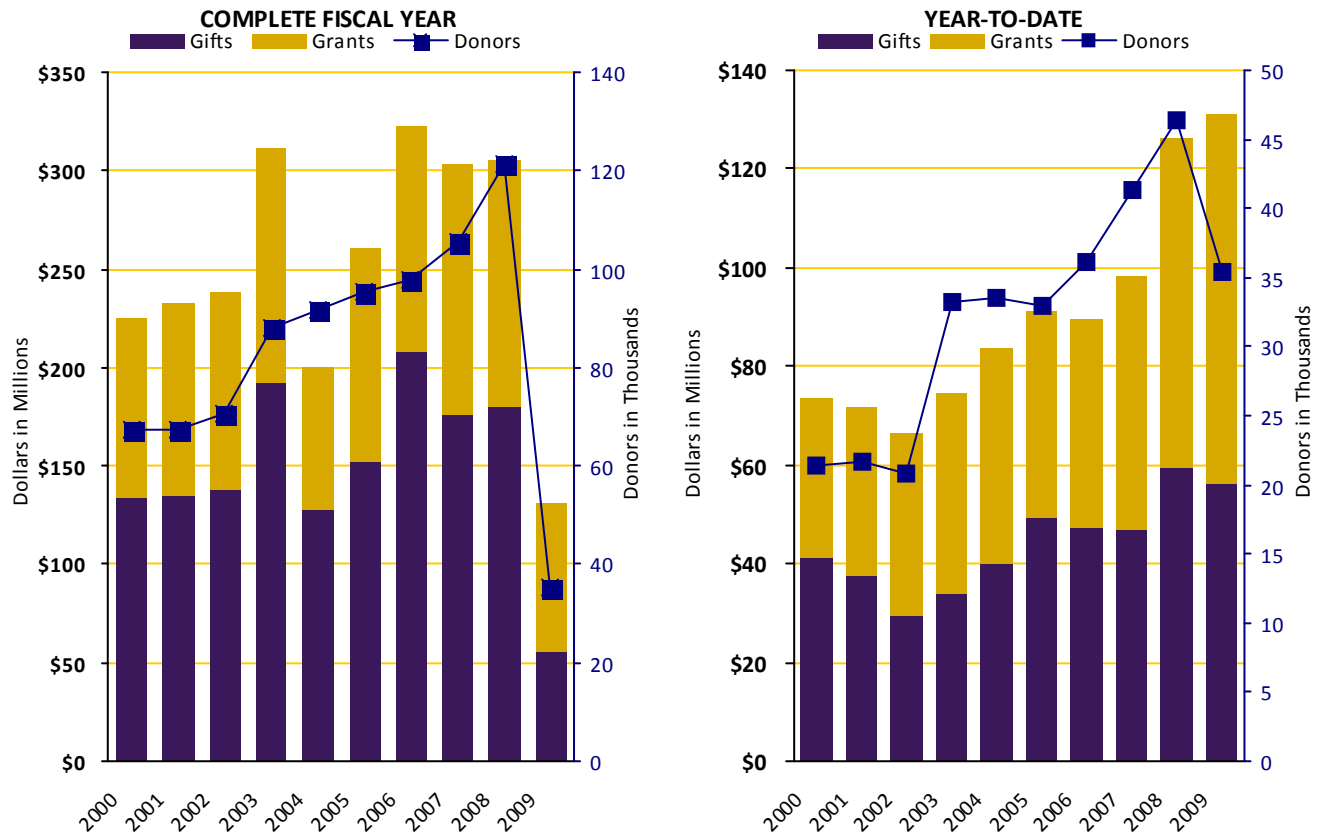
Source: University Advancement, Information Management Report # 83854

DEVELOPMENT SUMMARY BY CONSTITUENCY

School	Current Month		Year to Date		Prior Year to Date		Prior Year Total	
	Total	Donors	Total	Donors	Total	Donors	Total	Donors
UW Medicine	\$12,700,712	2,645	\$64,519,335	6,933	\$65,334,800	9,402	\$128,084,404	18,602
Architecture and Urban Planning	\$23,609	85	\$322,471	335	\$613,545	362	\$2,552,681	1,467
Arts and Sciences	\$635,159	1,740	\$10,137,127	6,391	\$13,395,963	6,561	\$36,159,265	15,040
Broadcast Services	\$104,238	467	\$1,205,041	1,009	\$3,445,798	6,477	\$12,124,630	21,710
Business School	\$852,060	347	\$11,162,597	2,145	\$3,980,369	2,518	\$13,215,754	4,667
Dentistry	\$534,072	136	\$1,029,056	575	\$531,296	702	\$3,479,430	1,340
Education	\$304,593	96	\$1,827,771	724	\$559,408	635	\$2,778,307	1,637
Engineering	\$435,414	450	\$7,331,337	2,142	\$6,056,247	2,299	\$22,826,602	4,653
Environment	\$100,350	7	\$4,410,344	10	\$0	0	\$0	0
Evans School of Public Affairs	\$23,253	50	\$482,881	161	\$1,311,352	137	\$3,350,952	493
Forest Resources	\$77,082	52	\$968,643	287	\$632,118	437	\$2,552,419	1,151
Friday Harbor Labs	\$14,463	37	\$72,859	134	\$116,135	191	\$553,591	454
Information School	\$63,201	70	\$816,524	369	\$2,889,926	395	\$3,893,390	639
Intercollegiate Athletics	\$96,761	218	\$2,909,354	3,357	\$5,011,434	3,900	\$20,268,275	25,073
Law	\$59,466	191	\$609,296	535	\$1,282,212	759	\$2,865,343	2,166
Libraries	\$63,072	153	\$464,445	975	\$293,725	896	\$1,599,016	4,714
Nursing	\$496,116	216	\$2,133,501	558	\$1,795,956	670	\$3,155,721	1,775
Ocean and Fishery Sciences	\$105,436	91	\$5,679,693	229	\$6,960,444	228	\$12,310,301	829
Minority Affairs	\$3,202	118	\$49,339	209	\$0	0	\$0	0
Pharmacy	\$124,871	84	\$869,325	292	\$832,676	394	\$3,038,164	1,127
President's Funds	\$9,995	119	\$1,809,749	612	\$211,768	821	\$961,234	2,240
Public Health	\$6,269,771	106	\$8,298,223	306	\$5,371,926	257	\$9,774,188	732
Student Affairs	\$51,345	267	\$522,165	1,065	\$0	0	\$0	0
Scholarships and Student Programs	\$0	0	\$0	0	\$1,596,199	3,337	\$7,075,190	6,407
Social Work	\$47,634	116	\$109,482	261	\$297,647	280	\$1,633,711	895
Undergraduate Education	\$10,455	22	\$256,762	106	\$0	0	\$0	0
University Press	\$16,800	5	\$86,561	41	\$131,242	135	\$414,094	293
UW Alumni Association	\$80,244	1,567	\$394,053	7,598	\$398,312	7,887	\$1,146,912	21,851
UW Bothell	\$4,214	88	\$166,153	196	\$44,253	129	\$302,577	795
UW Tacoma	\$632,590	80	\$892,205	267	\$1,426,756	266	\$4,420,119	967
Other University Support	\$191,996	332	\$1,659,288	1,254	\$1,914,449	973	\$4,423,387	2,518
Total ¹	\$24,132,174	9,340	\$131,195,577	35,435	\$126,435,956	46,419	\$304,959,657	121,447

¹ The donor total at the bottom of the chart is not a cumulative total of the rows above. The donor total is the number of unique donors who have been credited with a gift to the UW during the given time period.

FISCAL YEAR COMPARISON OF TOTAL CONTRIBUTIONS



Fiscal Year	Complete Fiscal Year				Year to Date			
	Gifts	Grants	Total	Donors	Gifts	Grants	Total	Donors
2008-2009	\$56,255,961	\$74,939,616	\$131,195,577	35,435	\$56,255,961	\$74,939,616	\$131,195,577	35,435
2007-2008	\$180,735,444	\$124,224,214	\$304,959,657	121,447	\$59,530,856	\$66,905,100	\$126,435,956	46,419
2006-2007	\$176,490,215	\$126,399,369	\$302,889,584	105,353	\$47,080,249	\$51,097,282	\$98,177,531	41,262
2005-2006	\$207,744,231	\$115,261,186	\$323,005,417	97,876	\$47,328,278	\$41,920,482	\$89,248,760	36,130
2004-2005	\$151,969,925	\$108,802,371	\$260,772,296	95,227	\$49,499,496	\$41,615,811	\$91,115,307	32,944
2003-2004	\$128,174,367	\$71,603,323	\$199,777,690	91,903	\$40,115,399	\$43,839,685	\$83,955,084	33,564
2002-2003	\$192,573,183	\$118,677,722	\$311,250,905	88,259	\$34,187,163	\$40,154,560	\$74,341,723	33,166
2001-2002	\$137,959,340	\$100,820,547	\$238,779,887	70,560	\$29,673,079	\$36,734,510	\$66,407,590	20,860
2000-2001	\$134,797,642	\$97,112,979	\$231,910,621	67,307	\$37,543,479	\$34,169,985	\$71,713,464	21,674
1999-2000	\$134,037,997	\$91,536,165	\$225,574,162	67,351	\$41,262,818	\$32,387,391	\$73,650,209	21,421

Source: University Advancement, Information Management Report # 83854

REPORT OF CONTRIBUTIONS, UNIVERSITY OF WASHINGTON November 2008

All Areas

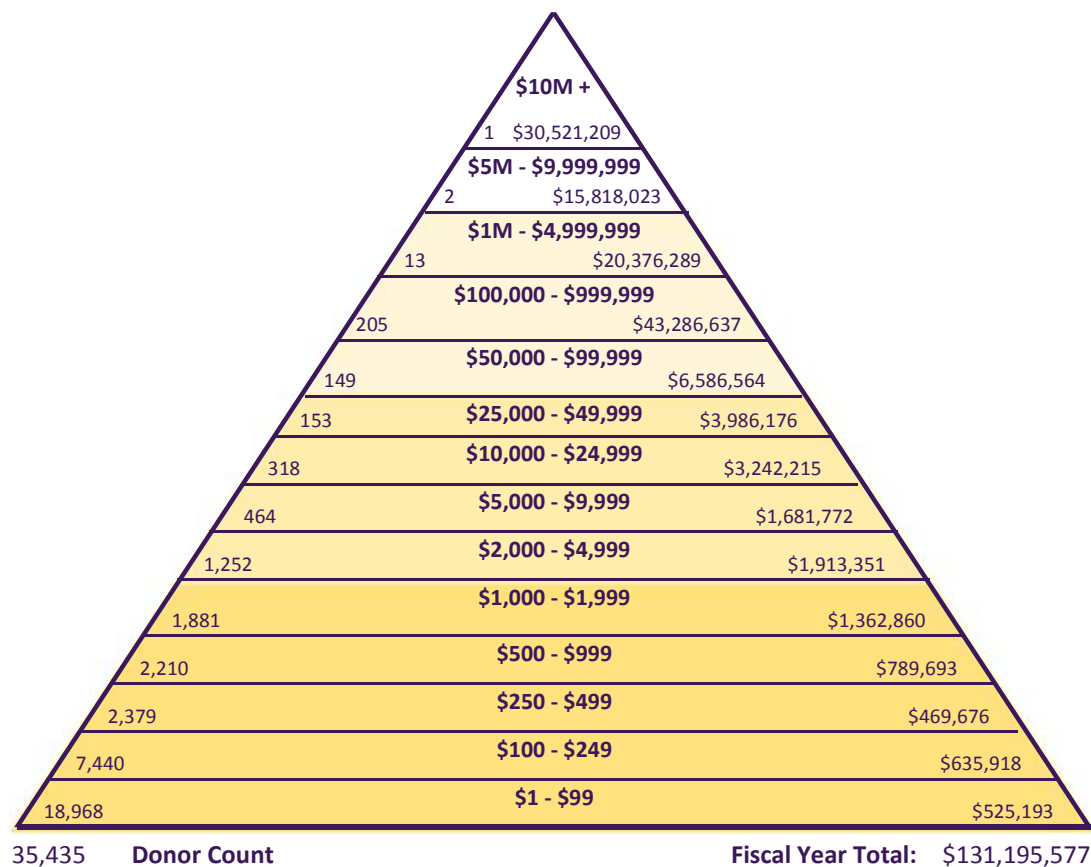
ANNUAL FUNDING THEME PROGRESS

Theme	Year to Date		
	Current Use	Endowment	Total
Student Support	\$3,019,291	\$6,148,212	\$9,167,503
Faculty Support	\$2,412,850	\$5,647,536	\$8,060,386
Program Support for Faculty and Students	\$88,914,080	\$10,260,159	\$99,174,239
Capital	\$7,291,435	\$100	\$7,291,535
Excellence Funds	\$7,193,154	\$308,761	\$7,501,915
Total	\$108,830,809	\$22,364,768	\$131,195,577

DEVELOPMENT ACTIVITY BY DONOR TYPE

Donor Type	Year to Date		Prior Year to Date		Prior Fiscal Year	
	Donors	Total	Donors	Total	Donors	Total
Alumni	19,742	\$14,115,617	23,423	\$21,836,937	55,089	\$57,128,097
Corporations	1,022	\$20,729,125	1,177	\$24,902,873	3,255	\$61,590,177
Family Foundations	69	\$4,978,128	76	\$3,320,492	172	\$13,349,493
Foundations	206	\$47,256,756	220	\$45,212,843	431	\$75,371,489
Non-Alumni	14,123	\$17,533,638	21,345	\$10,326,768	61,914	\$40,209,765
Organizations	273	\$26,582,313	274	\$20,836,043	586	\$57,285,487
Total	35,435	\$131,195,577	46,515	\$126,435,956	121,447	\$304,934,507

DEVELOPMENT ACTIVITY PYRAMID



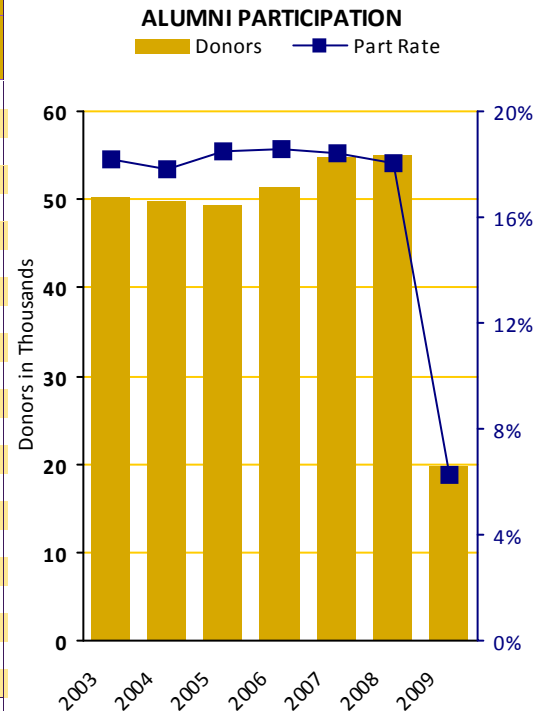
ANNUAL PROGRESS BY GIVING LEVEL

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +	\$0	\$0	\$0	\$0	\$30,521,209	\$0	\$30,521,209
\$5M - \$9,999,999	\$0	\$6,100,000	\$0	\$0	\$0	\$9,718,023	\$15,818,023
\$1M - \$4,999,999	\$4,309,994	\$3,000,000	\$2,500,043	\$3,447,486	\$4,010,449	\$3,108,317	\$20,376,289
\$100,000 - \$999,999	\$4,670,331	\$4,633,988	\$1,605,746	\$11,447,949	\$9,558,750	\$11,369,874	\$43,286,637
\$50,000 - \$99,999	\$432,895	\$584,335	\$351,000	\$2,195,083	\$1,978,238	\$1,045,013	\$6,586,564
\$25,000 - \$49,999	\$556,752	\$443,058	\$263,380	\$1,486,937	\$664,806	\$571,244	\$3,986,176
\$10,000 - \$24,999	\$624,252	\$491,879	\$192,926	\$1,027,806	\$376,776	\$528,576	\$3,242,215
\$5,000 - \$9,999	\$499,293	\$402,081	\$39,000	\$569,452	\$53,330	\$118,617	\$1,681,772
\$2,000 - \$4,999	\$890,176	\$534,920	\$17,500	\$327,724	\$57,777	\$85,254	\$1,913,351
\$1,000 - \$1,999	\$678,851	\$503,437	\$7,632	\$125,621	\$25,257	\$22,062	\$1,362,860
\$500 - \$999	\$419,879	\$300,135	\$500	\$57,397	\$4,580	\$7,203	\$789,693
\$250 - \$499	\$262,328	\$181,610	\$0	\$18,467	\$1,967	\$5,305	\$469,676
\$100 - \$249	\$401,761	\$208,917	\$400	\$19,675	\$3,195	\$1,971	\$635,918
\$1 - \$99	\$369,107	\$149,280	\$0	\$5,528	\$423	\$855	\$525,193
Total	\$14,115,617	\$17,533,638	\$4,978,128	\$20,729,125	\$47,256,756	\$26,582,313	\$131,195,577

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +	0	0	0	0	1	0	1
\$5M - \$9,999,999	0	1	0	0	0	1	2
\$1M - \$4,999,999	2	4	2	2	1	2	13
\$100,000 - \$999,999	35	44	12	47	32	35	205
\$50,000 - \$99,999	20	45	7	34	27	16	149
\$25,000 - \$49,999	24	41	9	42	20	17	153
\$10,000 - \$24,999	82	91	13	70	29	33	318
\$5,000 - \$9,999	170	159	7	100	8	20	464
\$2,000 - \$4,999	553	513	7	127	21	31	1,252
\$1,000 - \$1,999	839	890	6	109	19	18	1,881
\$500 - \$999	1,037	1,042	1	108	9	13	2,210
\$250 - \$499	1,159	1,126	0	68	6	20	2,379
\$100 - \$249	4,089	3,144	5	161	22	19	7,440
\$1 - \$99	11,732	7,023	0	154	11	48	18,968
Total	19,742	14,123	69	1,022	206	273	35,435

ALUMNI PARTICIPATION BY CONSTITUENCY (CURRENT FISCAL YEAR)

Area	Solicitable	To UW		To Unit	
		Year to Date		Year to Date	
		Donors	Part Rate	Donors	Part Rate
UW Medicine	19,109	1,351	7.07%	383	2.00%
Architecture	8,096	453	5.60%	113	1.40%
Arts and Sciences	145,069	8,652	5.96%	1,490	1.03%
Business School	37,913	3,051	8.05%	191	0.50%
Dentistry	4,501	500	11.11%	69	1.53%
Education	18,944	1,319	6.96%	32	0.17%
Engineering	32,856	2,208	6.72%	228	0.69%
Evans School of Public Affairs	2,394	192	8.02%	10	0.42%
Forest Resources	4,601	202	4.39%	14	0.30%
Interdisc. Grad. Programs	1,719	106	6.17%		
Interdisc. Undergrad. Programs	247	14	5.67%		
Interschool Programs	493	28	5.68%		
Information School	4,516	463	10.25%	40	0.89%
Law	7,755	595	7.67%	100	1.29%
School of Nursing	8,661	680	7.85%	271	3.13%
Ocean & Fisheries	4,038	220	5.45%	20	0.50%
Pharmacy	3,529	259	7.34%	40	1.13%
Public Health	4,465	296	6.63%	24	0.54%
Social Work	6,428	392	6.10%	169	2.63%
UW Bothell	6,635	324	4.88%	31	0.47%
UW Tacoma	7,685	277	3.60%	14	0.18%
Unspecified	11,813	782	6.62%		
ALL UW TOTAL	314,219	19,742	6.28%		



ALUMNI PARTICIPATION BY CONSTITUENCY (PREVIOUS FISCAL YEAR)

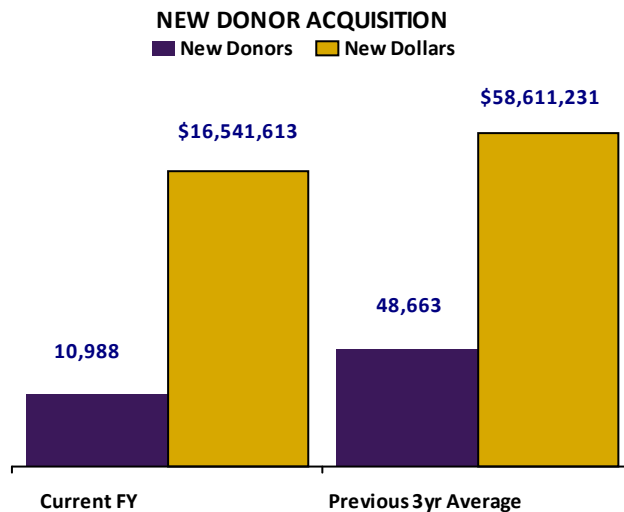
Area	Solicitable	To UW				To Unit			
		Year to Date		FY Total		Year to Date		FY Total	
		Donors	Part Rate	Donors	Part Rate	Donors	Part Rate	Donors	PFFY Final
UW Medicine	18,010	1,517	8.42%	3,822	21.22%	383	2.13%	1,080	6.00%
Architecture	7,965	486	6.10%	1,563	19.62%	113	1.42%	404	5.07%
Arts and Sciences	141,595	9,870	6.97%	23,047	16.28%	1,490	1.05%	5,110	3.61%
Business School	37,430	3,576	9.55%	8,231	21.99%	191	0.51%	1,772	4.73%
Dentistry	4,579	579	12.64%	1,215	26.53%	69	1.51%	391	8.54%
Education	18,902	1,547	8.18%	3,870	20.47%	32	0.17%	212	1.12%
Engineering	32,393	2,529	7.81%	5,569	17.19%	228	0.70%	1,769	5.46%
Evans School of Public Affairs	2,329	205	8.80%	619	26.58%	10	0.43%	62	2.66%
Forest Resources	4,603	264	5.74%	801	17.40%	14	0.30%	91	1.98%
Interdisc. Grad. Programs	1,622	110	6.78%	293	18.06%				
Interdisc. Undergrad. Programs	225	6	2.67%	22	9.78%				
Interschool Programs	453	27	5.96%	70	15.45%				
Information School	4,370	539	12.33%	1,004	22.97%	40	0.92%	317	7.25%
Law	7,780	769	9.88%	1,942	24.96%	100	1.29%	427	5.49%
School of Nursing	8,598	822	9.56%	1,980	23.03%	271	3.15%	704	8.19%
Ocean & Fisheries	3,911	237	6.06%	788	20.15%	20	0.51%	146	3.73%
Pharmacy	3,426	352	10.27%	997	29.10%	40	1.17%	187	5.46%
Public Health	4,318	315	7.30%	793	18.36%	24	0.56%	97	2.25%
Social Work	6,404	380	5.93%	1,105	17.25%	169	2.64%	378	5.90%
UW Bothell	6,084	265	4.36%	873	14.35%	31	0.51%	72	1.18%
UW Tacoma	7,003	287	4.10%	927	13.24%	14	0.20%	98	1.40%
Unspecified	10,866	931	8.57%	2,433	22.39%				
ALL UW TOTAL	305,971	22,662	7.41%	55,089	18.00%				

Source: University Advancement, Information Management Report # 83854

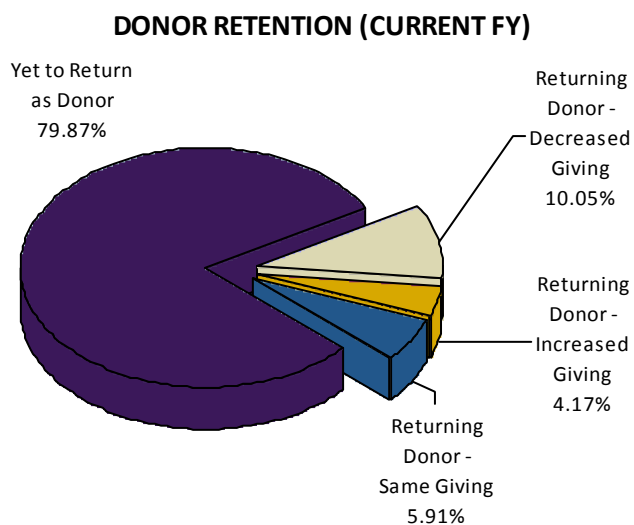
REPORT OF CONTRIBUTIONS, UNIVERSITY OF WASHINGTON November 2008

All Areas

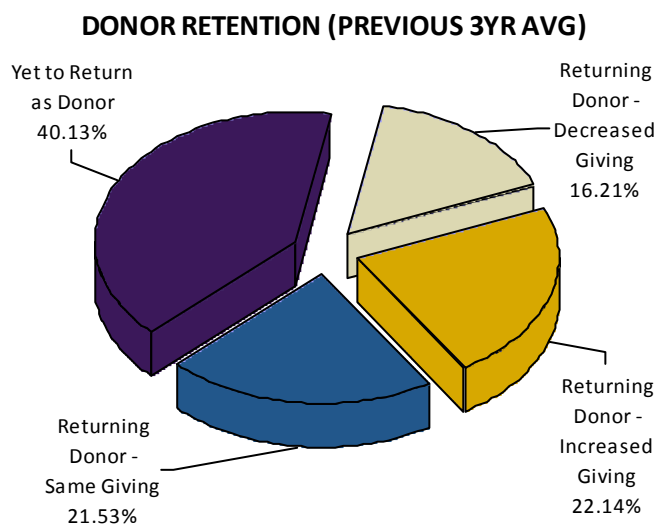
KEY PERFORMANCE INDICATORS



	New Donors	New Dollars
Current FY	10,988	\$16,541,613
Previous 3yr Average	48,663	\$58,611,231



	Donors	Dollars
Returning Donor - Decreased Giving	12,210	\$44,619,259
Returning Donor - Increased Giving	5,065	\$66,747,850
Returning Donor - Same Giving	7,172	\$3,286,855
Yet to Return as Donor	96,994	



	Donors	Dollars
Returning Donor - Decreased Giving	16,124	\$65,278,811
Returning Donor - Increased Giving	22,023	\$178,192,234
Returning Donor - Same Giving	21,414	\$8,169,227
Yet to Return as Donor	39,919	

Donor counts may vary slightly due to donor crediting preferences.

Three-year averages are based on fiscal year totals and do not reflect year-to-date status.

Source: University Advancement, Information Management Report # 83854

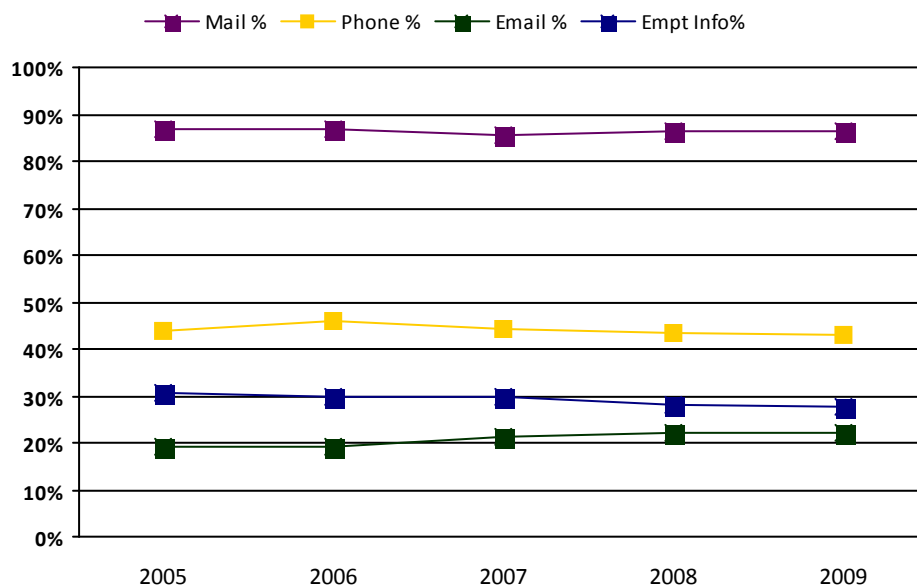
REPORT OF CONTRIBUTIONS, UNIVERSITY OF WASHINGTON November 2008

All Areas

STATE OF THE DATABASE

School	Alumni	Friends	Total	Mailable	Mail %	Phonable	Phone %	Emailable	Email %	Emp Info	Emp %
Architecture and Urban Planning	9,417	1,519	10,936	9,766	89.30%	5,233	47.85%	2,750	25.15%	4,225	38.63%
Arts and Sciences	176,991	17,202	194,193	164,852	84.89%	76,219	39.25%	47,100	24.25%	52,291	26.93%
Broadcast Services	0	37,872	37,872	37,442	98.86%	13,955	36.85%	5,006	13.22%	6,670	17.61%
Business School	46,133	3,580	49,713	42,418	85.33%	21,295	42.84%	14,481	29.13%	20,897	42.04%
College of the Environment	0	13	13	12	92.31%	8	61.54%	7	53.85%	5	38.46%
Dentistry	5,061	1,402	6,463	6,087	94.18%	3,862	59.76%	1,947	30.13%	1,967	30.43%
Education	25,407	2,272	27,679	21,398	77.31%	11,533	41.67%	4,640	16.76%	8,002	28.91%
Engineering	40,698	3,808	44,506	37,014	83.17%	18,391	41.32%	11,000	24.72%	16,974	38.14%
Evans School of Public Affairs	2,678	544	3,222	3,046	94.54%	1,795	55.71%	1,540	47.80%	1,786	55.43%
Forest Resources	5,624	1,509	7,133	6,121	85.81%	3,441	48.24%	1,696	23.78%	2,666	37.38%
Friday Harbor	0	667	667	656	98.35%	472	70.76%	234	35.08%	285	42.73%
Information School	5,671	388	6,059	5,070	83.68%	3,151	52.01%	1,683	27.78%	2,477	40.88%
Intercollegiate Athletics	0	8,297	8,297	8,183	98.63%	6,522	78.61%	3,888	46.86%	3,421	41.23%
Law	8,801	1,566	10,367	9,615	92.75%	5,243	50.57%	4,159	40.12%	4,630	44.66%
Libraries	0	10,190	10,190	10,088	99.00%	8,718	85.55%	1,777	17.44%	1,843	18.09%
Minority Affairs	0	849	849	835	98.35%	637	75.03%	429	50.53%	477	56.18%
Nursing	10,759	1,352	12,111	10,100	83.40%	5,850	48.30%	2,962	24.46%	4,744	39.17%
Ocean and Fishery Sciences	4,897	776	5,673	4,874	85.92%	2,583	45.53%	1,395	24.59%	2,247	39.61%
Other University Support	1,922	45,430	47,352	46,473	98.14%	31,448	66.41%	21,182	44.73%	18,556	39.19%
Pharmacy	4,173	773	4,946	4,345	87.85%	2,534	51.23%	1,448	29.28%	2,228	45.05%
President's Funds	0	3,908	3,908	3,857	98.69%	3,156	80.76%	1,439	36.82%	2,132	54.55%
Public Health	5,063	791	5,854	5,403	92.30%	3,061	52.29%	2,495	42.62%	2,751	46.99%
Social Work	7,776	810	8,586	7,425	86.48%	3,667	42.71%	1,894	22.06%	2,930	34.13%
Student Affairs	0	8,793	8,793	8,675	98.66%	6,905	78.53%	3,526	40.10%	4,077	46.37%
Undergraduate Education	0	927	927	904	97.52%	694	74.87%	425	45.85%	384	41.42%
University Press	0	789	789	764	96.83%	547	69.33%	283	35.87%	290	36.76%
Unspecified School	17,663	0	17,663	12,652	71.63%	7,034	39.82%	2,493	14.11%	3,967	22.46%
UW Bothell	7,294	822	8,116	7,646	94.21%	4,056	49.98%	2,731	33.65%	1,427	17.58%
UW Medicine	22,550	34,146	56,696	53,091	93.64%	31,547	55.64%	13,310	23.48%	17,256	30.44%
UW Tacoma	8,374	837	9,211	8,672	94.15%	4,636	50.33%	2,847	30.91%	1,342	14.57%
Total	385,419	187,861	490,116	424,010	86.51%	210,579	42.97%	108,879	22.21%	136,465	27.84%

Database Trends



Source: University Advancement, Information Management Report # 83854

REPORT OF CONTRIBUTIONS, UNIVERSITY OF WASHINGTON November 2008

All Areas

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Update on the Faculty/Staff/Retiree Campaign for Students

This item is for information only and will be an oral presentation at the meeting.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

FY 2008 Advancement Returns

For information only.

Attachment follows.

Costs Per Dollar Raised

Fiscal Year 07-08 and Campaign Averages

Unit	FY 07 - 08 Costs	FY 07 - 08 Gifts and Grants			FY 07 - 08		Eight-Year Average	
	Total Costs	Gifts	Private Grants	Total	Cost/Dollar Gifts Only	Cost/Dollar Gifts & Grants	Cost/Dollar Gifts Only	Cost/Dollar Gifts & Grants
<i>Constituencies</i>								
Arts & Sciences	3,468,499	26,418,196	9,741,069	36,159,265	0.131	0.096	0.151	0.094
Architecture	273,191	2,304,248	248,433	2,552,681	0.119	0.107	0.132	0.098
Business	1,605,488	13,199,767	15,987	13,215,754	0.122	0.121	0.123	0.123
Dentistry	307,333	3,238,874	240,556	3,479,430	0.095	0.088	0.238	0.172
Education	650,008	1,421,858	1,356,448	2,778,306	0.457	0.234	0.218	0.096
Engineering	2,298,495	17,382,089	5,444,512	22,826,601	0.132	0.101	0.076	0.048
Evans School of Public Affairs	343,931	1,669,085	1,681,866	3,350,951	0.206	0.103	0.129	0.032
Forest Resources	485,646	1,695,193	857,225	2,552,418	0.286	0.190	0.183	0.134
Friday Harbor Labs	111,383	553,591	0	553,591	0.201	0.201	0.165	0.140
Graduate School	307,148	1,139,883	69,558	1,209,441	0.269	0.254	0.136	0.086
Information School	325,711	472,709	3,420,680	3,893,389	0.689	0.084	0.454	0.194
Intercollegiate Athletics	1,240,039	20,268,275	0	20,268,275	0.061	0.061	0.057	0.057
KUOW Public Radio	1,908,028	12,124,630	0	12,124,630	0.157	0.157	0.160	0.160
Law	1,074,172	2,803,742	61,600	2,865,342	0.383	0.375	0.090	0.089
Libraries	431,058	1,599,016	0	1,599,016	0.270	0.270	0.270	0.256
Medicine	4,724,980	48,762,535	79,321,869	128,084,404	0.097	0.037	0.086	0.038
Nursing	451,695	2,012,171	1,143,549	3,155,720	0.224	0.143	0.171	0.105
Ocean & Fishery Sciences	389,600	2,684,217	9,626,082	12,310,299	0.145	0.032	0.094	0.036
Pharmacy	302,355	1,916,840	1,121,324	3,038,164	0.158	0.100	0.155	0.097
Public Health	170,760	538,650	9,235,537	9,774,187	0.317	0.017	0.103	0.017
Social Work	382,271	1,320,860	312,850	1,633,710	0.289	0.234	0.287	0.156
University Press	102,611	414,093	0	414,093	0.248	0.248	0.137	0.137
UW Bothell	342,108	302,576	0	302,576	1.131	1.131	0.533	0.423
UW Tacoma	576,655	4,420,118	0	4,420,118	0.130	0.130	0.115	0.115
Scholarships & Student Programs	653,146	6,975,190	100,000	7,075,190	0.094	0.092	0.068	0.066
AVP Constituency Programs	434,091	0	0	0				
Other Constituency ¹	65,890	0	0	0				
Subtotal-Constituencies	23,426,292	175,638,406	123,999,145	299,637,551	0.133	0.078	0.110	0.065
DAR Central Services	15,320,165							
Other		18,467,206	8,601,619	27,068,825				
TOTAL	38,746,457	194,105,612	132,600,764	326,706,376	0.200	0.119	0.177	0.107

* *Total Cost includes Development-wide expenditures for communications, personnel, and operations*

¹. Office of Global Affairs, Provost.

DAR Expenditure History and Projections by Fiscal Year

	00-01*	01-02*	02-03	03-04	04-05	05-06	06-07	07 - 08
Constituency Units	2,228,370	7,625,584	8,673,956	9,388,788	8,984,339	10,347,175	11,371,291	13,317,777
	(20%)	(42%)	(44%)	(46%)	(45%)	(46%)	(46%)	(47%)
<i>University-wide Services:</i>								
Fund Raising¹	3,399,094	4,223,874	4,501,842	4,216,562	4,049,112	4,497,316	4,916,040	5,436,772
	(30%)	(23%)	(23%)	(21%)	(20%)	(20%)	(20%)	(19%)
Marketing & Communications²	1,663,386	1,937,439	2,229,490	2,347,542	2,678,895	2,918,625	3,085,532	3,973,621
	(15%)	(11%)	(11%)	(12%)	(13%)	(13%)	(13%)	(14%)
Other Services³	4,065,498	4,279,868	4,402,957	4,295,779	4,380,320	4,637,280	5,130,218	5,806,792
	(36%)	(24%)	(22%)	(21%)	(22%)	(21%)	(21%)	(20%)
Subtotal:								
University-Wide Services	9,127,978	10,441,181	11,134,289	10,859,883	11,108,327	12,053,221	13,131,789	15,217,185
	(80%)	(58%)	(56%)	(54%)	(55%)	(54%)	(54%)	(53%)
TOTAL	11,356,348	18,066,765	19,808,245	20,248,670	20,092,666	22,400,396	24,503,080	28,534,962
	(100%)	(100%)	(100%)	(100%)	(100%)	(100%)	(100%)	(100%)

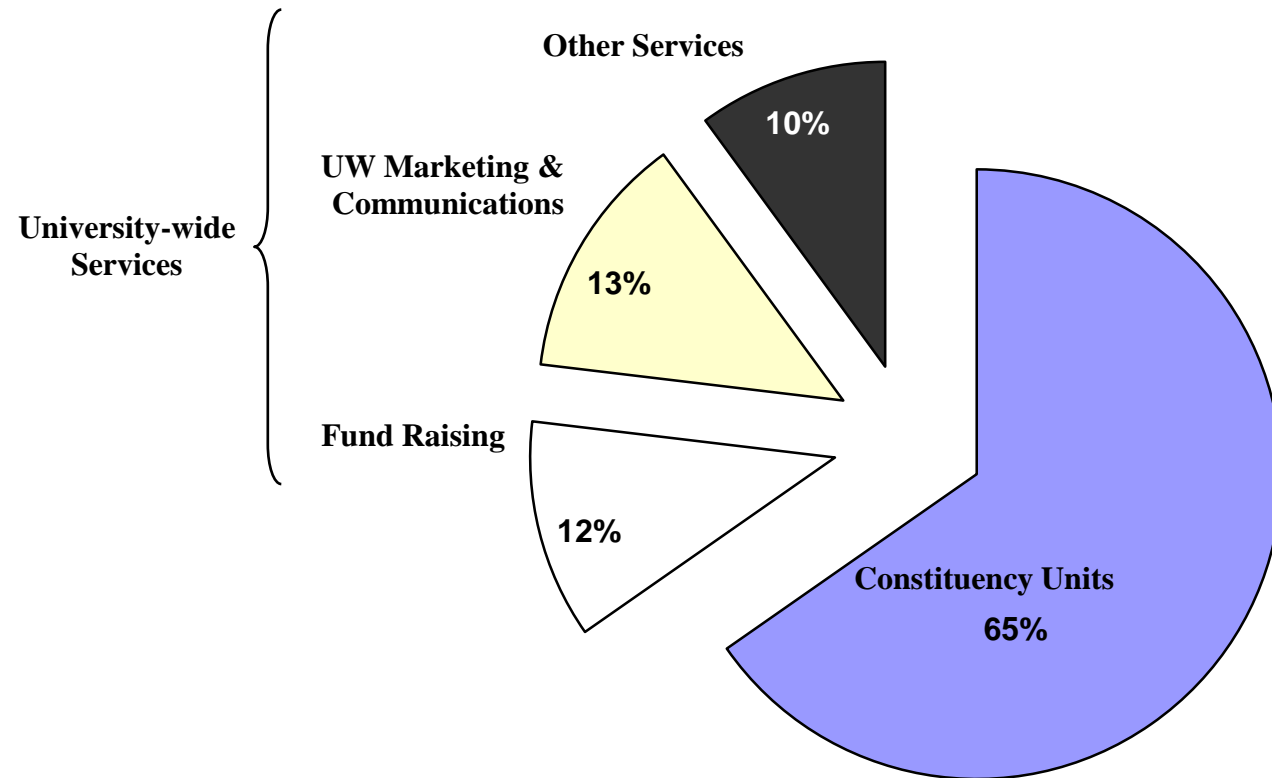
*FY 00 - 01 and FY 01 - 02 Constituency Unit totals include central funds provided directly to UW Medicine Development

1. UW Medicine Development, Student Calling, Annual Giving.

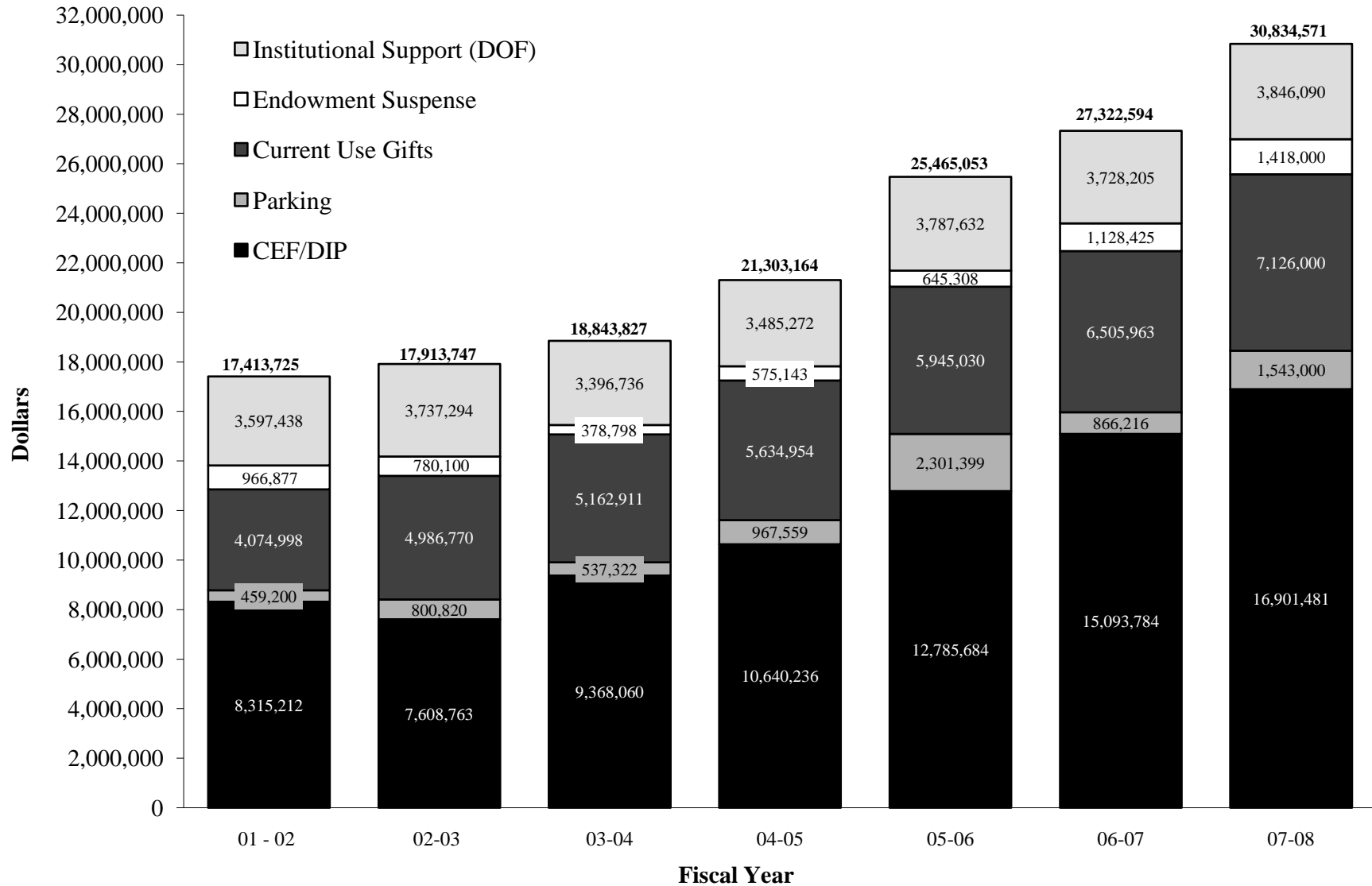
2. UW Marketing and the UW Alumni Association.

3. Development Research and Relationship Management, Advancement Services, DAR Finance and Administration.

**Distribution of Spending Increase
FY01 Compared to FY08**



DAR Revenue Sources



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

2008 Audit Reports of the UW and UWMC-KPMG

Attachments: Letter from KPMG, 12/16/08
UW 2008 Annual Report
UW Medical Center Financial Statements

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

2008 Metropolitan Tract Audit–Peterson Sullivan

Attachments:

UW Metropolitan Tract Required Communication / Closing Conference

UW Metropolitan Tract Financial Report June 30, 2008

UW Metropolitan Tract UNICO Properties

UW Metropolitan Tract The Fairmont Olympic Hotel

UW Metropolitan Tract Rainier Tower Sublease

VII. STANDING COMMITTEE

A. Academic and Student Affairs Committee

In Joint Session With

B. Finance, Audit and Facilities Committee

Budget Updates

This item is for information only and will be an oral presentation at the meeting.

VII. STANDING COMMITTEE

B. Finance, Audit and Facilities Committee

UW Medicine Compliance Update

See Attached.

UW MEDICINE BOARD
ANNUAL COMPLIANCE REPORT TO THE UW BOARD OF REGENTS
January 2009

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PURPOSE OF THE ANNUAL REPORT

Section 1.4.3 of the UW Medicine Board Bylaws requires an annual report 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

INTRODUCTION

In 2008, UW Medicine continued to refine the compliance program infrastructure, address active compliance issues, create new policies to minimize risk, and enhance formal communications. This report reviews the UW Medicine structure and the infrastructure of its compliance programs in order to represent the context and framework within which compliance risks are managed. This report also presents a discussion of current compliance risks, including clinical billing, transaction and code set changes, identity theft initiatives, and the recruitment and retention of qualified compliance staff.

Key compliance policies and issues affecting UW Medicine include clinical billing, information security and privacy, research compliance, and the need to provide education and outreach to UW Medicine personnel.

UW MEDICINE STRUCTURE

UW Medicine includes the following owned or managed entities:

- University of Washington School of Medicine (UWSOM)
- Two non-profit corporations, UW Physicians (UWP) and UW Physicians Network (UWPN)
- University of Washington Medical Center (UWMC)¹
- Harborview Medical Center (HMC)²

UW Medicine is a founding member of three non-profit corporations: a pediatric practice plan, Children's University Medical Group (CUMG), the Seattle Cancer Care Alliance (SCCA), and Airlift Northwest (ALNW)². All physician clinical service at the SCCA is provided by UW Medicine faculty physicians who are members of UWP or CUMG. UW Medicine faculty physicians provide clinical service at Seattle Children's Hospital through CUMG. UW Medicine also has faculty physicians employed at the Puget Sound Veterans Administration Health System hospitals, which are part of the Veterans Administration, a federal agency.

¹ 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.

² Harborview Medical Center (HMC) is owned by King County and governed by a Board of Trustees appointed by King County. Pursuant to a management contract between King County, the Board of Trustees and the UW Board of Regents, UW Medicine manages HMC and provides physician services through UWP. All personnel at HMC, including faculty physicians, are employed by the UW. AirLift Northwest (ALNW) is a non-profit 501C3 organization governed by the founding partners of HMC, UWMC and Seattle Children's. All personnel of ALNW are UW employees or Seattle Children's employees.

UW Medicine has strong affiliations with the Fred Hutchinson Cancer Research Center, Seattle Children's Hospital, and the Puget Sound VA Health System. A key element tying the affiliated entities to UW Medicine is that they are all staffed by UW Medicine faculty who must meet UW Medicine standards and compliance expectations for patient care, teaching, and research activities.

UW MEDICINE COMPLIANCE PROGRAM

Program Structure

All entities of UW Medicine have established compliance offices that are coordinated by Sue Clausen, Chief Compliance Officer for UW Medicine and Associate Vice President for Medical Affairs (CCO/AVP). The compliance officers develop and implement compliance programs to meet a wide range of regulatory requirements, including those governing professional fee billing, hospital facility billing, clinical research billing, privacy, and information security. Each program is structured to provide the following core elements:

- Policies, procedures, and standards of conduct
- Education and outreach activities to inform UW Medicine faculty, staff, students, and trainees about their responsibilities and rights
- Monitoring and auditing activities to detect noncompliance and assess the effectiveness of internal controls
- Mechanisms (including hotlines³) that invite and enable safe reporting of compliance concerns
- Timely and appropriate responses to compliance issues, investigation of reported concerns, and protection of complainant rights
- Appropriate administrative and management responses to noncompliance when it occurs, including sanctions and corrective actions
- On-going assessment, analysis, and response to emerging risks and regulatory developments
- Process improvement projects to enhance compliance efforts or implement operational controls
- Regular evaluations of program effectiveness

Program Infrastructure

UW Medicine's compliance infrastructure facilitates implementation of the program elements. The infrastructure includes formal reporting relationships, defined roles and responsibilities, and channels of communication designed to ensure senior-level executive support, reduce duplication of effort, enhance the flow of information throughout the system, and promote effective system-wide responses to a changing regulatory environment.

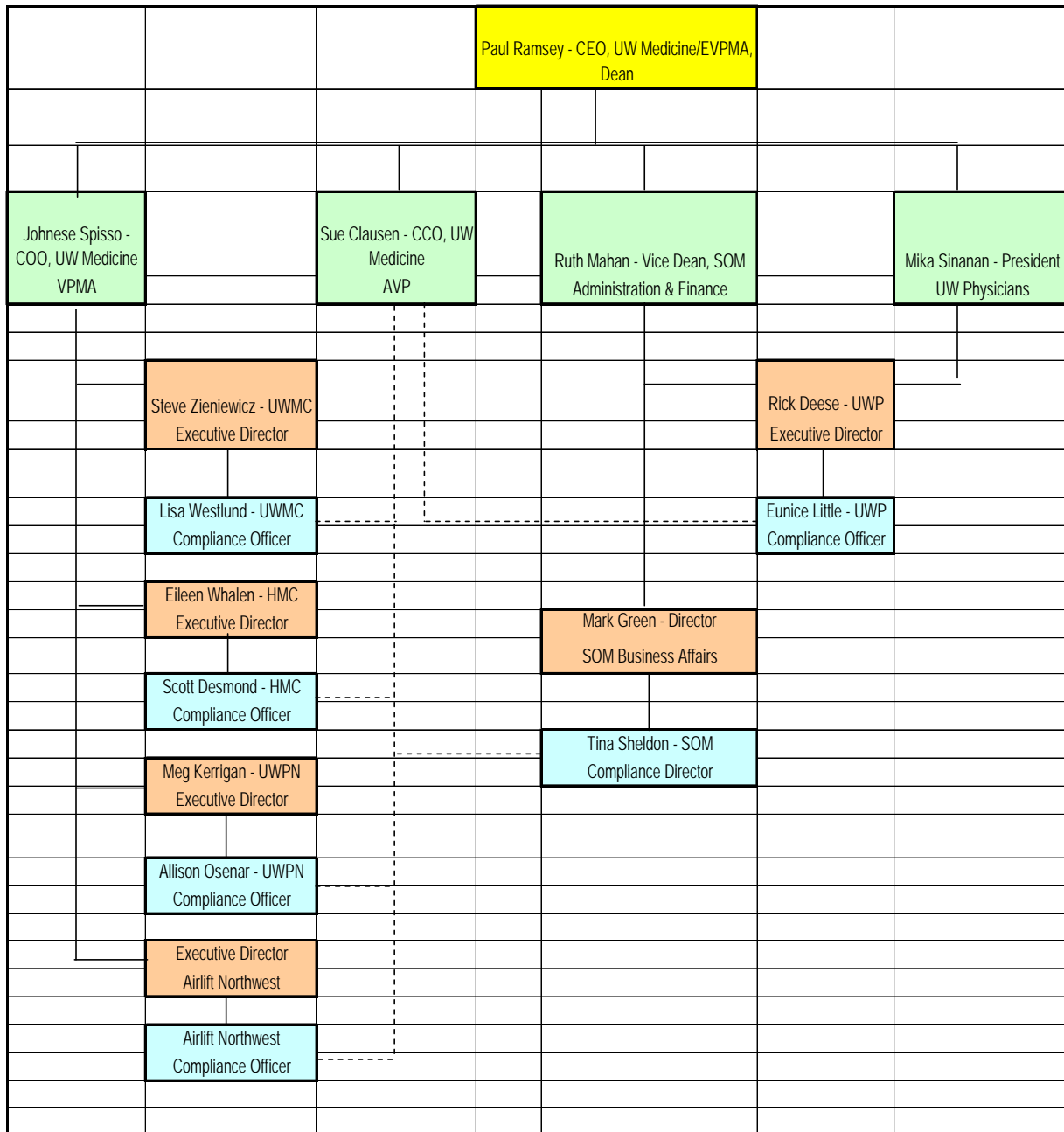
1. ***Reporting Relationships.*** The compliance reporting relationships in UW Medicine (see Figure 1) are based on entity-specific accountability for day-to-day compliance activities, and system-level oversight, planning and coordination. The CCO/AVP provides system-wide oversight and coordination, is a

³ Numerous hotlines at UW Medicine enable anonymous reporting of compliance concerns including the HIPAA help line, HMC's and UWMC's Compliance Help Lines, the UWP/CUMG Hotline, and UWPN's Compliance Help Line. The UWSOM is working to institute a compliance phone line for SOM faculty, staff, students, and trainees.

member of UW Medicine's senior leadership team, and serves as an ex-officio member of each entity's compliance committee.

Figure 1

UW Medicine Compliance Reporting Relationships



2. **Compliance Roles and Responsibilities.** UW Medicine expects all faculty, staff, students, and trainees to meet the professional, ethical and regulatory standards associated with their individual roles. Toward that end, all UW Medicine faculty, staff, students, and trainees are expected to

understand and adhere to compliance policies and procedures, participate in required training, fulfill recordkeeping requirements, report compliance concerns, seek clarification when questions arise, and respond in a timely manner to requests for information associated with internal audits or investigations. These expectations are conveyed in new employee orientations, mandatory and voluntary training, regular communications from compliance officers and senior leaders, HMC and UWMC "Integrity at Work" brochures, and the UWP/CUMG Code of Conduct.

Persons in management or supervisory positions have additional responsibilities, including communicating compliance expectations, ensuring that appropriate training is taken, implementing and enforcing policies, monitoring compliance, and providing personal support of compliance initiatives.

Compliance officers work closely with each other and their respective organizations to develop procedural safeguards, receive and investigate allegations of noncompliance, monitor compliance, conduct audits, and participate in the development and delivery of compliance training.

Paul Ramsey, UW Medicine CEO, has delegated additional specific authorities for key senior leadership positions (see Appendix A).

3. ***Channels of Communication.*** UW Medicine's compliance infrastructure includes numerous communication channels (see Attachment B) to support compliance efforts within each entity, enhance the sharing of information between entities, minimize duplication of effort, and ensure that there are effective responses to the changing regulatory environment. Compliance officers review compliance issues with senior leaders, legal counsel, and external regulatory agencies and consultants in order to assess the level of risk, identify mitigation strategies, and prioritize next steps.

UW Medicine leaders also participate in committees charged with assessing and responding to university-wide compliance issues and risks, including:

- Bruce Ferguson, Chief Financial Officer, UW Medicine and Vice President for Medical Affairs, UW (CFO/VPMA) is a member of the UW Compliance, Operations and Finance (COFi) Council.
- Sue Clausen, CCO/AVP, is a member of both the COFi Council and the COFi Steering Committee. Comprised of UW officials with compliance, operations and finance oversight responsibilities throughout the campus, the COFi council identifies system-wide risks and mitigation strategies.
- Johnese Spisso, Clinical Operations Officer, UW Medicine and Vice President for Medical Affairs, UW (COO/VPMA) is a member of the UW President's Advisory Committee for Enterprise Risk Management (PACERM). Comprised of executive UW officials with senior leadership responsibilities throughout the UW, the PACERM evaluates system-wide risks and identifies response priorities.

Compliance Resources

As noted in previous reports, UW Medicine devotes significant resources to both entity-wide and entity-specific compliance efforts. Approximately 47 FTEs are dedicated specifically to compliance functions. The total annual budget for the compliance offices is approximately \$6.8 million, including \$4.8 million in salaries and benefits, slightly less than \$1 million in supplies/operations/equipment and slightly more than \$1 million in external consulting fees. These figures do not represent the full cost of time, effort and systems devoted to compliance-related activities throughout the organization.

KEY COMPLIANCE POLICIES AND ISSUES

Key compliance issues addressed by UW Medicine during this reporting period include clinical billing, information security and privacy, education and outreach, and research compliance.

Clinical Billing

1. ***Corporate Integrity Agreement/Professional Fee Billing.*** The professional practice plans (UWP and CUMG) are in year five of a five-year Corporate Integrity Agreement (CIA) with the Federal government⁴. The CIA establishes minimum standards for the professional fee billing compliance programs, including training and auditing requirements, reviews by independent external organizations, and annual reporting to the Office of the Inspector General (OIG). In 2008, OIG standards for annual training and auditing, policy review, reporting and external evaluation were satisfied, the annual report was accepted, and results of the independent external review identified a 97.31% confirmation rate for audits conducted by UWP/CUMG auditors. All practice plan policies were updated, and planning began for a post-CIA compliance program.

UWP completed all deliverables identified in a comprehensive workplan that had been established in response to internal reviews conducted in late 2006 and early 2007. A major component of the workplan included identification of a “physician champion” for each clinical department to assist with the implementation of billing policies.

Focused reviews during this reporting period included documentation requirements for review of systems (which concluded with development and dissemination of policy clarification) and consultation billing, which remains under active review.

2. ***Facility Billing.*** During this reporting period, both hospitals were engaged in follow-up reviews and responses to issues that arose late in 2007 and early in 2008 (including short-stay visits, outlier payments, and Medicaid billing). Several new external reviews were conducted and results are still pending. Harborview Medical Center (HMC) was one of ten institutions selected by the OIG to learn about hospital practices for the detection, prevention, reporting and billing of adverse events. They were on site for several months observing hospital systems. Results showed that HMC’s processes were appropriate, and no findings or recommendations were made.
3. ***Clinical Research Billing.*** Clinical research billing continues to be a nationally recognized focus area for academic health centers. Medicare’s National Coverage Decision (NCD) in 2000 was intended to pave the way for greater Medicare beneficiary participation in clinical trials. Preliminary work in this area at UW Medicine commenced in 2001. Task forces 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 supporting and overseeing the clinical trial budgeting and billing system was established in 2005.

⁴ UWP and CUMG were the subject of Federal criminal and civil investigations into allegations of fraudulent Medicare billing between 1999-2004. 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. The civil investigation culminated in a \$35 million settlement and the negotiated CIA.

UW Medicine implemented a series of procedural and coding enhancements at the clinic level in 2007 and 2008 to enhance its systems for ensuring compliance with the federal requirements, including the Clinical Trials Policy released in 2007 by the Centers for Medicare and Medicaid Services (CMS). Principal Investigators (PIs) and study staff on active studies have been trained in the new procedures, and effective January 1, 2009, studies cannot be initiated until PIs and staff have completed the requisite training. UW Medicine also began a new comprehensive Clinical Research Staff training program in 2008 including required curricula in Good Clinical Practices, research billing compliance principles, and correct coding and documentation procedures.

The Clinical Research Billing Audit Program established in 2007 and introduced in last year's report continued to refine its methodology and establish standards for analyzing, documenting and reporting audit results. The program is designed to determine compliance with UW Medicine policies governing clinical research billing, and verify that clinical services provided to research subjects are correctly billed. Studies to be audited are selected according to pre-established risk criteria. As of November 21, audits have been conducted in three UWSOM Departments and four Divisions in the Department of Medicine; 47 draft reports have been issued and 44 reports have been finalized. Summary data shows that only 8 out of 1821 lines of service were incorrectly charged to patient accounts (an error rate of 0.44%, totaling less than \$900). Audit results are used to determine the need for repayments, adjustments, disclosures, policy modifications, procedural changes, and training. It is worth noting that auditors have seen fewer errors since the September 2007 Process Improvement Project for Outpatient Research Services.

Information Security and Privacy

1. ***Information Security.*** The UW Medicine Information Security Program is operated by UW Medicine Information Technology Services (ITS). ITS reported progress toward the following initiatives:
 - Created and filled the new position Associate Director for Security Programs
 - Filled an open Security Analyst position with a Certified Information Systems Auditor and opened a second Security Analyst position with an emphasis on identity and access management
 - Established close working relationship with the UW Office of the CISO, with the Associate Director attending all weekly CISO staff meetings
 - Contributed to UW CISO quarterly risk assessment exercises and collaborated with UW CISO on development of risk transfer guidelines related to IT purchases and data sharing agreements
 - Associate Director began attending monthly meetings of the UW Privacy Assurance and System Security Council
 - Presented proposal to UW Medicine executive leadership team for restructuring the Information Security Program
 - Drafted new program policies and committee charters that form the foundation of a new security program governance model
 - Trained approximately 100 system owners/system operators on their security responsibilities and introduced student feedback forms for improving quality of the course
 - Created new general security awareness training course for all workforce members and implemented in UWMC new employee orientation
 - Collaborated with UW Technology and other partners to integrate new user populations into a central identity repository and establish their eligibility for UW NetID credentials

- On-going audits of accounts and authorizations, and efforts to ensure timely account deactivation when employees change positions or leave UW Medicine
 - Development of strong host level (local) technical security controls to minimize the likelihood and impact of any potential breach, including system owner self audits and technical reviews by security specialists for 125 systems
 - Removal of system administrator privileges for users on centrally managed desktops, preventing infection and spread of Coreflood, which severely impacted some other parts of the UW
2. **Privacy.** Privacy will always be a high priority compliance issue for UW Medicine. The program, established in 2003, experienced an increase in the number of patient complaints during three of the last four quarters. UW Medicine continues to provide on-line training for new employees, awareness communications, individualized department training, and annual competency training.

The privacy program improved its accounting of disclosure reporting for cadaver donations, revised policies to address regulatory changes and improve clarity, and enhanced the electronic medical record audit program.

During this reporting period, the senior leadership team engaged in extensive discussions about the privacy program's infrastructure, and is currently in the process of revising reporting relationships, roles and responsibilities, and channels of communication.

An emerging issue in 2008 raised questions surrounding the use of patient information in blogs and books. This issue has received national attention from various professional organizations, and will be the focus of an internal review and development of internal guidance by UW Medicine in 2009.

Compliance Education and Outreach

In 2007, UW Medicine reported its efforts to 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. In 2008, a full inventory of compliance training was completed; currently in progress is the assessment of UW Medicine's program for HIPAA and Corporate Compliance Training. Findings and recommendations will be presented to leadership in 2009.

Research Compliance

Research compliance areas include human and animal subject protection programs, laboratory safety, export controls, grant funds management, effort certification, and conflicts of interest. Compliance policies and procedures are established by the UW's health science and central research offices. Tina Sheldon, UWSOM Director of Compliance, John Slattery, UWSOM Vice Dean for Research and Graduate Education, and appropriate UW Medicine compliance offices regularly collaborate with central research compliance offices on issues of mutual concern.

ASSESSMENT OF CURRENT COMPLIANCE RISKS

Compliance risks are identified in several ways, including compliance officer assessments, regulatory changes, agency workplans, cases of noncompliance, internal audits and external reviews, feedback from

training sessions, current events and court cases. This section discusses issues of on-going importance (including clinical billing risk assessment, internal and external billing reviews, and post-CIA planning), emerging issues (including changes in the transaction and code sets used to process claims and transmit health information, and the increasing national attention on identity theft), and the lingering concerns associated with recruiting and retaining experienced compliance staff. The executive leadership team of UW Medicine is actively engaged in managing these issues.

Clinical Billing

1. ***Risk Assessment Efforts.*** Compliance officers completed their initial assessment of the clinical reimbursement risk area in 2008. They developed risk statements for billing and cost reporting and reviewed existing internal controls. This information has been shared with the financial officers, who are evaluating internal controls associated with the revenue cycle. These two projects will be aligned during the next several months to prevent duplication of work; compliance officers will engage entity leaders and operational units in the next stage of evaluation. Results will be reported in 2009. In the meantime, both hospitals and practice plans have integrated results of their entity-specific assessments into their existing workplans.
2. ***Internal Auditing and Monitoring.*** Auditing and monitoring are essential to the mitigation of compliance risk, and provide feedback about the effectiveness of internal compliance controls. In 2008, UW Medicine committed itself to assessing where more rigorous programs are needed, identifying resource needs, and modifying organizational accountabilities if necessary. As noted earlier, a clinical research billing audit program commenced full-scale work in Spring, 2008; that effort has produced feedback which is of critical importance to the clinical research billing process improvement project.

The CCO/AVP has charged a sub-group of the Compliance Officers Group with responsibility for establishing UW Medicine-wide audit standards and methodologies. This group, under the leadership of Lisa Westlund, UWMC Compliance Officer, has begun its deliberations, and plans to issue recommendations in the next reporting period.

3. ***External Reviews.*** The Center for Medicare and Medicaid Services (CMS) has expanded its program integrity reviews of providers who bill Medicare and Medicaid. A large number of programs have been developed to screen claims data for potential problems and numerous state and federal programs are either in progress or under development. UW Medicine leadership has been monitoring developments in this area, and has conducted internal educational and assessment activities to determine steps the organization should take to prepare for these reviews. Significant work in this area will continue in a sub-group of the Compliance Officers Group throughout 2009.
4. ***Post CIA Planning.*** UWP and CUMG need to develop and implement post-CIA compliance programs. This effort involves assessment and planning on the part of practice plan leaders and compliance staff. That work is underway, and will continue throughout the next reporting period. CUMG is expected to complete recruitment and hiring of a new full-time compliance officer in 2009 in anticipation of significant expansion of Seattle Children's Hospital and related growth of the CUMG membership.

Transaction and Code Set Changes

HIPAA requires every provider who does business electronically to use the same transactions, code sets, and identifiers. There are ten standard transaction sets for Electronic Data Interchange (EDI) and the transmission of health care data. In August, 2008, CMS published notice of intent to upgrade the current electronic transaction formats effective April, 2010. There is great concern among healthcare organizations and vendors that this timeline is not feasible.

Code sets are used to identify specific diagnosis and clinical procedures on claims and encounter forms. The CMS has announced its intent to implement a new coding nomenclature system (ICD-10) by 2011. ICD-10 allows for more detail and therefore better information-gathering about patients, their conditions and which treatments prove most effective. Implementation will require a massive overhaul of the coding scheme, requiring field size expansion, change to alphanumeric composition, and complete redefinition of code values and their interpretation. According to the Workgroup for Electronic Data Interchange (WEDI), this will be the "most significant overhaul of the medical coding system since the advent of computers". It will also create additional complexity for coders and providers. For example, the current system has five codes for a sprained ankle; ICD-10 has 45, describing which part of the ankle was injured, whether it's the left or right ankle, and whether it's a first-time injury. The UW Medicine leadership team is monitoring developments, participating in the national dialogue, and has begun work to prepare for these changes.

Identity Theft

In 2006, President George Bush issued an executive order establishing the Identity Theft Task Force. The executive order charged 15 federal departments and agencies with crafting a comprehensive national strategy to combat identity theft. The Task Force submitted its Strategic Plan to the President in April 2007, listing 31 recommendations to reduce the incidence and impact of identity theft. The first two recommendations focused on the need to limit the use of social security numbers (SSNs). UW Medicine leaders recognized this issue as a compliance risk, and in 2008, adopted a new policy governing the use and management of SSNs. Increased SSN protections were implemented in the major electronic medical record systems, and further work is planned during 2009.

In February, 2008, the Federal Trade Commission (FTC) released the list of top consumer fraud complaints. For the eighth year in a row, identity theft was the top consumer complaint category, representing 32% of all complaints received by the FTC in 2007. In July 2008, the FTC issued the so-called Red Flag Rules, requiring financial institutions and creditors to develop and implement written identity theft prevention programs. These rules will apply to UW Medicine. Programs must provide for the identification, detection, and response to patterns, practices, or specific activities – known as "red flags" – that could indicate identity theft. UW Medicine has completed an initial gap analysis. Although there are existing internal controls imbedded in the privacy and information security programs, a taskforce has been appointed to determine specific refinements and augmentations to existing policies and practices. Recommendations will be provided to senior leaders early in 2009 to allow adequate time for implementation. UW Medicine leaders will also collaborate with UW officials who are in the process of developing UW-wide policy and practice changes. Enforcement of the requirements has been delayed until May 2009.

According to the FTC report, medical identity theft represents just three percent of all identity theft cases, but that small percentage corresponds to almost a quarter of a million medical identity theft victims in a

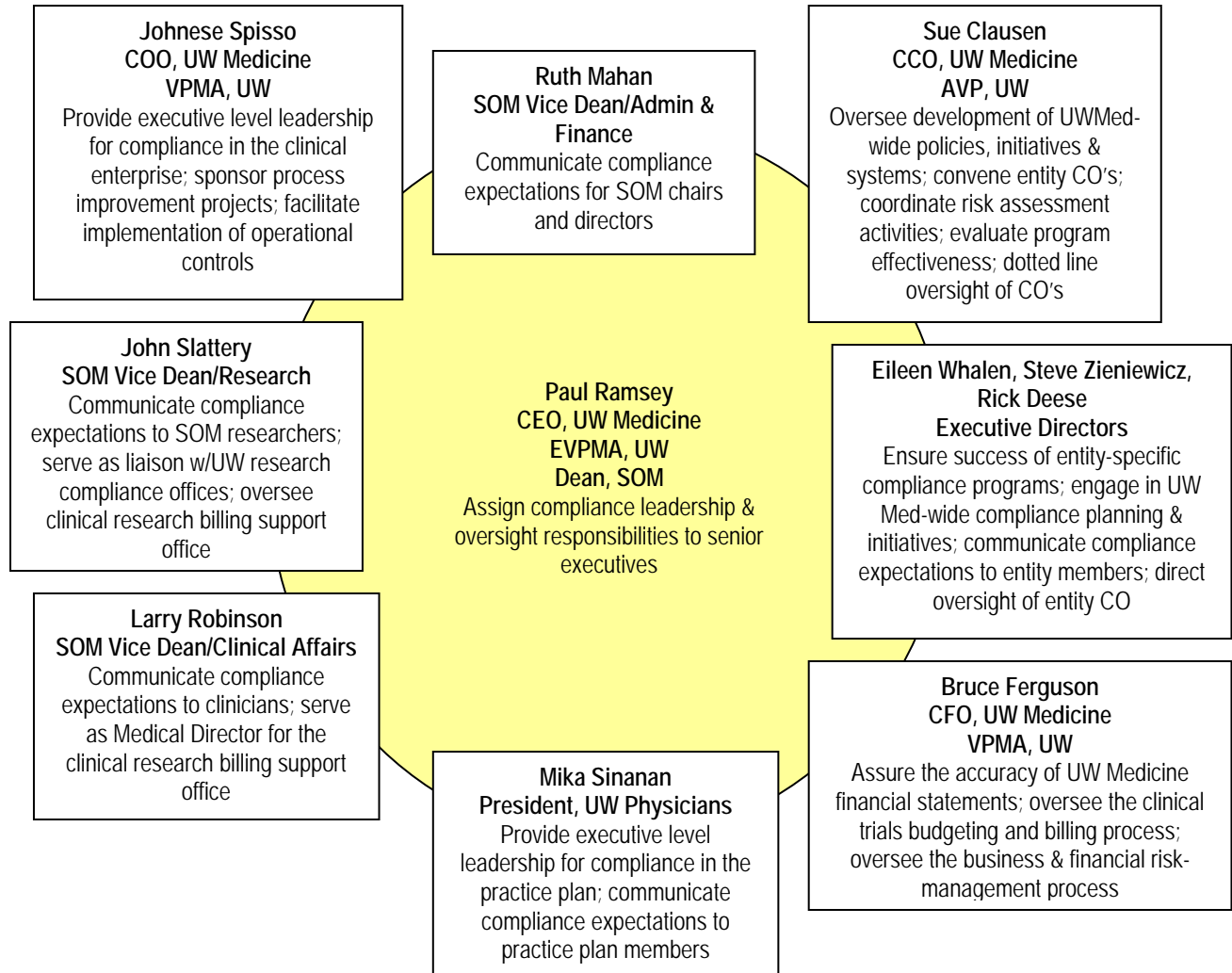
single year. The World Privacy Forum calls medical identity theft "one of the most difficult identity theft crimes to correct". A new patient identification clarification policy was adopted by Harborview Medical Center in May 2008, and will serve as an important foundation for establishing a UW Medicine-wide policy.

Recruitment and Retention of Compliance Staff

The difficulty in recruiting and retaining qualified compliance staff reached a critical state during the 2007 reporting period. Recruitment activities were enhanced, and although the situation has improved, there are still 5 open staff positions among the 47 FTE of funded compliance positions. Of those, 4 FTE are in UWP. Recruitment and retention efforts for compliance staff will remain a top priority for the next reporting period.

ATTACHMENT A

UW Medicine Senior Leadership Compliance Responsibilities



ATTACHMENT B

Channels of Communication for UW Medicine Compliance Issues

Committee/Chair	Committee Role	Membership
UW Medicine Board Compliance Committee, chaired by Shan Mullin (UW Medicine Board member)	This committee has a wide scope of advisory responsibilities including strategic planning, advocacy and support for compliance efforts, and assessment of progress on major compliance matters. The group meets approximately 9 times/year, receives quarterly reports regarding entity-specific program activities, and is briefed at each meeting about urgent, emergent and on-going issues. Minutes of each meeting are provided to the UW Medicine Board.	Voting members include community members, the UW Medicine Board Chair, and Paul Ramsey (CEO, UW Medicine). Non-voting members include senior executive leaders and entity compliance officers. See Attachment C for the full roster.
UWP Compliance and Education Committee, chaired by Richard Veith, MD CUMG Physician Billing & Education Compliance Committee, chaired by Mark DelBeccaro, MD	These committees provide a venue for engaging administrative, clinical and operational leaders in the planning, problem-solving and risk assessment activities associated with key compliance initiatives. The committees work closely with compliance and operations staff to assess risk, establish compliance standards, monitor program effectiveness, implement effective educational and outreach activities, and endorse policies and standards.	Members include executive leaders, physicians, clinical department representatives, legal counsel, training and operational staff, the practice plan and SOM compliance officers, and the CCO/AVP.
UWMC and HMC Executive Compliance Committees, convened by Lisa Westlund, UWMC CO and Scott Desmond, HMC CO	These committees provide a forum for engaging administrative, clinical and operational leaders from the entity in the planning, problem-solving and risk assessment activities associated with key compliance initiatives. The committee members work closely with compliance staff to evaluate urgent and emergent issues, monitor progress toward resolution of compliance issues, and establish strategies for communicating and enforcing expectations to entity staff.	Members include senior administrative and operational leaders from the entity, medical directors, patient financial services representatives, entity legal counsel, and the CCO/AVP.
Compliance Officers Group, chaired by Sue Clausen, CCO/AVP	This group provides a forum for engaging entity compliance officers in the identification of and response to regulatory developments, assessment of risks, and development of mitigation strategies. Subgroups provide a venue for working collaboratively on mutual concerns, establishing system-wide standards, and coordinating the handling of urgent/emergent issues that involve multiple entities.	Members include compliance officers from the primary entities (UWMC, HMC, UWSOM, UWP, CUMG, UWP, SCCA) as well as those from such areas as the General Clinical Research Center, HIPAA Compliance, Pharmacy, Laboratory, Hall Health, Patient Financial Services, School of Dentistry and UW Research Compliance
UW Medicine Operations and Finance Committee, chaired by Paul Ramsey, MD, CEO	This committee provides a venue for engaging senior leaders in the evaluation of, and response to UW Medicine-wide compliance issues.	Members include the CCO/AVP, VPs for Medical Affairs, Vice Deans for Admin/Finance and Clinical Affairs, UWP President, Executive Directors (UWMC, HMC, UWP, UWP), Chief Operating Officers, Chief Financial Officers, SOM Director of Business Affairs, AVP for Community Relations
UW Medicine Clinical Management Committee, chaired by Paul Ramsey, MD, CEO	This committee provides a venue for disseminating new or modified policies, receiving feedback about the compliance culture, identifying best practices for operationalizing compliance requirements, and identifying risks.	Members include the Operations and Finance Committee members, clinical department chairs, and the medical directors of UWMC, HMC and UWP
Clinical Research Billing Oversight Group, chaired by Bruce Ferguson, CFO/VPMA	This committee provides a venue for engaging senior leaders in strategic planning and problem-solving, communicating the status of clinical research billing process improvement projects, assessing risk, reviewing and endorsing policies, and generating communications necessary to support the process improvements or enforce policies.	Members include Executive Directors (UWMC, HMC, UWP); Vice Deans for Research, Admin & Fin, Clinical Affairs; UWP President, UW Human Subjects Division, Dept. of Medicine, AGO, SCCA, FHCRC, CCO/AVP, UWMC & HMC Compliance

ATTACHMENT C
UW Medicine Board Compliance Committee Roster 2008-2009

VOTING MEMBERS

NON-VOTING MEMBERS

Dan Dubitzky ddubitzky@d-z.com 206-467-6709	Sue Clausen sclausen@u.washington.edu 206-543-3098	Rick Nielsen rick.nielsen@seattlechildrens.org 206-987-5925
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University of Washington Board of Regents Customs and Protocols

1. The University is part of the executive branch of state government. Regents are fiduciaries to the University and hold it in trust for the long-term benefit of the public.
2. The Board of Regents is a deliberative body, whose members represent the interests of the public and the entire University, not any of its separate parts.
3. The authority of the Board is collective and does not rest with individual members (except to the extent otherwise specified by the Board).
4. When interacting with various internal and external constituents, individual Regents should make it clear that they are not speaking for the University or the Board (unless they have been specifically granted permission to do so).
5. Other than the conduct of their normal duties, individual Regents should not involve themselves in the internal governance mechanisms of the University without the blessing of the Board, its Chair, or a specific request of the President.
6. The President may ask individual Regents to perform special tasks for the benefit of the University, in addition to their normal duties, which are undertaken under the President's guidance and authority.
7. The Board is responsible for setting university policy in accordance with relevant statutes. The development and administration of policy is delegated to the President, who is held accountable for the same.
8. To request information, a Regent should direct inquiries to the President, Provost, or any senior officer designated by them. Requests for attention to a matter should be directed to the President or the Provost, as appropriate, who will exercise their judgment thereon and report back to the requesting Regent and/or the Board.
9. The President serves under the Board's direction. The Board supports the President's leadership. The Board reviews the President's performance and the Chair is responsible for providing input to the President in that regard.
10. The agendas and workloads of the Board are managed by the Board Chair and Committee Chairs, in consultation with the President and his/her designees. A Regent requesting the inclusion of an item on an agenda may direct such a request to the President, his/her designees, or any of the "Chairs."
11. The Chair of the Board is the Board's spokesperson, unless specifically determined otherwise.
12. The Board seeks to model the behavior it expects from all university constituents. This includes, but is not limited to the following:
 - (a) civility in its meetings and discourse,
 - (b) mutual respect for the views of other Regents,
 - (c) respect for presenters and university representatives,
 - (d) appreciation of the positional power of the Regents and the concept of leadership as a form of service,
 - (e) transparency in all matters before the Board,
 - (f) integrity in all of its dealings.