



**June 3, 2010**

**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

**WEDNESDAY, JUNE 9, 2010**

**5:30 p.m. Hill-Crest SPECIAL MEETING OF THE BOARD**  
Dinner for Regents and Other Guests

**THURSDAY, JUNE 10, 2010**

**7:45 to 8:40 a.m. 142 Gerberding Hall FINANCE, AUDIT AND FACILITIES**  
**COMMITTEE:** Regents Blake (Chr),  
Brotman, Cole, Jewell, Smith

**8:50 a.m. to 12:20 p.m. 142 Gerberding Hall ACADEMIC AND STUDENT AFFAIRS**  
**COMMITTEE:** Regents Barer (Chr),  
Gates, Golden, Harrell, Jewell

*in Joint Session with*

**FINANCE, AUDIT AND FACILITIES**  
**COMMITTEE:** Regents Blake (Chr),  
Brotman, Cole, Jewell, Smith

**12:35 to 1:40 p.m. 142 Gerberding Hall ACADEMIC AND STUDENT AFFAIRS**  
**COMMITTEE:** Regents Barer (Chr),  
Gates, Golden, Harrell, Jewell

**2:00 p.m. Petersen Room REGULAR MEETING OF BOARD OF**  
Allen Library **REGENTS**

**3:30 p.m. Meany Hall UNIVERSITY OF WASHINGTON**  
**AWARDS OF EXCELLENCE**  
**CEREMONY AND RECEPTION**

**5:45 p.m. Walker Ames Room UNIVERSITY OF WASHINGTON**  
Kane Hall **AWARDS OF EXCELLENCE DINNER**

To request disability accommodation, contact the Disability Services Office at: 206.543.6450 (voice), 206.543.6452 (TTY), 206.685.7264 (fax), or email at [dso@uw.edu](mailto:dso@uw.edu). The University of Washington makes every effort to honor disability accommodation requests. Requests can be responded to most effectively if received as far in advance of the event as possible, preferably at least 10 days.



**UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS**

**Finance, Audit and Facilities Committee**  
Regents Blake (Chair), Brotman, Cole, Jewell, Smith

**June 10, 2010  
7:45 to 8:40 a.m.  
142 Gerberding Hall**

- |    |   |                    |     |
|----|---|--------------------|-----|
| 1. | <b>Grant and Contract Awards Summary – April, 2010</b><br>Phyllis M. Wise, Provost and Executive Vice President   | <b>ACTION</b>      | F-1 |
| 2. | <b>Amendment of Chapter 478-136 WAC, Use of University of Washington Facilities, and Amendment of WAC 478-137-130, Administrative Authority</b><br>Gus Kravas, Special Assistant to the Provost   | <b>ACTION</b>      | F-2 |
| 3. | <b>Architectural Commission Membership Appointment</b><br>Richard Chapman, Associate Vice President, Capital Projects Office  | <b>ACTION</b>      | F-3 |
| 4. | <b>Report of Contributions – April, 2010</b><br>Walter G. Dryfoos, Associate Vice President, Advancement Services<br>Connie Kravas, Vice President, University Advancement  | <b>INFORMATION</b> | F-4 |
| 5. | <b>Actions Taken Under Delegated Authority</b><br>Richard Chapman   | <b>INFORMATION</b> | F-5 |
| 6. | <b>Metropolitan Tract Quarterly Report: Q1 as of 3/31/2010</b><br>Jeanette Henderson, Director, Real Estate Office<br>Lisa Stewart, Principal, Urbis Partners, LLC<br>V'Ella Warren, Senior Vice President  | <b>INFORMATION</b> | F-6 |
| 7. | <b>Investment Performance Report, Third Quarter Fiscal Year 2010</b><br>Keith Ferguson, Chief Investment Officer, Treasury Office   | <b>INFORMATION</b> | F-7 |
| 8. | <b>UW Seattle Parking and U-PASS Rate Revisions</b><br>Charles Kennedy, Associate Vice President, Facilities Services<br>Josh Kavanagh, Director, Transportation Services   | <b>ACTION</b>      | F-8 |
| 9. | <b>Seattle Housing Phase II: Sites 29W/42W and 30W – Review Project Concept, Select Architect, Delegate Authority to Award Design Contract, Approve Use of Alternative Public Works, and Delegate Authority to Award Construction Contract</b><br>Jon Lebo, Interim Director, Student Life Projects, Capital Projects Office<br>Rob Lubin, Assistant Director, Facilities & Operations, Housing and Food Services | <b>ACTION</b>      | F-9 |



10.     **Capital Projects Office Semi-Annual Status Report**                             **INFORMATION**   F-10  
           Richard Chapman
11.     **University of Washington Investment Committee (UWINCO)**             **INFORMATION**   F-11  
           **Update**  
           Keith Ferguson
12.     **Other Business**



**UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS**

**Academic and Student Affairs Committee**

Regents Barer (Chair), Gates, Golden, Harrell, Jewell

*In Joint Session with*

**Finance, Audit and Facilities Committee**

Regents Blake (Chair), Brotman, Cole, Jewell, Smith

**June 10, 2010**

**8:50 a.m. to 12:20 p.m.**

**142 Gerberding Hall**

1. **UW Medicine Annual Operations and Governance Report – Strategic Plan Overview** **INFORMATION** F-13  
Johnese Spisso, Vice President for Medical Affairs and COO, UW Medicine
2. **Computerized Physician Order Entry System Project – Establish Project Budget and Delegate Authority to Award Contracts** **ACTION** F-14  
Johnese Spisso
3. **University of Washington Fiscal Year 2011 Operating and Capital Budgets** **ACTION** F-15  
Paul Jenny, Vice Provost, Planning and Budgeting  
Gary Quarfoth, Associate Vice Provost, Office of Planning and Budgeting  
Amy Floit, Director of Budget Operations, Office of Planning and Budgeting
4. **University of Washington Fiscal Year 2011-13 State Operating and Capital Budget Requests – Information Only** **INFORMATION** F-16  
Paul Jenny  
Gary Quarfoth  
Kirk Pawlowski, Assistant Vice Provost, Office of Planning and Budgeting
5. **One Capital Plan Update** **INFORMATION** F-17  
Paul Jenny  
Kirk Pawlowski
6. **Washington State Department of Transportation Preferred Alternative for the SR 520 Project – Informational Update** **INFORMATION** F-18  
Theresa Doherty, Assistant Vice president for Regional Affairs, Office of Regional Affairs

7. **Rainier Vista Pedestrian Land Bridge – Review Project Concept, Approve the Use of Alternative Public Works and Delegate Authority to Award Design Build Contract** **ACTION F-19**  
**Richard Chapman**, Associate Vice President, Capital Projects Office
8. **Closed Session**  
(To discuss planning and strategy for labor negotiations.)
9. **UAW Local 4121 Academic Student Employees Collective Bargaining Agreement – UW Ratification** **ACTION F-20**  
**Mindy Kornberg**, Vice President, Human Resources
10. **Executive Session**  
(To discuss with legal counsel representing the University, litigation or potential litigation to which the University is, or is likely to become, a party, when public knowledge regarding the discussion is likely to result in an adverse legal or financial consequence to the University.)
11. **Executive Session**  
(To discuss with legal counsel representing the University, litigation or potential litigation to which the University is, or is likely to become, a party, when public knowledge regarding the discussion is likely to result in an adverse legal or financial consequence to the University.)
12. **Other Business**



**UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS**

**Academic and Student Affairs Committee**  
Regents Barer (Chair), Gates, Golden, Harrell, Jewell

**June 10, 2010  
12:35 to 1:40 p.m.  
142 Gerberding Hall**

1. **Academic and Administrative Appointments** **ACTION** A-1  
Phyllis M. Wise, Provost and Executive Vice President
2. **Granting of Degrees for 2009-10** **ACTION** A-2  
Phyllis M. Wise
3. **WWAMI-RIDE: Addressing the Needs for Primary Care Medicine and Dentistry in the State and Region** **INFORMATION** A-3  
Wendy Mouradian, Professor, Pediatric Dentistry, School of Dentistry; Associate Dean for Regional Affairs, Dentistry; Director, Regional Initiatives in Dental Education (RIDE); Clinical Professor, Pediatrics, School of Medicine  
Suzanne Allen, Vice Dean for Regional Affairs, School of Medicine; Clinical Associate Professor of Family Medicine  
Anna Torvie, Student, School of Medicine  
Ben Widener, Student, School of Medicine, WWAMI
4. **Approval of new 401(a) Plan Document for Deferred Compensation Arrangements** **ACTION** A-4  
Kathleen S. Dwyer, Executive Director, HR – Benefits & Worklife
5. **Services and Activities Fee – University of Washington, Seattle: 2010-11 Operating and Capital Allocations** **ACTION** A-5  
Eric Godfrey, Vice President, Vice Provost for Student Life  
Megan Stewart, SAF Committee Chair
6. **Services and Activities Fee – University of Washington, Tacoma: Distribution of Fee and Allocation of Funds** **ACTION** A-6  
Patricia Spakes, Chancellor, UW Tacoma  
Cedric Howard, Associate Vice Chancellor for Student Affairs, UW Tacoma
7. **Services and Activities Fee – University of Washington, Bothell: 2010-11 Distribution of Fees and Allocation of Funds** **ACTION** A-7  
Kenyon Chan, Chancellor, UW Bothell  
Lauren Burns, Chair, UW Bothell SAF Committee
8. **Other Business**



## **PRELIMINARY AGENDA**

### **BOARD OF REGENTS** University of Washington

**June 10, 2010**

2:00 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 Simon**
- V. REPORT OF THE UNIVERSITY PRESIDENT: Dr. Emmert**
- VI. CONSENT AGENDA**

Approval of Minutes of Meeting of May 13, 2010

Granting of Degrees for 2009-10 A-2

Approval of new 401(a) Plan Document for Deferred Compensation Arrangements A-4

Services and Activities Fee – University of Washington, Seattle: 2010-11 Operating and Capital Allocations A-5

Services and Activities Fee – University of Washington, Tacoma: Distribution of Fee and Allocation of Funds A-6

Services and Activities Fee – University of Washington, Bothell: 2010-11 Distribution of Fees and Allocation of Funds A-7

Grant and Contract Awards Summary – April, 2010 F-1

Amendment of Chapter 478-136 WAC, Use of University of Washington Facilities, and Amendment of WAC 478-137-130, Administrative Authority F-2

Architectural Commission Membership Appointment F-3

UW Seattle Parking and U-PASS Rate Revisions F-8

Seattle Housing Phase II: Sites 29W/42W and 30W – Review Project Concept, Select Architect, Delegate Authority to Award Design Contract, Approve Use of Alternative Public Works, and Delegate Authority to Award Construction Contract F-9

Computerized Physician Order Entry System Project – Establish Project Budget and Delegate Authority to Award Contracts F-14

University of Washington Fiscal Year 2011 Operating and Capital Budgets F-15

Rainier Vista Pedestrian Land Bridge – Review Project Concept, Approve the Use of Alternative Public Works and Delegate Authority to Award Design Build Contract F-19

## VII. STANDING COMMITTEES

### **A. Academic and Student Affairs Committee: Regent Barer – Chair**

Academic and Administrative Appointments (ACTION) A-1

WWAMI-RIDE: Addressing the Needs for Primary Care Medicine and Dentistry in the State and Region (Information only) A-3

### *Joint Session*

### **A. Academic and Student Affairs Committee: Regent Barer – Chair**

### **B. Finance and Audit Committee: Regent Blake – Chair**

UW Medicine Annual Operations and Governance Report – Strategic Plan Overview (Information only) F-13

University of Washington Fiscal Year 2011-13 State Operating and Capital Budget Requests – Information Only (Information only) F-16

One Capital Plan Update (Information only) F-17

Washington State Department of Transportation Preferred Alternative for the SR 520 Project – Informational Update (Information only) F-18

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

Report of Contributions – April, 2010 (Information only) F-4

Actions Taken Under Delegated Authority (Information only) F-5

Metropolitan Tract Quarterly Report: Q1 as of 3/31/2010 (Information only) F-6

Investment Performance Report, Third Quarter Fiscal Year 2010 (Information only) F-7

Capital Projects Office Semi-Annual Status Report (Information only) F-10

University of Washington Investment Committee (UWINCO) Update (Information only) F-11

**VIII. OTHER BUSINESS**

Reports from ex-officio representatives to the Board:

**Faculty Senate Chair – Professor Bruce Balick**

**ASUW President – Mr. Tim Mensing**

**GPSS President – Mr. Jake Faleschini**

**Alumni Association President – Mr. Eddie Pasatiempo**

**IX. DATE FOR NEXT REGULAR MEETING: July 15, 2010**

**X. ADJOURNMENT**





**AGENDA**  
**BOARD OF REGENTS**  
**UNIVERSITY OF WASHINGTON**

**June 10, 2010**  
**2:00 p.m.**  
**Petersen Room, Allen Library**

(Item No.)

**I. CALL TO ORDER**

**II. ROLL CALL: Assistant Secretary Kelly Keith**

**III. CONFIRM AGENDA**

**IV. REPORT OF THE CHAIR OF THE BOARD OF REGENTS: Regent Simon**

Regents Resolution of Appreciation to Ben Golden (ACTION) BP-1

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

Campus Sustainability Fund Student Presentation (Information only) UP-1

**VI. CONSENT AGENDA**

Approval of Minutes of Meeting of May 13, 2010

Approval of Minutes of Special Meeting of May 27, 2010

Granting of Degrees for 2009-10 A-2

Approval of new 401(a) Plan Document for Deferred Compensation Arrangements A-4

Services and Activities Fee – University of Washington, Seattle: 2010-11 Operating and Capital Allocations A-5

Services and Activities Fee – University of Washington, Tacoma: Distribution of Fee and Allocation of Funds A-6

Services and Activities Fee – University of Washington, Bothell: 2010-11 Distribution of Fees and Allocation of Funds A-7

Grant and Contract Awards Summary – April, 2010 F-1

Amendment of Chapter 478-136 WAC, Use of University of Washington Facilities, and Amendment of WAC 478-137-130, Administrative Authority F-2

Architectural Commission Membership Appointment F-3

UW Seattle Parking and U-PASS Rate Revisions	F-8
Seattle Housing Phase II: Sites 29W/42W and 30W – Review Project Concept, Select Architect, Delegate Authority to Award Design Contract, Approve Use of Alternative Public Works, and Delegate Authority to Award Construction Contract	F-9
Computerized Physician Order Entry System Project – Establish Project Budget and Delegate Authority to Award Contracts	F-14
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UAW Local 4121 Academic Student Employees Collective Bargaining Agreement – UW Ratification	F-20

## VII. STANDING COMMITTEES

### **A. Academic and Student Affairs Committee: Regent Barer – Chair**

Academic and Administrative Appointments (ACTION)	A-1
WWAMI-RIDE: Addressing the Needs for Primary Care Medicine and Dentistry in the State and Region (Information only)	A-3

### *Joint Session*

### **A. Academic and Student Affairs Committee: Regent Barer – Chair**

### **B. Finance and Audit Committee: Regent Blake – Chair**

UW Medicine Annual Operations and Governance Report – Strategic Plan Overview (Information only)	F-13
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Washington State Department of Transportation Preferred Alternative for the SR 520 Project – Informational Update (Information only)	F-18

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

Report of Contributions – April, 2010 (Information only)	F-4
Actions Taken Under Delegated Authority (Information only)	F-5
Metropolitan Tract Quarterly Report: Q1 as of 3/31/2010 (Information only)	F-6

Investment Performance Report, Third Quarter Fiscal Year 2010 (Information only)	F–7
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University of Washington Investment Committee (UWINCO) Update (Information only)	F–11

#### **VIII. OTHER BUSINESS**

Reports from ex-officio representatives to the Board:

**Faculty Senate Chair – Professor Bruce Balick**

**ASUW President – Mr. Tim Mensing**

**GPSS President – Mr. Jake Faleschini**

**Alumni Association President – Mr. Eddie Pasatiempo**

**IX. DATE FOR NEXT REGULAR MEETING:** July 15, 2010

**X. ADJOURNMENT**

## **MINUTES**

### **BOARD OF REGENTS University of Washington**

**June 10, 2010**

The Board of Regents held its regular meeting on Thursday, June 10, 2010, beginning at 2:00 p.m. in the Petersen Room of the Allen Library. The notice of the meeting was appropriately provided to the public and the media.

#### **CALL TO ORDER**

Regent Simon called the meeting to order.

#### **ROLL CALL**

Assistant Secretary Keith called the roll: Present were Regents Simon (Chair), Barer, Brotman, Cole, Gates, Golden, Harrell, Jewell, Smith; Dr. Emmert, Dr. Wise, Ms. Warren, Ms. Goldblatt; ex-officio representatives: Professor Balick, Mr. Faleschini, Mr. Pasatiempo.

Mr. Mensing arrived during the meeting.

Absent: Regent Blake, Mr. Pasatiempo

#### **CONFIRM AGENDA**

The agenda was confirmed as presented.

#### **REPORT OF THE CHAIR OF THE BOARD OF REGENTS: Regent Simon**

**Regents Resolution of Appreciation to Ben Golden** (Agenda no. BP-1) (Action)

Regent Simon read the resolution of appreciation to Student Regent, Ben Golden.

**MOTION:** Upon the recommendation of Regent Simon and the motion made by Regent Jewell, seconded by Regent Smith, the Board voted to approve the Resolution of Appreciation to Ben Golden. Regent Golden abstained from the discussion and vote.

Regent Jewell said Ben has done an exceptional job connecting with students, and added the student regent position is evolving in a way that demonstrates the importance of having a student serve on the Board.

GPSS President, Jake Faleschini, expressed his thanks to Regent Golden on behalf of the students, and thanked him for being a “great colleague and friend.”

Regent Barer commented on Regent Golden’s ability to multi-task.

Regent Simon said Regent Golden was involved and immersed in the issues of the University, showed personal commitment to the position, and commended him for the exemplary job he's done.

Regent Golden said he was humbled by the opportunity to serve as a Regent. He thanked the Regents for taking him seriously. He said he kept his promise to ask tough questions, and he appreciates that everyone listened to his perspective. He is confident in the future of the University of Washington.

Hearty applause for Ben followed.

See Attachment BP-1.

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

Dr Emmert began by adding his thanks to Regent Golden for his service. He said Regent Golden has done a spectacular job, and was able to learn about a complex organization in a short period of time. President Emmert also offered his thanks to student leaders Tim Mensing and Jake Faleschini. He said the University is fortunate to have great student leaders.

**Campus Sustainability Fund Student Presentation** (Agenda no. UP-1) (Information only)

Dr. Emmert introduced University of Washington students Alan Wright, a senior in Environmental Studies; Katie Stultz, a junior in Business; and David Corrado, a junior in Environmental Studies. The students described the process they followed to establish the Campus Sustainability Fund, which will finance student-led projects to increase the University's sustainability and reduce its environmental impact. The funding mechanism is a \$5 quarterly increase in the Services and Activities Fee. The students outlined the four criteria for projects supported by the fund: environmental impact; student leadership and involvement; education, outreach and behavior change; and feasibility, accountability, and sustainability. Establishment of the fund received support from student groups, ASUW and GPSS. Project suggestions include a course on campus sustainability, mapping campus locations for storm water retention facilities, expanding the UW farm to grow produce for UW's dining halls, and creating a campus food co-op to offer locally grown food to students at favorable prices.

Students who helped establish this fund learned that UW students want to take on issues related to sustainability and acquire the knowledge and skills they need to be the next generation of environmental leaders.

Questions and discussion followed.

See Attachment UP-1.

Regent Simon noted there was a group of people gathered in the meeting room. He invited a spokesperson from the group to join the Regents at the meeting table. UW Custodian Netzereab Seare and John Frazier, President of WFSE, the union for the

custodians, expressed their opinions on the University's decision to move swing shift custodians to day shift effective July 6. Regent Simon thanked the group for attending the Board meeting and sharing their viewpoint.

Dr. Emmert introduced the University Architect, Rebecca Barnes and described her background to the Regents. Ms. Barnes said the University Architect position is a part of the Office of Planning and Budgeting. Ms. Barnes told the Regents she feels privileged to be back in Seattle on the beautiful University of Washington campus. She said the campuses are a valuable resource and that this is an exciting and challenging time to be a steward of a major university campus. She hopes to hear the views of all who use the campus, including the Regents. Her work will focus on preservation, advancement and finding ways to share campus facilities. She hopes to develop an easily-articulated vision for planning and design, which will serve as a guide for the creation of an integrated vision for the UW campus. In conclusion, Ms. Barnes noted the important role the physical campus plays in attracting and supporting students, faculty, researchers, and the broader community.

## **CONSENT AGENDA**

Regent Simon noted there were sixteen items for approval on the consent agenda, and asked if any should be removed and returned to the report of a standing committee for discussion. Prior to requesting a motion, Regent Simon asked Regent Golden to repeat the remarks he made in the Joint Committee meeting. Regent Golden said:

"It is important for us to convey the sentiment that this vote about the budget and about tuition is not an easy one for any of us. We are asking students to pay more and simultaneously cope with past, and brace for future, cuts.

A recent article in the New York Times suggested that student debt could be the next mortgage crisis. We are in a community that values equal opportunity; that values socioeconomic mobility. I don't want to inhibit access to higher education. I don't want to challenge assumptions about what it means to be a 'public' school. And I don't want to deter the next great leader, whether from Sumner, like the student we heard today, or Fife, like our President, or Chehalis, like one of our fine Regents. I don't want to deter them from coming to the UW because of sticker shock. I'm proud of our public mission and I'm proud that the UW is a better value than its peers.

But to keep the UW excellent, to keep the UW innovative, and – although it can be counter-intuitive – to keep the UW diverse, we need the resources to attract the best teachers, the best researchers, the best workers, and the best students.

I'm reassured by the Regents' and Administration's commitment to socioeconomic diversity. We all saw it as we fought in Olympia to save the Husky Promise by pushing for the State Need Grant.

I cringe at the thought of raising tuition for \$1,000 for in-state undergraduates today, and a 'yes' vote will be increasing my own tuition next year over \$2,000. But I also know that some things are truly worth paying for.

Things like great faculty and TAs, who make learning exciting, who mentor students, and inspire students to be lifelong learners. Things like smaller class sizes, which empower students to speak their minds and challenge the status quo. A wide-range of course options, libraries open late, an opportunity to collaborate with students who don't look or think like us. Experiential learning, which pushes students outside of the classroom and learning in different environments. Things like a living wage for all staff members.

And world-changing research. Like eradicating malaria, promoting early learning for children, making our daily routines more earth-friendly. These are all things that we've talked about at Regents' meetings this year. Not many places in the history of the universe have discussed what happens when civilizations disappear, what's happening at the bottom of an ocean, what's happening at the far ends of the universe, like our Faculty Senate Chair is discussing. But we do at the University of Washington and we also ask, 'Why are these things happening?'

These things are worth paying for. I hope that our state citizens and our elected officials recognize the importance of these investments; and we will continue to do everything we can to support that. But in the meantime, as we use our resources as efficiently and effectively as possible, we need to make some tough decisions, like the one we're about to make. We need to ask whether future generations can share a bit more of the cost, or whether we can afford to lose some of the great things we do today.

I'm proud that the University of Washington is one of the greatest schools in the world and I intend to keep it that way with my vote. Thank you."

Regent Simon said there were sixteen items for approval on the consent agenda, and called for a motion.

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

**Minutes for the meeting of May 13, 2010**

**Minutes for the special meeting of May 27, 2010**

**Granting of Degrees for 2009-10** (Agenda no. A-2)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve the granting of degrees to those individuals who, in the judgment of the faculty, have satisfied the requirements for their respective degrees during the 2009-2010 academic year.

See Attachment A-2.

**Approval of new 401(a) Plan Document for Deferred Compensation Arrangements**  
(Agenda no. A-4)



It was the Recommendation of the Academic and Student Affairs Committee that the Board of Regents approve the revised Plan Document for the 401(a) Plan for Selected Employees. The revision is required to meet Internal Revenue Code Section 401(a) requirements which are effective during the 2009 – 2010 plan year.

See Attachment A-4.

**Services and Activities Fee – University of Washington, Seattle: 2010-11 Operating and Capital Allocations** (Agenda no. A-5)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve for the Seattle campus:

- 1) Raising the Services & Activities (S&A) Fee level for 2010 - 11 from \$113 per full-time student per quarter to \$117; and
- 2) Allocating \$12,789,999 for 2010 - 11 S&A Fee operating and capital funds.

See Attachment A-5.

**Services and Activities Fee – University of Washington, Tacoma: Distribution of Fee and Allocation of Funds** (Agenda no. A-6)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve the following Services and Activities Fee proposals for the University of Washington Tacoma:

- 1) an increase in the Services and Activities Fee for academic year 2010-11,
- 2) the distribution of Services and Activities Fee for 2010-11; and
- 3) the operating budgets and expenditures recommended for 2010-11.

See Attachment A-6.

**Services and Activities Fee – University of Washington, Bothell: 2010-11 Distribution of Fees and Allocation of Funds** (Agenda no. A-7)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve for the University of Washington Bothell:

- 1) Recommended Services and Activities Fee Budget for 2010-11

See Attachment A-7.

**Grant and Contract Awards Summary – April, 2010** (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 April, 2010, in the total amount of \$66,231,340.

See Attachment F-1.

**Amendment of Chapter 478-136 WAC, Use of University of Washington Facilities, and Amendment of WAC 478-137-130, Administrative Authority** (Agenda no. F-2)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents adopt the amendments to Chapter 478-136 WAC, "Use of University of Washington Facilities," and the related housekeeping amendment to WAC 478-137-030, "Administrative Authority."

See Attachment F-2.

**Architectural Commission Membership Appointment** (Agenda no. F-3)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to appoint John Syvertsen, FAIA, to the University of Washington Architectural Commission, commencing in June 2010, and ending in October 2011 (completing Norman Pfeiffer's remaining year on a three-year term). John fills the vacancy created by Norman Pfeiffer's recent resignation.

See Attachment F-3.

**UW Seattle Parking and U-PASS Rate Revisions** (Agenda no. F-8)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents adopt the attached "Seattle Campus Parking and U-PASS Fee Schedule" effective June 21, 2010 for summer quarter products and effective July 1, 2010 for daily, monthly, and annual products.

See Attachment F-8.

**Seattle Housing Phase II: Sites 29W/42W and 30W – Review Project Concept, Select Architect, Delegate Authority to Award Design Contract, Approve Use of Alternative Public Works, and Delegate Authority to Award Construction Contract** (Agenda no. F-9)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that

1. the President be delegated authority to award a design contract for the Student Housing Phase II: Sites 29W/42W and 30W housing project on the Seattle Campus to the firm of Ankrom Moisan Architects with Feilden Clegg Bradley Studios, subject to successful negotiation of an architectural agreement. In the event of an unsuccessful negotiation with the selected firm, a delegation of authority is requested to open negotiations with the alternate team of Weinstein Architects and Urban Designers with Sasaki Associates, and
2. 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 preconstruction and construction GC/CM contracts to

the selected contractor, subject to the scope, budget, and funding remaining within 10 percent of the established budget.

See Attachment F-9.

**Computerized Physician Order Entry System Project – Establish Project Budget and Delegate Authority to Award Contracts** (Agenda no. F-14)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the President or the President's authorized representative be delegated authority to enter into appropriate contracts and related expenditures and to establish a total project budget not to exceed \$29,163,200 for acquisition and implementation of a Computerized Physician Order Entry system for UW Medical Center and Harborview Medical Center.

See Attachment F-14.

**University of Washington Fiscal Year 2011 Operating and Capital Budgets** (Agenda no. F-15)

It was the recommendation of the administration that the Board of Regents, pursuant to its authority under RCW 28B.20.130, the Bylaws of the Board of Regents, and the Board of Regents Standing Order No. 1, approve the Fiscal Year 2011 operating and capital budgets for the University of Washington that are presented in the following text and tables. In this action item, the Board of Regents, in its sole and independent discretion:

- Adopts the Fiscal Year 2011 Operating Budget;
- Establishes tuition rates for all tuition categories for the 2010-11 academic year;
- Changes selected fees for Fiscal Year 2011;
- Specifies that academic fee increases that are implemented under authority that the Board of Regents has delegated to the president and provost that are consistent with the limitations the Board has specified are reasonable and necessary; and
- Adopts the Fiscal Year 2011 Capital Budget;

See Attachment F-15.

**Rainier Vista Pedestrian Land Bridge - Review Project Concept, Approve the Use of Alternative Public Works and Delegate Authority to Award Design Build Contract** (Agenda no. F-19)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award a \$7.5 million design build contract to Tri-State/INCA subject to confirmed funding being in place, and approve the use of Alternative Public Works for the Rainier Vista Pedestrian Land Bridge Project (RVPLB) which includes lowering a portion of Pacific Place and the construction of the Rainier Vista pedestrian land bridge.

Owing to ongoing funding discussions with other public agencies including Sound Transit and Washington State Department of Transportation (WSDOT), the President

shall be delegated authority to execute the initial task for this contract for \$1 million, and upon receipt of full funding commitments for the entire \$18.8 million project budget, to execute the balance of the contract.

See Attachment F-19.

**UAW Local 4121 Academic Student Employees Collective Bargaining Agreement – UW Ratification** (Agenda no. F-20)

It was the recommendation of the administration that the Board of Regents approve the tentative agreement for a collective bargaining agreement between the University and the UAW Local 4121 that covers approximately 4,200 Academic Student Employees at the University of Washington. This tentative agreement was concluded on June 1, 2010 and ratified by the bargaining unit on June 4, 2010. The duration of the agreement is from June 4, 2010 through April 30, 2011.

See Attachment F-20.

**STANDING COMMITTEES**

**ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regent Barer, Chair**

At the request of Regent Barer, Provost Wise highlighted the appointment of Lisa Graumlich as Dean of the College of the Environment. Dean Graumlich comes to the UW from the University of Arizona.

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

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

See Attachment A-1

**WWAMI-RIDE: Addressing the Needs for Primary Care Medicine and Dentistry in the State and Region** (Agenda no. A-3) (Information only)

Regent Barer reported the committee had an interesting discussion about WWAMI – the Wyoming, Washington, Alaska, Montana, and Idaho joint effort on medical education. Started in 1971, the program provides health care in rural communities in the Pacific Northwest. Based on the WWAMI model, the Dental School founded RIDE – Rural Initiatives in Dental Education – in the same five states.

See Attachment A-3

The Regents also had a number of discussions in the joint committee meeting involving the state budget proposals for the next biennium, including the information about the preparation of the capital and operating budgets.

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

In joint session with

**ACADEMIC AND STUDENT AFFAIRS COMMITTEE:** Regent Barer, Chair

**UW Medicine Annual Operations and Governance Report – Strategic Plan Overview** (Agenda no. F–13)

Regent Smith said the presentation by Johnese Spisso from UW Medicine was exceptional. She presented a report on the implementation of UW Medicine's strategic plan in its first year. Regent Smith said the thorough plan is market and customer focused. The plan was designed to put the energies of UW Medicine to work on the segments of health care that would be the most lucrative and take advantage of the tremendous research advances made by the UW. Regent Smith said UW Medicine did an extraordinary job to improve efficiencies in operations and achieve cost reductions in the hospitals; this should be a model for all health care. He said he saw tremendous opportunities to reduce costs while maintaining the quality of care.

See Attachment F–13.

**University of Washington Fiscal Year 2011-13 State Operating and Capital Budget Requests – Information Only** (Agenda no. F–16)

Regent Smith reported much of the meeting time was spent discussing and approving the 2011 operating and capital budget and discussing the 2011-13 operating and capital budget request. In the budget proposal, he found it encouraging to learn what has been preserved, but sobering to think about the pain imposed in the budget process with no part of the University spared from budget cuts. The 2011-13 budget discussion was even more daunting, with a \$3 billion state deficit projected. Regent Smith said the Board has a lot of work to do in the next few years, but he is confident that everyone will be fully engaged in that work.

See Attachment F–16.

**One Capital Plan Update** (Agenda no. F–17)

See Attachment F–17.

**Washington State Department of Transportation Preferred Alternative for the SR 520 Project – Informational Update** (Agenda no. F–18)

See Attachment F–18.

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

In Regent Blake's absence, Regent Smith provided a report from the Finance, Audit and Facilities Committee meeting.

**Report of Contributions – April, 2010** (Agenda no. F–4) (Information only)

The total gifts received in April, 2010, was \$34,234,173, the total for the year to date is \$245,771,080.

See Attachment F-4.

**Actions Taken Under Delegated Authority** (Agenda no. F-5) (Information only)

See Attachment F-5.

**Metropolitan Tract Quarterly Report: Q1 as of 3/31/2010** (Agenda no. F-6)  
(Information only)

See Attachment F-6.

**Investment Performance Report, Third Quarter Fiscal Year 2010** (Agenda no. F-7)  
(Information only)

See Attachment F-7.

**Capital Projects Office Semi-Annual Status Report** (Agenda no. F-10) (Information only)

See Attachment F-10.

**University of Washington Investment Committee (UWINCO) Update** (Agenda no. F-11) (Information only)

See Attachment F-11.

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

**Faculty Senate Chair:** Professor Bruce Balick

Regent Simon said he has enjoyed working with Professor Balick during his term as Faculty Senate Chair this year.

Professor Balick discussed what he termed “the tempestuous issue of faculty salary policy.” He summarized the situation and said the University is a “victim of our own success.” He explained that Executive Order (EO) 64 and provisions in the faculty code were developed to try to “right the ship and get it moving forward.” Following EO 64, faculty members developed an enormous amount of confidence in EO 64 because the wording was sensible, at least at the time it was written. Until the economic crisis hit, things were going well. Buried in EO 64 was language that turned out to be brittle when funding for salary increases was not available for 2% raises. Since that time faculty have been trying to figure out how to move forward carefully and rebuilding faculty salary policy in a way that would be feasible in both good and less favorable economic times. Since the last Board meeting, President Emmert proposed an extension of EO 29, which suspends, but does not eliminate, the 2% salary increase. The Faculty Senate, at its meeting on May 20, introduced and passed a resolution in opposition.

President Emmert clarified Professor Balick's statement about EO 29, and said EO 29 suspends the *requirement* that there be a 2% increase.

Dr. Balick said a revised version of EO 64, called EO 64 Revised, or EO 64R, went from the Faculty Senate to President Emmert, but was not fully understood by everyone. The Faculty Senate convened a special faculty meeting to discuss faculty salary policy. The outcome of that meeting was another senate resolution stating EO 64R, as proposed, should not be enacted at this time, due to problems of wording, not intent. Faculty members support the reasonable and sensible efforts made by the President and the administration to guard against lawsuits. Professor Balick said he feels that salary policy cannot be created quickly, without broad discussion in the academy. He appreciates the Regents' commitment to the faculty, their esteem for their accomplishments, and their desire to provide a reward when the funding is available. He hopes the newly-elected Faculty Senate Chair and newly-hired University President will provide a fresh start for continued dialogue as to how to build on EO 64 so that it reflects the intent of the administration and faculty.

Regent Cole said he sees that the University's administration and the Board of Regents place faculty salaries as the highest priority. He has seen this demonstrated in words and in action. Regents, however, act as responsible fiscal stewards by balancing the budget with limited resources.

**ASUW President:** Mr. Tim Mensing

Regent Simon thanked Mr. Mensing for serving as ASUW President and said he has enjoyed working with him.

Mr. Mensing thanked everyone for a great year. He recognized the incoming ASUW President, Madeleine McKenna, thanked outgoing ASUW Presidents, Xheni Diko from UW Bothell, and Cruz Credle from UW Tacoma, and welcomed incoming ASUW President Amira Davis from UW Bothell and Rai Nauman Mumtaz from UW Tacoma.

Mr. Mensing reported on various ASUW projects and initiatives. The tri-campus group is expanding the Husky Principles to the Bothell and Tacoma campuses. The Husky Pride Fund will begin to distribute funds in the coming year.

He feels that ASUW serves as the glue for students on campus and directs them to things that make them content as individuals. He said establishing trust and understanding was the key theme to being effective. He gave the specific example of leadership lunches attended by student leaders from various groups, and said he felt they accomplished a lot.

ASUW plans to conduct a voter registration drive in the fall. ASUW worked in collaboration with UW Transportation Services to improve the U-PASS program. Next month they plan to present results from a U-PASS survey.

Mr. Mensing is excited about collaborative learning, including student-facilitated study groups which have the potential to build an open and friendly environment on campus



He thanked Mr. Faleschini and said it had been an honor to work with him.

**GPSS President:** Mr. Jake Faleschini

Mr. Faleschini provided an update on the student groups' transition out of the HUB. He thanked Eric Godfrey and the Office of Student Life for their great work on behalf of students, in general, but especially in conjunction with the HUB transition efforts. He said the HUB closing ceremony and celebrations were fantastic and offered his thanks to Regent Gates for speaking at the event. He looks forward to having a beautiful new building serving the needs of the student body in the future.

Mr. Faleschini said he is excited to have a new group of student leaders and grateful to the outgoing group. He welcomed the Student Regent finalists in attendance at the meeting; saying they were exceptional.

Mr. Faleschini expressed his opinions to the Board on three areas of opportunity and growth.

- 1) Despite the exceptional work of President Emmert and his colleagues in external relations, the University is facing a crisis in state relations, how the University relates to the state's citizens and their willingness to support higher education. The University is facing a crisis in the way it works with the legislature, and how the legislature views the University. He said much of this is associated with the current budget crisis. The University has work to do in this area to make the citizens of Washington state see they can't just love the UW; they have to pay for it, too.
- 2) The University rightfully congratulates itself on how well it does in world rankings, but is driven by success in sciences. Despite some exceptional programs, there is room for growth and work to be done in the social sciences.
- 3) Morale is low. Students are feeling overburdened. They feel they are paying more for less. Faculty, also, feel like they are not being communicated with well enough. Feeling "out of the loop" there is more support for a faculty union on campus. These are things that suggest the need for better communication.

Mr. Faleschini said it had been an exceptional opportunity to learn from everyone on the Board, and he looks forward to working with everyone in the future.

**Alumni Association President:** Mr. Eddie Pasatiempo

Mr. Pasatiempo did not attend the meeting. In his absence, UWAA President-elect Colleen Fukui-Sketchley provided a report from the Alumni Association.

Ms. Colleen Fukui-Sketchley said commencement is an exciting time as UW students become the future generation of UW Alumni Association. UWAA trustees will participate in commencement this year as guardians of the gonfalon. She distributed "grad packs" to Board members and said the grad packs are offered to graduates each year and contain benefits in addition to a membership in the UWAA; 1600 have been sold so far. She announced the inaugural launch of the UW license plate gift program offered to this year's UW graduates, who will receive a free UW affinity license plate sponsored for one year by the non-profit side of the UWAA. The Alumni Association

hopes recipients will continue to renew their license plates annually. Proceeds from the renewals fund student scholarships.

Ms. Fukui-Sketchly distributed copies of the current "Columns" magazine, which highlights this year's recipient of the Alumnus Summa Laude Dignatus, Bruce Nordstrom.

Ms. Fukui-Sketchley said UWAA leadership will transition during the summer, and Regents will be introduced to new board members in the fall. She thanked the Board for the positive relationship between the Board and the UWAA.

#### **DATE FOR NEXT MEETING**

The next regular meeting of the Board of Regents will be held on Thursday, July 15, 2010, at the UW Tower.

Following this meeting, Regents are invited to attend the University of Washington Awards of Excellence Ceremony and Reception at 3:30 p.m., in Meany Hall.

Regent Simon said he looks forward to the annual tradition of Commencement. There will be three ceremonies: UW Tacoma held in Tacoma on Friday, June 11; UW Seattle on Saturday, June 12, at Husky Stadium; and UW Bothell on Sunday, June 13 in Hec Edmundson Pavilion.

#### **ADJOURNMENT**

The regular meeting was adjourned at 3:35 p.m.



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Joan Goldblatt  
Secretary of the Board of Regents

*Approved at the meeting of the Board of Regents on July 15, 2010.*

**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 the Board of Regents approve the appointments to the University faculty and administration as presented on the attached list.

Attachment: Academic and Administrative Appointments

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## **ADMINISTRATIVE APPOINTMENTS**

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### **College of Arts and Sciences**

#### **Department of Scandinavian Studies**

**Sjavik, Jan Ivar**

**Chair, Scandinavian Studies, effective 7/1/2010**

Continuing Appointment:

- Associate Professor, Scandinavian Studies

Degrees:

- PhD, 1979, Harvard University
- MA, 1976, Harvard University
- BA, 1974, Brigham Young University (Utah)

#### **Jackson School of International Studies**

**Kasaba, Resat**

**Director, International Studies, effective 8/16/2010**

Continuing Appointments:

- Professor, International Studies
- Adjunct Professor, Near Eastern Languages and Civilization
- Adjunct Professor, Political Science
- Adjunct Professor, Sociology

Degrees:

- PhD, 1986, State University of New York (Binghamton)
- MA, 1979, State University of New York (Binghamton)
- BS, 1976, Middle East Technical University (Turkey)

### **College of the Environment**

#### **College of the Environment**

**Graumlich, Lisa**

**Dean, College of the Environment, effective 7/1/2010**

**Virginia & Prentice Bloedel Professorship**

**Professor, School of Forest Resources**

Degrees:

- PhD, 1985, University of Washington
- MS, 1978, University of Wisconsin
- BS, 1975, University of Wisconsin

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## ENDOWED APPOINTMENTS

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### School of Medicine

#### Department of Surgery

**Mokadam, Nahush Ashok**

**Lester And Connie LeRoss Endowed Professorship In  
Cardiovascular Surgery, effective 5/1/2010**

Continuing Appointment:

- Assistant Professor without Tenure, Surgery

Degrees:

- MD, 1998, University of Pennsylvania
- BA, 1994, University of Pennsylvania

**Oelschlager, Brant Kurt**

**Byers Endowed Professorship in Esophageal Research,  
effective 7/1/2010**

Continuing Appointment:

- Professor without Tenure, Surgery

Degrees:

- MD, 1995, University of North Carolina (Chapel Hill)
- BA, 1991, Davidson College

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## NEW APPOINTMENTS

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### ROTC

#### Department of Military Science

**Pierce, Ryan N.**

**Assistant Professor, Military Science, effective 9/1/2010**

Prior Non-UW Appointment:

Commander, Washington Army National Guard

Degrees:

- MBA, 2010, City University (Seattle)
- BS, 2000, Central Washington University

### College of Built Environments

#### Department of Architecture

**Borys, Ann Marie**

**Associate Professor without Tenure, Architecture, effective  
6/16/2010**

Prior UW Appointment:

Affiliate Associate Professor, Architecture

Degrees:

- PhD, 1998, University of Pennsylvania
- Master Of Architecture, 1988, Syracuse University
- BArch, 1980, University of Maryland

**Department of Construction Management**

**Migliaccio, Giovanni Ciro**

**Assistant Professor, Construction Management, effective 9/1/2010**

Prior Non-UW Appointment:

Assistant Professor, Civil Engineering Department,  
University of New Mexico

Degrees:

- MS, 2007, University of Texas (Austin)
- PhD, 2007, University of Texas (Austin)
- BS, 2000, Politecnico di Bari (Italy)
- MS, 2000, Politecnico di Bari (Italy)

**College of Arts and Sciences**

**Department of Chemistry**

**Boydston, Andrew**

**Assistant Professor, Chemistry, effective 9/16/2010**

Prior Non-UW Appointment:

Postdoctoral Fellow, Organic Chemistry, California  
Institute of Technology

Degrees:

- PhD, 2007, University of Texas (Austin)
- MS, 2002, University of Oregon
- BS, 2001, University of Oregon

**Chatterjee, Champak**

**Assistant Professor, Chemistry, effective 9/16/2010**

Prior Non-UW Appointment:

Post-doctoral Associate, Synthetic Protein Chemistry, The  
Rockefeller University

Degrees:

- PhD, 2005, University of Illinois
- MSC, 1999, India Institute of Technology
- BSC, 1996, University of Bombay

**Masiello, David**

**Assistant Professor, Chemistry, effective 9/16/2010**

Prior UW Appointment:

Lecturer Part-Time, Chemistry

Degrees:

- PhD, 2004, University of Florida
- BS, 1999, University of Florida

## **Department of Linguistics**

**Levow, Gina-Anne**

**Assistant Professor, Linguistics, effective 9/16/2010**

Prior Non-UW Appointment:

Research Fellow, Department of Computer Science,  
University of Manchester

Degrees:

- PhD, 1998, Massachusetts Institute of Technology
- SM, 1993, Massachusetts Institute of Technology
- BA, 1989, University of Pennsylvania

## **Department of Physics**

**Hertzog, David W.**

**Professor, Physics, effective 9/1/2010**

Prior Non-UW Appointment:

Professor, Physics, University of Illinois, Urbana-  
Champaign

Degrees:

- PhD, 1983, College of William and Mary
- MS, 1979, College of William and Mary
- BA, 1977, Wittenberg University

**Kammel, Peter**

**Research Professor, Physics, effective 8/1/2010**

Prior Non-UW Appointment:

Research Associate Professor, University of Illinois,  
Urbana-Champaign

Degree:

- PhD, 1982, University of Vienna (Austria)

## **Department of Slavic Languages and Literatures**

**Belic, Bojan**

**Senior Lecturer, Full-time, Slavic Languages and  
Literatures, effective 6/16/2010**

Prior UW Appointment:

Lecturer, Full-time, Slavic Languages and Literatures

Degrees:

- MA, 2000, University of Illinois
- BA, 1998, University of Belgrade (Serbia)

## **Business School**

### **Department of Accounting**

**Thornock, Jake**

**Acting Assistant Professor, pending Ph.D., Accounting,  
effective 7/1/2010**

Degrees:

- PhD - Expected, 2010, University of North Carolina
- BS, 2006, Brigham Young University (Utah)
- MA Accounting, 2006, Brigham Young University (Utah)



## **School of Dentistry**

### **Department of Pediatric Dentistry**

**da Fonseca, Marcio Antonio**

**Clinical Professor, Dental Pathway, Pediatric Dentistry,  
effective 7/15/2010**

Prior Non-UW Appointment:

Clinical Professor, Pediatric Dentistry, Ohio State  
University

Degrees:

- MS, 1991, University of Minnesota
- DDS, 1988, Universidad Federal de Rio de Janeiro  
(Brazil)

### **Department of Periodontics**

**Nociti, Francisco Humberto**

**Visiting Professor, Periodontics, effective 8/1/2010**

Prior Non-UW Appointment:

Professor and Chair of Periodontics, School of Dentistry  
at Piracicaba/UNICAMP, Brazil

Prior UW Appointment:

Affiliate Associate Professor, Periodontics

Degrees:

- PhD, 1997, State University of Campinas (Piracicaba)
- MS, 1994, State University of Campinas (Piracicaba)
- DDS, 1988, Catholic University

## **College of Engineering**

### **Department of Human Centered Design and Engineering**

**Kephart, Kerrie**

**Visiting Assistant Professor, Human Centered Design and  
Engineering, effective 8/16/2010**

Prior Non-UW Appointment:

Assistant Professor, University of Texas at El Paso

Degrees:

- PhD, 2005, University of Wisconsin (Madison)
- MA, 1998, University of Wisconsin (Madison)
- BS, 1985, Pennsylvania State University

## **School of Law**

### **School of Law**

**Fan, Mary**

**Assistant Professor, Law, effective 9/16/2010**

Prior Non-UW Appointment:

Assistant Professor, Law, American University  
Washington College of Law

Degrees:

- MPHIL, 2008, University of Cambridge (UK)
- JD, 2003, Yale University
- BA, 2000, University of Arizona

**Krug, Anita**

**Assistant Professor, Law, effective 9/16/2010**

Prior Non-UW Appointment:

Lecturer, Law, University of California, Berkeley

Degrees:

- PhD, 2000, Harvard University
- JD, 1997, Harvard University
- AM, 1996, Harvard University
- BA, 1991, Kansas State University

**School of Medicine**

**Department of Anesthesiology and Pain Medicine**

**Hawkins, Brian J.**

**Assistant Professor, Anesthesiology and Pain Medicine, effective 6/1/2010**

Prior Non-UW Appointment:

Research Scientist, Biochemistry, Temple University

Degrees:

- PhD, 2003, Virginia Polytechnic Institute and State University
- MS, 2000, University of Pennsylvania
- BS, 1998, Pennsylvania State University

**Department of Bioethics and Humanities**

**Blacksher, Erika A.**

**Assistant Professor, Bioethics and Humanities, effective 6/1/2010**

Prior Non-UW Appointment:

Research Scholar, The Hastings Center

Degrees:

- PhD, 2007, University of Virginia
- MA, 1996, University of Virginia
- BA, 1986, University of Kansas
- BS, 1986, University of Kansas

**Department of Medicine**

**Cirulli, Vincenzo**

**Associate Professor without Tenure, Medicine, effective 4/1/2010**

Prior UW Appointment:

Acting Associate Professor, Medicine

Degrees:

- PhD, 1993, University of Geneva (Switzerland)
- MD, 1986, University of Rome (Italy)

**Cooper, Stephanie Michele**

**Assistant Professor without Tenure, Medicine, effective 4/1/2010**

Prior UW Appointment:

Acting Instructor, Medicine

Degrees:

- MD, 2002, University of Washington
- MS, 1998, University of Washington
- BA, 1992, Brown University

**Jones, Robin**

**Associate Professor without Tenure, Medicine, effective 5/20/2010**

Prior Non-UW Appointment:

Locum Consultant, Royal Marsden Hospital

Degrees:

- MD, 2008, University of London (UK)
- Bachelor of Medicine, Bachelor of Surgery (MB BS), 1996, Guy's Hospital Medical School (UK)
- BSC, 1993, Guy's Hospital Medical School (UK)

**Department of Neurological Surgery**

**Doi, Atsushi**

**Research Assistant Professor, Neurological Surgery, effective 5/1/2010**

Prior UW Appointment:

Visiting Scientist, Neurological Surgery

Degrees:

- PhD, 2002, Kyushu University (Japan)
- MBA, 1996, Kyushu University (Japan)

**Department of Psychiatry and Behavioral Sciences**

**Walker, Sarah Cusworth**

**Research Assistant Professor, Psychiatry and Behavioral Sciences, effective 5/16/2010**

Prior Non-UW Appointment:

Research Scientist, Psychiatry and Behavioral Sciences, University of Washington

Prior UW Appointment:

Senior Fellow, Psychiatry and Behavioral Sciences

Degrees:

- PhD, 2005, University of Southern California
- MS, 2001, Brigham Young University (Utah)
- BS, 1999, Brigham Young University (Utah)

**School of Public Health**

**Department of Biostatistics**

**Shojaie, Ali**

**Assistant Professor, Biostatistics, effective 9/16/2010**

Degrees:

- MS, 2010, University of Michigan
- PhD, 2010, University of Michigan
- MS, 2005, Michigan State University
- MSC, 2001, Amir Kabir University of Tech (Iran)
- BSC, 1998, Iran University of Science and Technology

**Witten, Daniela Mottel**

**Acting Assistant Professor, pending Ph.D., Biostatistics,  
effective 9/1/2010**

Degrees:

- PhD - Expected, 2010, Stanford University
- MS, 2006, Stanford University
- BS, 2005, Stanford University

**University of Washington, Bothell**

**Business Program, Bothell**

**Galvin, Benjamin Martell**

**Acting Assistant Professor, pending Ph.D., Business, Bothell,  
effective 9/1/2010**

Degrees:

- PhD - Expected, 2010, Arizona State University
- MBA, 2003, Brigham Young University (Utah)
- BA, 2000, Brigham Young University (Utah)

**Hutchens, Walter Corry**

**Lecturer, Full-time, Business, Bothell, effective 9/16/2010**

Prior Non-UW Appointment:

Associate Professor, Whitworth University

Degrees:

- JD, 1999, Washington University
- MA, 1999, Washington University
- BA, 1990, Samford University

**Keskin, Tayfun**

**Acting Assistant Professor, pending Ph.D., Business, Bothell,  
effective 9/1/2010**

Degrees:

- PhD - Expected, 2010, University of Texas (Austin)
- MBA, 2004, Sabanci University, (Turkey)
- BSC, 2001, Bogazici University (Istanbul)

**Computing and Software Systems Program, Bothell**

**Socha, David Grimes**

**Assistant Professor, Computing and Software Systems,  
Bothell, effective 9/1/2010**

Prior Non-UW Appointment:

Agile Coach, Solutions IQ

Degrees:

- PhD, 1991, University of Washington
- MS, 1987, University of Washington
- BS, 1982, University of Wisconsin

## **Education Program, Bothell**

### **Au, Wayne Wah Kwai**

**Assistant Professor, Education, Bothell, effective 9/1/2010**

Prior Non-UW Appointment:

Assistant Professor, Secondary Education, California State University, Fullerton

Degrees:

- PhD, 2007, University of Wisconsin
- BA, 1999, Evergreen State College
- Master In Teaching, 1996, Evergreen State College

### **Hintz, Allison Beth**

**Assistant Professor, Education, Bothell, effective 9/1/2010**

Degrees:

- PhD, 2010, University of Washington
- MED, 2002, University of Washington
- BA, 1996, Washington State University

## **Nursing Program, Bothell**

### **Ezeonwu, Mabel Chiemeka**

**Assistant Professor, Nursing, Bothell, effective 9/1/2010**

Prior UW Appointment:

Acting Assistant Professor, temporary, Nursing, Bothell

Degrees:

- PhD, 2008, University of Washington
- BS, 2003, University of Washington
- BS, 1989, University of Nigeria

### **Madison, Elizabeth Armstrong**

**Senior Lecturer, Full-time, Nursing, Bothell, effective 9/16/2010**

Prior UW Appointment:

Lecturer Full-Time, Nursing, Bothell

Degrees:

- PhD, 2007, University of Washington
- BSN, 2000, University of Washington
- BA, 1986, Western Washington University

### **Resnick, Jerelyn Anderson**

**Senior Lecturer, Full-time, Nursing, Bothell, effective 9/16/2010**

Prior UW Appointment:

Lecturer Full-Time, Nursing, Bothell

Degrees:

- PhD, 2002, University of Washington
- MN, 1987, University of Washington
- BSN, 1980, University of Iowa

**Shirley, Jamie Lynn**

**Lecturer, Full-time, Nursing, Bothell, effective 9/16/2010**

Prior UW Appointment:

Lecturer Part-Time, Nursing, Bothell

Degrees:

- PhD, 2005, University of Washington
- MSN, 1990, University of Pennsylvania
- BSN, 1988, University of Pennsylvania
- BA, 1986, Stanford University

**Wade, Christopher Howard**

**Assistant Professor, Nursing, Bothell, effective 9/1/2010**

Prior Non-UW Appointment:

Postdoctoral Fellow, National Human Genome Research  
Institute, National Institutes of Health

Degrees:

- MPH, 2008, Johns Hopkins University
- PhD, 2005, Wesleyan College
- BA, 2000, Wesleyan College

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Granting of Degrees for 2009-10

#### RECOMMENDED ACTION:

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve the granting of degrees to those individuals who, in the judgment of the faculty, have satisfied the requirements for their respective degrees during the 2009-2010 academic year.

#### BACKGROUND:

The statutes of the State of Washington require that the Board of Regents approve the granting of degrees to those individuals who have satisfied the requirements for their respective degrees. Similar action is taken each year by the Board of Regents.

Approximately 13,445 degrees will be awarded this academic year. For work completed at the University of Washington, Seattle, students will receive an estimated 11,550 degrees, specifically: 7,500 bachelor's degrees, 2,805 master's degrees, 510 professional degrees and 735 doctoral degrees. For work completed at the University of Washington, Bothell, students will receive about 835 degrees, including 690 bachelor's degrees and 145 master's degrees. For work completed at the University of Washington, Tacoma, students will receive about 1,060 degrees, including 870 bachelor's degrees and 190 master's degrees.

Last year a total of 12,628 degrees was awarded: At Seattle, 7,152 bachelor's degrees, 2,672 master's degrees, 497 professional degrees (Law, 164, Medicine, 180, Dentistry, 54, Pharmacy, 99), and 686 doctoral degrees; at Bothell, 557 bachelor's degrees and 128 master's degrees; and at Tacoma, 749 bachelor's degrees and 187 master's degrees.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

WWAMI-RIDE: Addressing the Needs for Primary Care Medicine and Dentistry in the State and Region

INFORMATION ONLY

*Attachments*

*WWAMI attachments:*

Allen Biosketch

Map of WWAMI Region

“From Concept to Culture: The WWAMI Program at the University of Washington School of Medicine” (article)

“Medical Students Reach Out to Rural Communities in ‘WWAMI Land’” (JAMA article)

“Regional Solutions to the Physician Workforce Shortage: The WWAMI Experience” (article)

*RIDE attachments:*

Mouradian Biosketch

Article from Dental Alumni News: “Regional Initiatives in Dental Education”

“Classroom is among UW’s Most Advanced” (article)

“RIDE Swings into Second Year at Riverpoint” (article)

1<sup>st</sup> Year RUOP and Fourth Year Community Outreach Rotation Sites and Number of Student Rotations





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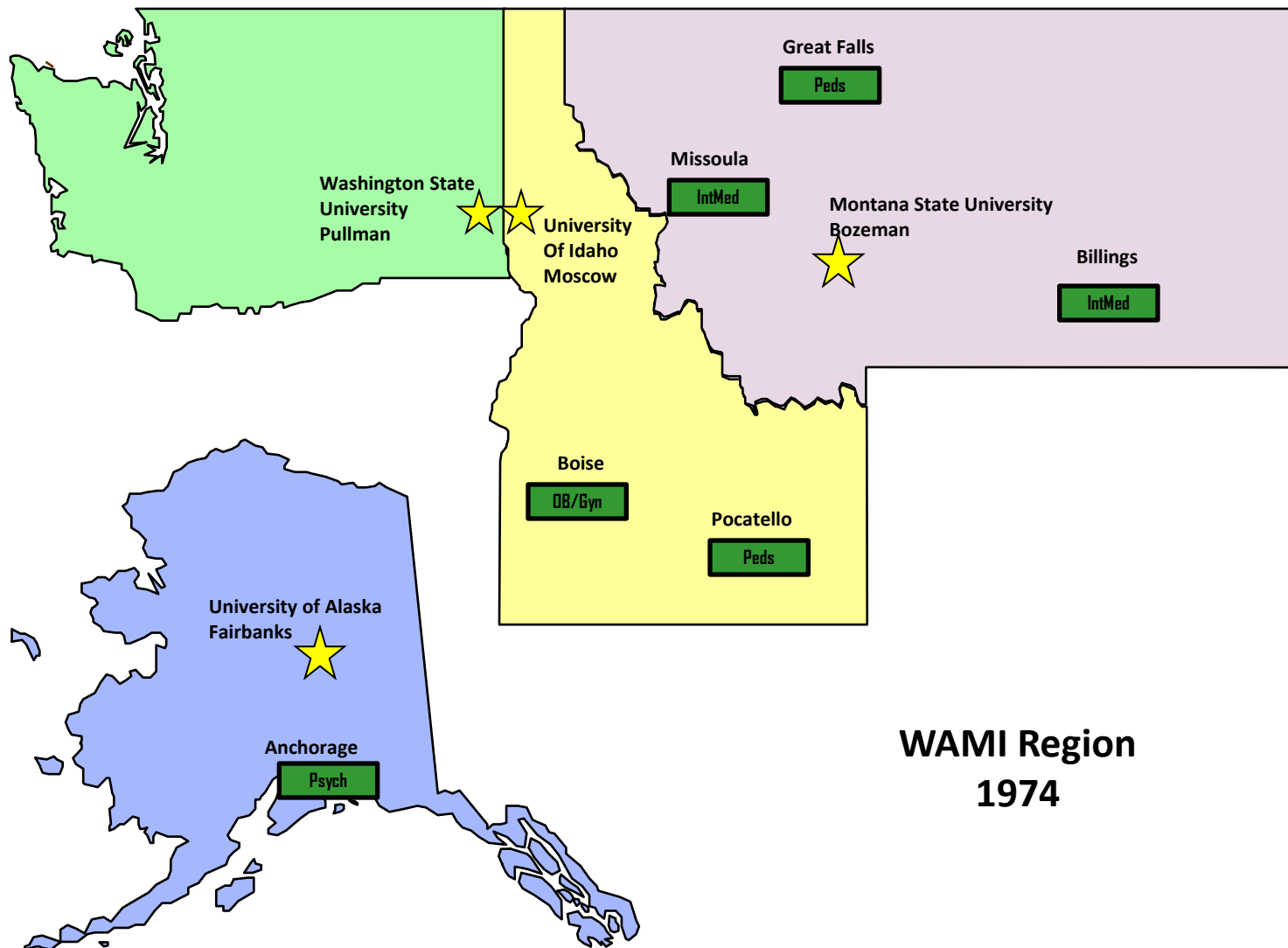
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Dr. Suzanne Allen was appointed to the position of Vice Dean for Regional Affairs for the University of Washington School of Medicine in December of 2009. Prior to her new role as Vice Dean, Dr. Allen was the Assistant Dean for Regional Affairs and Rural Health and Idaho WWAMI Clinical Medical Education Coordinator. Following four years of active duty practicing at Ellsworth AFB and Andrews AFB, Dr. Allen joined the physician faculty at the Family Medicine Residency of Idaho in 1999. Before joining the Idaho WWAMI office in 2006, she was the Assistant Director and Medical Student Clerkship Coordinator at the Family Medicine Residency of Idaho. Dr. Allen holds a Clinical Associate Professor faculty position within the Department of Family Medicine at the University of Washington School of Medicine. Dr. Allen is committed to medical education and rural healthcare. As the Vice Dean for Regional Affairs, Dr. Allen helps with the WWAMI program and Area Health Education Centers across the Washington, Wyoming, Alaska, Montana and Idaho region.

**UW Medicine**  
SCHOOL OF MEDICINE

To learn more about UW School of Medicine visit <http://uwmedicine.washington.edu/Pages/default.aspx>



**WAMI Region  
1974**

# WWAMI Program Site Map 2009-2010

UW Medicine  
SCHOOL OF MEDICINE



1st Year sites (Uni-  
versity Phase)



Area Health Education  
Center (AHEC)



WWAMI Rural Integrated  
Training Experience (WRITE)



Rural / Underserved  
Opportunities Program (R/UOP)

## Req. Clerkship Sites

CC	Chron Care
EMd	Emerg Med
Fam	Fam Med
IntMd	Internal Med
Neuro	Neurology

Ob/G	Ob/Gyn
Peds	Pediatrics
Psych	Psychiatry
Surg	Surgery

## Residency Programs

Fam	Fam Med
IntMd	Internal Med
Ob/G	Ob/Gyn
Peds	Pediatrics
Psych	Psychiatry



WWAMI Rural Residency Rotations



Family Medicine



Internal Medicine



Ob/Gynecology



Pediatrics



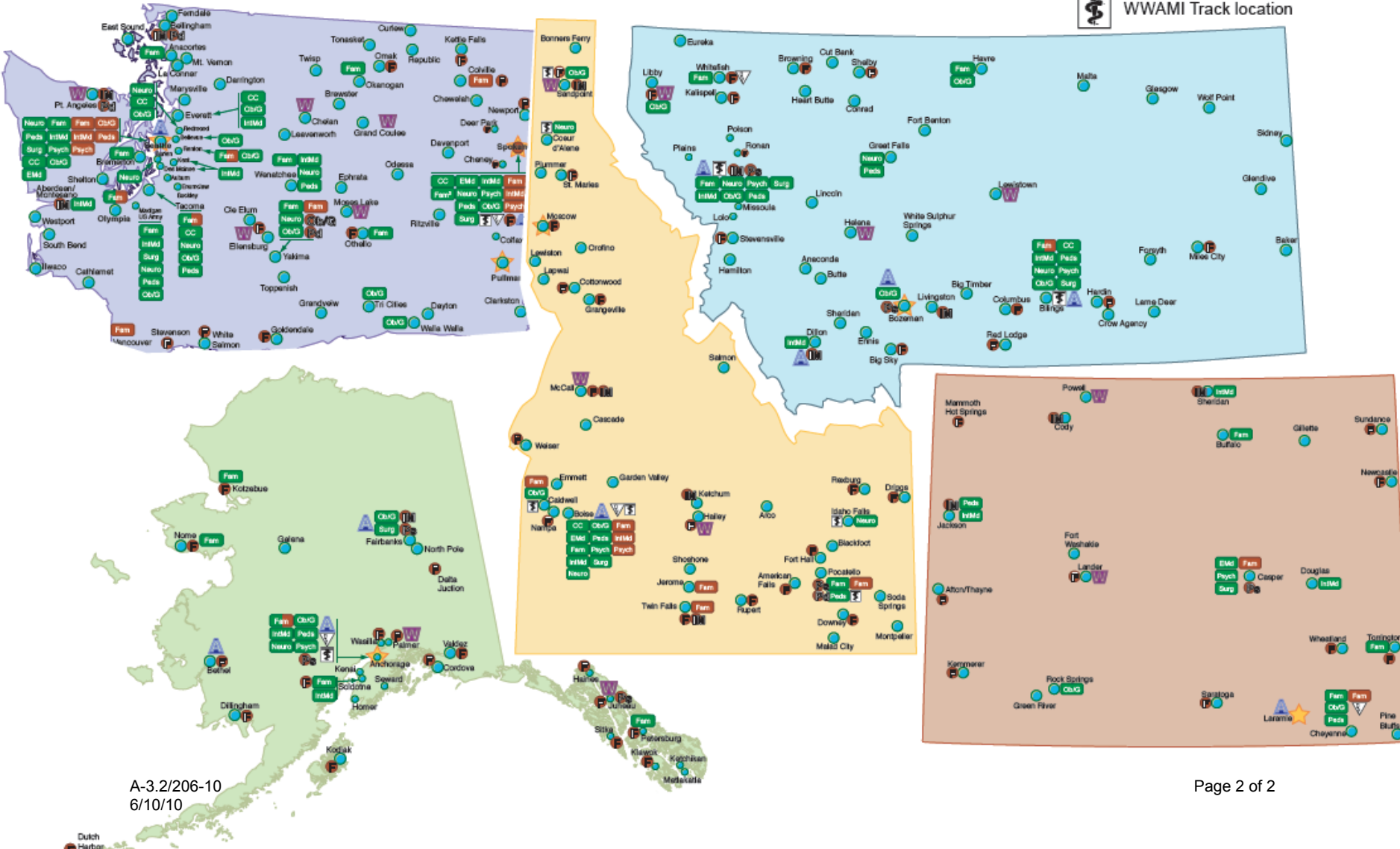
Psychiatry



WWAMI Clinical Medical Education  
Office



WWAMI Track location



# From Concept to Culture: The WWAMI Program at the University of Washington School of Medicine

Paul G. Ramsey, MD, John B. Coombs, MD, D. Daniel Hunt, MD, Susan G. Marshall, MD,  
and Marjorie D. Wenrich, MPH

## ABSTRACT

Shortages of primary care physicians have historically affected rural areas more severely than urban and suburban areas. In 1970, the University of Washington School of Medicine (UWSOM) administrators and faculty initiated a four-state, community-based program to increase the number of generalist physicians throughout a predominantly rural and underserved region in the U.S. Northwest. The program developed regional medical education for three neighboring states that lacked their own medical schools, and encouraged physicians in training to practice in the region. Now serving five Northwest states (Washington, Wyoming, Alaska, Montana, and Idaho), the WWAMI program has solidified and expanded throughout its 30-year history. Factors important to success include widespread participation in and ownership of the

program by the participating physicians, faculty, institutions, legislatures, and associations; partnership among constituents; educational equivalency among training sites; and development of an educational continuum with recruitment and/or training at multiple levels, including K-12, undergraduate, graduate training, residency, and practice. The program's positive influences on the UWSOM have included historically early attention to primary care and community-based clinical training and development of an ethic of closely monitored innovation. The use of new information technologies promises to further expand the ability to organize and offer medical education in the WWAMI region.

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The need for more primary care physicians has received increased attention in recent years, particularly in the context of a managed care environment. The shortage of primary care physicians is not, however, a new problem. Rural populations have suffered from a shortage of primary care physicians for many years, and have felt the chronic shortage longer and more severely than have urban and suburban populations. This has

been particularly true for the Northwest states of Washington, Wyoming, Alaska, Montana, and Idaho, which constitute one of the most rural settings in the United States. Encompassing 27% of the nation's landmass, the five states contain only 3.3% of the population (nine million of 268 million people). With historically low physician-to-population ratios, the region lost further ground in its supply of physicians after World War II as the number of generalists declined nationally. This situation worsened in the 1960s and 1970s. The problem was compounded by the fact that all of these states except Washington did not have their own medical schools. Thus, it was difficult to offer state residents the means to undertake medical careers that would encourage them to remain in their home states.

Medical education's historic focus on inpatient care exacerbated the primary care shortage in all settings. This focus did not provide a good portrait of what the practice of primary care entails and did not encourage students to consider primary care as a career. Students from predominantly rural states without medical schools who pursued physician train-

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ing elsewhere received exposure to urban, hospital-based care, which provided little incentive to return to their rural states as generalists.

The WAMI program, a regional medical education program named after the first four participating states (Washington, Alaska, Montana, and Idaho) was initiated in 1970 at the University of Washington School of Medicine (UWSOM) to increase the number of generalist physicians in the region. As originally designed, the program met dual needs: it offered medical education for states that could not fund their own medical schools, and it encouraged physicians in training to practice in the region. It also moved medical education from the urban hospital into the community setting, and in doing so, provided community-based primary care experiences for medical students.

WWAMI (Wyoming joined the program in 1996) has become an outstanding academic model of a comprehensive regional medical education program devoted to the recruitment and retention of physicians in underserved areas through a multifaceted approach.<sup>1</sup> Several early published articles discussed the program's inception and original goals.<sup>2-6</sup> Now celebrating its 30th anniversary, the WWAMI program has expanded and evolved over time. Today, more than 3,000 physicians across five states at over 170 active community-based educational sites participate. In this article, we provide a review of the inception of the program and an overview of changes in directions and components that have occurred throughout its history.

## BACKGROUND

In the early 1960s, at the same time that the shortage of primary care physicians was increasing in rural areas, the dean of UWSOM appointed a special subcommittee to consider the direction of medicine in the subsequent 20 years. The Hunter Report, submitted in 1965, visualized an expanded health care system beginning with the primary care physician and proceeding to more specialized health care personnel and facilities.<sup>7</sup> The report emphasized the need for flexibility and diversity in training in order to encompass the needs of family physicians. As a result of this report, the dean initiated a number of moves toward primary care that laid the foundation for enhancing ambulatory care services and increasing primary care faculty, initiating a family medicine program, and considering the need for primary care providers regionally as well as locally.

Within the same time frame, the medical school undertook a comprehensive curriculum review. Completed in 1968, the review called for coursework in the first two years of medical school organized by interdisciplinary committees rather than departments. It also called for enhanced self-learning, flexibility, and earlier and increased exposure to

patient care and social aspects of medicine. As a result of changes emanating from this review, students were able to plan their own educational programs to a greater degree than had been true in the past. Increased elective flexibility permitted the students to complete considerable work away from the urban-based medical school campus. These changes to the curriculum, in concert with the planned completion of new UWSOM facilities in 1972, made it possible to consider enrolling more students than originally planned. Recommendations from the Hunter Report and curriculum changes also led to plans for a family medicine program.

A core group of faculty and administrators undertook development of the experimental WAMI program in 1970 following informal discussions of the need for more teachers for primary care residents. Community physicians were involved in program development from the beginning. At a regional meeting, an informal discussion took place between members of the medical school and community physicians concerning logistic problems in setting up adequate generalist training within the university system. In the midst of this discussion, a physician from a small rural town in eastern Washington is credited with saying, "Send me the residents and I'll teach them." This statement initiated a plan to develop a network of peripheral resident training centers in Washington, Alaska, Montana, and Idaho, using practicing physicians as preceptors. Because a source of funds for resident training could not be found at the time, the initial plan of training residents was modified to one for training medical students.

The WAMI program's primary objectives addressed a broad set of regional needs:

- Improve the health of citizens in WAMI states through decentralized medical education.
- Increase the number of publicly supported medical school positions without major capital construction and without the addition of significant numbers of faculty.
- Increase the number of primary care physicians in the WAMI states.
- Address the maldistribution of physicians in the WAMI region.
- Broaden the educational experience of future physicians through the use of clinical resources in communities.
- Improve and expand continuing education programs for physicians and other health care professionals throughout the WAMI region and integrate these programs into an overall plan that includes undergraduate and residency training.

From its inception, the program addressed the use of an educational continuum as a means of building and reinforcing regional practices, starting with the medical school ex-

perience, continuing into residency, and then providing continuing medical education throughout clinicians' careers. The program also addressed a severe bias in medical education: the centralization of medical education within the context of the university setting to the exclusion of the communities in which most physicians practice. Although the term was not coined for many years, the WAMI program pioneered the concept of a "medical school without walls."

For training medical students from participating states, a plan was devised that encompassed training in several regional locations. That plan has changed little since its inception. In the first-year, or university, phase of the WWAMI program, students receive medical training in their states. During the first year, existing faculties and facilities are used at state universities through basic science programs and faculty. Students at WWAMI sites and many students at UWSOM in Seattle also complete clinical preceptorships one half-day each week with community physicians. During the second year, all students attend courses together at the UWSOM in Seattle to complete organ-systems classes that must be taught by both basic and clinical scientists. During the third and fourth years, which are devoted to clinical training, all students have the option of receiving some of their training in community-based sites throughout the WWAMI region. All of the required third-year clerkships are represented at the community clinical units (which are regional sites for third-year clerkships). In addition, a large number of elective clerkships are offered across the five-state region in diverse practice settings.

The program provided an opportunity for Northwest states that lacked medical schools to implement state-specific medical education without the major expenditure involved in building a medical school. The task of bringing stakeholders in participating states to agreement on goals and methods was daunting. Each state contained its own matrix of governmental and organizational components, and the cooperation of all components was essential. From each state, stakeholders included the state legislature, state and local medical associations, hospital associations, higher education boards, and colleges and universities. As a first step, faculty administrators traveled throughout the region and lobbied most of the legislators in the four states. Early on, dialogue and full partnership with each entity were emphasized. The investment and satisfaction of each stakeholder were seen as essential to the partnership. As a result of this early emphasis, partnership has become a centrally important component of the program.

In addition to the UWSOM, the state universities from the four states were invited and agreed to participate—the University of Alaska, Washington State University (WSU), the University of Idaho (UI), and Montana State University (MSU). In 1988, the UI and WSU programs were com-

bined under a single directorship, with students from WSU program also studying at UI. The University of Wyoming joined in 1996 (modifying the acronym to WWAMI). Each university developed a contractual relationship with the UWSOM for the training of medical students.

Because new construction was not necessary and administrative and legislative agreement proceeded relatively smoothly, program implementation was rapid. A three-year unrestricted \$1 million grant from the Commonwealth Fund of New York to test the concept of regionalizing medical education was crucial to the successful initiation of the program. The federal Bureau of Health Resources Development provided additional contract support beginning in 1972. Member states commenced contributions through contracts in 1974, and by 1979 the program was self-sustaining.

Methods of selecting students have changed little since the program's inception. Applications are accepted and students admitted to the UWSOM from all participating states. Representatives of each state serve on the admission committee. The program initially brought 50–60 additional medical students into each entering class. Currently, 78 students spend their first year outside Seattle (ten in Alaska, ten in Wyoming, 18 in Idaho, 20 in Montana, and 20 at Washington State University in eastern Washington).

## WAMI IN THE 1970S

### Development of Academic Units at WAMI Universities

Although existing faculty from the basic sciences were available at participating universities, preparation, supervision, and development of a common curriculum across all sites were necessary to ensure comparable experiences. The concept of "single courses taught at five sites by a single region-wide faculty" guided curriculum planning and implementation. A director was appointed at each participating state university. A region-wide committee, chaired by a faculty member from UWSOM, planned the curriculum, with representatives from each university. New courses were developed at WAMI sites as necessary, and some new faculty were recruited. When existing courses were used, special sessions were held to provide a medical orientation for subject matter, and faculty from the UWSOM made frequent visits.

The university portion of the program was phased in, with nine students going to the University of Alaska in 1971 for a single semester of study. The other three university sites were phased in over the subsequent two years, with students attending for only one semester away from Seattle. In 1974, the program at the University of Alaska expanded to a full academic year, and in 1975, the other sites expanded to a full academic year.

### Development of Community Clinical Units

The community phase of the WWAMI program covers the final two years of medical school during which students undertake clinical rotations. Beginning in 1971, clinical units were established in a number of communities to provide community-based clinical experiences and encourage more students to consider practicing in non-urban areas. The establishment of community clinical units was predicated on the knowledge that, over the previous ten years, an increasing number of well-trained specialists and generalists had migrated to moderate-sized towns in the region. These clinicians had considerable teaching experience from their postdoctoral training that was applicable to teaching medical students. The community clinical units were designed as teaching sites where groups of physicians who applied and were accepted as teachers would work in their practices with third- and fourth-year medical students. Thus, the units contracted with individual physicians rather than with hospitals. These physicians received clinical appointments to the faculty.

The opening of the first community clinical units went hand-in-hand with the development of a new Department of Family Medicine at the UWSOM. A family medicine division was established in 1970, and was converted one year later to a department. The department maintained a focus on rural medicine, and as the department developed, there was a strong sense that the teaching of rural medicine could not be accomplished in metropolitan Seattle. The first WAMI rural clerkship units were family medicine units established in 1971 at Grandview and Omak, Washington. This early use of regional locales set the stage for a family medicine program strongly oriented toward community training.

As the WAMI program developed, other academic departments became involved in the clinical portion, and a number of clerkship sites opened in the mid-1970s. The Department of Obstetrics and Gynecology conducted programs in Idaho, Alaska, and Washington; the Department of Pediatrics developed units in Washington, Idaho, and Montana; the Department of Psychiatry and Behavioral Sciences established programs in Alaska and Idaho; and the Department of Medicine initiated programs in Montana, Idaho, and Washington. Within each participating department, community clinical site coordinators were designated to oversee the program and maintain close contact with the departmental student coordinator at the Seattle campus.

The community clinical units came to serve as “hubs,” or centers, from which a number of activities emanated. In addition to serving as sites for training medical students, the sites were used to train residents, who spent periods of six weeks to six months at the sites and who participated fully

as members of health-care teams. The community clinical units also served as centers for continuing medical education and the training of other health-care professionals. Faculty made frequent trips to check on clerkship activities, and in the process, provided lectures and clinical consultations for community physicians. For example, between 1977 and 1978, UWSOM faculty made 325 visits to peripheral sites throughout the four states.

### Educational Equivalency

Ensuring educational equivalency—that is, ensuring that the learning of students at WWAMI sites is equivalent to that of students remaining in Seattle—was a fundamental and necessary part of the program’s design. An enormous amount of effort went into ensuring equivalency from the inception of the program. To achieve this goal, regional faculty members were carefully selected, common learning objectives were established, common performance assessment methods were instituted, and communication between faculty of UWSOM and teaching faculty at WAMI sites was made a priority. Common examinations were instituted for all courses across sites, and faculty, both from the UWSOM and from the participating universities, designed these tests. Annual retreats were held for course and clerkship coordinators to plan teaching activities and to ensure common course offerings. In addition, quarterly meetings were begun for site coordinators from each of the first-year university settings. These meetings brought course faculty from community sites and the university together for student performance review, curricular discussion, and administrative matters. The standard for educational equivalency was determined to be the standard achieved by the entire system rather than invoking Seattle as the “gold standard” against which all other sites were to be judged. This approach to educational equivalency and the associated retreats and regular meetings continue to the present.

The Office of Research in Medical Education, established in the late 1960s and later to become the Department of Medical Education, was assigned the role of providing statistical support for tracking graduates and developing and monitoring test-giving and evaluations to ensure equivalency. Comparisons of performances across all sites began immediately with the inception of the program.<sup>8–10</sup> Students’ performances have been assessed annually. There has not been a pattern of significant differences between the performances of students from the different campuses and types of clinical sites on national examinations. Although there have been performance differences between sites on common course examinations for some courses, these have not been large and have tended to cancel out over the years.<sup>11</sup>

## Residency Training

Initial discussions leading to the WAMI program focused on regional residency training programs. Although funding circumstances redirected these initial efforts to undergraduate medical education, enhancing regional residency training remained a basic program goal. In the 1970s, the UW Affiliated Family Practice Residency Network started a regional network of family practice residency programs in urban and rural locales. In the same year the network began, Family Medicine Spokane (FMS), a community-based family practice residency program, was established. The first regional affiliated site outside Washington, the Family Practice Residency of Idaho in Boise, opened in 1975. Two years later, the Boise VA Medical Center affiliated with the UWSOM, and a primary care pathway for internists was established in which residents would spend their second year at the Boise VA center.

## WAMI IN THE 1980S AND 1990S

Because of the challenges inherent in incorporating medical students into ambulatory care settings in smaller communities, the WAMI founders had anticipated that the average clinical training site would remain active for about five years. They expected that periodic recruitment of new clinical training sites would be required. Contrary to this anticipated turnover, the program's structure remained stable during the early 1980s, as programs within the umbrella WAMI program underwent a period of consolidation and maturation. The satisfaction of community physicians involved in teaching medical students in their practices helped sustain the sites over time, resulting in minimal turnover. As a result, although a few new clinical sites were added, plans carefully made in the 1970s to actively recruit new sites to replace those dropping out were not put into place.

Several administrative changes occurred in the mid- to late 1980s in the first-year programs. In 1985, the Alaska site was moved from Fairbanks to Anchorage. In 1988–89, the UWSOM associate dean for academic affairs was given the title of WAMI director to unify the education of medical students regardless of the states in which students began their education. Shortly thereafter, the first-year directors in Alaska, Montana, and Idaho were given the title of assistant dean, and they reported to the associate dean for academic affairs in Seattle.

In the mid-1980s, a number of school task force reports identified lack of diversity in the entering classes as a major problem. While the balance between men and women entering medical school was reaching the 50–50 balance at that time, there were relatively few matriculants from underrepresented minority backgrounds and few from rural

backgrounds. In 1987, the UWSOM moved from a stance of actively recruiting these missing applicants to working at the college and high school levels throughout the region to increase the applicant pool. Called “working the pipeline,” this effort began in earnest in 1989 with funding from The Robert Wood Johnson Foundation for a six-week summer enrichment program for minority students, described below.

Concurrent with this new direction, broader educational and regional focuses were initiated. One such focus was providing medical students earlier introductions to rural medicine. Another was continuing the development of rural and geographically diverse residency programs. A third focus was bolstering community health care infrastructures to increase positive health outcomes for rural inhabitants and to enhance working conditions for rural practitioners. And a fourth focus was providing more services that would reduce professional isolation and enhance retention of rural physicians, such as fostering continuing medical education and making telemedicine resources available.

Although many of these approaches had been visualized—and implemented—from the beginning of the WAMI program, an increased focus on interdependence among the components and the need for a comprehensive approach developed. Increased administrative decentralization supported these efforts, with individual states assuming more responsibility for enhancing health care services and initiating programs in their own states. Some advances in telecommunications facilitated the broadened program offerings. Chart 1 shows the programs, from K–12 through medical school training and residency and into the practice setting, that comprise the current educational continuum of WWAMI.

The following sections describe many of the key programs that developed to address the needs in the various areas of the educational continuum. Although some of the programs do not fall under the contractual WWAMI arrangement with participating states, they nonetheless have resulted from and contribute to the program's regional mission.

## Premedical Recruitment

Throughout the 1980s and 1990s, programs were developed to encourage rural K–12 and undergraduate students to consider careers in the health sciences. In 1989, The Robert Wood Johnson Foundation funded a six-week enrichment program, the Minority Medical Education Program, for underrepresented minority college students each summer. Students come to the University of Washington campus for science courses, MCAT preparation, health care lectures, mentorship experiences, and information about medical school applications and admission. In 1990, the Medical Scholars Program began outreach work from the University of Idaho and Washington State University with rural K–12



	K-12	College	Medical School				Graduate Medical Education	Community Practice
			1st Year	2nd Year	3rd Year	4th Year		
Area Health Education Centers (AHECs)	✓	✓	✓					✓
U-DOC high school programs	✓							
Medical Scholars Program	✓							
Ambassadors Program	✓							
Minority Medical Education Program		✓						
Rural Observation Experience		✓						
Native American Center of Excellence		✓	✓	✓	✓	✓		
WWAMI first-year sites (university phase)			✓					
1/2 day/week preceptorships			✓	✓				
Rural/Underserved Opportunities Program (R/UOP)			✓					
Idaho Track					✓	✓		
Clinical clerkships at community-based sites throughout region					✓	✓		
WWAMI Rural Integrated Training Experience (WRITE)					✓			
UW Affiliated Family Practice Residency Network							✓	
Seattle/Boise Primary Care Internist Program							✓	
Psychiatry Residency Training, Spokane Track							✓	
Residency rotations at community clinical units							✓	
Programs for Healthy Communities (PHC)								✓
WWAMI Rural Health Research Center								✓
WWAMI Center for Health Workforce Studies								✓
Rural Telemedicine Network								✓

Chart 1. The WWAMI medical education continuum. This chart illustrates how the WWAMI (Washington, Wyoming, Alaska, Montana, Idaho) program's recruitment and retention of health care professionals are optimized (1) by developing and nurturing interest in health care during students' K-12 education, especially among students from rural and other underserved communities; (2) by carrying out multiple and complementary programs for college students, medical students, and residents through exposure to medically underserved settings, primary care, and community-based role models; and (3) by supporting existing rural medical providers through research, community development, and physician recruitment and retention services.

and undergraduate students. In this program, promising high school students from rural schools and from underrepresented minority backgrounds are exposed to health care careers in a week-long "immersion in medicine." The Ambassadors Program, established in 1993 in eastern Washington, encourages K-12 students and mid-career adults to pursue health careers in rural areas. The program links health care professionals with students interested in health careers. Idaho is currently developing an Ambassadors Program as well. The Rural Observation Experience, begun in 1996,

gives students accepted to medical school the opportunity to work with rural physicians.

Adding to these efforts, federal grant funds and matching University of Washington money were used to develop six-week high school enrichment programs, known as U-DOC, throughout the region starting in 1994. Through U-DOC, promising high school students from minority, disadvantaged, or rural backgrounds participate in summer enrichment programs in Anchorage, Alaska; Seattle, Washington; Moscow, Idaho; Bozeman, Montana; and Laramie, Wyo-

ming. The students attend classes designed to maximize their preparation for college through sessions in science and writing and involvement with mentors from medical fields. In 1992, recognizing the special needs of Native Americans and Alaska Natives (14% of the U.S. Native American and Alaska Native populations live in the WWAMI region), the UWSOM was designated a Center of Excellence for Native Americans, based on its success in matriculating these students into medical school. The Native American Center of Excellence recruits Native American students into health care careers, facilitates research in Native American health care issues, and provides faculty development for Native American physicians.

### Medical School Programs

The Rural/Underserved Opportunities Program (R/UOP), begun in 1989, offers medical students an elective summer fellowship between their first and second years to work in rural or underserved urban areas within the WWAMI region. The program gives students early exposure to primary care medicine in underserved settings. Each student is matched with a preceptor, and receives a stipend and housing for the four-week fellowship. In the first year of the program, 23 students were placed with rural preceptors. In recent years, about 80–100 students have been placed each summer (a third to half of each medical school class). By 2000, a total of 800 students and over 300 primary preceptors had participated.

Since 1994, third-year Idaho medical students have been able to choose to complete all of their third-year training requirements and selected fourth-year elective opportunities in Idaho. This track program stemmed from student interest and the Idaho legislature's desire to see more students return to Idaho to practice. Besides the third-year required clerkships, approximately 25 electives are available for fourth-year students. In 1997, both Alaska and eastern Washington began track programs as well.

One of the unanticipated developments associated with strong regional training sites that have functioned for 20 to 30 years has been that once-small towns housing these sites have grown, leaving fewer training sites in truly rural areas. This change was a contributing factor in the development of the WWAMI Rural Integrated Training Experience (WRITE), a program initiated in 1996 that trains medical students in towns much smaller than those at the mature clerkship sites. This experimental program, which gives some third-year medical students six months of extended education in rural community practices, provides sustained exposure to rural medicine and a rural lifestyle. Exemplary teaching sites are selected to host students, and community physicians and clinical faculty serve as teachers. Each stu-

dent completes a substantial portion of the third-year clerkship requirements at a WRITE site. Prior to the WRITE experience, the student completes six weeks of obstetrics–gynecology, eight weeks of inpatient internal medicine, six weeks of surgery, three weeks of pediatrics, and three weeks of psychiatry. For a January-through-June WRITE rotation, students earn credit for six weeks of family medicine, four weeks of ambulatory internal medicine, three weeks of pediatrics, three weeks of psychiatry, and four weeks of an elective. Using activity logs certified by the preceptor and departmental knowledge of the practice location, each department determines whether the experience fulfilled the hospital-based and ambulatory care components of the basic clerkships. The program has been phased in slowly in order to ensure appropriate progress and evaluation. There are currently ten active WRITE sites throughout the WWAMI region.

### Residency Training

The UW-affiliated Family Practice Residency Network has expanded since its inception, with the opening of new residency training programs throughout the 1980s and 1990s. Among regional sites, the Idaho State University Family Practice Residency Program, based in Pocatello, opened in 1992, with the mission of training physicians for rural practice in Idaho. Central Washington Family Medicine in Yakima, accredited since 1993, serves an underserved and ethnically diverse population. Family Medicine of Southwest Washington in Vancouver was established in 1995. The first residents were accepted to Montana Family Medicine Residency in Billings in 1996, and Anchorage Family Practice Residency accepted its first residents in 1997. In the Anchorage program, one six-week block in the second year of residency is spent in Bethel, Alaska, at the Yukon-Kuskokwim Delta Regional Hospital, the hub for health care for the Yup'ik Eskimo population. By 1999, there were 16 affiliated family medicine sites throughout the WWAMI region in rural and urban areas. It is anticipated that further affiliations will emerge as a result of Wyoming's entry into the WWAMI program.

Three programs in the Family Practice Residency Network have rural training tracks. Family Medicine Spokane, a 27-resident community-based family practice residency program established in 1972, has a rural training track with sites in Colville and Goldendale, Washington. Started in 1986, the Spokane rural training track was the first rural track in the nation. Of the 17 graduates through 1999, 14 (82%) are practicing in rural areas. Family Practice Residency of Idaho in Boise is a 27-resident program established in 1974 to train health care providers for rural and underserved areas. Its rural training track in Caldwell, Idaho, was initiated in 1995

and has two graduates through 1999, both now in rural practices. Montana Family Practice Residency in Billings has a rural training track in Glasgow, Montana, with one resident per year matched to the track. Four of the track's five graduates as of 1999 joined rural practices in underserved areas and the fifth works with the Indian Health Service.

In addition to rural rotations and tracks through the Family Practice Residency Network, other University of Washington residency programs offer rotations at community clinical units. Since 1973, all residents in the Department of Pediatrics have completed a two-month rotation at Yakima/Toppenish, Washington, Port Angeles, Washington, Pocatello, Idaho, Great Falls, Montana, several sites in Alaska, or other rural sites. In the Department of Medicine, 20 residents complete clinical rotations each year in eastern Washington, Wyoming, Alaska, or Montana. In addition, ten residents in the Seattle/Boise Primary Care Internist Program each year spend their second residency year at the Boise VA Medical Center in Idaho. The Department of Psychiatry and Behavioral Sciences established a separate track in Spokane in 1991. The ten residents in the Spokane track divide their time equally between Seattle and Spokane, with elective opportunities in rural psychiatry in Montana, Wyoming, or Alaska.

### Community Practice

**Area Health Education Centers.** Several programs started in the 1980s focus on enhancing the practices of health care professionals in rural areas. In 1985, the University of Washington initiated sponsorship of the region's federally funded Area Health Education Center (AHEC) program. Five AHEC centers were phased into operation beginning in 1985. A sixth center was added in Wyoming in 1994. In addition, the Rural Alaska AHEC and the AHEC at Washington State University Spokane received funds in the 1990s through the new federal Health Education and Training Center. This program was designed to address health personnel shortages and health systems needs of communities with special needs that could not be met through traditional or existing programs.

AHEC Centers and Offices of Rural Health in individual states serve as personnel clearing houses, link communities with health care professionals seeking new locations, and advise towns on recruitment. For practicing physicians and health care personnel, AHECs arrange continuing medical education courses, maintain learning resource centers, and work with Programs for Healthy Communities to strengthen local health care systems. To encourage careers in underserved areas, the six interdisciplinary centers, in cooperation with the region's health professions training programs, place students in all disciplines in rural and underserved areas for

parts of their training. The program office also assists in placement of medical students in the Rural/Underserved Opportunities Program.

**WWAMI Research Centers.** The WWAMI Rural Health Research Center, established in 1985, is one of five federally funded policy-oriented rural health research centers in the nation. Based in the UWSOM's Department of Family Medicine, the Center performs research on rural and underserved health care issues. The Center has published and distributed 56 working papers based on its research. Over 100 articles have been published in peer-reviewed journals. Topics focus on areas that may enhance knowledge about rural practices, such as rural hospital utilization, access to obstetric care in rural areas, and rural hospital closure.

The WWAMI Center for Health Workforce Studies was established in 1998 with funding from the Bureau of Health Profession's (BHP's) National Center for Health Workforce Information and Analysis. One of four regional centers funded, its goals are: to conduct high-quality and policy-relevant health research in collaboration with the BHP and WWAMI state agencies; to provide expert guidance to local, state, regional, and national policymakers on health workforce issues; to build an accessible knowledge base on workforce methodology, issues, and findings; and to disseminate results to facilitate appropriate state and federal workforce policies. The widely interdisciplinary Center has collaborators from medicine, nursing, dentistry, public health, the allied health professions, pharmacy, and social work. The Center emphasizes research on state workforce issues in underserved rural and urban areas of the WWAMI region.

**Programs for Healthy Communities.** Programs for Healthy Communities began in 1989 to help rural communities stabilize their health systems through a variety of approaches. The program grew out of the Rural Hospital Project, a research program funded by the Kellogg Foundation in 1983. Programs for Healthy Communities, located in the dean's office of the UWSOM, has ties to the region through long-standing partnerships with WWAMI-affiliated universities and the regional AHECs. The core effort of Programs for Healthy Communities is the Community Health Systems Development program. This program's team, based in the Department of Family Medicine, conducts community assessments, market surveys, management and financial studies, and other analyses to assist local community leaders in developing long-range plans for improvements of health systems. In addition, technical assistance is offered in such areas as governance, planning, marketing, administration, and financial management. The Community Health Systems Development program has applied this community-based approach in over 70 settings in the WWAMI region. Programs for Healthy Communities also serves as home to the WWAMI Rural Telemedicine Network, begun in 1995,

which links six rural communities to rural consultants at the University of Washington with two-way interactive compressed video transmissions.

### RETURN RATES AND SATISFACTION WITH THE PROGRAM

#### Medical Students

Large numbers of students and residents have participated in the WWAMI program since its inception. As shown in Table 1, a total of 6,732 medical student clerkships were completed at WWAMI sites between 1970 and 1999. Compared with the average national "return rate" for state medical schools of 41.5%, students who attend UWSOM from Idaho, Montana, and Alaska have high practice return rates to their states, as shown in Table 2. (Wyoming joined the WWAMI program only recently; return rates are not yet available.) When considering the number of UW graduates who have gone on to practice in those states, the percentages are even higher. The WWAMI program, along with other influencing factors, has resulted in a strong commitment among UW graduates to primary care fields. Of the 1999 graduating class, 55% entered primary-care training, indicating a strong likelihood of pursuing a career in primary care.

#### Residency Training

Among all UWSOM and affiliated residency programs, 2,581 residents completed portions of their training at WWAMI regional sites between 1970 and 1999. A total of 1,465 residents graduated from the UW Affiliated Family Practice Residency Network between 1973 and 1999. According to a 1997 alumni survey, approximately 21% practiced in rural communities of less than 10,000 population and 31% practiced in communities of less than 25,000.<sup>12</sup> A total of 21% of Network graduates in this same graduate follow-up survey were practicing in designated underserved practices (including urban and rural underserved areas). Seventy-four percent were practicing in Washington, Alaska, Montana, Idaho, or Wyoming. Among the 24 graduates to date from rural training tracks, 20 (83%) were in rural practices.

#### Satisfaction of Medical Students and Clinical Faculty

In the graduation survey completed annually by medical school graduates for the Association of American Medical Colleges, results are available for UWSOM graduates between 1994 and 1998. In response to the question, "Please comment on what you perceive to be the strengths of your

**Table 1**

Numbers of Medical Students and Residents Trained at WWAMI Regional Sites, 1970–1999*		
Specialty	Medical Students	Residents
Family medicine	2,464	1,893
Internal medicine	832	443
Pediatrics	1,154	185
Obstetrics–gynecology	1,639	4
Psychiatry	527	56
Surgery	46	0
Rehabilitation medicine	70	0

\*Some students and residents may be counted more than once, since they can complete multiple rotations at regional sites.

**Table 2**

Statistics about Graduates from the University of Washington School of Medicine Who Practice in WWAMI States, 1973–1998*			
	Idaho	Montana	Alaska
No. state WWAMI graduates in practice	243	292	149
No. state WWAMI graduates who returned to practice in home state	107	119	76
State WWAMI graduate return rate	44%	41%	51%
No. non-state UW graduates who practice in state	66	31	30
Total return rate	71%	51%	71%

\*Return rates for Washington and Wyoming are not included. Statistics concerning return rates have been maintained only for states with contracts for medical education through the WWAMI program. Because the first Wyoming class graduated in 2001, return rates are not yet available for that state. From the annual AAMC senior survey, 85% or more of University of Washington School of Medicine graduating seniors have consistently expressed the intention to practice within the five-state region after completion of training.

medical school," UWSOM graduates most frequently cited the WWAMI program. The strength cited second most frequently by UWSOM graduates was the emphasis on and high proportion of graduates in primary care; the strength cited third most frequently was the wide variety of clinical patient populations and variety of hospitals.

In 1995, a one-time survey was mailed to 386 WAMI faculty who had working relationships with the UWSOM to determine their attitudes toward the evolution of the WAMI curriculum and program and satisfaction with their working

relationships with the UWSOM. A total of 184 clinicians (approximately 50%) responded. Faculty were asked to rate their satisfaction with their experiences as WAMI participants, using a 1–4 Likert scale (1 = very satisfied, 2 = generally satisfied, 3 = generally dissatisfied, and 4 = very dissatisfied). Ninety-five percent of the respondents were “very” or “generally” satisfied with their experiences. When asked to rate general teaching issues on a four-point scale rating from 1 (agree strongly) to 4 (disagree strongly), 62% responded “agree strongly,” or “agree” to a statement that the overall core course content was well defined; 71% to a statement that they were comfortable with the evaluation system used to grade students; and 87% to a statement that they had the flexibility to add something unique to the course/clerkship/preceptorship.

### IMPLICATIONS OF THE WWAMI PROGRAM

In the 1960s, UWSOM undertook two reflective exercises, one directed outward toward the future of medicine and the other directed inward toward the adequacy of the curriculum. These two exercises had far-reaching results. The Hunter Report, the product of the first exercise, foresaw the renewed importance of primary care for the future of medicine. The report of the comprehensive curriculum review called for enhanced self-learning and flexibility, and earlier and increased exposure to patient care and social aspects of medicine. Taken together, these two documents set new directions for the school of medicine. One of the key results of this self-reflection was initiation of the WAMI program. The program addressed regional medical needs but simultaneously addressed the expansion of medical education into the community.

The program has provided opportunities for medical education for large numbers of residents of states without medical schools. The return rates of students to the WWAMI states indicate that the program has been successful. WWAMI students have returned to their home states at rates exceeding the national average for a state school, and most important, have returned often to pursue practice in underserved settings. Apart from what the program may have accomplished for the region, the WWAMI program has been a defining experience for UWSOM. The program has created excellent relations between academic and community physicians, providing them with joint and complementary functions. The result has been a close collegial relationship between academic and community clinicians that transcends the usual “town–gown” dichotomy. The program has permitted the UWSOM to fully develop an ethic of guided innovation—the willingness to try out new ideas and approaches while systematically and continuously testing their efficacy. The WWAMI program provided the school

with an early example of the value of self-reflection; in fact, the school is currently in the third year of a comprehensive curriculum review that may once again redefine some of its directions. Earlier than most other medical schools, the WWAMI program set a tradition of focusing on primary care in addition to biomedical research, creating the opportunity to excel as a “bimodal school.”<sup>13</sup> The program established a clear emphasis on community-based teaching and moved clinical education out of the hospital long before changes in the health care environment set the stage for all medical schools to make that move.

Why has the program worked? A talented, energetic, and visionary initial group of faculty, both at the medical school and throughout the WAMI states, deserves the credit. By systematically canvassing the states and lobbying for the experiment, the WAMI founders provided firm ground upon which to build a program. The resulting degree of cooperation among participants that has characterized the 30-year history of the program has been maintained across a broad partnership of diverse stakeholders, including state legislatures, state government officials, medical societies, state higher education boards, community physicians, universities, and hospital associations. Strong esprit de corps among faculty, clinicians, administrators, and legislators and a strong focus on participation in and ownership of the program have characterized the WWAMI program from its inception. A talented and dedicated cadre of regional faculty has been the norm. The immediate and sustained attention to educational equivalency was also an important factor.

A concern among many early skeptics was that the clinical experience for medical students at rural WWAMI sites would not be comparable to that at the university-based clinical sites. Such concerns focused on the different type of clinical encounters in rural settings, with more ambulatory than inpatient exposure, and the inability to control the level of teaching when community practitioners are used. To ensure that educational equivalency was the norm, common examinations were instituted, course learning objectives were developed with universal applications, and performance was measured and monitored on an ongoing basis. Frequent contact between faculty, students, and community clinicians at WWAMI sites was also encouraged to assess the level of the learning experience. As a result, faculty visit WWAMI clinical sites on a regularly scheduled basis to evaluate the educational experience, confer with students and clinicians, and offer consultations and continuing medical education for the rural sites. In addition, WWAMI coordinators come to the Seattle campus quarterly for grading meetings, and regular retreats and conferences are held, as means to ensure educational equivalency. Ironically, the early concerns about potentially excessive ambulatory care experience in the rural setting have gone by the wayside with the decline in hospital

care and increases in ambulatory care in all settings. Extensive testing performed annually has shown consistently comparable performances between Seattle-based and non-Seattle-based students on common UWSOM exams and National Board examinations.

The WAMI founders saw the value of an educational continuum, starting with medical school, continuing through residency training, and then progressing through the lifetime of the practitioner via continuing medical education. The concept of a continuum evolved further in the 1980s and 1990s. The program's educational continuum now focuses on developing health care resources regionally through maintaining a presence at all levels of education. This includes K-12 and undergraduate recruitment of students for possible rural medical careers, and programs that support rural practitioners and the facilities upon which they depend.

The concept of a continuum has expanded in other ways as well. A career continuum defines the importance of recruiting and training different kinds of practitioners—physicians, physician assistants, and others—to work in rural settings. The MEDEX program to train physician assistants developed simultaneously with the WAMI program and has a strong regional orientation.<sup>14</sup> An academic continuum means that all aspects of the school of medicine mission are incorporated into the regional program: education, clinical work, research, and community service. In fact, the bimodal strength of the school has led to strong interest in and focus on research in some of the WWAMI sites, including especially well-regarded research programs at the Boise VA Medical Center, the University of Alaska, and the University of Idaho. A geographic continuum defines the region as ranging across five states and spanning inner city, urban, suburban, and rural environments, without a hierarchy defining one environment as of greater educational or service importance than any other. For example, in the R/UOP program, students can work with preceptors in either rural or inner-city settings, and other programs provide experiences in inner-city medicine as well. Finally, in the newest frontier, a communication continuum defines the extent to which technology has transformed the realm of communication regionally. Where mail, telephones, and periodic visits once provided the primary connections between urban and rural sites, electronic teaching-learning and telecommunications increasingly link the UWSOM campus in Seattle with sites throughout the region. The vast physical frontier that characterizes the WWAMI region is aptly symbolic of the frontier that will serve the region in upcoming years through critical telecommunication links that bring patients, stu-

dents, residents, and clinicians in rural settings into the urban classroom and exam room, and vice versa. Just as the WAMI program in the 1970s broke down the traditional walls of medical schools and moved medical training out of the tertiary care center and into the regional community, so may information technology permit the WWAMI program and others like it to move even farther. Telecommunication links that will close distances give promise of adding the concept of “virtual WWAMI” to that of the “medical school without walls” that has come to play such an important part in the culture of the University of Washington School of Medicine.

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# Medical Students Reach Out to Rural Communities in “WWAMI Land”

Rebecca Voelker

**A**RMED WITH A COLLECTION OF “Got Milk?” advertisements and brittle cow bones she gathered from a ranch in Montana, Sarah Hollopeter set out on what for her was one of the most tantalizing aspects of medical school: teaching seventh and eighth grade students in Hailey, Idaho, about the debilitating effects of osteoporosis.

For Hollopeter, an Idaho native who received her medical degree in June from the University of Washington School of Medicine (UWSOM), the disease is personal; she has seen its adverse effects in relatives. So she decided to focus on osteoporosis prevention during a special third-year program that sends medical students for 6 months of extended education in selected rural and medically underserved areas.

During her time in Hailey, Hollopeter also helped women in the community receive bone density testing by convincing the local hospital to give discounts on screening with its underused dual-energy x-ray absorptiometry scanner.

Working in rural communities, says Hollopeter, was by far her favorite part of medical school. “I got to be part of patients’ lives, and that’s why I want to be a physician.”

## MEDICAL EDUCATION CO-OP

The opportunities that Hollopeter and hundreds of other UWSOM students have had to gain hands-on experience in rural community service can be traced back to a state medical associa-

tion meeting in the late 1960s. There, a group of community and academic physicians decided it was time for decisive action to improve rural communities’ health care by addressing the



Medical students can opt for a summer program in which they work with physician-mentors in rural areas. Student Sylvana Bennett and program director Roger Rosenblatt, MD, MPH (right), visit preceptor Clark Fultz, DO, at the latter’s clinic in Cut Bank, Mont.

short supply and poor distribution of physicians in Washington, Alaska, Montana, and Idaho.

Believing education was a key to shoring up supply and distribution deficiencies, they laid the foundation for a collaboration in which UWSOM would serve as the hub of a multistate medical education cooperative. In the four-state region, only Washington had a medical school.

In 1971, a core group of faculty launched what is now known as WWAMI (named for Washington, Alaska, Montana, and Idaho; Wyoming joined in 1996), a regional experiment in decentralized, community-based medicine that has endured and thrived for more than three decades. In 2002, the WWAMI program was a major factor in the Association of American Medical Col-

leges’ recognition of UWSOM with its Outstanding Community Service Award.

“We have created a program that allows us to directly provide community service and teach the next generation what community service means—how it fits into your practice and your professional life,” says John Coombs, MD, associate dean of regional affairs, rural health, and graduate medical education at UWSOM.

Choice, outreach, and opportunity are overriding themes in WWAMI’s educational components. The program allows medical students to work side by side with rural physicians, while making publicly funded medical education available to students from states in the region that have no medical school.

Through WWAMI, students from the five-state area spend their first year of medical school in their home state. Besides the University of Washington, participating schools are the University of Wyoming, Washington State University, University of Alaska, Montana State University, and the University of Idaho. The second year is at UWSOM in Seattle, and during the third and fourth years, students can stay in Seattle or choose from some 30 clerkship sites scattered across the five-state region.

The WWAMI program is unique in many ways, chief among them being the strong collaboration among universities in five states that make up 27% of the US landmass but contain only 3.3% of the country’s population. Despite the vast geographic divide and array of sites where students fulfill academic





requirements, WWAMI maintains educational equivalency. Across all the participating universities, “the courses are the same, the credits are the same, and the final exams are the same,” says Dwight Phillips, PhD, interim director of the Montana WWAMI program and professor of anatomy at Montana State University.

Taxpayers and state legislatures have collaborated, too. Wyoming, Alaska, Montana, and Idaho support WWAMI by providing tuition subsidies. Students from those four states pay their own in-state tuition for the first year, and then they pay UWSOM’s in-state student tuition for the next 3 years. Their home states make up the difference in the cost of out-of-state tuition for the second, third, and fourth years.

“The critical piece here is that a medical student from Montana would not have access to a publicly supported education without WWAMI,” says Coombs.

#### BRING YOUR SUITCASE

For many, the result is a uniquely peripatetic medical school experience. Conceivably, a student could spend his or her first year in Anchorage, Alaska, the second in Seattle, and then travel to such sites as Whitefish, Mont; Rock Springs, Wyo; or Omak, Wash, for the clinical clerkships. WWAMI also includes 98 sites where students can spend up to 6 weeks getting hands-on experience during the summer after their first year, and 10 sites where third-year students like Hollopeter spend 6 months in an extended education program. If the list of required medical school supplies doesn’t include a suitcase, it probably should.

For individuals who do not want the adventure to end with graduation, UWSOM’s Affiliated Family Practice Residency network has programs in 16 sites scattered throughout what students and program leaders affectionately refer to as “WWAMI Land.”

Keeping students academically, clinically, and emotionally grounded over vast geographic distances is no small challenge, says Erika Goldstein, MD, director of UWSOM Colleges and chair of introductory clinical medicine courses.

The college system that Goldstein directs is only a year old, comprising six colleges—each represents a WWAMI region and is named for a geographic wonder, like the Snake River in Idaho or Mt Rainier in Washington. The 30 faculty members are divided among the colleges, and each one acts as an advisor to six students. College faculty meet weekly with students during their second year, when all are in Seattle.

“The structure of the colleges goes a long way in helping to overcome the potential downside of the distances,” says Goldstein. Some may feel lost once they leave the structured academic environment. “We want to make sure that their clinical skills are launched correctly, and that they stay on their agenda,” she explains. That can mean explaining how one rotation feeds into the next, or soothing students who find it difficult to deal with dying patients. “This way, each student has a mentor,” says Goldstein.

Mentors come in many varieties, including some 3000 community physicians who have volunteered as WWAMI preceptors and in other capacities during the past 3 decades. Students say the preceptors help them learn clinical skills and feel welcome in the community. Preceptors say students help them by challenging conventional wisdom.

“The students make us question and rethink what we’ve naturally come to do,” says Ron Miller, MD, a family physician and WWAMI preceptor in Whitefish, Mont. For example, a student who had just finished a psychiatric rotation reminded Miller and the other primary care physicians in their practice to exclude bipolar disorder before considering diagnoses of unipolar depression. It is an important concern in Miller’s practice. “We see a lot of depression,” he says.

Landing in a rural Northwest community “can be an amazing culture shock” for medical students, says Roger Rosenblatt, MD, MPH, director of WWAMI’s summer Rural/Underserved Opportunities Program (R/UOP) for students who have just finished their first year. Sometimes the student housing lacks indoor plumbing. Students can also find themselves in some unexpected situations.

During her R/UOP experience last summer, Mary Pan frequented the casinos and bars of Belgrade, Mont, on the advice of her preceptor. The reason: to pass out flyers announcing public presentations on the importance of screening for breast and cervical cancers that Pan would give at local senior and community centers. “It wasn’t all that intimidating,” says Pan.

Community work also brings out students’ creativity. While teaching a school health class in Sandpoint, Idaho, as part of the extended 6-month WWAMI Rural Integrated Training Experience (WRITE) program, Jimmy Beck used M&M candies to demonstrate the effect of antidepressants on neurons and neurotransmitters.

#### RETURNING HOME

One of WWAMI’s guiding principles is that the more training students receive in their home state, the more likely they are to return to practice after residency. The principle is particularly important in Alaska, says Tom Nighswander, MD, MPH, clinical education coordinator of the Alaska WWAMI program.

“Training Alaska Natives is a paramount issue,” says Nighswander. In the last decade, he estimates that 20% of the first-year students in the Alaska WWAMI program have been Alaska Natives. Since the late 1970s and early 1980s, corporations owned and operated by Alaska Natives have supplanted the US Indian Health Service in the operation of hospitals and clinics. “The Indian Health Service is pretty much obsolete” in Alaska, he explains.

What’s more, Nighswander says, the US Department of Labor has estimated that the state will need 200 new physicians and 4000 new nurses in the next 10 years. Harold Johnston, MD, program director of the Alaska Family Practice Residency, which is owned by Providence Hospital in Anchorage and affiliated with WWAMI, says that about 75% of Alaska is medically underserved.

“Without the rural programs in the WWAMI region,” Johnston says, “we would be more seriously underserved than we already are.”

# Regional Solutions to the Physician Workforce Shortage: The WWAMI Experience

Tom E. Norris, MD, John B. Coombs, MD, Peter House, MHA, Sylvia Moore, PhD, RD, Marjorie D. Wenrich, MPH, and Paul G. Ramsey, MD

## Abstract

With major medical organizations predicting a national shortage of physicians in coming years, a number of institutional models are being considered to increase the numbers of medical students. At a time when the cost of building new medical schools is extremely expensive, many medical schools are considering alternative methods for expansion. One method is regional expansion. The University of Washington School of Medicine (UWSOM) has used regional expansion to extend medical education across five states without the need to build new medical schools or campuses. The

WWAMI program (the acronym for Washington, Wyoming, Alaska, Montana, Idaho), which was developed in the early 1970s, uses existing state universities in five states for first-year education, the Seattle campus for second-year education, and clinical sites across all five states for clinical education. Advantages of regional expansion include increasing enrollment in a cost-effective fashion, increasing clinical training opportunities, responding to health care needs of surrounding regions and underserved populations, and providing new opportunities for community-based physicians to enhance

their practice satisfaction. Challenges include finding basic-science faculty at regional sites with backgrounds appropriate to medical students, achieving educational equivalence across sites, and initiating new research programs. UWSOM's successful long-term regional development, recent expansion to Wyoming in 1997, and current consideration of adding a first-year site in Spokane, Washington, indicate that regional expansion is a viable option for expanding medical education.

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**P**hysician workforce predictions have influenced the expansion and contraction of the number and the capacities of medical schools throughout the history of

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U.S. medical education. Recently, influential medical organizations have called for a 15% increase in medical school enrollment by 2015,<sup>1–3</sup> and some discussions call for a 30% increase.<sup>4</sup>

Strategies to address anticipated workforce shortages in the early 21st century included expanding medical school enrollment and graduate medical education (GME) positions, as well as increasing the number of medical schools and residency programs, especially in underserved areas.<sup>3</sup>

Federal policies and subsidies fueled the expansion of medical school growth in the 1960s and 1970s. Such subsidies are not being seen in the current period, so the costs of expansion will be a major problem. In efforts to be cost-effective, medical schools have developed alternative models for expansion, such as regional campuses, collaborative arrangements, and incorporation of community-based faculty into teaching roles.

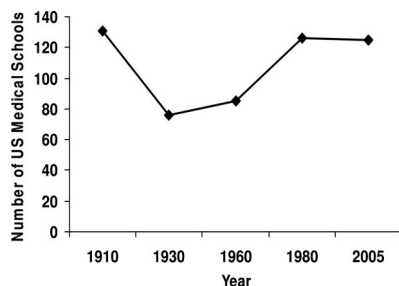
In this article, we review past medical school expansions and key models to address projected shortages. In particular, we describe how the University of Washington School of Medicine (UWSOM) uses a regional model, the

WWAMI (the acronym for Washington, Wyoming, Montana, Alaska, Montana, Idaho) program to provide medical education for a five-state area without construction of new medical schools.

## Historical Fluctuations in Numbers and Enrollments of Medical Schools

Physician workforce predictions have varied widely over the last 60 years. From concern about physician shortages after World War II through the 1970s, to predictions of surpluses in subsequent decades, to current concerns about likely future shortages, workforce predictions have influenced expansion and contraction patterns of existing schools and development of new schools. Throughout the history of medical education, the nation has lacked an optimal number, mix, and geographic distribution of physicians. The maldistribution of physicians has affected rural areas disproportionately, and there has been a consistent need for primary care physicians in rural settings for many decades.

The number of medical schools has also varied widely (Figure 1). In 1910, there were 131 U.S. medical schools.<sup>5</sup> The



**Figure 1** Number of allopathic medical schools in the United States from 1910 to the present.

Flexner Report, released in that year and calling for quality over quantity, led to substantial closures. By 1930, 76 medical schools remained, and the national physician-to-population ratio declined. Before and after World War II, new medical schools were built, including UWSOM.<sup>6</sup> Later, demand for physician education increased, both from applicants seeking spots in medical school and from patients in underserved regions. In the late 1950s, a shortfall of nearly 40,000 physicians by 1975 was predicted; recommendations called for increases in medical-school graduates from 7,400 per year to 11,000 per year.<sup>6</sup> Congress responded favorably, providing federal matching funds for construction of new facilities for existing schools that increased their entering class sizes.

Construction of new medical schools, coupled with larger enrollments at existing schools, increased the numbers of physicians nationally. Medical schools built between 1960 and 1980 were primarily community-based medical schools, often created to train primary care physicians.<sup>5,7</sup> By 1980, 125 medical schools were operating—nearly the number in existence at the time of the Flexner Report. Florida State University College of Medicine, which opened in 2001, has been cited as the first new allopathic medical school in 20 years.<sup>8</sup>

### Contemporary Calls and Plans for Increases in Enrollments

Current calls for expanding medical school enrollments emanate from physician workforce trend analyses by influential national organizations, including the Association of American Medical Colleges (AAMC), the American Medical Association (AMA), and the Council on Graduate Medical Education (COGME).<sup>1–3</sup> Shortages are predicted for both primary care physicians and specialists. National recommendations

call for development of medical school and residency positions in or adjacent to physician shortage/underserved areas, in undersupplied specialties, and in areas of rapid growth.<sup>1,3</sup> A recent report from COGME calls for a 15% increase in total enrollment in U.S. medical schools from their 2002 levels over the next decade and an increase in the number of physicians entering residency training each year from approximately 24,000 in 2002 to 27,000 in 2015.<sup>2</sup> The current level of activity at medical schools is likely to yield an increase of 5% to 8% in additional graduates by 2015.<sup>9</sup>

### Models for Expansion

Anticipated models for expansion include increasing existing medical school enrollment, building new schools, and adding campuses or regional sites. A 2004 survey of deans at the 125 allopathic medical schools demonstrated that 31% of the 118 responding schools had already expanded or would definitely or probably expand class size in the next six years, which would result in a 4% increase in graduates.<sup>10,11</sup> Another 20% of deans (23 schools) said an increase was “possible”; 47% (55 schools) responded “definitely” or “probably not.”

The 2005 entering class had more than 17,000 students, a 2.1% increase over 2004 figures, indicating that enrollment increases are under way.<sup>12</sup> Twenty-two allopathic schools expanded class size by at least 5%; seven of these expanded first-year enrollment by more than 10%.<sup>12</sup> Based on information from deans, the AAMC concluded that by 2010, the nation’s allopathic schools are likely to increase the number of graduates by at least 4.5% (to 17,278) and by as much as by 7.3% (to 17,928).<sup>9</sup> Barriers cited to increasing enrollment included concerns about high and unrecoverable costs, especially among public schools dependent on tight state budgets, not

enough preceptors in ambulatory settings, and limited labs, study space, and clinical training sites.

Among 56 medical schools indicating a “definite” or “probable” enrollment increase, expansion of existing facilities was the most likely method.<sup>11</sup> Sixty-six percent (37 schools) chose new clinical affiliations as a mechanism to increase enrollment. Fifty-two percent (29 schools) were considering expansion of existing campuses to accommodate enrollment expansion. Nineteen (34%) considered this a definite option. Sixteen schools (29%) reported a new satellite/regional campus as an expansion option, and five (3%) called this option definite. Below, we discuss regional expansion as an option and our own experiences with that approach.

### Regional Expansion: History and Opportunities

#### Status of regional expansion

A 2003 AAMC report on regional campuses cited a number of existing definitions of regional campuses.<sup>13</sup> By the definition used in the report (geographically separate and not the medical school’s primary clinical site for education; has administrative ties to the dean’s office and not simply a department tie; and offers at least four required third-year clerkships), 41 regional campuses were identified at 25 medical schools. Several others were slated to open in subsequent years. Twenty-five medical schools (which will be 27 by the time this article is published) had at least two campuses: a main campus and one or more regional clinical campuses, where third- and fourth-year medical students are educated. The report did not cover in detail those with regional basic-science campuses within existing state universities.

Six medical schools were cited as having basic-science branch campuses without clinical activity: Indiana University School of Medicine, with eight branch campuses; David Geffen School of Medicine at UCLA, with one branch campus; University of California, San Francisco, School of Medicine, with one branch campus; University of Illinois at Chicago College of Medicine, with one branch campus that is also a clinical branch campus; University of Minnesota Medical School, with one branch campus;

and the University of Washington School of Medicine, with five branch campuses.

### Advantages of regional expansion

Branch, or regional, campuses were seen as increasing enrollment in a cost-effective fashion, increasing clinical training opportunities and sites, especially ambulatory training sites, expanding graduate medical education (resulting in the need for more teaching patients), and responding to health care needs of surrounding regions and underserved populations.<sup>13</sup>

A major detriment to starting a new medical school is the cost. The 1970 Carnegie Commission on Higher Education called for a 50% increase in the number of first-year medical students by 1978, and called for nine new university health-science centers.<sup>13</sup> Six of the nine cities cited as needing new medical schools opted instead to develop regional, or branch, campuses. As the AAMC report notes, this underscores the difficulties in starting new medical schools, including high start-up costs, local and state politics, and reluctance of existing medical schools to support new competition.<sup>13</sup> The most recent medical school to be built, at Florida State University, cost \$155.5 million for facilities and operating revenue.<sup>8</sup> The state annual operational funding at full roll-out is expected to be \$38 million a year.

### Models of regional expansion

Although the AAMC report focused on regional campuses that offer at least four required third-year clerkships, there are a number of regional models. The most common teaches basic sciences at a central medical school and offers clerkships at regional centers. Examples include Florida State University College of Medicine, University of North Dakota School of Medicine and Health Sciences, University of South Dakota School of Medicine, and Michigan State University College of Human Medicine.

Another model involves offering part or the entire basic science curriculum regionally with clerkships both centrally and regionally. Indiana University has eight branch campuses for medical education that provide first- and second-year medical school programs; all students complete clinical training at the Indianapolis campus.

The University of Washington's WWAMI model represents another variation. First-year basic sciences are offered at the Seattle campus and five regional campuses; students attend their home state campus. For the second year, all medical students train in Seattle. In the third and fourth years, clerkship sites are located in Seattle and throughout the five-state region; medical students choose where they complete their rotations. The section below describes WWAMI in more detail, including consideration of plans for further expansion.

### WWAMI Expansion: Past, Present, and Future

#### History of WWAMI and infrastructure

The WWAMI program's inception, history, and development have been described elsewhere in detail.<sup>14</sup> Briefly, the regional program was developed in the early 1970s as a cost-effective solution to health provider and health care shortages in Northwest states without medical schools. The program increased the number of publicly supported medical school positions in a well-established, high-quality medical school (UWSOM) without the major capital construction associated with building new medical schools and without adding significant numbers of new faculty. The primary care focus and significant time each student spends in his or her home state increases the likelihood of returning to practice in one's home state. Each WWAMI state has well-regarded state universities from which most basic science faculty can be drawn for teaching first-year medical students. The different components of the program are described below.

**First-year program.** Existing state universities serve as first-year academic basic-science sites. These include the University of Alaska at Anchorage (Anchorage—10 students trained per year), Montana State University (Bozeman—20 students), the University of Idaho (Moscow—18 students), and University of Wyoming (Laramie—14 students). Washington residents spend their first year at the Seattle campus (100 students) or at Washington State University-Pullman (20 students), in which case they study with their classmates at nearby University of Idaho.

**Second-year program.** Students from each regional first-year basic science campus train in Seattle at the UWSOM campus, receiving intensive contact with clinically based academic physicians and physician-scientists in basic-science classes in the integrated organ-system structure. All students receive an intensive introduction to clinical medicine (a continuation of a first-year course at regional campuses) that brings them to the bedside for one half-day each week, working with a faculty mentor and small group of medical students.<sup>15</sup> Faculty mentors maintain contact with their student groups until graduation.

**Community-clinical units.** UWSOM has affiliations with over 3,000 individual physicians in over 170 active community-based educational sites throughout the five states to teach students in the required and elective clerkships. Settings include community clinics, private practices, and affiliated hospitals. Students choose a combination of states and sites for required and elective clerkships; some spend most of their time in Seattle, others spend considerable or most of their time at regional community sites. Clerkships are hospital-based, ambulatory-practice based, or a combination.

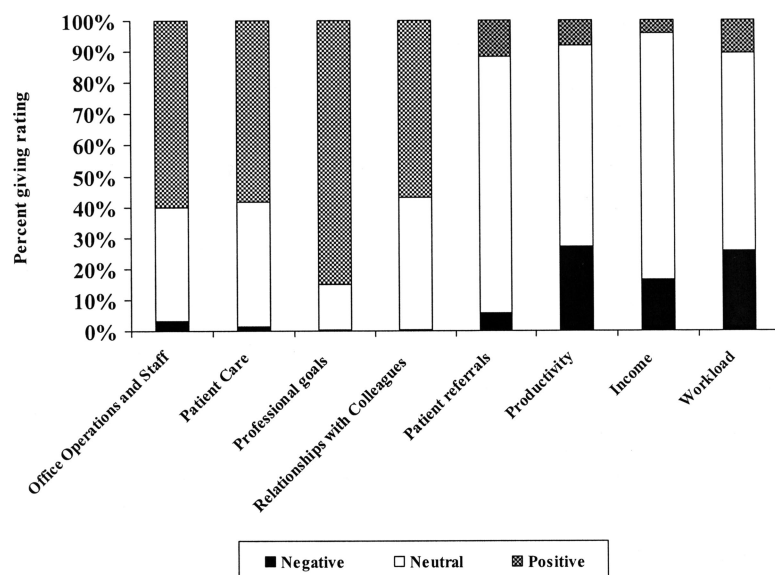
Some states have developed "tracks" or clinical education centers where students complete most or all of their third-year clinical education within a single state. Such tracks are currently offered in Boise, Spokane, and Anchorage, and will eventually be offered in Montana.

### Expansion to Wyoming

The first addition of a new academic site since the program's inception was at the University of Wyoming in Laramie. This site began in 1997, training 10 students per year. The regional campus developed in the context of an existing College of Health Sciences established in 1984. The Wyoming legislature has expanded its support of the program by passing a bill increasing Wyoming's participation.<sup>16</sup> The bill allows the state to increase its portion of the WWAMI program to as many as 16 students by 2007. Clinical training sites in Wyoming begin in 1998.

The successful involvement of Wyoming physicians across multiple clinical sites resulted from early attention to building partnerships and formal agreements with





**Figure 2** Results from the 2000 University of Washington WWAMI Faculty Survey. Ratings by 238 faculty throughout the five-state region of the impact of teaching students on various aspects of clinical practice at regional WWAMI sites. Faculty included those at first-year sites, clerkships, and residencies, and clinical preceptors throughout the region. Respondents were asked to rate each item on a 1–9 scale with categories ranging from *strongly negative* to *neutral* to *strongly positive*.

the Wyoming Medical Society and the University of Wyoming. A Wyoming physician has been hired to work as the clinical coordinator. The visibility of WWAMI students serving in clinics and hospitals across Wyoming has strengthened support from the Wyoming legislature, and Wyoming views WWAMI as its medical school.

### WWAMI Expansion: Interest, Plans, and Challenges

#### Expansion in existing regional sites

Periodically, the WWAMI states have expressed interest in expanding the number of medical students at their first-year sites. Discussions on possible expansion have occurred recently in Wyoming (expansion now under way), Montana, Idaho, and Alaska.

#### Current interest in a new first-year site

In 2003, the community in Spokane, eastern Washington's largest city, started a dialogue with the UWSOM for a new first-year site there. Initially interested in a separately accredited school of medicine, the community became more interested over time in joining WWAMI. The community identified the goals of increasing the number of physicians trained in the Spokane area, thereby increasing the supply of physicians in the

state, with particular emphasis on Spokane and eastern Washington; responding to the need to train physicians for underserved rural areas in Washington; and increasing local support for biomedical research and, correspondingly, increasing economic development and new industry. UWSOM's dean called for a feasibility study, now completed; on July 21, 2006, a formal announcement of intent to seek state funding for this expansion was released by the University of Washington, UWSOM, Washington State University, and legislative leaders. A new site would initially accommodate an additional 20 students per year.

#### Challenges associated with initiating a new site

WWAMI regional administrators have identified several challenges to consider when initiating a new regional site:

**Creating basic-science programs away from the medical school site.** Preclinical medical students require faculty with scholarly backgrounds who can teach these students the clinical implications of the basic science subjects they are learning. Medical students, both preclinical and clinical, are a different student population from graduate students and residents, and appropriate

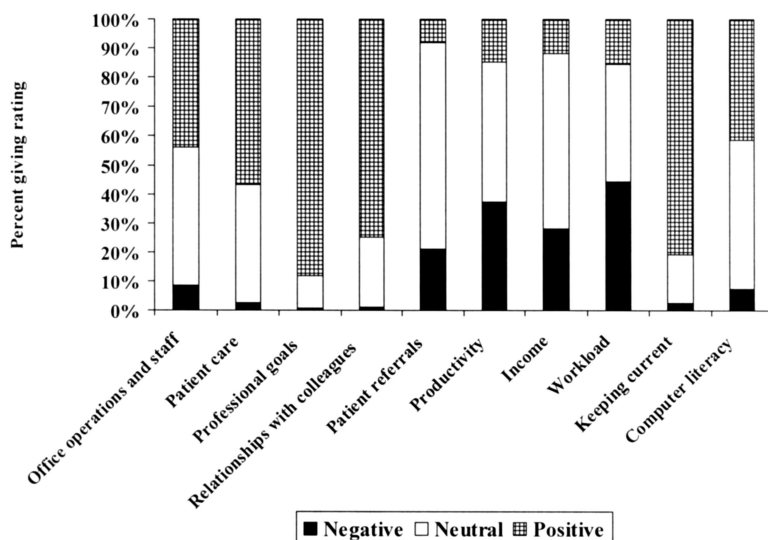
instructors must be identified. This sometimes means recruiting outside of existing faculty.

#### Financial and physical plant challenges.

Total costs to initiate and implement a regional site are not nearly as extensive as those needed to start a new medical school, but start-up costs and educational space still must be considered. In Spokane, which has a relatively new and not fully occupied health sciences campus, capital expenditures are needed to initiate a willed-body program, upgrade the gross anatomy lab, provide microscopy/histology materials, recruit faculty, and provide funds for six new faculty, lab leases, equipment, and lab personnel. Research space must be identified to recruit basic science faculty. The program would also expand needs at the Seattle campus. Start-up and operating costs involve expansion of lecture halls, small-group teaching, and teaching and anatomy spaces to accommodate second-year Spokane students. This may or may not be needed for other medical schools, but the UWSOM has reached the limit of its ability to accommodate medical students in existing facilities.

For expanded clinical education, sites for an additional 20 students per year must be identified throughout the five states; presumably, the majority will be in the Spokane region. In an age of increased productivity demands on clinicians, finding community-based clinical teachers to serve as preceptors and clerkship instructors is challenging. This strong commitment requires teaching skills and willingness to undergo faculty development training.

**Research at regional sites.** The new medical schools created in the 1960s reported difficulty being accepted by their traditional counterparts, in part because of their preoccupation with educational issues and modest funding of research.<sup>7,13</sup> Many regional clinical campuses, which focus almost entirely on clinical teaching with little or no research enterprise, faced similar challenges. In the WWAMI states, expectations for research activities have grown and are an important part of the program for regional partners. In 2002, the total external research funding for WWAMI faculty ranged from \$2.5 million to \$14 million per year per site from a variety of



**Figure 3** Results from the 2005 University of Washington WWAMI Faculty Survey. Ratings by 259 faculty throughout the five-state region of the impact of teaching students on various aspects of clinical practice at regional WWAMI sites. Faculty included those at first-year sites, clerkships, and residencies, and clinical preceptors throughout the region. Respondents were asked to rate each item on a 1–5 scale with categories ranging from *strongly negative* to *neutral* to *strongly positive*. The 2005 survey contained two items, *keeping current* and *computer literacy*, that were not used in the 2000 survey (see Figure 2).

federal and private sources. As a result of these successes, conduct of research has become an expectation among WWAMI first-year sites, along with the expectation of related regional economic development.

**Educational equivalency.** A significant challenge in expanding or establishing a regional site is ensuring educational equivalency, mandated by the Liaison Committee on Medical Education. UWSOM embraced equivalency upon inception of the WWAMI program and has focused on it consistently. The University of Washington Department of Medical Education tracks students closely and helps assure and demonstrate educational equivalency.<sup>14,17</sup> Frequent meetings and trips by UWSOM faculty to first-year and clinical sites, along with annual retreats, are mechanisms for training and ensuring equivalency of approach. Careful evaluation occurs through common exams across all sites and at regular grading and curriculum meetings with clerkship directors and teachers from all sites.

**Challenges and rewards for regional clinical faculty.** Volunteer faculty must meet their own clinical practice needs and achieve satisfaction and value from faculty activities. To that end, UWSOM conducted surveys of regional clinically-

based volunteer faculty in 2000 and 2005 to assess challenges and satisfaction associated with clinical teaching.

Community-based clinical faculty experience both rewards and challenges (see Figures 2 and 3). Survey responses from 268 faculty from throughout the five-state region in 2000 indicated that the negative impacts of teaching students were relatively minimal compared with the positive impacts. In 2000, the greatest negative impact was on productivity (27% rated a negative impact), followed by workload (26% rated a negative impact). Income was third; 16% rated the impact on their incomes of teaching students as negative. In 2005, 44% of 259 respondents assessed a negative impact of teaching students on workload, 37% assessed a negative impact on productivity, and 28% assessed a negative impact on income.

Across both the 2000 and 2005 surveys, the greatest positive impact was seen in achieving professional goals (85% in 2000 and 88% in 2005 rated serving as a clinical teacher in the WWAMI program as having a strong positive impact on professional goals in their practices). In 2000, other areas in which clinical faculty assessed a positive impact on their practices were office operations and staff (60%), patient care (58%), and colleague

relations (57%). In 2005, clinical faculty also assessed positive impact on their practices in relationships with colleagues (75%) and keeping current (81%; this factor was not assessed in 2000).

Students' reactions to the regional program are consistently positive, as judged by graduating students' responses to the open-ended question, "Please comment on what you perceive to be the strengths of your medical school," tabulated from the AAMC graduation questionnaire for the years 1995 through 1998 and 2002. The WWAMI program, with its first-year and clerkship components considered together, received the highest number of positive comments for three of the five years, and the second most comments for the other two years. Comments in 1999–2001 and 2003–2005 were similar to these.

## Summing Up

Medical schools will likely expand over the next 10 years, whether through expansion of existing schools, construction of new schools, or development of regional campuses and programs. Based on surveys of medical school deans, it appears likely that all those models will be utilized. Construction of schools is an enormous undertaking that frequently costs over \$100 million; high start-up costs and extended development time are inevitable.<sup>8</sup> However, there may be compelling reasons in some settings to initiate new schools. Expansion in existing space works well when space, facilities, teachers, and clinical teaching sites permit or resources are available for expansion. Another option is regional expansion.

The University of Washington School of Medicine WWAMI program has expanded medical education into four surrounding states. Regional expansion was completed without construction of new buildings, campuses, or centers. The program relies on collaborative relationships with existing state universities and faculties for preclinical basic-science education, and on volunteer regional clinicians for clinical education. Participating clinicians hold clinical faculty status and receive the benefits, training, and requirements commensurate with that status; they teach, monitor, and mentor students in

their practices, whether hospital-based or practice-based. Several University of Washington affiliate hospitals located regionally, such as the Boise Veterans Administration Hospital in Boise, Idaho, permit more concentrated basic and elective clerkship activities in and around that site.

Key challenges to the regional model also represent strengths. Those that we have encountered include (1) meeting the unique needs of each region; (2) ensuring educational equivalence; and (3) maintaining interest in, attention to, and unity among program participants across a diverse geographic spread. While preserving this unity is a challenge, we have evidence that, on the whole, our volunteer faculty greatly benefit from their work with WWAMI. The positive effects of teaching students on clinical practice generate loyalty among regional volunteer faculty, as do the clear signs that the WWAMI program is having a positive effect on correcting shortages and maldistribution of physicians in these rural states. These elements, in turn, strengthen the entire WWAMI program.

The WWAMI program was developed to respond to the needs of the surrounding states, all of which were medically underserved and none of which had their own medical schools. Participating states aimed to have medical students return to practice in their home states, and this has been achieved. UWSOM has a high retention rate for students who ultimately practice in their home states. Return rates of students in each of the WWAMI states have been well above the national average. State needs change over time, as evidenced by the Spokane community's interest in a new first-year WWAMI site. The nature of those interests may shift; one of the Spokane community's interests, in addition to increasing the number of future physicians in their region, is promoting biomedical research and related areas as an economic priority for their region. Thus, considering a new site in Spokane must strongly consider this aspect of regional campus development planning.

A focus on partnership among all participants is a key factor in the WWAMI program's success. Continued evolution of the program is another important factor, with careful

development of new ideas, such as the WRITE program (which stands for WWAMI Rural Integrated Training Experience), which gives a small number of students sustained exposure to a rural community in third year.<sup>14</sup> This evolution helps keep the program fresh and contemporary. The focus and evolutionary development of an educational continuum that considers the needs of undergraduate medical education, graduate medical education, continuing education, and recruitment to health careers in K–12, has helped maintain strong interest in and awareness of the relevance of the program to regional communities.

### The Value of Regional Approaches

The reasons to consider regional campuses and regional programs are many. At the top of the list is their cost-effectiveness, making use of and carefully building on existing resources to assure a combination of high quality and low cost. Given the important challenge of containing health care costs, efficiency and cost-effectiveness are imperative. Building on an existing successful program has the potential to save money, spread the strengths and lessons of that program to new regions, and build community and cohesion region-wide. The enthusiasm of the medical students in the WWAMI program for the education they receive and the enthusiasm of the regional WWAMI faculty for the way the program helps them stay current and develop and enhance collegial relationships speaks to the success of that program and of the regional education approach it embodies.

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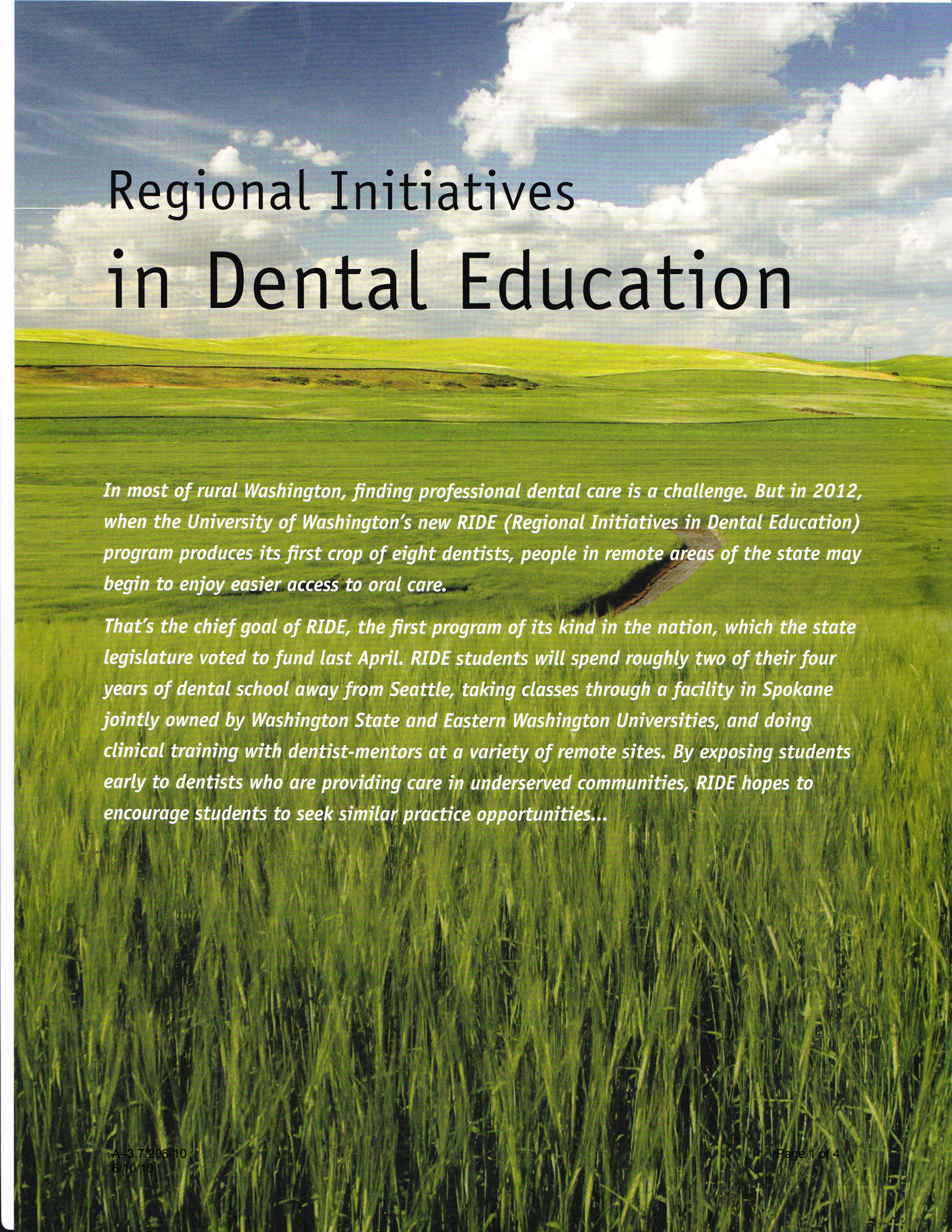
Dr Mouradian oversees the implementation of the School of Dentistry's new distributed community-based model for dental education in eastern Washington based on the "WWAMI" model. Launched in 2007, the program targets the training of dental students for work in rural and underserved communities. RIDE is an interdisciplinary collaboration of UW Schools of Dentistry and Medicine, Eastern Washington University, and Washington State University. A product of WWAMI training herself, Dr Mouradian practiced primary care pediatrics in a rural community in Washington for a number of years.

Dr Mouradian has worked at the interface of medicine and dentistry for 19 years and is a nationally recognized expert in this area. She was the recipient of national awards for her role organizing and chairing a

Surgeon General's Conference on Children and Oral Health in June, 2000 and has been oral health advisor to the American Academy of Pediatrics since 2001. Previously, Dr. Mouradian was Director of the Craniofacial Program at Children's Hospital in Seattle.

Dr. Mouradian has graduate degrees from Columbia University and the Massachusetts Institute of Technology and undergraduate degree from Wellesley College. She completed a Fellowship in Developmental Pediatrics and a Certificate in Health Care Ethics at the UW, and was a 2006-7 fellow in the Executive Leadership in Academic Medicine (ELAM). Her research interests include rural health workforce studies, ethics and policy in the provision of oral health care to children, quality of life for children with craniofacial conditions and inter-professional education.





# Regional Initiatives in Dental Education

*In most of rural Washington, finding professional dental care is a challenge. But in 2012, when the University of Washington's new RIDE (Regional Initiatives in Dental Education) program produces its first crop of eight dentists, people in remote areas of the state may begin to enjoy easier access to oral care.*

*That's the chief goal of RIDE, the first program of its kind in the nation, which the state legislature voted to fund last April. RIDE students will spend roughly two of their four years of dental school away from Seattle, taking classes through a facility in Spokane jointly owned by Washington State and Eastern Washington Universities, and doing clinical training with dentist-mentors at a variety of remote sites. By exposing students early to dentists who are providing care in underserved communities, RIDE hopes to encourage students to seek similar practice opportunities...*



Approval of RIDE by Governor Gregoire and the legislature this spring was the culmination of four years of hard work by a team of dentists and educators from around the state. Paradoxically, the driving force behind the effort was someone who is not a dentist but a physician: Dr. Wendy Mouradian, who now directs the RIDE program from her position as Clinical Professor of Pediatric Dentistry, Pediatrics and Dental Public Health Sciences.

"Without her," says Dr. Richard McCoy, former chair of the University of Washington School of Dentistry's restorative dentistry department and an early backer of RIDE, "this would never have gotten off the ground." Other key supporters of the RIDE program have included the Washington State Dental Association (WSDA), Washington Dental Service, and Spokane District Dental Society among others. But Mouradian has been the faculty member pulling it all together.

So just who is this "upstart physician," as she jokingly describes herself? And how did she help get RIDE underway?

### First a little background...

RIDE attempts to alleviate a set of problems that have been building for years.

Dentists, as a rule, have historically preferred working in more heavily populated areas, where patients are easier to come by and fees may be higher. This pattern leaves many areas of the nation underserved for dental care, forcing residents to either forego dentistry or have to travel long distances to seek treatment.

Washington State is no different. Only the areas around the larger cities—Seattle, Everett, Bellingham, Spokane, Port Angeles, and Portland, Oregon—have a sufficient supply of dentists. Pend Oreille County, for example, in the far northeastern corner of Washington, has about 12,000 people scattered throughout its 1,425 square miles, with only two dentists to serve them. (King County, by comparison, has six times as many dentists per capita.)

Washington's population has steadily increased since 1945, from 2 million to more than 6 million today. Yet the growth in dentistry hasn't kept up with the demand for dental services. In addition to this shortage, about half of Washington's dentists are predicted to retire by 2013, which will make the number of dentists in the region even more scarce.

In 2003, Mouradian, then a developmental pediatrician in the UW School of Medicine, approached University of Washington School of Dentistry Dean Martha Somerman and suggested building on the results of an early feasibility study conducted by UW faculty members to find solutions to the problem of dentist shortages. The school was fortunate to have this "running start", which in the past faced obstacles around timing and funding. Dean Somerman, who had already identified a WWAMI-like program as a possibility early in her tenure at the school, readily agreed with the proposal.

Mouradian's knowledge about dental needs in rural areas isn't as odd as you might think, given her background. Growing up in New York City, "I had dentistry for dinner," she quips. Her dad was a dentist and as a result her first job as a teenager was working in his office during summer vacations. But rather than join him in that profession, she was pulled to the medical side by the influence of her two uncles, both doctors, one of whom shared an office with her dad.

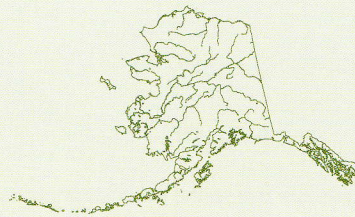
That made a big impression on her. And so did her experience as the Director of the Craniofacial Program at Seattle Children's Hospital, a position she held from 1994 to 1998. There were team members from more than a dozen disciplines, working on patients with cleft lip and palate and other craniofacial anomalies, incorporating such specialties as oral and maxillofacial surgery, orthodontics, speech and language therapy, audiology and pediatrics. Though most of the children's medical needs were met at the hospital, she noticed that many of them had advanced tooth decay and other dental problems – problems that had been over-looked by physicians.

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**"Will RIDE succeed in attracting dentists to underserved areas? That's the million dollar question. Today only 1 in 25 dental school graduates choose to practice in rural areas, or about two per graduating class the size of the UW's. If only half of the RIDE graduates wind up working in remote communities, that will contribute substantially to the access issues in rural communities."**

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Her familiarity with dental issues was one reason she was recruited to organize and chair the U.S. Surgeon General's Conference on Children's Oral Health, held in Washington D.C. in 2000. That was another eye-opening experience for her. "I began to see more clearly that on a policy level there was a disconnect between medicine and dentistry. Physicians were 'Oh, hmm, okay, oral health, that's about brushing your teeth. Medical and dental integration was almost non-existent." Since then Mouradian has fought hard to make that integration happen, weaving oral health into general medical education.

A big part of the reason RIDE got off the ground was Mouradian's ability to form a network of medical and dental resources, both people and programs. As a pediatrics resident, she'd participated in WWAMI, a 30-year-old program the University of Washington Medical School has used to educate doctors in areas that have no medical schools. (The acronym stands for Washington, Wyoming, Alaska, Montana, Idaho). Students spend time at both the UW Seattle campus as well as extended "clerkships" in other states, under the supervision of practicing doctors. Both she and Somerman realized that they could use the WWAMI model and many of its facilities and methods for a similar program for dental school students. Fortuitously the WWAMI program also decided to create a new site in Spokane which will start at the same time as the RIDE program thus cutting costs and providing interdisciplinary training opportunities.

"The precedent of the highly successful WWAMI program was essential for launching the RIDE program," Mouradian said. "What WWAMI has learned is that community-based education works. Students can learn outside of the 'ivory tower,' and that this can be verified by equivalency on national board scores and other measures. The School of Medicine has also learned that there is a huge reciprocal benefit of community good will and continuing education that develops from inviting community practitioners into the educational process. And students do in fact return to these regions at higher rates than the national average. Although dental education is different from medical education in many respects, our pilot experiences with community-based education and the experiences of other dental schools with similar experiences suggest that dental outcomes can be comparable."

Jim Sledge is a Spokane dentist who has been working for years to get more of a UW School of Dentistry presence in that city, and has campaigned for RIDE. He describes how RIDE differs from approaches used in other parts of the country: "The shortage of dental professionals in underserved areas is nationwide. Other schools have attempted to expose students to those areas for a couple of weeks on rotations during their 4th year. RIDE's approach is different in that we are borrowing from the WWAMI experience, which shows that a longer exposure to a rural area increases the possibility that a student will go back to a rural community once they are ready to practice.

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**"The precedent of the highly successful WWAMI program was essential for launching the RIDE program...The School of Medicine has also learned that there is a huge reciprocal benefit of community goodwill and continuing education that develops from inviting community practitioners into the educational process. And students do in fact return to these regions at higher rates than the national average."**

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Spokane, WA - Riverpoint Campus

L to R: Dean Martha Somerman,  
Dr. Wendy Mouradian, State Rep.  
Ross Hunter and Rick Crinzi ('72)



"RIDE students will spend their first year in Spokane in an unusual but stimulating environment that puts them in classes with medical, nursing, physical therapy, and hygiene students. The hope is that they all will benefit from collaboration and more holistic approach to health because of it. Then they will spend most of their 4th year in Eastern Washington, many of whom are UW dental alumni, in different clinical settings that will expose them to rural communities as well as community health clinics. They will be performing many more procedures than their Seattle colleagues by the end of their 4th year." Mouradian concluded, "Without their help and support, and that of the Spokane District and Washington State Dental Societies, we could never carry out this program."

Will RIDE succeed in attracting dentists to underserved areas? That's the million dollar question. Today only 1 in 25 dental school graduates choose to practice in rural areas, or about two per graduating class the size of the UW's. If only half of the RIDE graduates wind up working in remote communities, that will contribute substantially to the access issues in rural communities.

Besides its immediate impact of improving oral health in remote areas, RIDE may also have an effect on both the medical and dental professions over time. By mixing medical and dental students in the

same classes during the first year, a feature of the RIDE program and through the sharing of ideas and concepts, the image of dentistry as "brushing your teeth" may slowly begin to shift to its rightful position as an integral part of overall health.

Relying on rural dentists to serve as mentors for RIDE students will benefit to dentists — by keeping them abreast of new ideas and engaging them in the training of the next generation of dentists — and students alike, by affording them ample real-world experiences.

Another effect RIDE will have is to provide a different model for dental school students to follow, one that exposes students to community dentists who have lived their ideals and provided care for the underserved.

"I think there are dentists who view their role as a health professional especially rewarding and valuable," said Mouradian. "Certainly there are idealistic people who enter medicine and dentistry. But we have to go out of our way to show them that there are other role models out there. We have to say in dental schools, 'Hey, providing care in an underserved community may be one of the most rewarding professional experiences you have.' "

More information is available online: [www.dental.washington.edu/RIDE](http://www.dental.washington.edu/RIDE)





## RIDE classroom is among UW's most advanced

BY ERIN LODI / UWTW

ONE OF THE UW's MOST ADVANCED classrooms is helping to blaze new trails in dental education.

Room T-733 in the Health Sciences Center is the technological linchpin of the Regional Initiatives in Dental Education program, linking students and instructors in Seattle to those at Spokane's Riverpoint campus.

New tools like automated high-definition cameras, an integrated audio system and comprehensive recording mechanisms take the distance education experience for RIDE students far beyond a simple teleconference.

Dr. David Pitts, Associate Professor of Endodontics and Director of Educational Technology for RIDE, first approached UWTW engineers for assistance in connecting students on opposite sides of the state.

The engineers designed and managed the installation of distance learn-

ing technology in the classroom, including four cameras, two aimed at the instructor and two that focus on students and other participants. Automatic processes allow for seamless transitions between camera views.

Sixty microphones allow every student, or additional instructor, in the 120-seat room to be heard. The automated system picks up the speaker's voice while a camera automatically focuses on the face.

"Nothing quite like this has been done before in the School of Dentistry," Dr. Pitts said.

Two flat-panel television screens hang from the middle of the ceiling, allowing the instructor to view PowerPoint slides or other materials, as well as video of the Spokane classroom, without turning around to see the two screens behind them at the front of the room. Additional

presentations are incorporated into the video output, allowing students in Spokane to continue viewing the video stream of their instructor speaking or another student posing a question, while PowerPoint slides are displayed simultaneously.

Like any complex system, the equipment requires maintenance, but automation eliminates the need for manual camera or audio control. At times, a technician is stationed in the control room to monitor the connection to the Spokane class, though these functions can also be performed by the instructor through touch-screen controls at the podium.

In addition to the interactive live experience, Mediasite, a video streaming and archiving system, also records the lectures, incorporating any PowerPoint or other presentations, which are then made available to students who are either unable to attend a class or who wish to review a class.

"It's working beautifully," Dr. Pitts said. "I had no idea it would be this capable."

RIDE students are adapting quickly. "They are desirous of using technology," said Dr. Wendy Mouradian, RIDE director and Associate Dean for Regional Affairs and Curriculum, who added that the streamed lectures are very popular among students. "This has been highly successful."

The new high-tech classroom is not limited to use by the RIDE program; other students and instructors are also taking advantage of the equipment. "It seems like every week we think of another opportunity to utilize these distance learning resources," Dr. Mouradian said. ■



# RIDE swings into second year at Riverpoint

THE REGIONAL INITIATIVES IN DENTAL Education (RIDE) program kicked off its orientation for a new cohort of eight students on Aug. 10 at the Eastern Washington University Riverpoint Campus, RIDE's Spokane hub.

It marked the start of the second year for RIDE, which operates in conjunction with the UW School of Medicine's regional WWAMI (Washington, Wyoming, Alaska, Montana, Idaho) program. RIDE students spend their first year at Riverpoint, where they study alongside medical and dental hygiene students. They spend second and third year at the School of Dentistry in Seattle, and a large portion of their fourth-year education will take place in community health settings in Eastern Washington.

Welcoming students at orientation were Dean Martha Somerman and Dr. Wendy Mouradian, RIDE Director and the School of Dentistry's Associate Dean of Regional Affairs and Curriculum.

"We have a huge problem with access to care, and you're going to be part of the solution," Dean Somerman said. Dr. Mouradian added, "Part of the subtext here is to mix medicine and dentistry together."

Students also heard from Dr. Pete Eveland, Associate Dean for Student Affairs at the UW School of Medicine; Dr. Art DiMarco, RIDE Director at Riverpoint; and Dr. Ken Roberts, Director of WWAMI at Riverpoint.

Also on hand was Dr. Sue Coldwell, UW Dentistry's Associate Dean of Student Life and Admissions. She told students, "We need you to think not only about the mouth being part of the

body, but also how dentistry is part of society and part of the health system."

Others taking part in the orientation included Dr. Jim Sledge, RIDE Regional Clinical Director; Dr. Richard McCoy, Professor Emeritus of Restorative Dentistry; Dr. John Evans, Clinical Associate Professor of Oral & Maxillofacial Surgery; Dr. Linda Higley, RIDE Counselor; Dr. Bea Gandara, Clinical Associate Professor of Oral Medicine, and Dr. David Pitts, RIDE

ingly well," said Dr. DiMarco, who said no major changes were contemplated in the wake of the first year's experience. Class of 2012 students who were interviewed during the spring also voiced their satisfaction with the program.

Student Patty Martin said the distance-learning format has not been a hindrance, and at times can be an advantage. Students can go back for repeat viewings of recorded lectures, she



*Dr. Art DiMarco (in suit), RIDE director at Riverpoint, chats with students in the program's first cohort.*

Director of Educational Technology, among other staff from the School of Dentistry and EWU.

The orientation included a course schedule overview, a student panel discussion, and a discussion of professionalism and ethics by Drs. Evans and Mouradian.

Other activities held during orientation week included a library orientation, a team-building river-float event, an ICM (Introduction to Clinical Medicine and Dentistry) course orientation and the first meeting of the Anatomy and Embryology course.

"This program is working amaz-

ing well," said Dr. DiMarco, who said no major changes were contemplated in the wake of the first year's experience. Class of 2012 students who were interviewed during the spring also voiced their satisfaction with the program.

"I'm understanding the material well, I think — more so than if I were just getting it once," she said. She also said that Spokane District Dental Society (SDDS) members had been very welcoming toward RIDE students, and that she'd enjoyed going to SDDS meetings.

Dr. Mouradian added, "We are really excited about welcoming the class of 2013 to Riverpoint and integrating the inaugural cohort to the Seattle campus." ■

**1<sup>st</sup> Year RUOP and Fourth Year Community Outreach Rotation Sites and Number of Student Rotations**

	<b>1<sup>st</sup> Year RUOP</b>	<b># of Students</b>	<b>4<sup>th</sup> Year</b>	<b># of Students</b>
<b>Idaho</b>				
<b>Pocatello</b>			<b>2005, 2007</b>	<b>1, 1</b>
			<b>Total</b>	<b>2</b>
<b>Wyoming</b>				
<b>Casper</b>	<b>2007</b>	<b>1</b>		
	<b>Total</b>	<b>1</b>		
<b>Washington</b>				
<b>Bellingham</b>			<b>2008, 2009, 2010</b>	<b>1, 1, 1</b>
<b>Bremerton</b>	<b>2008</b>	<b>1</b>		
<b>Centralia</b>	<b>2007</b>	<b>1</b>		
<b>CHAS Spokane</b>	<b>2006, 2009</b>	<b>1, 1</b>		
<b>Chelan</b>			<b>2008</b>	<b>1</b>
<b>Colville</b>	<b>2009, 2010</b>	<b>1, 2</b>	<b>2008, 2009, 2010</b>	<b>1, 2, 3</b>
<b>Moses Lake</b>	<b>2010</b>	<b>1</b>		
<b>Okanogan</b>	<b>2009, 2010</b>	<b>1, 1</b>	<b>2010</b>	<b>1</b>
<b>Omak</b>	<b>2007</b>	<b>1</b>		
<b>Othello</b>	<b>2006, 2007, 2009, 2010</b>	<b>1, 1, 1, 2</b>	<b>2007, 2008, 2009</b>	<b>6, 1, 1</b>
<b>Pasco</b>	<b>2009, 2010</b>	<b>1, 1</b>		
<b>Port Angeles</b>	<b>2009</b>	<b>1</b>		
<b>Puyallup</b>			<b>2007</b>	<b>1</b>
<b>SeaMar</b>	<b>2006, 2007</b>	<b>1, 1</b>	<b>2008</b>	<b>1</b>
<b>Seattle Harborview</b>			<b>2007</b>	<b>1</b>
<b>Seattle Neighborcare</b>			<b>2009, 2010</b>	<b>1, 1</b>
<b>Smilemobile</b>			<b>2007, 2009</b>	<b>1, 1</b>
<b>Spokane DTE</b>			<b>2007, 2008, 2009</b>	<b>3, 3, 3</b>
<b>Tacoma</b>	<b>2007</b>	<b>1</b>	<b>2009</b>	<b>1</b>
<b>Tulalip</b>	<b>2006</b>	<b>1</b>		
<b>Union Gap</b>	<b>2007</b>	<b>1</b>		
<b>YVFWC Ellensburg, Walla Walla, Yakima</b>			<b>2007, 2008, 2009, 2010</b>	<b>5, 1, 2, 1</b>
	<b>Total</b>	<b>24</b>	<b>Total</b>	<b>45</b>
<b>Montana</b>				
<b>Billings</b>	<b>2004, 2006</b>	<b>1, 1</b>	<b>2010</b>	<b>1</b>
<b>Bozeman</b>	<b>2006, 2007, 2009</b>	<b>1, 1, 1</b>	<b>2008, 2009</b>	<b>1, 1</b>
<b>Browning</b>	<b>2005</b>	<b>1</b>		
<b>Butte</b>	<b>2006, 2007</b>	<b>1, 1</b>	<b>2007, 2008</b>	<b>1, 1</b>
<b>Casper</b>	<b>2007</b>	<b>1</b>		
<b>Cutbank</b>	<b>2006</b>	<b>1</b>		
<b>Helena</b>	<b>2004, 2005</b>	<b>1, 1</b>	<b>2007</b>	<b>1</b>
<b>Missoula</b>	<b>2004, 2005</b>	<b>1, 1</b>	<b>2010</b>	<b>1</b>
	<b>Total</b>	<b>14</b>	<b>Total</b>	<b>7</b>
<b>Alaska</b>				
<b>Anchorage ANMC</b>	<b>2006, 2007, 2008, 2009, 2010</b>	<b>1, 1, 1, 1, 1</b>	<b>2007</b>	<b>1</b>
<b>Bethel</b>	<b>2006, 2007, 2008, 2009, 2010</b>	<b>1, 1, 1, 2, 3</b>	<b>2007</b>	<b>2</b>
<b>Dillingham</b>	<b>2006, 2007</b>	<b>1, 1</b>		
<b>Fairbanks</b>	<b>2008</b>	<b>1</b>		
<b>Juneau</b>	<b>2006, 2007, 2008</b>	<b>1, 1, 1</b>	<b>2007, 2009, 2010</b>	<b>1, 1, 1</b>
<b>Ketchikan</b>	<b>2006, 2007</b>	<b>1, 1</b>	<b>2007</b>	<b>2</b>
<b>Sitka</b>	<b>2009, 2010</b>	<b>1, 1</b>		
	<b>Total</b>	<b>23</b>	<b>Total</b>	<b>8</b>
<b>Sub totals</b>		<b>62</b>		<b>62</b>
<b>Total Rotations</b>				<b>124</b>

## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

Approval of new 401(a) Plan Document for Deferred Compensation Arrangements

## RECOMMENDED ACTION:

It is the Recommendation of the Academic and Student Affairs Committee that the Board of Regents approve the revised Plan Document for the 401(a) Plan For Selected Employees. The revision is required to meet Internal Revenue Code Section 401(a) requirements which are effective during the 2009 – 2010 plan year.

## EXPLANATION OF PROPOSED CHANGES

The UW offers a deferred compensation agreement to selected leaders including the president and provost.

The UW utilizes two vehicles available under the Internal Revenue Code (IRC) to hold the UW contributions to individual deferred compensation agreements: a 457(f) Deferred Compensation Plan and a 401(a) Plan for Selected Employees. The advantage of using both in tandem is tax savings. When an amount contributed to a 457(f) vests, or becomes payable, it is immediately taxable to the recipient. However when amounts contributed to a 401(a) plan vest, they can remain within the plan, thus avoiding taxation until such time as an income is begun or the funds are withdrawn. The amount of the UW deferred compensation contribution is not altered because the 401(a) is funded with a contribution made from the 457(f). Both plans have parallel vesting rules.

Until this year, the UW was able to utilize a “boilerplate” Plan Document provided by one of our retirement plan vendors, TIAA-CREF. The document had been reviewed and approved by the IRS, thus allowing UW to quickly act to set up such a plan, and to reduce the cost of creating the deferred compensation arrangements. The Internal Revenue Service recently updated IRC § 401(a) and the boiler plate document is now out of date. In addition the vendor, TIAA-CREF has notified employers that they will no longer support the Plan Document or make any required changes under IRC. All Plan Documents must be in compliance with IRC language for plan year 2009 - 2010. No changes have been made to plan eligibility or participation rules.

Accordingly we request that you approve the attached updated 401(a) Plan for Selected Employees to be effective July 1, 2009.

*Attachment*

University of Washington 401(a) Plan for Selected Employees



**THE UNIVERSITY OF WASHINGTON  
401(a) PLAN FOR SELECTED EMPLOYEES**

**Amended and Restated Effective  
July 1, 2009**

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## ARTICLE 1. INTRODUCTION

1.1. Amendment and Restatement. The Plan was originally adopted, effective July 1, 2003 by the University of Washington. The Plan was amended and restated as of July 1, 2006. This document amends, restates, and continues the Plan again, and is generally effective as of July 1, 2009, except as otherwise provided herein.

1.2. Rights under Plan. Except as otherwise expressly provided herein, the rights of Participants who ceased to be Employees prior to July 1, 2009 and do not subsequently become Eligible Employees shall be determined in accordance with the terms of the Plan as in effect when they ceased to be Employees.

1.3. Qualification and Purpose.

(a) Profit-sharing plan. The Plan is intended to qualify as a profit-sharing plan under Code section 401(a).

(b) Compliance with Code. The purpose of the Plan is to provide benefits to Participants in a manner consistent and in compliance with all applicable Code sections.

(c) Exclusive benefit rule. Except as otherwise provided in the Plan or permitted or required by law, no part of the corpus or income of the Trust forming part of the Plan will be used for or diverted to purposes other than the exclusive benefit of each Participant and Beneficiary.

1.4. Defined Terms. All capitalized terms used in the following provisions of the Plan have the meanings given them under the Article entitled "Definitions."

## ARTICLE 2. DEFINITIONS

Wherever used in the Plan, the following terms have the following meanings:

2.1. "Accounts" mean, for any Participant, the accounts established under Article 5 to which contributions made for the Participant's benefit, and any allocable income, expense, gain and loss, are allocated.

2.2. "Administrator" means the entity, person or persons appointed to administer the Plan pursuant to its provisions.

2.3. "Affiliated Employer" means (a) the University, (b) any corporation that is a member of a controlled group of corporations (as defined in Code section 414(b)) of which the University is also a member, (c) any trade or business, whether or not incorporated, that is under common control (as defined in Code section 414(c)) with the University, (d) any trade or business that is a member of an affiliated service group (as defined in Code section 414(m)) of which the University is also a member, or (e) to the extent required by Regulations issued under Code section 414(o), any other organization; provided, that the term "Affiliated Employer" shall not include any corporation or unincorporated trade or business prior to the date on which such corporation, trade or business satisfies the affiliation or control tests of (b), (c) (d) or (e) above. In identifying any "Affiliated Employers" for purposes of the Code section 415 limits in Section 4.6, the definitions in Code sections 414(b) and (c) shall be modified as provided in Code section 415(h).

2.4. "Beneficiary" means any person entitled to receive benefits under the Plan upon the death of a Participant.

2.5. "Board" means the Board of Regents of the University.

2.6. "Code" means the Internal Revenue Code of 1986, as amended from time to time. Reference to any section or subsection of the Code includes reference to any comparable or succeeding provisions of any legislation which amends, supplements or replaces such section or subsection, and also includes reference to any Regulation issued pursuant to or with respect to such section or subsection.

2.7. "Compensation" means:

(a) For purposes of the Section 415 limit in Section 4.6, the sum of (i) the Participant's wages, salaries, bonuses and other amounts received (without regard to whether or not an amount is paid in cash) for personal services actually rendered in the course of employment with the Affiliated Employers to the extent that the amounts are includible in gross income, but not including those items excludable from the definition of compensation under Regulation section 1.415-2(d)(2), and (ii) any amounts described in (i) that would have been received by the individual from the Affiliated Employers and would have been includible in gross income but for an election under Code sections 125, 132(f), 401(k), 402(h), 403(b) or 457(b). Compensation shall include payments of regular pay, leave cashouts and deferred compensation made by the later of 2½ months after severance from employment or the last day of the Plan Year in which such

severance from employment occurs, if they are amounts described in Treasury regulation section 1.415(c)-(2)(e)(3)(ii) or (iii) that would have been included as Compensation if paid prior to the severance from employment with the Affiliate Employers. Any payments not described in the preceding sentence shall not be considered Compensation if paid after severance from employment, even if they are paid by the later of 2½ months after the date of severance from employment or the end of the Plan Year that includes the date of severance from employment.

(b) For all other purposes under the Plan, Compensation shall be the same as under (a) above but shall exclude any amounts payable by Affiliated Employers other than the University.

(c) For all purposes under the Plan, Compensation shall include only amounts actually paid to the Participant during the applicable Plan Year, and Compensation for any individual will be limited for any Plan Year to an amount determined under Code section 401(a)(17). For each Plan Year beginning after December 31, 2008, the Code section 401(a)(17) limit is \$245,000, adjusted from time to time for cost-of-living increases in accordance with section 401(a)(17)(B).

(d) For purposes of this Section, amounts under Code section 125 include any amounts not available to a Participant in cash in lieu of group health coverage because the Participant is unable to certify that he or she has other health coverage. To the extent required by applicable law or IRS guidance, an amount will be treated as an amount under Code section 125 pursuant to this Section only if the University does not request or collect information regarding the Participant's other health coverage as part of the enrollment process for the health plan.

2.8. "Eligible Employees" are the President and Provost of the University.

2.9. "Employee" means any individual employed by an Affiliated Employer, including any leased employee and any other individual required to be treated as an employee pursuant to Code sections 414(n) and 414(o). A leased employee shall include any person who, pursuant to an agreement between an Affiliated Employer and any other person, has performed services for the Affiliated Employer and related persons defined in Code section 414(n)(6) on a substantially full-time basis for a period of at least one year, provided that such services are performed under the primary direction or control of the Affiliated Employer.

2.10. "Employer Contribution" means a contribution made by the University for the benefit of a Participant under Section 4.1 of the Plan.

2.11. "Funding Agent" means the trustee of any trust established to hold contributions under the Plan or the issuer of any annuity contract intended to hold such contributions.

2.12. "Hour of Service" means, with respect to any Employee, each hour for which the Employee is paid or entitled to payment for the performance of duties for an Affiliated Employer.

2.13. "Normal Retirement Age" means age 62.



2.14. "Participant" means each Eligible Employee who participates in the Plan pursuant to Article 3.

2.15. "Period of Service" means, with respect to any Employee, the aggregate of all time periods commencing with the Employee's first day of employment or reemployment and ending on the date a break in service begins. The first day of employment or reemployment is the first day the Employee performs an Hour of Service. An Employee will also receive credit for any period of severance of less than 12 consecutive months. Fractional periods of a year will be expressed in terms of days. In the case of an individual who is absent from work for maternity or paternity reasons, the 12-consecutive month period beginning on the first anniversary of the first day of such absence shall not constitute a break in service. For purposes of this Section,

(a) an absence from work for maternity or paternity reasons means an absence (i) by reason of the pregnancy of the individual, (ii) by reason of the birth of a child of the individual, (iii) by reasons of the placement of a child with the individual in connection with the adoption of such child by such individual, or (iv) for purposes of caring for such child for a period beginning immediately following such birth or placement;

(b) a break in service is a period of severance of at least 12 consecutive months; and

(c) a period of severance is a continuous period of time during which the Employee is not employed by an Affiliated Employer. Such period begins on the date the Employee retires, quits or is discharged, or if earlier, the 12-month anniversary of the date on which the Employee was otherwise first absent from service.

In the case of a leave of absence for service in the armed forces of the United States, no period shall be excluded under this paragraph during which the Employee has reemployment rights with respect to any Affiliated Employers under federal law.

2.16. "Plan" means the University of Washington 401(a) Plan for Selected Employees.

2.17. "Plan Year" means the 12-month period beginning each July 1 and ending the following June 30.

2.18. "Qualified Domestic Relations Order" means any judgment, decree or order (including approval of a property settlement agreement) which constitutes a "qualified domestic relations order" within the meaning of Code section 414(p). A judgment, decree or order shall not be considered not to be a Qualified Domestic Relations Order merely because it requires a distribution to an alternate payee (or the segregation of accounts pending distribution to an alternate payee) before the Participant is otherwise entitled to a distribution under the Plan.

2.19. "Regulation" means a regulation issued by the Department of Treasury, including any final regulation, proposed regulation, temporary regulation, as well as any modification of any such regulation contained in any notice, revenue procedure, or similar pronouncement issued by the Internal Revenue Service.

- 2.20. "Section" means a section of the Plan.
- 2.21. "University" mean the University of Washington in Seattle, Washington.
- 2.22. "Valuation Date" means the last business day of each Plan Year and such other day or days as specified by the Administrator.
- 2.23. "Year of Service" means a Period of Service of one full year.

### ARTICLE 3. PARTICIPATION

3.1. Date of Participation. Any individual who was a Participant in the Plan on June 30, 2009 and who is an Eligible Employee on July 1, 2009 shall continue to be a Participant in the Plan. Each other Eligible Employee shall become a Participant on the first day of the month coinciding with or next following the day he or she becomes an Eligible Employee.

3.2. Duration of Participation. An individual who has become a Participant in the Plan will remain a Participant for as long as an Account is maintained under the Plan for his or her benefit, or until his or her death, if earlier. Notwithstanding the preceding sentence and unless otherwise expressly provided for under the Plan, no contributions shall be made with respect to a Participant who is not an Eligible Employee. In the event a Participant remains an Employee but ceases to be an Eligible Employee and becomes ineligible to receive contributions, such Employee will again become eligible to receive contributions immediately upon returning to the class of Eligible Employees. In the event an Employee who is not an Eligible Employee becomes an Eligible Employee, such Employee will become a Participant in accordance with the applicable provisions of Section 3.1. A Participant or former Participant who is reemployed as an Eligible Employee shall again become eligible to receive contributions immediately upon such reemployment.

## ARTICLE 4. CONTRIBUTIONS

4.1. Employer Contributions. For each Plan Year, the University will contribute 20% of each Participant's Compensation for such year, or such other percentage or amount as the University may determine in its sole discretion, such contributions to be allocated among the Participants in the proportion that each Participant's Compensation bears to all Participants' Compensation. No Compensation paid to an Eligible Employee prior to the date on which he or she becomes a Participant shall be taken into account for purposes of Employer Contributions under this Section 4.1. Contributions under the Plan must be for the exclusive benefit of employees or their Beneficiaries and substantial and recurring in accordance with Treasury Regulations Sections 1.401-1(a)(3) and 1.401-1(b)(2).

4.2. Contributions During an Absence from Service. Contributions shall continue during a paid sabbatical or other leave of absence on the basis of Compensation then being paid by the University.

4.3. Vesting in Accounts; Treatment of Forfeitures. A Participant will be 100% vested in all of his or her Accounts upon the completion of three Years of Service, or, if later, the attainment of age 56 1/2. A Participant who remains employed by one or more Affiliated Employers until his or her Normal Retirement Age shall have a 100% vested and non-forfeitable right to his or her Accounts upon attaining such age. Unvested amounts will be forfeited upon the Participant's separation from employment. All forfeitures under the Plan shall be applied to reduce the University's contributions for the Plan Year or any succeeding Plan Year.

4.4. Crediting of Contributions. Each Employer Contribution for a Plan Year for a Participant shall be credited to the Account or Accounts of the Participant as of the Valuation Date coinciding with or next following the date the contributions are received by the Funding Agent (but in no event later than the last Valuation Date of the Plan Year).

4.5. Time for Making Contributions. Employer Contributions for a Plan Year will be contributed in cash to the Funding Agent at such time as the University determines, but in any event no later than the time prescribed by law.

4.6. Code Section 415 Limits.

(a) Incorporation by reference. Code section 415 is hereby incorporated by reference into the Plan and the provisions of the Plan are to be applied and interpreted in a manner consistent with Code section 415.

(b) Annual addition. The Administrator shall determine the "annual addition" for each Participant for each limitation year, which shall consist of the following amounts allocated to the Participant for the year:

- (i) Employer Contributions under this Plan;
- (ii) Annual additions under any other defined contribution plans maintained by Affiliated Employers;

(iii) Amounts allocated to an individual medical account (as defined in Code section 415(l)(2)) which is part of a pension or annuity plan maintained by an Affiliated Employer; and

(iv) Amounts derived from contributions paid or accrued which are attributable to post retirement medical benefits allocated to the separate account of a key employee (as defined in Code section 419A(d)(3)) under a welfare benefit fund (as defined in Code section 419(e)) maintained by an Affiliated Employer.

(c) General limitation on annual additions. The annual addition for a Participant for any limitation year shall not exceed the lesser of (i) the dollar limit set forth in Code section 415(c)(1)(A), as adjusted from time to time for increases in the cost of living under Code section 415(d), or (ii) 100% of the Participant's Compensation for such limitation year.

(d) Limitation year. For purposes of determining the Code section 415 limit under the Plan, the "limitation year" shall be the Plan Year.

(e) Required reductions. To the extent necessary to satisfy the limitation of Code section 415 for any Participant, the annual addition which would otherwise be made on behalf of the Participant under the Plan shall be reduced before the Participant's benefit is reduced under any other plan. To the extent necessary to avoid exceeding the Code section 415 limits, the Administrator may cause amounts that would otherwise be contributed for the benefit of a Participant not to be contributed.

(f) Corrective Procedures. If, as a result of a reasonable error in estimating a Participant's Compensation for a Plan Year or limitation year, or under such other facts and circumstances as may be permitted under regulation or by the Internal Revenue Service, the annual addition under the Plan for a Participant would cause the Code section 415 limitations for a limitation year to be exceeded, Employer Contributions, together with earnings thereon, will not be allocated to the Participant's Account to the extent necessary for such limitation year, but will be used to reduce Employer Contributions for the next limitation year (and succeeding limitation years, as necessary) for that Participant if the Participant is covered by the Plan as of the end of the limitation year. However, if the Participant is not covered by the Plan as of the end of the limitation year, the excess amounts will not be distributed to Participants or former Participants, but will be held unallocated for that limitation year in a suspense account. If the suspense account is in existence at any time during any subsequent limitation year, all amounts in the suspense account will be allocated to the Accounts of all Participants in proportion to their relative amounts of Compensation for the subsequent limitation year, before any other contributions which would be part of an annual addition are made to the Plan for the subsequent limitation year. No investment gains or losses will be allocated to any suspense account described in this paragraph; instead, any such gains or losses shall be allocated among the remaining Accounts in proportion to their respective balances.

4.7. Return of Contributions. If any contribution by the University under the Plan is

(a) made by reason of a good faith mistake of fact, or

(b) believed by the University in good faith to be deductible under Code section 404 (if the University were a tax paying entity), but the University later determines that the deduction would not have been allowed), the Funding Agent shall, upon request by the University, return to the University the excess of the amount contributed over the amount, if any, that would have been contributed had there not occurred a mistake of fact or a mistake in determining the deduction. Such excess shall be reduced by the investment losses attributable thereto, if and to the extent such losses exceed the gains and income attributable thereto. In no event shall the return of a contribution hereunder cause any Participant's Accounts to be reduced to less than they would have been had the mistaken or nondeductible amount not been contributed. No return of a contribution hereunder shall be made more than one year after the mistaken payment of the contribution.

4.8. Funding Agent. The University will establish a trust or annuity contract, or both, to accept and hold contributions made under the Plan. Any such trust shall be governed by an agreement between the University and the trustee, the terms of which shall be consistent with Plan provisions and intended qualification under Code sections 401(a) and 501(a). Any such annuity contract will be issued by a life insurance company authorized by law to issue annuity contracts in the State of Washington.

## ARTICLE 5. PARTICIPANT ACCOUNTS

5.1. Accounts. The Administrator will establish and maintain (or cause the Funding Agent to establish and maintain) for each Participant, such Account or Accounts as are necessary to carry out the purposes of this Plan.

5.2. Adjustment of Accounts. As of each Valuation Date, each Account will be adjusted to reflect the fair market value of the assets allocated to the Account. In so doing,

(a) each Account balance will be increased by the amount of contributions, income and gain allocable to such Account since the prior Valuation Date; and

(b) each Account balance will be decreased by the amount of distributions from the Account and expenses and losses allocable to the Account since the prior Valuation Date.

Any expenses relating to a specific Account or Accounts, administrative fees or commissions or sales charges imposed with respect to an investment in which the Account participates, may be charged solely to the particular Account or Accounts in the discretion of the University.

5.3. Investment of Accounts. All amounts credited to a Participant's Accounts shall be invested by the Funding Agent as the Participant directs from among such investment funds as the University may make available from time to time. The Administrator shall prescribe the form and manner in which such instructions shall be given, as well as the frequency with which such instructions may be given or changed and the dates as of which they shall be effective.

5.4. Appointment of Investment Manager. The University may appoint in writing one or more investment managers to manage the investment of all or designated portions of the assets held in a trust or annuity contract. The appointment shall be effective upon acknowledgment in writing by the investment manager or other named fiduciary that it is a fiduciary with respect to the Plan.

## ARTICLE 6. WITHDRAWALS PRIOR TO SEVERANCE FROM EMPLOYMENT

6.1. Withdrawals on Account of Disability. A Participant who becomes disabled but who has not otherwise severed from employment from the Affiliated Employers may make a withdrawal in an amount specified by the Participant from any one or more of his or her Accounts for any reason, but with such prior notice as the Administrator may prescribe, and subject to such conditions and restrictions as may be imposed under the applicable investment funds in which the particular Account is invested. Payment to the Participant shall be made as soon as practicable after the Valuation Date next following the Administrator's receipt of notice of the withdrawal. A Participant will be considered "disabled" for this purpose if the Participant is unable to engage in any substantial gainful activity by reason of any medically determinable physical or mental impairment that can be expected to result in death or to last for a continuous period of not less than twelve months, or if the Participant is determined to be totally disabled by the Social Security Administration or the Railroad Retirement Board.

6.2. Withdrawals after Normal Retirement Age. A Participant who is an Employee and has attained Normal Retirement Age may make a withdrawal from his or her Accounts for any reason, but with such prior notice and with such frequency as the Administrator may prescribe and subject to such conditions and restrictions as may be imposed under the applicable investment funds in which a particular Account is invested. Any such withdrawal shall be in the amount specified by the Participant, up to the value of the Participant's Account determined as of the Valuation Date next following the Administrator's receipt of notice of the withdrawal. Payment to the Participant shall be made as soon as practicable after such Valuation Date.

6.3. Distributions Required by a Qualified Domestic Relations Order. To the extent required by a Qualified Domestic Relations Order, the Administrator shall make distributions from a Participant's vested Accounts to alternate payees named in such order and in a manner consistent with the distribution options otherwise available under the Plan, regardless of whether the Participant is otherwise entitled to a distribution at such time under the Plan.



## ARTICLE 7. BENEFITS UPON DEATH OR SEVERANCE FROM EMPLOYMENT

7.1. Severance from Employment for Reasons Other Than Death. Following a Participant's severance from the employment of the Affiliated Employers for any reason other than death, the Participant may receive a distribution of his or her vested Accounts, if valued in excess of \$1,000 as described below, in any of the forms permitted by the trust agreement or annuity contract under which the Funding Agent is holding the Accounts, at the election of the Participant, including:

- (a) A lump sum benefit (the normal form), to the extent a Funding Agent's contract permits;
- (b) a single life annuity;
- (c) a joint and survivor annuity;
- (d) a fixed period annuity;
- (e) installment payments for a definite period; and
- (f) purchase and distribution of an annuity contract (but not a life insurance contract).

In the case of a Participant whose Accounts are not valued in excess of \$1,000 as described below, a distribution shall be made to the Participant in cash in a single sum to the extent permitted by the terms and conditions of the applicable investment funds in which such Accounts are invested. A Participant's Accounts will be considered to be valued in excess of \$1,000 if the value of such Accounts exceeds such amount at the time of the distribution in question.

7.2. Time of Distributions to a Participant. Distribution with respect to a Participant's severance from employment normally will be made or commence as soon as practicable after such severance. In the case of a Participant whose Accounts are valued in excess of \$1,000, as described above, and who has not yet attained Normal Retirement Age, however, distribution may not begin under this Section unless the following notice requirements are satisfied:

- (a) General Notice. The Administrator shall provide (or cause the applicable Funding Agent to provide) each Participant with a written general description of the eligibility conditions and other material features of the optional forms of benefit and sufficient additional information to explain the relative values of the optional forms of benefit and the automatic forms of benefit as well as satisfy the requirements of Department of Treasury regulation section 1.401(a)-20 (to the extent applicable). If the Participant has not yet attained his or her Normal Retirement Age, the notice shall also inform the Participant of his or her right to defer payment of benefits until the earlier of (1) the date he or she consents to payment and (2) the date he or she attains his or her Normal Retirement Age, and shall include an explanation of the consequences of failure to defer receipt. This general notice shall be provided no more than 180 days and no less than 30 days (subject to Section 7.2(c) below) before the Participant's benefit starting date.

(b) Joint and survivor annuity notice. The Administrator shall also provide (or cause the Funding Agent to provide) to each married Participant who is eligible to receive benefits under the Plan a written explanation in non-technical language of the terms and conditions of the 50% joint and survivor annuity, the Participant's right to make and the effect of an election not to receive benefits in such form, the rights of the Participant's spouse with respect to receiving benefits as a 50% joint and survivor annuity, and the right to revoke and the effect of a revocation of an election not to receive benefits in the form of a joint and survivor annuity. The written explanation shall also include a general explanation of the relative financial effect on the Participant's benefit of electing the 50% joint and survivor annuity and any other information required by Department of Treasury regulation section 1.401(a)-20 (to the extent applicable) as well as an explanation of the "qualified optional survivor annuity" (within the meaning of Code section 417(g)), which shall be a 75% joint and survivor annuity. This explanation shall be provided no more than 180 days and no less than 30 days (subject to Section 7.2(c) below) prior to the Participant's Annuity Starting Date.

(c) Expedited Notice Procedures. Notwithstanding any provision of the Plan to the contrary, the annuity starting date can be at any time more than seven (7) days after the written notification under Section 7.2(a) and (if required) under Section 7.2(b) is distributed to a Participant, provided that:

(i) The Administrator provides (or causes the Funding Agent to provide) information to the Participant clearly indicating that the Participant has a right to at least 30 days to consider whether to waive the Plan's automatic forms of payment and consent to a form of distribution other than the automatic form of payment.

(ii) The Participant is permitted to revoke an affirmative distribution election at least until the Annuity Starting Date or, if later, at any time prior to the expiration of the 7-day period that begins after the written explanation is provided to the Participant.

(iii) Distribution in accordance with the Participant's affirmative election does not commence before the expiration of the 7-day period that begins on the day after the written explanation is distributed to the Participant.

7.3. Death prior to benefit commencement date. If a Participant dies prior to his or her benefit commencement date, the Participant's Beneficiary will have a 100% vested interest in the value of the Participant's Accounts. Such Accounts will be paid in a single lump sum to the Beneficiary or Beneficiaries named by the Participant, or in any other form permitted by the Funding Agents. If there is no designated Beneficiary, the Participant's Accounts will be paid to the Participant's estate. Benefits payable under this Section are subject to the minimum distribution rules described in Article 11.

7.4. Optional Direct Transfer of Eligible Rollover Distributions.

(a) Notwithstanding any provision of the Plan to the contrary that would otherwise limit a distributee's election, a distributee may elect, at the time and in the manner prescribed by the Administrator, to have any portion of an eligible rollover distribution that is equal to at least \$500 paid directly to an eligible retirement plan specified by the distributee in a direct rollover. If an eligible rollover distribution is less than \$500, a distributee may not make the election described in the preceding sentence to roll over only a portion of the eligible rollover distribution. In addition, if an eligible rollover distribution is made to a Roth IRA (as such term is defined in Code section 408(A)(b)), the distributee shall recognize ordinary income in the amount of the eligible rollover distribution to the extent provided in Code section 408A(d)(3)(A).

(b) For purposes of this Section 7.4(b), the following terms shall have the following definitions:

(i) Eligible rollover distribution. An "eligible rollover distribution" is any distribution of all or any portion of the balance to the credit of the distributee, except that an eligible rollover distribution does not include:

- (1) any distribution that is one of a series of substantially equal periodic payments (not less frequently than annually) made for the life (or life expectancy) of the distributee or the joint lives (or joint life expectancies) of the distributee and the distributee's designated beneficiary, or for a period of 10 years or more;
- (2) any distribution to the extent such distribution is required under Code section 401(a)(9);
- (3) any hardship withdrawal; and
- (4) any distribution(s) that is reasonably expected to total less than \$200 during a year.

A portion of a distribution shall not fail to be an eligible rollover distribution merely because the portion consists of after-tax employee contributions which are non includible in gross income. However, such portion may be transferred only to an individual retirement account or annuity described in Code section 408(a) or 408(b), or to a qualified defined contribution plan described in Code section 401(a) or 403(a) of the Code that agrees to separately account for amounts so transferred, including separately accounting for the portion of such distribution which is includible in gross income and the portion of such distribution which is not so includible.

(ii) Eligible retirement plan. An "eligible retirement plan" is a qualified plan described in Code section 401(a), an annuity plan described in Code section 403(a), an annuity contract described in Code section 403(b), an individual retirement account described in Code section 408(a), an individual retirement annuity described in Code section 408(b), a Roth IRA described in Code section 408A or an eligible plan under Code section 457(b) which is

maintained by a state, a political subdivision of a state, or any agency or instrumentality of a state or political subdivision of a state and which agrees to separately account for amount transferred into such plan from this Plan, that accepts the distributee's eligible rollover distribution. The definition of eligible retirement plan shall also apply in the case of a distribution to a surviving spouse, or to a spouse or former spouse who is the alternate payee under a qualified domestic relations order as defined in Code section 414(p). If the distributee is a nonspouse beneficiary within the meaning of Code section 402(c)(11), an eligible retirement plan shall mean only an individual account or described in Code section 408(a) or an individual retirement annuity described in Code section 408(b) that is established on behalf of the Beneficiary and that will be treated as an inherited IRA pursuant to the provisions of Code section 402(c)(11).

(iii) Distributee. A "distributee" includes an employee or former employee. In addition, the employee's or former employee's surviving spouse and the employee's or former employee's spouse or former spouse who is the alternate payee under a qualified domestic relations order, as defined in Code section 414(p), are distributees with regard to the interest of the spouse or former spouse. A distributee also includes a nonspouse beneficiary within the meaning of Code section 402(c)(11). In this case, the determination of any required minimum distribution under Code section 401(a)(9) that is ineligible for rollover shall be made in accordance with IRS Notice 2007-7, Q&A-17 and 18, 2007 I.R.B. 395.

#### 7.5. Required Distributions.

(a) In no case will payment of benefits to any Participant commence later than the sixtieth day (60th) day after the latest of the following: (i) the close of the Plan Year in which occurs the date on which the Participant attains Normal Retirement Age, (ii) the close of the Plan Year in which occurs the tenth (10th) anniversary of the year in which the Participant commenced participation in the Plan or (iii) the close of the Plan Year in which the Participant terminates his or her service with the University,

(b) Notwithstanding any provision of the Plan to the contrary, payment of benefits to a Participant shall be paid in a manner consistent with the distribution requirements of Code section 401(a)(9) (which requirements are expressly incorporated herein by reference and set forth in detail in Article 11) not later than the April 1 next following the later of (i) the calendar year in which he or she attains age 70½, or (ii) the calendar year in which he or she retires.

## ARTICLE 8. ADMINISTRATION

8.1. Administrator. The Plan will be administered by the University, or by an individual, a committee of individuals, or an institution selected by the University to serve at its pleasure. The Administrator will be a “named fiduciary” with authority to control and manage the operation and administration of the Plan. The Administrator will not, however, have any authority over the investment of assets of the Plan in its capacity as Administrator.

8.2. Powers of Administrator. The Administrator will have full discretionary power to administer the Plan in all of its details. For this purpose the Administrator’s discretionary power will include, but will not be limited to, the following authority:

- (a) to make and enforce such rules and regulations as it deems necessary or proper for the efficient administration of the Plan or required to comply with applicable law;
- (b) to interpret the Plan;
- (c) to decide all questions concerning the Plan and the eligibility of any person to participate in the Plan;
- (d) to compute the amounts to be distributed under the Plan, and to determine the person or persons to whom such amounts will be distributed;
- (e) to charge against Accounts such reasonable administrative fees as may be incurred under the Plan from time to time and to authorize the payment of distributions;
- (f) to keep such records and submit such filings, elections, applications, returns or other documents or forms as may be required under the Code and applicable regulations, or under other federal, state or local law and regulations;
- (g) to allocate and delegate its ministerial duties and responsibilities and to appoint such agents, counsel, accountants and consultants as may be required or desired to assist in administering the Plan; and
- (h) by written instrument, to allocate and delegate its fiduciary responsibilities.

8.3. Effect of Interpretation or Determination. Any interpretation of the Plan or other determination with respect to the Plan by the Administrator shall be final and conclusive on all persons in the absence of clear and convincing evidence that the Administrator acted arbitrarily and capriciously.

8.4. Reliance on Tables, etc. In administering the Plan, the Administrator will be entitled, to the extent permitted by law, to rely conclusively on all tables, valuations, certificates, opinions and reports which are furnished by any accountant, Funding Agent, counsel or other expert who is employed or engaged by the Administrator or by the University on the Administrator’s behalf.

8.5. Participant Directed Investments. The Administrator shall promulgate such rules and procedures, identify such Plan fiduciaries and provide Participants with such information with respect to the investment funds made available by the Funding Agent to Participants under the Plan, as it deems necessary or advisable. Such rules and procedures, identifications and information may be included in whole, or in part, in the summary plan description for the Plan.

8.6. Indemnification of Administrator and Assistants. The University agrees to indemnify and defend to the fullest extent of the law any Employee or former Employee (a) who serves or has served as Administrator, (b) who has or had been appointed to assist the Administrator in administering the Plan, or (c) to whom the Administrator has or had delegated any of its duties or responsibilities against any liabilities, damages, costs and expenses (including attorneys' fees and amounts paid in settlement of any claims approved by the University) occasioned by any act or omission to act in connection with the Plan, if such act or omission to act is in good faith.

8.7. Claims and Review Procedures.

(a) Claims Procedure. If any individual believes he or she is being denied any rights or benefits under the Plan, such individual (or his or her duly authorized representative) may file a claim in writing with the Administrator. If any such claim is wholly or partially denied, the Administrator will notify such individual of its decision in writing. Such notification will be written in a manner calculated to be understood by the claimant and will contain (i) specific reasons for the denial, (ii) specific reference to pertinent Plan provisions, (iii) a description of any additional material or information necessary for such individual to perfect such claim and an explanation of why such material or information is necessary, (iv) information as to the steps to be taken if the individual wishes to submit a request for review, and (v) a statement of the individual's right to bring a civil action following an adverse determination upon review. Such notification will be given within 90 days after the claim is received by the Administrator (or within 180 days, if special circumstances require an extension of time for processing the claim, and if written notice of such extension and circumstances is given to such individual within the initial 90 day period).

(b) Review Procedure. Within 60 days after the date on which an individual receives a written notice of a denied claim such individual (or his or her duly authorized representative) may (i) file a written request with the Administrator for a review of his or her denied claim and of pertinent documents and (ii) submit written comments, documents, records and other information relating to the claim for benefits (regardless of whether such information was submitted or considered in the initial benefits determination) to the Administrator. The Administrator will notify such individual of its decision in writing. If the individual's claim is denied on review, such notification will be written in a manner calculated to be understood by such individual and will contain (i) the specific reason or reasons for the denial, (ii) specific references to pertinent Plan provisions, (iii) a statement that the individual is entitled to receive, upon request and free of charge, reasonable access to, and copies of, any documents, records and other information relevant to the claimant's claim for benefits, and (iv) a statement of the individual's right to bring a civil action. The decision on review will be made within 60



days after the request for review is received by the Administrator (or within 120 days, if special circumstances require an extension of time for processing the request, such as an election by the Administrator to hold a hearing, and if written notice of such extension and circumstances is given to such individual within the initial 60 day period).

8.8. Payment of Plan Expenses. The Administrator may direct the Funding Agent to pay from the trust or annuity contract any and all expenses of administering the Plan, to the extent such expenses are reasonable. The Administrator will determine in its sole discretion what constitutes a reasonable expense of administering the Plan, and whether such expenses shall be paid from the trust or annuity contract. Any such expenses not paid from the trust or annuity contract shall be paid by the University as determined by the Administrator; provided, however, that to the extent permitted by law, the Administrator may direct the Funding Agent to reimburse the University from the Trust for a reasonable expense of administering the Plan which is paid by the University prior to a determination with respect to such expense.

8.9. Authority to correct operational defects. The Administrator will have the full discretionary power and authority to correct any "operational defect" in any manner or by any method it deems appropriate in its sole discretion. For purposes of this Section, an "operational defect" is any operational or administrative action (or inaction) in connection with the Plan which, in the judgment of the Administrator, fails to conform with the terms of the Plan or causes or could cause the Plan to lose its tax-qualified status under the Code.

8.10. Electronic forms. Notwithstanding any Plan provision to the contrary, to the extent the Administrator allows any form or document under the Plan to be provided, completed or changed by means of telephone, computer or other paperless media, a paper document shall not be required for such form or document to be effective under the Plan.

## ARTICLE 9. AMENDMENT AND TERMINATION

9.1. Amendment. The University reserves the power at any time or times to amend the provisions of the Plan and any agreement with a Funding Agent to any extent and in any manner that it may deem advisable by a written instrument signed on behalf of the University providing for such amendment (any such amendment to take effect retroactively if the University so directs). However, the University will not have the power:

(a) to amend the Plan in such manner as would cause or permit any part of the assets of the Plan to be diverted to purposes other than for the exclusive benefit of each Participant and his or her Beneficiary, unless such amendment is required or permitted under the Plan or by law, Regulation or ruling; or

(b) to amend the Plan retroactively in such a manner as would reduce the accrued benefit of any Participant, except as otherwise permitted or required under the Plan or by law, governmental Regulation or ruling.

9.2. Termination. The University has established the Plan and with the bona fide intention and expectation that contributions will be continued indefinitely, but may discontinue contributions under the Plan or terminate the Plan at any time by written notice delivered to the Funding Agent without liability whatsoever for any such discontinuance or termination.

9.3. Distributions upon Termination of the Plan. Upon termination of the Plan by the University, the Funding Agent will distribute to each Participant (or other person entitled to distribution) the value of the Participant's Accounts in a single sum as soon as practicable following such termination; provided, however, that the distributions of a Participant's Accounts which are invested in investment funds governed by one or more annuity contracts shall be made in accordance with the applicable terms and conditions of such contracts to the extent consistent with applicable law. The amount of such distribution shall be determined as of the Valuation Date immediately preceding or coinciding with the date distribution is to be made.

9.4. Merger or Consolidation of Plan; Transfer of Plan Assets. In case of any merger or consolidation of the Plan with, or transfer of assets and liabilities of the Plan to, any other plan, provision must be made so that each Participant would, if the Plan then terminated, receive a benefit immediately after the merger, consolidation or transfer which is equal to or greater than the benefit he or she would have been entitled to receive immediately before the merger, consolidation or transfer if the Plan had then terminated.



## ARTICLE 10. MISCELLANEOUS

10.1. Limitation of Rights. Neither the establishment of the Plan, nor any amendment thereof, nor the creation of any fund or account, nor the payment of any benefits, will be construed as giving to any Participant or other person any legal or equitable right against any Affiliated Employer or Administrator or trustees, except as provided herein, and in no event will the terms of employment or service of any Participant be modified or in any way be affected hereby. It is a condition of the Plan, and each Participant expressly agrees by his or her participation herein, that each Participant will look solely to the assets held by the Funding Agent for the payment of any benefit to which he or she is entitled under the Plan.

10.2. Nonalienability of Benefits. The benefits provided hereunder will not be subject to the voluntary or involuntary alienation, assignment, garnishment, attachment, execution or levy of any kind, and any attempt to cause such benefits to be so subjected will not be recognized, except to such extent as may be required or permitted by law, Regulation or ruling, except that if the Administrator receives any Qualified Domestic Relations Order that requires the payment of benefits hereunder or the segregation of any Account, such benefits shall be paid, and such Account segregated, in accordance with the applicable requirements of such Order.

10.3. Veteran's Reemployment and Benefits Rights. Notwithstanding any provisions of the Plan to the contrary, contributions, benefits and service credit with respect to qualified military service will be provided in accordance with Code section 414(u).

10.4. Governing Law. The Plan and Trust will be construed, administered and enforced according to the laws of State of Washington.

## ARTICLE 11. MINIMUM REQUIRED DISTRIBUTIONS

### 11.1. General Rules.

(a) Effective Date. The provisions of this Article will apply for purposes of determining minimum required distributions.

(b) Precedence. The requirements of this Article will take precedence over any inconsistent provisions of the Plan.

(c) Requirements of Treasury Regulations Incorporated. All distributions required under this Section 11.1 will be determined and made in accordance with the Treasury regulations under Code section 401(a)(9).

(d) TEFRA Section 242(b)(2) Elections. Notwithstanding the other provisions of this Article 11, distributions may be made under a designation made before January 1, 1984, in accordance with section 242(b)(2) of the Tax Equity and Fiscal Responsibility Act ("TEFRA").

### 11.2. Time and Manner of Distribution.

(a) Required Beginning Date. The Participant's entire interest will be distributed, or will begin to be distributed, no later than the Participant's Required Beginning Date.

(b) Death of Participant Before Distributions Begin. If the Participant dies before distributions begin, the Participant's entire interest will be distributed, or begin to be distributed, no later than as follows:

(i) If the Participant's surviving spouse is the Participant's sole designated Beneficiary, then, except as provided in Section 11.6 below, distributions to the surviving spouse will begin by December 31 of the calendar year immediately following the calendar year in which the Participant died, or by December 31 of the calendar year in which the Participant would have attained age 70½, if later.

(ii) If the Participant's surviving spouse is not the Participant's sole designated Beneficiary, then, except as provided in Section 11.6 below, distributions to the designated Beneficiary will begin by December 31 of the calendar year immediately following the calendar year in which the Participant died.

(iii) If there is no designated Beneficiary as of September 30 of the year following the year of the Participant's death, the Participant's entire interest will be distributed by December 31 of the calendar year containing the fifth anniversary of the Participant's death.

(iv) If the Participant's surviving spouse is the Participant's sole designated Beneficiary and the surviving spouse dies after the Participant but before distributions to the surviving spouse begin, this Section 11.2(b), other than Section 11.2(b)(1), will apply as if the surviving spouse were the Participant.

For purposes of this Section 11.2(b) and Section 11.4, unless Section 11.1(b)(4) applies, distributions are considered to begin on the Participant's Required Beginning Date. If Section 11.2(b)(4) applies, distributions are considered to begin on the date distributions are required to begin to the surviving spouse under Section 11.2(b)(1). If distributions under an annuity purchased from an insurance company irrevocably commence to the Participant before the Participant's Required Beginning Date (or to the Participant's surviving spouse before the date distributions are required to begin to the surviving spouse under Section 11.2(b)(1)), the date distributions are considered to begin is the date distributions actually commence.

(c) Forms of Distribution. Unless the Participant's interest is distributed in the form of an annuity purchased from an insurance company or in a single sum on or before the Required Beginning Date, as of the first distribution calendar year distributions will be made in accordance with Sections 11.3 and 11.4 of this Article. If the Participant's interest is distributed in the form of an annuity purchased from an insurance company, distributions thereunder will be made in accordance with the requirements of section 401(a)(9) of the Code and the Treasury regulations.

#### 11.3. Required Minimum Distributions During a Participant's Lifetime.

(a) Amount of Required Minimum Distribution For Each Distribution Calendar Year. During the Participant's lifetime, the minimum amount that will be distributed for each distribution calendar year is the lesser of:

(i) The quotient obtained by dividing the Participant's Account balance by the distribution period in the Uniform Lifetime Table set forth in section 1.401(a)(9)-9 of the Treasury regulations, using the Participant's age as of the Participant's birthday in the distribution calendar year; or

(ii) if the Participant's sole designated Beneficiary for the distribution calendar year is the Participant's spouse, the quotient obtained by dividing the Participant's Account balance by the number in the Joint and Last Survivor Table set forth in section 1.401(a)(9)-9 of the Treasury regulations, using the Participant's and spouse's attained ages as of the Participant's and spouse's birthdays in the distribution calendar year.

(b) Lifetime Required Minimum Distributions Continue Through Year of Participant's Death. Required minimum distributions will be determined under this Section 11.3 beginning with the first distribution calendar year and up to and including the distribution calendar year that includes the Participant's date of death.

#### 11.4. Required Minimum Distributions After Participant's Death.

(a) Death On or After Date Distributions Begin.

(i) Participant Survived by Designated Beneficiary. If the Participant dies on or after the date distributions begin and there is a designated Beneficiary, the minimum amount that will be distributed for each distribution calendar year after the year of the Participant's death is the quotient obtained by dividing the Participant's Account balance by the longer of the remaining life expectancy of the Participant or the remaining life expectancy of the Participant's designated Beneficiary, determined as follows:

(1) The Participant's remaining life expectancy is calculated using the age of the Participant in the year of death, reduced by one for each subsequent year.

(2) If the Participant's surviving spouse is the Participant's sole designated Beneficiary, the remaining life expectancy of the surviving spouse is calculated for each distribution calendar year after the year of the Participant's death using the surviving spouse's age as of the spouse's birthday in that year. For distribution calendar years after the year of the surviving spouse's death, the remaining life expectancy of the surviving spouse is calculated using the age of the surviving spouse as of the spouse's birthday in the calendar year of the spouse's death, reduced by one for each subsequent calendar year.

(3) If the Participant's surviving spouse is not the Participant's sole designated Beneficiary, the designated Beneficiary's remaining life expectancy is calculated using the age of the Beneficiary in the year following the year of the Participant's death, reduced by one for each subsequent year.

(ii) No Designated Beneficiary. If the Participant dies on or after the date distributions begin and there is no designated Beneficiary as of September 30 of the year after the year of the Participant's death, the minimum amount that will be distributed for each distribution calendar year after the year of the Participant's death is the quotient obtained by dividing the Participant's Account balance by the Participant's remaining life expectancy calculated using the age of the Participant in the year of death, reduced by one for each subsequent year.

(b) Death Before Date Distributions Begin.

(i) Participant Survived by Designated Beneficiary. Except as provided in Section 11.6 below, if the Participant dies before the date distributions begin and there is a designated Beneficiary, the minimum amount that will be distributed for each distribution calendar year after the year of the Participant's death is the quotient obtained by dividing the Participant's Account balance by the remaining life expectancy of the Participant's designated Beneficiary, determined as provided in Section 11.4(a).

(ii) No Designated Beneficiary. If the Participant dies before the date distributions begin and there is no designated Beneficiary as of September 30 of the year following the year of the Participant's death, distribution of the Participant's entire interest will be completed by December 31 of the calendar year containing the fifth anniversary of the Participant's death.

(iii) Death of Surviving Spouse Before Distributions to Surviving Spouse Are Required to Begin. If the Participant dies before the date distributions begin, the Participant's surviving spouse is the Participant's sole designated Beneficiary, and the surviving spouse dies before distributions are required to begin to the surviving spouse under Section 11.2(b)(1), this Section 11.4(b) will apply as if the surviving spouse were the Participant.

11.5. Definitions. For purposes of this Article, the following definitions shall apply:

(a) "Designated Beneficiary". The individual who is designated as the Beneficiary under Section 8.6 of the Plan and is the designated Beneficiary under section 401(a)(9) of the Code and section 1.401(a)(9)-4 of the Treasury regulations.

(b) "Distribution calendar year". A calendar year for which a minimum distribution is required. For distributions beginning before the Participant's death, the first distribution calendar year is the calendar year immediately preceding the calendar year which contains the Participant's Required Beginning Date. For distributions beginning after the Participant's death, the first distribution calendar year is the calendar year in which distributions are required to begin under Section 11.2(b). The required minimum distribution for the Participant's first distribution calendar year will be made on or before the Participant's Required Beginning Date. The required minimum distribution for other distribution calendar years, including the required minimum distribution for the distribution calendar year in which the Participant's Required Beginning Date occurs, will be made on or before December 31 of that distribution calendar year.

(c) "Life Expectancy". Life expectancy as computed by used of the Single Life Table in section 1.401(a)(9)-9 of the Treasury regulations.

(d) "Participant's Account balance". The Account balance as of the last valuation date in the calendar year immediately preceding the distribution calendar year (valuation calendar year) increased by the amount of any contributions made and allocated or forfeitures allocated to the Account balance as of dates in the valuation calendar year after the valuation date and decreased by distributions made in the valuation calendar year after the valuation date. The Account balance for the valuation calendar year includes any amounts rolled over or transferred to the Plan either in the valuation calendar year or in the distribution calendar year if distributed or transferred in the valuation calendar year.

(e) "Required Beginning Date". The Required Beginning Date for a Participant shall be determined as follows:

(i) For a Participant who is a five percent owner (as defined in Code section 416), the Required Beginning Date is April 1 following the calendar year in which the Participant attains age 70½.

(ii) For a Participant who is not a five percent owner, the Required Beginning Date is April 1 following the later of (A) the calendar year in which the Participant attains age 70½, and (B) the calendar year in which the Participant retires.

11.6. Special Rules. Participants or Beneficiaries may elect on an individual basis whether the 5-year rule or the life expectancy rule in Section 11.2(b) and 11.4(b) of this Article applies to distributions after the death of a Participant who has a designated Beneficiary. The election must be made no later than the earlier of September 30 of the calendar year in which distribution would be required to begin under Section 11.2(b) of this Article, or by September 30 of the calendar year which contains the fifth anniversary of the Participant's (or, if applicable, surviving spouse's) death. If neither the Participant nor the Beneficiary makes an election under this Section 11.6, distributions will be made in accordance with Sections 11.2(b) and 11.4(b) of this Article.

IN WITNESS WHEREOF, the University has caused this instrument to be signed in its name and on its behalf by its duly authorized officer this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

UNIVERSITY OF WASHINGTON

By: \_\_\_\_\_

Its: \_\_\_\_\_

## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

Services and Activities Fee—University of Washington, Seattle: 2010 – 11  
Operating and Capital AllocationsRECOMMENDED ACTION:

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve for the Seattle campus:

- 1) Raising the Services & Activities (S&A) Fee level for 2010 - 11 from \$113 per full-time student per quarter to \$117; and
- 2) Allocating \$12,789,999 for 2010 - 11 S&A Fee operating and capital funds.

BACKGROUND:

Each year, on the basis of recommendations by the administration and the S&A Fee Committee\*, the Board of Regents approves annual S&A Fee allocations for the Seattle campus. Additional allocations may be approved during a given year.

The present recommendations grew out of S&A Fee Committee discussions over the course of the 2009 - 10 academic year—discussions that included at different times representatives of the units supported by S&A Fee income. Based on revenue projections provided by the Office of Planning and Budgeting, the S&A Committee estimates revenue to be \$12,789,999 for 2010 – 11. The S&A Fee Committee submitted its written recommendations to the Vice President and Vice Provost for Student Life on May 23, 2010 (Attachment I). The administration concurred with the recommendation of the fee assessment level and all operating and minor capital allocations (Attachment II).

The 2009 - 10 and recommended 2010 - 11 distributions of the quarterly S&A Fee are displayed below:

	Full-time 2009 – 10	Full-time 2010 – 11
Long Term Loan Fund	\$3.96	\$4.10**
Facilities and Programming Account	<u>\$109.04</u>	<u>\$112.90</u>
Total	\$113	\$117

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\* By statute, recommendations of the Committee are determined by the votes of its student members—three and four of whom, respectively, represent the GPSS and the ASUW. The rules call for three administrators and two faculty members to serve on the Committee in nonvoting, advisory roles.

\*\*Long Term Loan Fund based on 3.5% of the Service and Activities Fee.

Services and Activities Fee—University of Washington, Seattle: 2010 – 11  
Operating and Capital Allocations (continued p. 2)

The proposed 2010 - 11 operations and capital budgets for each program and a brief discussion of their rationale are detailed below:

Associated Students of the University of Washington (ASUW) – \$736,842  
(Operations)

The recommended allocation would support ongoing functions, staff salaries and general operating costs of ASUW.

Classroom Support Services - \$71,163 (Operations)

The recommended allocation would continue to support wages of student staff.

Counseling Center - \$247,438 (Operations)

The recommended allocation would allow the Counseling Center to continue to offer visits to the Center at no cost to students.

Ethnic Cultural Center/Theater (ECC/T) - \$585,177 (Operations)

This recommended allocation would continue to support the ongoing functions, staff and general operations of the Ethnic Cultural Center/Theater.

Graduate and Professional Student Senate (GPSS) - \$285,922

The recommended allocation would continue to support ongoing functions, staff salaries and general operating costs of GPSS.

Hall Health Primary Care Center (HHPCC) - \$6,130,189 (Operations)

The recommended allocation allows the HHPCC to continue to provide excellent on-campus care for students, faculty, staff, and the community.

Q Center - \$160,224 (Operations)

The recommended allocation to the Q Center reflects support of the continued demands of students, faculty, staff, alumni and allies of the Center.

Recreational Sports Programs (RSP) - \$1,835,735 (Operations) and \$100,000  
(Capital)



Services and Activities Fee—University of Washington, Seattle: 2010 – 11  
Operating and Capital Allocations (continued p. 3)

The recommended allocation will support wages and related increases for facilities staff. The capital allocation will provide \$100,000 in maintenance funding necessary to keep RSP facilities functional.

Services & Activities Fee Committee - \$21,352 (Operations)

The recommended allocation provides for tuition and related fees for the Committee Chairperson and the salary of the SAF Coordinator. A portion of this allocation will allow the Committee to hire a student IT position.

Service and Activities Fee Committee Expenditure Fund - \$383,700 (Operations)

This allocation supports the SAFC Capital Fund Policy that allows the Committee to more easily and responsibly plan and save for future capital expenditures for funded units.

Student Activities & Union Facilities (SAUF) - \$543,785 (Operations)

The recommended allocation will continue to fund the Student Organization Event Fund, salaries for SAUF staff and operations cost for the Student Organization Resource Center.

Student Legal Services (SLS) - \$141,548 (Operations) and \$1,700 (Capital)

The recommended allocation will continue to maintain the essential operations of the office and the salaries of its staff.

Student Parent Resource Center - \$1,000,419 (Operations)

The recommended allocation supports staff support of this unit and the disbursement of childcare subsidies for student parents.

Student Publications - \$200,000 (Operations) and \$5,000 (Capital)

The recommended allocation is consistent with last year's funding level. The capital allocation will be applied to publishing software.

Campus Sustainability Fund - \$339,805 (Operations)

This funding will allocate funds for student projects that further the University's commitment to green technology and campus sustainability. This fund will be allocated by a student committee and managed by the UW Environmental Stewardship and Sustainability Office.

*Attachments*

- I. May 23, 2010 letter to Mr. Eric Godfrey, Vice President and Vice Provost for Student Life, from Ms. Megan R. Stewart, Chair, Services and Activities Fee Committee
- II. June 1, 2010 letter to Ms. Megan R. Stewart, Chair, Services and Activities Fee Committee, from Mr. Eric Godfrey, Vice President and Vice Provost for Student Life



## Services & Activities Fee Committee

Committee Recommendation

May 23, 2010

Mr. Eric Godfrey  
Vice President & Vice Provost for Student Life  
University of Washington  
101 Gerberding  
Seattle, Washington 98195

Dear Mr. Godfrey,

On May 17, 2010, the Services & Activities Fee Committee met to approve recommendations regarding the collection and allocation of the Services & Activities Fee for the 2010 – 2011 academic year. This recommendation is the result of a lengthy process involving orientation and budget hearings as well as thoughtful and critical analysis from a considerably bright committee membership. The recommendation is broken down into components: a recommended fee level, recommended operational allocations, and recommended capital allocations. Within the operational allocations, please note the addition of the Campus Sustainability Fund, a new student initiative. The Committee thanks the Board of Regents for their consideration and believes that the Regents should adopt our recommendations. The Fee will optimally fund a broad array of services and activities for the students at the University of Washington.

This year the committee was presented with a unique challenge of many new variables incorporated into our decision-making process. Taken into consideration were the upcoming significant changes to campus with the beginning of three large capital projects (Hall Health, Ethnic Cultural Center, the HUB/Student Union), an unprecedented increase in requests from units, and key decisions in regards to the direction of individual programs on our campus.

The committee has been strongly committed to the ideal that current programs should continue to operate at their present level, while also considering our support for new and exciting initiatives on campus. And we strove to keep the Fee increase as moderate as possible.

### ***2010-2011 Recommended Services and Activities Fee Level***

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The Services & Activities Fee Committee recommends the Fee be assessed at \$117, which is a \$4 increase over the 2009-10 Fee. This represents recommended allocations of \$12,789,999 for the respective units. Based on revenue projections, this Fee level will accommodate some of the additional funding requests from our units, the addition of the Campus Sustainability Fund, and the allocation of funds outlined by the Committee's Capital Projects Policy.

### ***Operational Allocation Recommendations:***

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#### **Associated Students of the University of Washington – \$736,842**

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ASUW has made significant internal changes that have actually allowed them to decrease their operational spending, yet revenue has decreased as well. The committee has allocated a slight increase in funding from the 2009-10 year in order to address revenue projections while still maintaining their current programs and services.

The committee has strongly expressed the importance of nominations for the SAF Committee to be completed before the fifth week of Fall Quarter.

#### **Classroom Support Services – \$71,163**

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This allocation continues to fund student employees in the operation of the widely used student technology loan program. This amount represents an allocation consistent with the previous year (2009-10).

#### **Counseling Center – \$247,438**

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This amount represents an allocation consistent with the previous year (2009-10). The Committee recognizes the importance and value of mental health programs and appreciates the efforts of the Counseling Center staff.

#### **Ethnic Cultural Center & Theatre – \$585,177**

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The Committee's allocation supports the ongoing functions, operations and staff of the ECC/T. The increase in allocation will increase funding for their Graduate Student Appointee; however, the Committee recommends that funds not be directed towards new employee positions or an increase in temporary employees. We believe that this allocation will allow them to adequately prepare for their transition to Condon Hall and serve the campus community.

#### **Graduate & Professional Student Senate – \$285,922**

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The Committee is allocating an increase to GPSS in order to accommodate the anticipated increase in Graduate Student Appointee stipends and tuition for the four officers. As with ASUW, the Committee has strongly expressed that the nominations for the SAF Committee be completed before the fifth week of Fall Quarter.

**Hall Health Primary Care Center – \$6,130,189**

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Hall Health has pledged to maintain the priority of providing services for students during construction, yet we recognize the multiple variables that present themselves in terms of their operation during the construction phase. In respect to the goal of maintaining a conservative increase to the fee, the Committee is allocating a modest increase to Hall Health.

**Q Center – \$160,224**

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The Q Center, with limited funding, has shown incredible growth in its presence on campus and the ability to expand services and education to students. We commend the program and its leadership and fully support the move to hire a fulltime staff position. For over four years, our Committee has been aware of the potential for this new and exciting direction for the Q Center

**Recreational Sports Program – \$1,835,735**

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We recognize the increase in student usage of the facilities and commend RSP on its ability to reach a large majority of students. In light of this year's budget status and the approach taken with other units, we recommend an increase of \$88,454 to cover the increase in operational costs.

**SAF Committee Operations – \$21,352**

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This amount funds the operations, internal audit, student assistants, and SAF Chair tuition stipend for 2010-11. The Committee is committed to enhancing its transparency to the student community and will use a portion of its allocation to hire a student IT position.

**Student Activities & Union Facilities – \$543,785**

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As the third capital project to commence this year, the current operations of the HUB are moving to Condon Hall for a two-year interim period and we anticipate significant changes to campus programming and requests for student organization funding. Our allocation reflects a funding level consistent with the previous year, but recommends that the SAF committee reevaluate the need for additional student event funding. If an increased need is found, we recommend that next year's committee look into providing additional funds to the RSO Event Fund for the final year of construction, as it is a direct benefit for Student Organizations.

**Student Legal Services – \$141,548**

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The funding level reflects a slight increase over last year's level. SLS provides a great, accessible, and affordable option for common legal issues among students.

**Student Parent Resource Center/ Childcare – \$1,000,419**

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We have discussed the implications of the current economy on non-traditional students returning to school as well as the rising costs of childcare in the area and we acknowledge the increase in requests from student parents. Therefore, the Committee has allocated an increase to the SPRC over the 2009-2010 level for direct aid to student parents.

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**Student Publications – \$200,000**

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The amount represents a consistent level of funding at the previous year's level.

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**Campus Sustainability Fund - \$339,805**

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Like many other of the programs funded by the Services & Activities Fee, the request for such a fund has truly emerged from the support of students in their recognition to improve their own campus and provide a service they believe to be integral to our campus. Led by students, CSF will allocate funds for student projects that further the University's commitment to green technology and campus sustainability. There has been an incredible amount of student support and effort poured into this student initiative. We commend the perseverance of the students in maintaining the vision and are excited to see the potential realized. We have taken into consideration the many variables of establishing this program, from both the fiscal and philosophical point of view, incorporating student opinion-making bodies as well as the orientation materials that explain how the CSF process would operate. The members of the Committee are unanimously in support of the establishment of the CSF, however, we have specific recommendations for its implementation. Our allocation is approximately half of the original request and would recommend that the CSF program team utilize the resources of a Graduate Student Appointee rather than a fulltime staff position to operate the Fund. It is the consensus of the committee that the first year be focused upon the establishment of the fund through the extended efforts of students and we would like the opportunity to collect program history before considering a larger request in the future. The CSF program team should provide the committee with an update of the final CSF Funding Guidelines as well as be prepared for reevaluation during next year's process. The CSF will be managed and supported by the UW Environmental Stewardship and Sustainability Office.

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**SAF Committee Capital Expenditure Fund – \$383,700**

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This fund was established when the Capital Projects Policy was approved during Fall 2008. The policy is a means to accurately prepare and save for large capital projects for units supported by the Fee such as medical equipment at Hall Health and capital improvements at the IMA. This policy is separate from capital projects that entail long-term bonding such as the HUB, ECC, and Hall Health renovations. We are including it as a line item on our budget to so that future Committees will be attuned to the importance of and investment in this annual allocation.

*Capital Allocation Recommendations:*

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**Recreational Sports Program – \$100,000**

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This allocation covers the cost of various capital maintenance projects associated with Recreational Sports.

**Student Legal Services – \$1,700**

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The allocation will fund Nebula computer services and computer upgrades.

**Student Publications – \$5,000**

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The allocation will be applied to publishing software.

*Closing Comments:*

The committee believes that if the Regents adopt these recommendations, the units will be able to not only maintain their services provided to students, but also expand in new directions on campus. We believe this funding, combined with the unique talents of the unit directors and staff, ensures a successful future for student services and activities.

Sincerely,

Megan R. Stewart  
2009 – 2010 Chair  
Services & Activities Fee Committee



UNIVERSITY of WASHINGTON

ERIC S. GODFREY

Vice President & Vice Provost for Student Life

June 1, 2010

Ms. Megan R. Stewart  
Chair  
Services and Activities Fee Committee

Dear Megan,

Thank you for your letter of May 23, 2010, providing the details of the allocations proposed by the Services and Activities Fee (S&A Fee) Committee for 2010 – 11. Of particular note, the proposal calls for a \$4 increase in the quarterly S&A Fee, from \$113 per full-time student to \$117. An adjustment of this level enables the committee to continue and enhance important programs and balance expenditures with revenues.

The Committee's recommended allocations are thoughtful and strategic and we especially appreciate the Committee's leadership in creating the new Campus Sustainability Fund. After careful review, the administration concurs in the recommendations for fee assessment levels and all operational and minor capital allocations.

The budget will be presented to the Board of Regents for its consideration and action at its meeting on June 10, information on which will be communicated to you in the near future. I look forward to making this presentation with you.

As always, your leadership and collaboration have been greatly appreciated.

Sincerely yours,

A handwritten signature in black ink, appearing to read 'Eric S. Godfrey'.

Eric S. Godfrey  
Vice President & Vice Provost

ESG:mhk

cc: Provost Phyllis M. Wise w/enclosure  
Members of the Services and  
Activities Fee Committee  
Mr. Tim Mensing w/enclosure  
Mr. Jake Faleschini w/enclosure

A-5.2/206-10  
6/10/10



## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

Services and Activities Fee - University of Washington, Tacoma: Distribution of Fee and Allocation of FundsRECOMMENDED ACTION:

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve the following Services and Activities Fee proposals for the University of Washington Tacoma:

- 1) an increase in the Services and Activities Fee for academic year 2010-11,
- 2) the distribution of Services and Activities Fee for 2010-11; and
- 3) the operating budgets and expenditures recommended for 2010-11.

BACKGROUND:

Services and Activities Fees at UW Tacoma and UW Bothell are collected separately from the Services and Activities Fee at the Seattle campus, but the process is handled in like manner for each campus. As provided under RCW 28B.15.045, a student committee proposes the annual program priorities and budget allocation levels to the Board of Regents for approval. The Board of Regents has approved the Services and Activities Fee (SAF) Guidelines that established the Services and Activities Fee (SAF) Committee for UW Tacoma and its operating procedures.

The Board of Regents is authorized to increase the Services and Activities Fee by an amount not to exceed the annual percentage increase in undergraduate tuition authorized by the legislature in the Omnibus Budget Bill.

The history of the level of the Services and Activities Fee at UW Tacoma is:

1992-93	\$ 76	2001-02	\$ 91
1993-94	\$ 76	2002-03	\$ 97
1994-95	\$ 81	2003-04	\$ 97
1995-96	\$ 83	2004-05	\$ 97
1996-97	\$ 83	2005-06	\$103
1997-98	\$ 85	2006-07	\$106
1998-99	\$ 87	2007-08	\$113
1999-00	\$ 89	2008-09	\$120
2000-01	\$ 91	2009-10	\$136
		2010-11	\$149

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee - University of Washington, Tacoma: Distribution of Fee and Allocation of Funds (continued p. 2)

The SAF Committee at UW Tacoma has recommended the following for academic year 2010-2011. Chancellor Patricia Spakes has reviewed and concurs in these recommendations.

#### 1. Level of Fee:

The quarterly fee payable by a full-time student should be increased to \$149 per quarter for a full-time student for the 2010-11 academic year. This is the maximum amount permitted by law as implemented by the Board of Regents.

#### 2. Distribution of Fees:

Based upon estimated revenue of \$1,215,136 for fiscal year 2010-11, the Committee recommends that the fees be distributed as follows:

	2009-10 % Distribution	2009-10 Distribution based on \$136 fee	2010-11 % Distributio n	2010-11 Distributio n Based on \$149 fee
Student Activities and Services	93%	\$964,059	86.3%	\$1,049,056
Long-term student loans:	3.5%	\$36,268	3.5%	\$42,530
Long-term development	3.5%	\$35,905	10.2%	\$123,550
Total		1,036,232		\$1,215,136

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee - University of Washington, Tacoma: Distribution of Fee and Allocation of Funds (continued p. 3)

#### 3. 2010-11 Budget Allocations for Student Activities and Services

The Committee recommends the following distribution for Student Activities and Services for the 2010-11 year.

Childcare assistance program	\$43,000
Health Services	\$260,884
Student Activities Board	\$122,832
Registered Student Organizations	\$18,844
Student Conference & Training	\$60,000
Ledger	\$45,650
Tahoma West	\$27,920
Student Involvement	\$257,972
ASUWT (Student Government) – Stipends and Operations	\$91,165
Recreation and Fitness	\$64,183
Volunteer Services	\$11,606
Campus Event Fund	<u>\$45,000</u>
TOTAL	\$1,049,056

Allocations which are unspent at the end of the fiscal year will revert to the contingency operating budget. Any additional revenue generated as a result of implementation of a fee in the amount of \$149 or due to excess enrollment will remain in the Long Term Development fund.

#### *Attachments*

- 1) May 18, 2010 memorandum from Kathleen Burdo, UWT Services and Activities Fee Committee, to Dr. Patricia Spakes, UWT Chancellor
- 2) SAFC Operational Guidelines
- 3) UW Tacoma SAFC Annual and Special Allocation Processes
- 4) May 26, 2010 memorandum from Dr. Patricia Spakes to Kathleen Burdo

May 18, 2010

Ms. Patricia Spakes  
Chancellor  
University of Washington Tacoma  
Box 358  
Tacoma, WA 98402

Dear Chancellor Spakes,

On Friday, April 2<sup>nd</sup>, the Services & Activities Fee Committee (SAFC) met to discuss and approve recommendations regarding the collection and allocation of the Services & Activities Fee for the 2010-2011 academic year. This recommendation is the result of a lengthy process involving committee trainings and orientations, proposal presentations, and discussion of the long-term goals of the campus.

We believe that should you and the Board of Regents adopt our recommendations, the Fee will optimally fund a diverse array of services and activities which are aligned with our values and which will benefit the students at the University of Washington Tacoma.

### **SAFC Core Values**

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Before determining funding for annual allocations in April 2010, the Committee identified and discussed its core values and obligations. It was decided that the core values and obligations of the UW Tacoma SAFC include the Childcare Assistance Program, the Longshoreman's Hall and Fitness Center, Health Services, Tahoma West, Student Life/Student Involvement, the Student Conference and Training Fund, the Student Activities Board (SAB), the Campus Event Fund (CEF), Registered Student Organizations (RSOs), Volunteer Services, the Ledger, and the Associated Students of the University of Washington Tacoma (ASUWT). For the 2010-2011 allocation purposes, these core values were kept the same. This list of core values is neither comprehensive nor static.

### **2010-2011 UW Tacoma Service and Activities Fee Level**

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The Board of Regents is authorized to increase the Services & Activities Fee by an amount not to exceed the annual percentage increase in undergraduate tuition authorized by the legislature in the Omnibus Budget Bill. The Committee recommends raising the Services & Activities Fee by 10%, which is the figure from which our budget recommendations are based.

### **Unspent/Unallocated Funds**

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The Committee recommends that all unspent funds from the 2009-2010 academic year be placed in the SAFC Long-Term Fund. We further recommend that all unallocated funds for the 2010-2011 academic year be placed in the SAFC Long-Term Fund. The Committee reasoned that the Contingency fund already has a substantial sum of money, and the long-term goals of the Committee and the campus, including the student union building, will receive funding from the Long-Term Fun.

### **Long Term Fund Annual Allocation Percentage**

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The Committee recommends the Long Term Fund annual allocation percentage for the 2010-2011 academic year be set at 0%. This conclusion was reached in light of the fact that all of the unallocated funds from last academic year and the coming academic year should be a large amount of funds.

### **Contingency Fund Annual Allocation Percentage**

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The Committee recommends the Contingency Fund annual allocation percentage for the 2010-2011 academic year be set at 0%. This determination was based on the fact the current balance on the Contingency Fund exceeds the recommended cap of \$250,000 listed in the guidelines and that access to contingency funds has been made more restrictive. Also, unspent funds from the previous academic year will be placed in the Contingency Fund.

### **SAFC Operational Budget**

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The Committee recommends the SAFC Operational budget percentage for 2010-2011 be \$2,500. The SAFC Operational budget pays for administrative, training, and staffing costs necessary for the committee to function in an efficient and effective manner.

### **Program Allocations**

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During program allocations the Committee considered requests for funding utilizing a variety of factors, which included but were not limited to: whether the service is a Core Value, the level of benefit to the students, and completing a line-by-line budget review of actual usage, projected expenditures, and staffing costs. This was done in an effort to enhance fiscal efficiency and full use of SAF funds before increasing the amount allocated to any given program.

### **Childcare Assistance Program - \$43,000**

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The Committee approved funding for the Childcare Assistance Program. This program is important to the diversity of our campus and benefits a different group of students (parents) than most of the other programs we have recommended to receive funding. The Committee hopes to see more usage of the Childcare Assistance Program next year, but in the meantime, the amount of money per student was increased in the proposed budget. Therefore, the Committee recommends an allocation of \$43,000 for the Childcare Assistance Program for 2010-2011.

### **Longshoremen's Hall/Fitness Center - \$64,183**

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The Longshoremen's Hall and the Fitness Center provide recreational, educational, and fitness opportunities to the students of UW Tacoma, all of which are essential to the four-year student experience. However, concerns were raised about the actual usage rates of Longshoreman's Hall and whether supporting it is the best use of student funds. Taking these things into consideration, the Committee, with one abstention, recommends an allocation of \$64,183 for the Longshoremen's Hall and the Fitness Center for 2010-2011.

### **Health Services - \$260,884**

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Health Services is a student driven request for funding. Students voiced their opinions about the high demand for Health Services at UW Tacoma using a multitude of means including; informal and formal surveys, student forums, petitions, and in other ways through their student government, ASUWT. The Committee recognized its role and responsibility to see that SAFs are used for services and activities that improve the quality of life for our students and to recommend funding for services that students deem to be in high demand. Last year, the Committee allotted up to \$230,000 for an RFP for Health Services. Since then, a vendor has been found and the doors of the Service are set to open in late summer, 2010. However, in order to provide efficient and accessible services for students, the cost rises above the original \$230,000 allotment. Thus, the Committee recommends an allocation of up to \$260,884 for an RFP for Health Services for 2010-2011.

### **Tahoma West - \$31,400**

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Tahoma West provides a venue for students to express their art, culture, and literature through a student-centered publication. This year, Tahoma West reduced their costs in the interests of fiscal responsibility. Thus, the Committee recommends an allocation of \$31,400 for Tahoma West for 2010-2011.

### **Student Involvement - \$257,972**

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The Committee decided to keep allocations for salaries and the student recognition event the same as last year due to state mandates. However, the larger budget reflects the addition of the Publication Advisor for the Ledger into the umbrella of Student Involvement. The Committee was concerned about the large increase in the cost for student hourly assistants and the new position of a student marketing assistant, and questioned the need for such a drastic change. Because of these concerns and the Committee's recognition that student jobs are important, the Committee allotted some increased funds for these positions, but not at the rate requested. Thus, the Committee recommends an allocation of \$257,972 for Student Involvement for 2010-2011.

### **Student Conference and Training Fund - \$60,000**

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The Student Conference and Training fund provides development opportunities for students at UW Tacoma. The Committee deemed this service to students important, although concerns were raised that the wording of the rules governing this service may be ambiguous in terms of who may participate. The Committee recommends an allocation of \$60,000 for the Student Conference and Training for 2010-2011, with the stipulation that funds may be used to support travel of an advisor only in the even they are traveling with students.

### **Student Activities Board (SAB) - \$122,832**

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The Committee recognized the important role the Student Activities Board plays on the campus and in our community, which placed it high on our list of priorities for funding. Diverse programming that promotes student engagement, provides opportunities to build a sense of student community, and offers stress relief activities were deemed essential to student development and success. Therefore, the Committee recommends an allocation of \$122,832 for the Student Activities Board (SAB) for 2010-2011.

### **Campus Event Fund (CEF) - \$45,000**

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The Committee supports funding for the Campus Event Fund as it allows opportunities for students who are not directly involved with the SAB to be involved in the event planning process. Through this fund students, faculty, and staff can submit a request for funding to bring a broad spectrum of activities to our campus for the benefit of the students, which enhances campus life. However, since concern was voiced in regards to the large amount of unspent CEF funds for the 2009-2010 budget, the Committee recommends a decrease in funds. The Committee also recognized that the number of events held is not evenly weighted throughout the academic year, and so recommends a lump sum fund rather than a break down by quarter. With these things in mind, the Committee recommends an allocation of \$45,000 for the Campus Event Fund (CEF) for 2010-2011.

### **Registered Student Organizations (RSOs) - \$18,844**

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Registered Student Organizations are an integral part of student and campus life. They provide an opportunity for student engagement, camaraderie, and leadership development. RSOs also provide students with an opportunity to come together with people of similar interests, cultures, and viewpoints. RSOs were not funded at their requested amount because the Committee was made to understand that the requested office expenses in the budget were also in Student Involvement's budget request. As such, the Committee recommends an allocation of \$18,844 for Registered Student Organizations (RSOs) for 2010-2011.

### **Volunteer Services - \$11,606**

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Volunteer Services is a young service being offered through Student Involvement. The Committee determined this service to be an appropriate and timely program to implement with the recent calls to service from our new administration and the campus community. Therefore, continuing to support a volunteer services program, which enhances opportunities for civic engagement, was deemed important by the Committee. The Committee recommends an allocation of \$11,606 for Volunteer Services for 2010-2011.

### **Ledger - \$45,650**

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A student newspaper is clearly a key part of an active and engaged student life. The position of Publication Advisor is now under the Student Involvement budget, which drastically reduces the budget of the Ledger. The committee reduced the stipend amount from the requested 4 quarters to 3.5 quarters, which further reduced their budget. The Committee recommends an allocation of \$45,650 for The Ledger for 2010-2011.

### **Associated Students of the University of Washington Tacoma (ASUWT) - \$91,165**

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The ASUWT request this year sought increased funding primarily because of the new positions created by their new Constitution and By-laws. The Committee felt that the ASUWT has made great strides this academic year. Therefore, the Committee recommends an allocation of \$91,165 for the Associated Students of the University of Washington Tacoma (ASUWT) for 2010-2011.

### **Long-Term Allocation**

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Throughout the year, the Committee discussed the importance of having a student union building on campus, and looked at the options for achieving this goal. During this process, we also discussed the importance of heavy student involvement in obtaining and/or building a student union building. To this end, the Committee requests the release of up to 2 million dollars out of the Long-Term Fund for the purposes of the Student Union Project, with the stipulation that the funds be used for the planning, purchase, building, and other related costs associated with the beginning stages of development of a student union. Further, the SAFC stipulates that the student union working group be led by the Associate Director of Student Involvement and a student as co-chairs; that the co-chairs develop the charge and composition of the working group as well as the program scope of the student union; that the working group consist of at least one voting member of the SAFC; and that the co-chairs present the aforementioned proposals to the Committee for approval by the end of Autumn quarter 2010.



### **Closing Comments**

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The Committee believes that if you and the Board of Regents approve these recommendations, these services and activities will positively enhance the lives of the students at UW Tacoma. We thank you for your time and consideration.

Respectfully,

A handwritten signature in dark ink, appearing to read "Kathleen Burdo". The signature is fluid and cursive, with the first name "Kathleen" written in a larger, more prominent script than the last name "Burdo".

Kathleen Burdo  
2010-2011 Chair  
Services and Activities Fee Committee

**I. Services & Activities Fees**

- A. The Services and Activities Fee (the "S&A" Fee) is authorized by state statute for the express purpose of funding student activities and programs. This may include, but is not limited to, the operation of student related services, acquisition, construction, equipping, and betterment of lands, buildings, and facilities. (RCW 28B.10.300)
- B. S&A Fees are defined as "fees, other than tuition and fees, charged to all students registering at the...state universities." (RCW 28B.15.041) For the purpose of these Guidelines, the S&A Fee is defined as a compilation of such fees charged to all students registering at the University of Washington Tacoma campus."
- C. S&A Fees and revenues generated by programs and activities funded by such fees are deposited and expended through the offices of the University's budget and financial accounting systems, the responsibility for which resides with the University's chief fiscal officer. The S&A Fee and associated revenues are subject to University policies, regulations, and procedures, and to the Budget and Accounting Act of the State of Washington. (RCW 43.88)
- D. The allowable level of the S&A Fee is authorized by the State Legislature.
- F. In addition to the laws, rules and regulations governing the use of S&A Fees, two provisions of the State Constitution impact the use of public funds (S&A Fee funds are considered to be public funds). The first is Article VIII, Section 5 that prohibits the making gifts or loans of money or property from public funds. A gift exists when there is a "transfer of property without consideration and with donative intent". The second is Article I, Section 11 that prohibits public money or property being appropriated for or applied to any religious worship, exercise or instruction, or the support of any religious establishment.
- G. The S&A Fee Long-term Fund (also known as the reserve fund) shall consist of all unallocated revenue derived from the collection of Services and Activities Fees from students and accrued interest.
- H. The S&A Fee Contingency Fund (also known as the special allocation fund) shall consist of funds which are derived through annual allocations and reversion of previous year unspent funds.

- I. Members of the Board of Regents shall adhere to the principle that desires of the Service and Activities Fee Committee (SAFC) be given priority consideration on funding items that do not fall into the categories of pre-existing contractual obligations, bond covenant agreements, or stability of programs affecting students.
- J. With the exception of any funds needed for bond covenant obligations, once the annual budget for expending S&A Fees is approved by the Board of Regents, funds shall not be shifted from funds budgeted for associated students or departmentally related categories or the reserve fund until the administration provides written justification to the SAFC and the Board of Regents give their express approval.

## **II. Committee on Services and Activities Fees**

The Services and Activities Fee Committee (hereafter called the Committee) is appointed by the Chancellor of the University of Washington, Tacoma pursuant to RCW 28B.15.045 to review all requests for funding from Services and Activities Fees, to recommend program priorities and budget levels, and to serve in an advisory capacity to the Chancellor.

### **A. Membership**

- 1. The Committee shall consist of up to seven voting members, and four non-voting exofficio members.
- 2. The voting members shall be regularly enrolled students at UW Tacoma, recommended by the Associated Students of the University of Washington, Tacoma (ASUWT) Student Government and appointed by the Chancellor.
- 3. When making its recommendations for Committee appointments, the ASUWT student government should strive to recommend a Committee that represents diverse student interests, and wherever possible, provide for a continuity of membership through individual willingness to commit to serve more than one term.
- 4. All of the voting members shall be recommended by the third Friday in May.
- 5. The ex-officio members shall be:
  - a. A staff employee from Student Affairs, to be recommended by the Associate Vice Chancellor for Student Affairs;
  - b. A faculty member, to be recommended by the Faculty Assembly;

- c. A staff employee from the Office of the Vice Chancellor for Administrative Services (AS), to be recommended by the Vice Chancellor for Administrative Services; and
- d. A Compliance Officer, appointed at the discretion of the Chancellor.

## **B. Term of Membership**

1. The voting members recommended by the second Monday in May shall be appointed for one-year terms running from July 1 to June 15.
2. The ex-officio members from Student Affairs, AS and the Compliance Officer shall be appointed to indefinite terms, serving at the discretion of the Chancellor. The faculty ex-officio member shall be appointed to a renewable one-year term running from October 1 to September 30.
3. Any vacancies in membership will be replaced in the same manner provide for new appointments and for the unexpired term of the original appointment.

## **C. Responsibilities of Voting Members**

1. The committee shall elect a chair from its membership at the first regular or special meeting.
2. Attend all meetings unless excused by the chair.
3. Develop and maintain effective communication within the Committee and the campus community.
4. Demonstrate a willingness to engage in constructive dialogue on any issue being considered by the Committee and actively participate in the deliberations of the Committee.
5. Adhere to all rules and regulations governing the Committee.
6. A member whose conduct is deemed unethical or whose performance clearly demonstrates a lack of commitment to the discharge of their responsibilities may be recommended for removal from the Committee by either a unanimous vote of the remaining voting members of the Committee or at the sole discretion of the Chancellor.
7. Respond to all campus queries within five (5) business days.
8. Abstain from discussing, deliberating, or voting on any proposal submitted by a group, department, or organization of which they are

affiliated with the exception of annual SAFC request(s).

9. Recommend funding for the employment of Committee staff using funds generated by the S&A Fee, if deemed necessary, under the following conditions.
  - a. Each staff position must have a written job description detailing qualifications and expectations of the position.
  - b. The Committee Chair will act as a liaison between the Committee and the Committee Staff.
  - c. University employees filling Committee Staff positions may also work for other University entities with costs of employment shared proportionate to the hours rendered between the Committee and such other entity.

#### **D. Responsibilities of Ex-Officio Members and the Compliance Officer**

1. Advise the Committee on the laws and regulations of the state and the policies and procedures of the university pertaining to Services and Activities Fees.
2. Advise the Committee on procedural questions pertaining to the conduct of meetings.
3. Provide the Committee with summaries of fund balances in accounts funded by S&A Fees and projections of revenue and expenditures.
4. Advise the Committee on the status of registered student organizations at UW Tacoma.
5. Assist the Committee with matters of continuity and historical perspective as required for the Committee to effectively and efficiently act on requests to fund programs and budgets.
6. Provide the Committee with perspectives of the campus climate and the university community.

#### **E. Committee Meetings**

1. Meetings shall be held on a regularly scheduled basis, not less than two per academic year.
2. The Compliance Officer shall serve as interim chair of the Committee until a chair is elected by its membership.
  - a. The Compliance Officer will be a neutral, non-voting member who maintains compliance with the relevant laws of the state of Washington, University policies, parliamentary

procedures, as well as the guidelines laid out in this document.

3. Special meetings may be called by the Committee chair; at the request of three (3) or more members of the Committee; at the request of three (3) or more members of the campus community; at the request of the Compliance Officer; or at the request of the Chancellor.
4. The Committee chair shall post notifications of all meetings in compliance with these guidelines and the Open Public Meetings Act (OPMA) and shall be responsible for presiding over such meetings. An acting chair will be designated, by the chair, should it be necessary for him/her to be absent from any meeting.
5. An agenda and a copy of all funding requests to be considered by the Committee will be sent to members of the committee and be publicly posted in compliance with the OPMA by the chair or the chair's designee.
6. A quorum required for the conduct of business at any meeting shall consist of two-thirds of the current voting members and one ex-officio member of the Committee.
7. Proxies will not be permitted for voting.
8. All meetings shall be conducted in accordance with the most current edition of Robert's Rules of Parliamentary Procedures, Newly Revised. Deviations from such procedures will be at the discretion of the chair.
9. Program and budget decisions of the Committee shall be made in open public meetings of the Committee, and the reasons for the decisions shall be discussed at those meetings. Minutes will be taken at all meetings and the unofficial minutes shall be publicly posted within five (5) business days after a meeting. The minutes shall include the results of all program and budget decisions made by the Committee.
10. The Committee shall provide full disclosure to the University community concerning programs or budgets funded from S&A Fees.

### **III. Budgeting**

#### **A. General**

1. RCW 28B.15 defines the authority to collect S&A Fees, the general purposes for which the fees may be used, and the budgeting process for administering their expenditure. The law specifically states: "It is the intent of the legislature that students will propose budgetary recommendations for consideration by the college or university administration and governing board to the extent that



such budget recommendations are intended to be funded by services and activities fees" and "The legislature recognizes that institutional governing boards have a responsibility to manage and protect institutions of higher education." It is clear that the legislature deemed that the mechanism for student input in the S&A Fee process is through participation in the budget proposal process, but that the Board of Regents retains ultimate responsibility and authority for the S&A Fees budget.

2. Any member of the campus community may submit a request for funding through either the annual budgeting or special allocation process, with the exception of:
  - a. Event Funding
    - i. Event funding requests shall be at the sole discretion of the SAB, who derive their funds through the annual budgeting process
  - b. Academic Funding
    - i. Academic funding requests shall only be considered if the request is for services and/or activities that are not directly related to an academic program.
3. The Committee shall establish both the annual budget and special allocation processes. Procedures and criteria adopted by the Committee for the submission of budget requests shall apply to every proposer and shall not discriminate on the basis of race, color, national origin, gender, sexual orientation, religion, political orientation, or physical or mental ability.
4. The Committee has the responsibility to review all proposals submitted for funding from S&A Fees, whether for capital expenditures or operating programs and budgets.
5. All funding proposals must contain adequate information which will include, at a minimum, the following:
  - a. Detailed line-item breakdown of proposed expenditures (e.g., salaries, travel, supplies, services, etc.);
  - b. Verification of strategic plan alignment
  - c. Additional funding sources being sought or available to fund the program or event; and
  - d. Revenues expected to be derived from the program or event.
  - e. An accountability of funds expended if previously funded
6. Budget allocation decisions of the Committee shall be posted on the SAFC website and sent to the requester within ten (10) business days of its respective action.
7. Allocations of S&A Fees to fund operating budgets are valid and available for expenditure during the ensuing fiscal year only. All unspent and unencumbered funds, at the end of each fiscal year, shall revert to the

Contingency Fund and shall be carried forward for future reallocation.

8. Each fiscal year shall begin on July 1 and end on June 30.

## **B. Annual Budgeting Process**

1. The annual budget process will be the primary process for recommending the distribution of S&A Fees for the ensuing fiscal year. As a part of the annual budget process, the Committee shall:
  - a. Formulate a recommendation for the level of the S&A Fees to be assessed during the ensuing fiscal year.
  - b. Place in the Long Term Fund up to five (5) % of the projected incoming S&A Fees, not to exceed \$2,000,000 dollars, unless a designated purpose has been defined and approved.
  - c. Place in the Contingency Fund up to five (5) % of the projected incoming S&A Fees, not to exceed \$250,000.00, unless a designated purpose has been defined and approved.
2. Program and budget proposals considered during the annual budget process will be to fund general annual operating costs necessary to run an organization, department, or service. Annual budgets will not include capital expenditures or planned expenditures for specific events or activities, with the exception of the SAB.
3. Not later than the second Monday in February of each year, the Committee will announce the annual budget request submission process
4. Annual budget request forms and all supporting documentation must be returned to the Committee not later than 12:00pm (noon) the second Monday in March. Late submissions will be accepted and/or reviewed at the sole discretion of the SAFC.
5. When considering annual allocation requests, the Committee may require the proposer (or their duly appointed representative) to be present to answer questions of the Committee.
6. The Chancellor may meet with the Committee at appropriate intervals during its annual budget formulation process to respond to emergent ideas and issues and to apprise the Committee of the general position of the administration. The Chancellor may respond in writing to specific written proposals submitted by the Committee and take other actions as needed to assure that the lines of communication to the Committee remain open.
7. The Committee will release preliminary program and budget allocation recommendations no later than the first Friday in April. An appeal of the Committee's decision on any specific budget request may be made as described in Section III C 1) by the end of business on the second Friday in

April, at which time no further appeals will be accepted.

8. The Committee will respond to all allocation appeals as described in Section III C 1) not later than the end of business on the fourth Friday in April.
9. In addition to allocations to fund specific requests that have been approved by the Committee, the annual budget will contain an allocation to a budget line item entitled "Contingency". The purpose of the "Contingency" budget is to provide the necessary flexibility during the budget execution year to authorize special allocations for capital project expenditures or for emergency expenditures that could not be specifically identified or foreseen at the time of the preparation and submission of the annual budget. Allocations or authorization of expenditures from the "Contingency" budget will be accomplished through the special allocation process.
10. The chair shall transmit the final annual budget recommendations of Committee with supporting documentation (including mandatory dissenting opinions on any decision of the Committee that was not unanimous) to the Chancellor not later than the first Friday in May.
11. Within fourteen (14) business days after receipt of the Committee's annual budget recommendations, the Chancellor will provide a written response to the Committee. In formulating the response to the Committee and/or recommendations to the Board of Regents, the Chancellor may seek the views of other affected university groups. In the event that the Chancellor disagrees with any of the Committee budget distribution recommendations, the UWT dispute resolution process described in Section III C 2) a. will be invoked.
12. At the time that the Chancellor submits his/her proposed budget recommendations for the expenditure of S&A Fees to the Board of Regents, he/she shall also submit a copy of the Committee recommendations, along with any supporting documentation provided by the Committee, and a copy of the administration's response to the Committee recommendations. If a dispute exists between the Chancellor and Committee which has not been resolved by the UWT dispute resolution process, the UW dispute resolution process described Section III C 2) b. will be invoked.
13. The Board of Regents may take action on those portions of the S&A Fee budget not in dispute and shall consider the results, if any, of the dispute resolution committee appointed in accordance with the dispute resolution process described in Section III C 2) b.
14. At the point in the review process at which recommendations on the distribution of S&A Fee budget and dispute resolutions are presented to the Board of Regents, the Board shall provide opportunity for the Committee to

present its view.

15. Upon approval of the Board of Regents, the annual budget will be provided to the UWT Finance Office for establishment of budget numbers and recording of the necessary revenue transfers in the university accounting system to implement the approved distribution of funds.
16. The Committee may appeal to the Board of Regents if they feel that these guidelines have not been followed, that their participation has been unduly curtailed, or that S&A Fee funds have been used for purposes outside of these guidelines. The decision of the Board of Regents shall be final.

## **C. Annual Budget Allocation Appeals and Disputes**

### **1. Budget Allocation Appeal**

- a. If a proposer or any other student objects to a budget allocation of Services and Activities Fee funds that has been made by the Committee, a written appeal must be submitted to the Committee chair by 12:00 noon on the second Friday in April. An extension of the deadline shall not be granted.
- b. An appeal must allege a violation of the State Constitution, applicable state laws, applicable University policies or regulations, or a material misrepresentation of facts that may serve to invalidate the allocation. **An objection based solely on disagreement with the amount of the approved allocation will not be grounds for an appeal.** The burden of proof that such a violation has occurred shall be on the proposer or individual making the allegation.
- c. A special meeting of the Committee will be called by the chair to address the appeal within 5 business days of the receipt of the appeal. The Committee must have responded to all appeals not later than the fourth Friday in April. The proposer or individual filing the appeal will be required to attend the special meeting of the Committee at which the appeal is considered.
- d. If the appeal is denied, the chair shall transmit a copy of the appeal and the results of the Committee's decision (with all supporting documentation) for consideration by the Chancellor. The decision of the Chancellor will be final.

### **2. Budget Allocation Disputes**

#### **a. UWT Allocation Dispute Resolution Process**

- i. If, during the review of the final annual budget recommendations submitted by the Committee, the

administration should dispute any of the recommended allocations, the Chancellor shall provide the Committee chair with written notification of the disputed allocation that includes the administration's rationale or justification.

- ii. Within 5 business days after receipt of written notification of a disputed allocation recommendation, the chair shall schedule a special meeting of the Committee with the Chancellor for the purpose of making a good faith effort to resolve the dispute.
- iii. In the event that the dispute is not resolved within fourteen (14) business days from the date of the initial special meeting called to consider the dispute, the Chancellor will provide the Committee with the administration's written response to the Committee's final annual budget recommendations, which will include any unresolved dispute. A copy of the response, together with a copy of the Committee's recommendations and any supporting documentation, will be submitted to the Board of Regents with the Chancellor's proposed budget recommendations for the expenditure of S&A Fees.

#### **b. UW Dispute Resolution Process**

- i. Upon receipt of the administration's written response to the Committee's final annual budget recommendations that includes an unresolved dispute, the Committee chair shall convene a dispute resolution committee.
- ii. The dispute resolution committee shall be selected as follows: The Chancellor shall appoint one non-voting advisory member; the Board of Regents shall appoint two voting members; and the Committee Chair shall appoint two student members of the Committee as voting members, and one student representing the Committee who will chair the dispute resolution committee and be non-voting member, except in the case of a tie vote.
- iii. The Board of Regents shall consider the results, if any, of the dispute resolution committee, and shall provide opportunity for the Committee to present its view, prior to taking action on any disputed portion of the budget.

#### **D. Special Allocation Process**

1. The special allocation process is designed to provide funding for capital expenditures or for emergency expenditures that could not be specifically identified or foreseen at the time of the preparation and submission of the

annual budget by entities that have been identified as an Committee Core Value.

2. In general, the funding of special allocation requests shall be made from the "Contingency" operating budget line item that was included in the annual budget. If there is insufficient funding in the "Contingency" budget, the Committee may submit a request through the Chancellor to the Board of Regents for approval of an additional distribution from the reserve fund.
3. A call for special allocation requests will be announced by the Committee in Winter quarter. All special allocation requests received shall be placed under the new business section of the agenda for the next meeting.
4. When considering special allocation requests, the Committee may require the proposer (or their duly appointed representative) to be present to answer questions of the Committee.
5. The Committee will release and post decisions on special allocation requests not later than five (5) business days after the meeting at which the allocation was considered.
6. An appeal of the Committee's decision on any specific special allocation may be made as described in Section III E within five (5) business days of the decision being released, after which no appeals will be accepted.
7. Decisions on appeals will be made within five (5) business days of receipt of the appeal.
8. Upon final approval of a special allocation, the Committee chair shall authorize the Compliance Officer to work with the UW Tacoma Finance Office to establish a budget number and transfer revenue from the "Contingency" budget to implement the approved allocation.
9. Any change in the intent of an approved allocation that alters its objectives as originally described and appropriated must have the approval of the Committee before any change occurs.

#### **E. Special Allocation Appeal**

1. If a proposer or any other student objects to an allocation of S&A Fee funds that has been made by the Committee, a written appeal must be submitted to the Committee chair by the end of business on the fifth (5) business day after the Committee posted the allocation decisions. An extension of the deadline shall not be granted.



2. An appeal must allege a violation of the State Constitution, applicable state laws, applicable University regulations or a misrepresentation of facts that may serve to invalidate the allocation. **An objection based solely on disagreement with the amount of the approved allocation will not be grounds for an appeal.** The burden of proof that such a violation has occurred shall be on the proposer or individual making the allegation.
3. A special meeting of the Committee will be called by the chairperson to address the appeal within 5 business days of the receipt of the appeal. The proposer or individual filing the appeal will be required to attend the special meeting of the Committee at which the appeal is considered.
4. If the appeal is denied, the chair shall transmit a copy of the appeal and the results of the Committee's decision (with all supporting documentation) for consideration by the Chancellor. The decision of the Chancellor will be final.

#### A. STIPULATIONS

1. The Committee may place stipulations on the use of funds and/or recommend guidelines in the operations of a program as long as they are in compliance with university policy, state and federal law. All stipulations shall be binding.
2. Actual expenditures shall not exceed the amount of approved budget allocations without prior approval of the Committee.
3. If prior notification to the Committee is not possible, the University entity in question must submit sufficient reasons and documentation.

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The Board of Regents approved the original version of these guidelines on September 27, 1991; subsequent revisions were approved on June 14, 2002, June 10, 2005, and June 8, 2006. The Board of Regents approved the present version on \_\_\_\_\_.

**UW Tacoma**  
**Service and Activities Fee Committee (SAFC)**  
**Annual & Special Allocation Processes**

**Committee Training**

All members of the Services and Activities Fee Committee (SAFC) hereon referred to as the Committee will be trained in the operations of the Committee, briefed on current discussions relating to the S&A Fee, and other materials deemed necessary by the Committee chair, Committee ex-officio's, or the University administration.

**Committee Work Schedule**

Following Committee training the Committee will prepare the work schedule for the term of the Committee. The work schedule will include the period during which unit orientations will be given, the date on which budget requests are due, the period during which budget hearings will be held, and the date for the final budget deliberation.

The Committee will also approve at this time:

- All budget request forms to be completed by units seeking funding; and
- General criteria by which budget requests will be evaluated.

**Annual Allocation**

- **Continuation of Funding**
  - A core service which has been funded previously with S&A Fees and is requesting for the same amount or less shall provide the following information to the Committee. If deemed necessary the requester may be asked to appear before the Committee to respond to questions.
    - A brief summary of their service and amount of funding being requested;
    - Documentation of strategic alignment and program assessment and;
    - A budget breakdown from the previous year.
- **Increase of Previous Funding**
  - A core service which has been funded previously with S&A Fees and is requesting an increase in funding shall provide the following information to the Committee. If deemed necessary, the requestor may be asked to appear before the Committee to respond to questions.
    - A brief summary of their service;

- Justification for increased funding and the total amount being requested.
- Documentation of strategic alignment and program assessment;
- A budget breakdown from the previous year.

- **New Funding Requests**

- New units seeking funding from the S&A Fee must give a program orientation to the Committee prior to the submission of their budget request.
- This program orientation will include a detailed descriptive of the proposed service(s), documentation of strategic plan alignment, an itemized budget, justification for a request for S&A Fee funding, and a signature from the head of the department or division this service would report too.
- Requesters may be requested to submit materials prior to their orientation for the committee to review.
- The Committee may request additional information if deemed necessary.

### **Budget Hearings**

- The Committee may call for any unit submitting a budget request to answer questions regarding the unit's services, including those related but not directly funded by the S&A Fee, current status of any capital assets, previous budget breakdowns, and the current budget request.
- Should the Committee determine a single hearing is insufficient to discuss all issues presented in a unit's request, additional hearings may be scheduled.
- The Committee may not recommend any extraordinary changes without holding a hearing with the impacted unit.
- Any committee member may send written questions to a unit seeking funding which will be answered as fully as possible. Written questions and answers must be distributed to other Committee members.

### **Final Budget Deliberations**

- Following the completion of all budget hearings and any additional meetings the Committee may require, the Committee will hold final S&A Fee budget recommendation deliberations.
- The Committee chair should invite all units requesting funding, officials from the Student Governments, campus press, and the public at large.
- During the final budget recommendation deliberation the Committee must approve:
  - The amount to be recommended for allocation to each unit requesting funding for the following academic year; and

- The level of the fee to be recommended for the following academic year.
- The percentage of the fee to be placed in the Long Term and Contingency Fund
- The percentage of the fee to be assigned for Committee operations.
- The Committee may also decide any additional issues as deemed appropriate.
- During these deliberations the Committee chair will recognize those in attendance to make comments on pending decisions. The Committee chair is authorized to close the comment period on the particular question after everyone present has had the opportunity to speak at least once.

### **Committee Chair's Letter**

- Following the final budget recommendation deliberations the Committee chair will draft a letter to the Chancellor detailing the decisions of the Committee and the associated rationales for each decision.
- The Chair will ensure letters of dissent are included with the letter.
- The letter will be distributed to the Committee for review and comment prior to being sent to the Chancellor.

### **Administrative Review**

- Upon receipt of the Chair's Letter, the Chancellor will review the recommendations of the Committee. The Chancellor may review any materials provided to the Committee in its review, but should refrain from considering materials not available to the Committee.
- If the Chancellor disagrees with any of the Committee recommendations it will notify the Committee in writing. The Chair will call a Committee meeting to discuss the disagreement with the Chancellor. The Committee may decide to change the recommendation to conform with the concerns of the Chancellor. However, should the Committee reject those concerns the matter will be referred to the Dispute Resolution Process.
- If the University Administration agrees with all of the Committee recommendations it will draft a letter to the Board of Regents stating that opinion. The Committee Chair's letter will be attached to the letter to the Board of Regents.

### **Special Allocation Process**

- **Capital Expenditure**
  - Requestors seeking funding for a capital expense must provide, at minimum, the following information to the Committee prior to a hearing taking place;

- A detailed descriptive of the proposed service(s), documentation of strategic plan alignment, an itemized budget, justification for a request for S&A Fee funding, documentation of any and other funding sources, and a signature from the head of the division this service would fall under.
- **Emergency Funding**
  - Core programs and services seeking funding for an emergency expense must provide, at minimum, the following information to the Committee prior to a hearing taking place;
    - A justification for emergency funding, an itemized budget and a signature from the head of the division this service would fall under.

May 26, 2010

Kathleen Burdo  
Chair  
UWT Services & Activities Committee

Dear Kathleen:

Thank you for submitting the recommendations of the Services and Activities Fee dated May 18, 2010. I accept the recommendations, and extend thanks to you and the committee for your thoughtful deliberations.

Sincerely,

A handwritten signature in cursive script that reads "Patricia Spakes". The signature is written in black ink and is positioned above the printed name and title.

Patricia Spakes  
Chancellor



## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

Services and Activities Fee – University of Washington Bothell; 2010-11  
Distribution of Fees and Allocation of FundsRECOMMENDED ACTION

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve for the University of Washington Bothell:

- 1) Recommended Services and Activities Fee Budget for 2010-11

BACKGROUND

Services and Activities Fees at the UW Bothell and Tacoma campuses are collected separately from the Services and Activities Fees at the Seattle campus, but the process is handled in like manner. As provided under RCW 28B.15.045, a student committee recommends the annual allocations to the Board of Regents for approval. The Board of Regents, at the September 27, 1991 meeting, approved the Guidelines that established the Services and Activities Fees (SAF) Committee for the Bothell campus and its operating procedures.

The Board of Regents is authorized to increase the Services and Activities Fee annually by a percentage not to exceed the annual percentage increase in tuition.

The quarterly rate history of the Services and Activities Fee at UW Bothell is:

<b>Academic Year</b>	<b>Fee</b>	<b>Academic Year</b>	<b>Fee</b>
1991-92	\$76	2001-02	\$83
1992-93	\$76	2002-03	\$83
1993-94	\$79	2003-04	\$86
1994-95	\$81	2004-05	\$89
1995-96	\$84	2005-06	\$91
1996-97	\$87	2006-07	\$93
1997-98	\$90	2007-08	\$95
1998-99	\$93	2008-09	\$101
1999-00	\$93	2009-10	\$108
2000-01	\$83		

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 2)

#### 1) Recommended Services and Activities Fee Budget for the University of Washington Bothell:

##### A. Services and Activities Fee for 2010-11

The SAF Committee recommends that the quarterly fee payable by full-time students be raised \$15 per student, per quarter (from \$108 to \$123), the maximum allowable amount under Initiative 601, for the 2010-11 academic year. The fee revenue was calculated conservatively by using 95% of the estimated annualized FTE target of 2,500 for three quarters (Autumn, Winter, and Spring), plus an estimated fee collection of \$48,000 for Summer 2010. The total estimated fee collection for all four quarters (2010-11) is \$925,230 which is illustrated in Schedule 1, below. An amount of \$19,354 (2.2%) was set aside as contribution toward the long-term fund.

<b>Schedule 1: Distribution of Fees</b>	
2,375 FTE @ \$123 X 3 Quarters*	\$ 877,230
Estimated Summer 2010 Revenue	48,000
Net Revenue	\$ 925,230
Less Mandated Loan Fund (3.5%)	(32,383)
<b>Revised Net Revenue</b>	<b>\$ 892,847</b>

##### A. 2010-11 Allocation of Student Activities and Services Funds

ASUWB	\$98,637
Beta Alpha Psi	6,773
Campus Events Board	112,967
Career Center	90,490
Childcare Voucher Program	25,000
CSS Speakers Series	5,400
Delta Epsilon Chi	17,145
Expanded Student Space and Multi-Purpose Sport Field	150,000
Intercultural Club	10,200
Literary Journal	10,000
Contribution to Long-Term Fund	19,354
Newspaper	29,725
Policy Journal	4,350

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 3)

Recreation and Wellness Program	93,800
Student Civic Fellows	3,000
Student Entrepreneurs' Network	8,700
SAF Contingency Fund	44,642
Student Life Operations	156,914
Teacher Education Professional Development	<u>5,750</u>
Total	\$892,847

### C. Proposed Operating Expenditures for SAF Funds

If specifically authorized by the Services and Activities Fee Committee at the time of allocation, the following expenditures are acceptable in support of bona fide school-related curricular or extracurricular functions, activities, or programs participated in by UW Bothell students in the furtherance of their education:

1. Ordinary supplies, purchased services or equipment necessary to conduct the student function, activity, or program. Business cards may not be purchased with Services and Activities Fees.
2. Compensation for students or other university employees engaged in activities or services that directly involve or support currently enrolled UWB students such as student government, student activities, student life, financial aid, counseling, testing, placement, and security. Compensation is established once per year, during the Annual Budget cycle, and cannot be modified during the Contingency cycle.
3. Necessary and reasonable fees, meals, lodging, and transportation expenses for entertainers, lecturers, guest speakers and others who provide personal services on a contractual basis.
4. Trophies, plaques or medals, certificates of award or articles of personal property that are of nominal value (\$50 or less) given to currently enrolled UWB students as recognition for participation, achievement, or excellence as part of the functions of student organizations, activities, or programs. Articles of clothing may not be purchased with Services and Activities Fees unless expressly stated otherwise by the SAF committee at the time of allocation.

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 4)

5. Promotional Items designed to promote any student organization, group, or funded project or service are limited to a total value of \$200 per quarter unless expressly stated otherwise by the Services and Activities Fee Committee at the time of allocation. Food and publicity (for specific events) are not considered a promotional item.
6. Cost of childcare for children of currently enrolled UWB students who are participating in UWB programs held on the UWB campus.
7. Travel awards can only be granted to currently enrolled UWB students to participate in approved student functions, activities, or programs. Awards are limited to paying accommodations, registration fees, and incidental expenses such as costs associated with renting a state vehicle (may not exceed \$10 per day). Approved travel awards are reimbursements and are reimbursed only when receipts are presented. All travel must comport with established UW travel policies and procedures (e.g., travel must be approved in advance using the Travel Authorization Form and a Travel Expense Voucher must be completed and approved before any reimbursements are made). Travel must benefit the broader student community through participation upon return from the trip. Maximum reimbursement will be \$500 per student and \$2,500 per group unless expressly stated otherwise by the SAF Committee.
8. Food and refreshments may be purchased for on-campus UWB-student functions in accordance to the University of Washington food policy (including award receptions, training programs, activities, or programs.) Such funds are intended to support activities and programs open to the general student body. Funds are not intended to support routine meetings associated with student organizations (student government, campus events board, SAF, etc.). Services and Activities Fees may not be used to purchase or serve alcoholic beverages. In regards to off-campus activities, only 25% of the specific event funds can be used to purchase meals and/or refreshments.
9. Consistent with state law, any expenditure of Services and Activities Fees, including loans, is considered a prohibited gift when made for the direct benefit of private individuals or groups. State law also prohibits contributions of Services and Activities Fees or property to a political candidate or cause in connection with any local, state, or federal election.

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 5)

10. Services and Activities Fees shall not be used as fundraising contributions; matching funds for fundraising purposes; or for any expenses related to a meetings, events, or activities of which the principal purpose is fundraising.

### D. 2010-11 Budget Notes and Funding Stipulations

#### **Associated Students of the University of Washington Bothell (\$98,637)**

ASUWB's budget request was funded as follows:

##### Husky Mascot

Compensation of \$500 per quarter for four quarters	\$2,000
Husky mascot benefits (11%)	\$220
Less 10% penalty for submission after the deadline	<u><u>(-\$200)</u></u>
Total	\$2,020

##### Compensation

President (1005 hours x \$14/hour)	\$14,070
Vice President (1005 hours x \$13/hour)	\$13,065
Executive Reps (555 hours x \$12/hr x 3 positions)	\$19,980
Benefits (11% of the above)	<u><u>\$5,182</u></u>
Total	\$52,297

##### Officer Training and Development \$10,200

Up to \$1,700 per officer x 5 officers and 1 advisor plus money for transitional programming between outgoing and incoming officers. Funding is inclusive of quarterly training events of \$150 each for three quarters. NOTE: September officer training is mandatory.

##### ASUWB Programs \$7,670

- \$2500 spring elections party
- \$2500 signature event
- \$2000 Husky Huddles and Student Town Halls
- \$120 distinguished professor/staff award (2 x \$60)
- \$350 student-of-the-month award (7 x \$50)
- \$200 Veterans holiday event

##### Transportation \$1,500

Mileage reimbursement for ASUWB officers to attend local meetings

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 6)

##### Supply Stations \$500

Office supplies to restock supply stations around campus

##### Student Academic Enhancement Funds (SAEF) \$16,000

Administered by ASUWB, grants of up to \$1,500 are available to help fund students' educational travel in accordance with the following priorities:

1. The first priority for funding will be given to those students who have been offered the opportunity to present a research paper or project at a professional conference and who have the endorsement of a UWB faculty member in his or her discipline.
2. The second priority for funding will be given to those students who wish to enhance their current leadership role on campus by attending a skills-building conference or workshop. The student's application must be endorsed by the Director of Student and Residential Life.
3. The third priority for funding will be given to those students who wish to attend a conference or workshop in order to create or enhance a project or service that will directly benefit UWB students. The student's application must be endorsed by a UWB faculty or staff member intimately familiar with the project.

##### Printing & Photocopying \$1,100

Office printing (letters, flyers, poster, etc.)

##### Rainy-day Fund \$3,000

To be used for unexpected project(s)

##### Promotion & Advertising \$600

##### Government Relations

\$300 Tri-Campus Legislative Day \$1,000 Higher Education \$3,750

Advocacy Day WSA Membership (.75 x 3000 students) \$2,250

##### **Beta Alpha Psi (\$6,773)**

A total of \$2,056 was reduced from Beta Alpha Psi's original request. Details of the award are as follows:

Professional Meetings \$1,942

Spring Professional Banquet \$2,800

Marketing and Promotion \$450

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 7)

Regional Meeting (10% late penalty applied)	\$1,581
Total	\$6,773

#### **Campus Events Board (\$112,967)**

A total of \$6,746 was reduced from CEB's original request. The original request for 6 programmers has been reduced to five. In the future, SAF believes that 6 programmers may be necessary as the campus grows.

The programmers' stipends were adjusted to \$12/hour from \$10/hour. SAF committee wants CEB to collaborate with the Office of Disability and Veterans Services to sponsor at least one event annually centered on bringing awareness to disabilities and veterans. Details of the award follow:

##### Compensation

37 weeks x 10 hours per week x \$12 per hour x 5 programmers	\$22,200
Benefits (11%)	\$2,442
Total	\$24,642

##### Training and Development

Up to \$1,500 per programmer (n=5) to attend the NACA regional conference plus one advisor (@ \$750)

\$8,250

##### CEB-Sponsored Events

\$80,075

#### **Career Center (\$90,490)**

The university is committed to assuming a greater share of the costs for operating the Career Center over the next three years. Therefore, the request submitted by the Career Center to SAF will reflect a reduction of \$25,000 per year over the next three years as central university funds gradually replace these SAF Funds.

Details of the award follow:

##### Compensation

Hourly peer advisors (60 hours per week x 40 weeks @\$15/hr.)	\$36,000
Benefits for peer advisors (11%)	\$4,000
0.31 FTE professional Employer Relations Coordinator	\$15,750
Benefits for Coordinator (32%)	\$5,040
Total	\$60,790

##### Honoraria

10 seminars @ \$250 each	\$2,500
MBA career coach	\$4,200
Total	\$6,700

##### Facilities



## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 8)

20 events @ \$300 each	\$6,000
<u>Printing/Publicity</u>	\$3,000
<u>Refreshments and Decorations</u>	\$5,000
<u>Software and Licenses</u>	\$7,000
<u>Equipment Rentals and Purchases</u>	\$2,000

#### **Childcare Assistance Program (\$25,000)**

The Childcare Assistance Program's request was reduced by \$21,500. SAF increased funding by 10% over the previous year's award in order to fund one additional student grant. The committee understands that more students desire assistance than available funds permit.

#### **CSS Speakers Series (\$5,400)**

The committee recommended full funding for the series but chose not to fund \$500 for faculty members to dine with the speakers. The committee encourages CSS to find alternative funding for the Speakers Series beginning with 2011-12.

#### **Delta Epsilon Chi (\$17,145)**

A total of \$1,450 was reduced from Delta Epsilon Chi's original request as the committee chose not to fund travel expenses associated with the Fall Leadership Conference. Details of the award follow:

##### Transportation

Renting a 12-person van plus gas through University of Washington Fleet Services to transport 12 members to the state competitions	\$320
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Airline tickets for 20 members @ \$400.00/ticket to attend the national conference in Orlando, Florida in mid-April.	\$8,000
Total	\$8,320

##### Meals & Lodging for Travel

Renting rooms for the State competitions for 25 students @ \$90/night/room for 2 nights in Spokane, Washington.	\$1,125
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Renting rooms for the National competitions for 20 students @ \$160/night/room for 4 nights in Orlando, Florida.	\$3,200
Total	\$4,325

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 9)

##### Conference Registration

Registration Fee for the State Competitions in Spokane, Washington	\$2,500
Registration Fee for the National Competitions in Orlando, Florida	<u>\$2,000</u>
Total	\$4,500

##### **Expanded Student Space and Multi-Purpose Sports Field (\$150,000)**

The committee allocated up to \$150,000 to design, remodel, and convert a portion of the current bookstore space into student space (for student organizations, food options, and services in direct support of students) and to support a feasibility study cost estimates and design concepts associated with the construction of a propose multi-purpose sports field..

##### **Intercultural Club (\$10,200)**

The committee fully funded the Intercultural Club. Details of the award are as follows:

Honoraria	\$1,800
Facility Rentals	\$1,700
Printing and Photocopying	\$500
Food/Refreshments	\$5,000
Equipment Rental/Purchase	\$200
Event Supplies (plates, decorations, utensils, etc.)	<u>\$1,000</u>
Total	\$10,200

##### **Literary Journal (\$10,000)**

The Literary Art Journal's request of \$11,500 was reduced by \$1,500. Of the allocated amount, \$500 is to be used for refreshments in accordance with the university's food policy. The remaining amount of \$9,500 is allocated for a printed journal with the expectation that the Journal will explore producing an online format.

##### **Husky Herald Newspaper (\$29,725)**

SAF's priority for the Husky Herald is to focus investment in continuing the growth in readership and campus involvement. The committee did not fund salaries for the section editors; the responsibilities of the section editors have been combined to create a new Assistant Editor-in-chief position on the Husky Herald Board of Directors. SAF created the new position to increase overall readership and the quality of articles submitted. SAF created a pay-per-article program to increase submissions and campus awareness of the student publication. To manage the anticipated increase in article submissions from exclusively the UWB student population (not enrolled in the Husky Herald's course) the Assistant Editor-in-Chief position along with the Husky Herald Board of Directors will

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 10)

determine monetary compensation, if at all, for articles published from exclusively the UWB student population (not enrolled in the Husky Herald's course). The Husky Herald Board of Directors cannot receive compensation for pay-per-article submission. Compensation must not exceed \$30 per article. Payment for pay-per-article will be coordinated on a quarterly basis through the payroll office. NOTE: If the Husky Herald finds that adding a staff position to oversee the pay-per-article program is required, they may apply for funding a pay-per-article editor position during the 2010 contingency cycle. The Husky Herald must also submit a plan to SAF by December 2010 for approval. This plan must include:

- 1.) New roles and responsibilities for the Assistant Editor-in-Chief that include preliminary oversight of the pay-per-article program, section editor responsibilities, and other tasks that the Husky Herald Board of Directors determines necessary. NOTE: No further paid staff positions are to be added to the Husky Herald's 2010-11 budget other than what has been expressly stated in the 2010-11 budget stipulations, but the Husky Herald may request additional funding during the 2010 contingency budget if they find that more staff is required to oversee section editing and the pay-per-article program.
- 2.) A plan explaining the process of compensation for student-submitted articles published to ensure transparency and accountability. This will include explaining the mechanism of determining and tracking monetary compensation, bias prevention, and any other issues the Herald would like to bring up with the 2010-11 UWB SAF Committee. NOTE: The \$5,400 allocated for the pay-per-article program is only to be used to compensate writers from exclusively the UWB student population (not enrolled in the Husky Herald's course) excluding Husky Herald Board of Directors. If the Husky Herald finds that more funding/staff is necessary, they may include these findings in their report back to SAF in December 2010 for contingency funding consideration.
- 3.) A status report on the pay-per-article program. This report should detail how the pay-per-article program has worked during fall of 2010 (potentially summer as well) and any recommendations to improve the program with particular focus on how SAF may be able to assist.

The office supplies request of \$300 also was not funded. The committee recommended utilizing office supplies available through Student Life. SAF also eliminated the Growth and Development position until readership increases to

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 11)

allow for the ability to sustainably utilize funding through advertising and fundraising. Details of the award are as follows:

#### Compensation

Editor in Chief (\$1,200 quarterly stipend x 3)	\$3,600
Operations Manager (\$1,200 quarterly stipend x 3)	\$3,600
Assistant Editor-in-chief (\$1,000 quarterly stipend x 3)	\$3,000
P.R. Manager (\$1,000 quarterly stipend x 3)	\$3,000
Media Manager's stipend (\$1,000 per quarter x 3)	\$3,000
Benefits (11%)	<u>\$1,782</u>
Total	\$17,982

<u>Refreshments</u>	\$1,500
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<u>Writer Compensation</u>	\$5,400
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“Writer” is defined as: exclusively the UWB student population not currently enrolled in the Husky Herald's course at the time of submission. Compensation must not exceed \$30 per article published and must adhere to the guidelines of the UWB Office of Budget and Planning.

#### Conference (funded for five officers)

ACP Yearly membership	\$109
Conference registration for five officers (\$69 x 5)	\$345
Conference registration for one adviser	\$89
Hotel/flight for five officers	\$2,250
Hotel/flight for one adviser	\$450
Meals (5 officers and one adviser)	<u>\$900</u>
Total	\$4,143

<u>Website Hosting</u>	\$100
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<u>Promotion (\$200 per quarter x 3)</u>	\$600
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#### **Policy Journal (\$4,350)**

The Journal's request of \$8,400 was reduced by \$4,050. The committee allocated \$3,850 to be used toward producing a printed journal with the expectation that the Journal will explore producing an online format. \$200 refreshment is to be used in accordance with the university food policy. Details of the award are as follows:

Printing and Photocopying	\$3,850
Refreshments	\$200
Webhosting and online journal	<u>\$300</u>

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 12)

Total	\$4,350
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#### **Recreation and Wellness Program (\$93,800)**

The budget request was funded as follow:

Program Coordinator (.1.0 FTE)	\$45,000
Benefits (32%)	\$14,400
Transportation	\$500
Conference (registration, lodging & meals)	\$1,400
Recreation league fees	\$11,000
Fitness classes (on campus)	\$7,000
Recreational outings and sporting events	\$2,000
Wellness programs and seminars	\$6,000
Fitness and wellness equipment and supplies	\$2,000
Maintenance of fitness room equipment	\$2,000
Contingency for unanticipated operations of fitness center	<u>\$2,500</u>
Total	\$93,800

#### **Student Civic Fellows (\$3,000)**

The committee recommended a salary of \$3,000 for ten Student Civic Fellows. The request of \$800 for lodging and a retreat was denied. Furthermore, the committee recommended the group seek money through the club fund available in Student Life.

#### **Student Entrepreneur's Network (\$8,700)**

The committee did not fund the food request of \$6,000 due to the restricted food policy. The request of \$12,000 for three student innovation retreats was denied. SAF cannot fund business cards (\$500 request was deducted). Due to the size of this award, the Student Entrepreneur's Network is not eligible for additional club funding in 2010-11. Details of the award follows:

<u>Printing &amp; Advertising</u>	\$600
<u>International CEO Event</u>	
Meals & Lodging for five students	\$3,000
Transportation	\$2,000
<u>NWEN and MITWA Events</u>	\$2,000
<u>Speaker Events</u>	\$800
<u>Honoraria</u>	\$300

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 13)

\$25 per speaker for a total of 12 speakers

#### **Student Life Operations (\$156,914)**

Student Life Operations' initial request was reduced by \$8,750. Request of equipment purchase in the amount of \$2,400 was denied. The student assistants' funding was reduced to 40 weeks at \$10/hr for 40 hours/week. SAF recommends that Student Life begin working on September 7<sup>th</sup>, 2010 or thereafter in order to prepare for fall quarter. Details of the funding are as follows:

##### Compensation

Program Coordinator salary	\$45,000
Coordinator's benefits (32%)	\$14,400
Hourly marketing assistant (15 hrs/wk x 44 wks x \$13/hr)	\$8,580
Marketing assistant's benefit (11%)	\$944
Graduate Student Stipends (3 quarters @ \$1,000/qtr)	\$3,000
Graduate Student Benefits (11%)	\$330
Student Assistants (40 hrs/wk x 40 weeks x \$10/hr)	\$16,000
Hourly positions' benefits (11%)	<u>\$1,760</u>
Total	\$90,014

##### Honoraria

\$ 6,000

##### Facilities

\$4,000

##### Telecommunications

11 handsets, data ports, and long distance charges for ASUWB, CEB, Student Life, and student organization offices	\$5,000
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##### Printing and Publicity

\$4,000

##### Transportation

For alternative spring break and leadership retreats	\$2,500
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##### Professional Conference

\$1,000

Meals and lodging for travel

##### Club Funding

\$30,400

##### Food/Refreshments

\$6,000

##### Office supplies and misc. expenses for student offices

\$8,000

#### **Teacher Certification Professional Development and Mentoring (\$5,750)**

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Services and Activities Fee – University of Washington Bothell; 2010-11 Distribution of Fees and Allocation of Funds (continued p. 14)

The committee recommended full funding for the T-cert Programs. The committee strongly recommends that portions of the development days be open to all students on campus where appropriate.



VII. STANDING COMMITTEES

B. Finance, Audit & Facilities Committee

Grant and Contract Awards Summary – April, 2010

RECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit & Facilities Committee that the Board of Regents accept the Grant and Contract Awards as presented in the attached report.

*Attachment*

Grant and Contract Awards Summary for April, 2010

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# **Grant and Contract Awards Summary**

**to**

**The Board of Regents**

**of the**

**University of Washington**

**for**

**April 2010**

**Office of Research**

**Office of Sponsored Programs**

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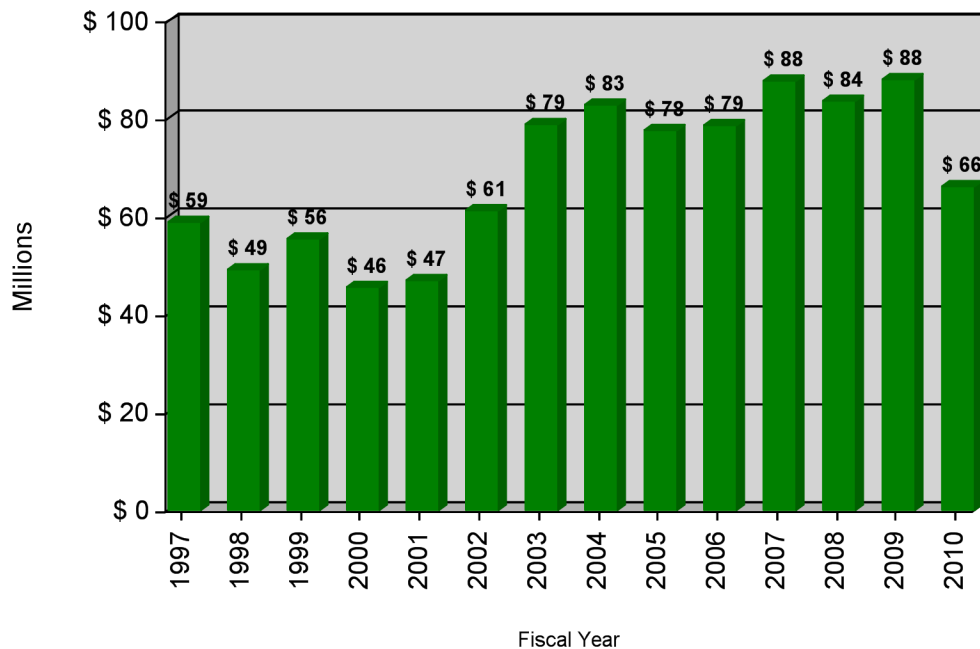
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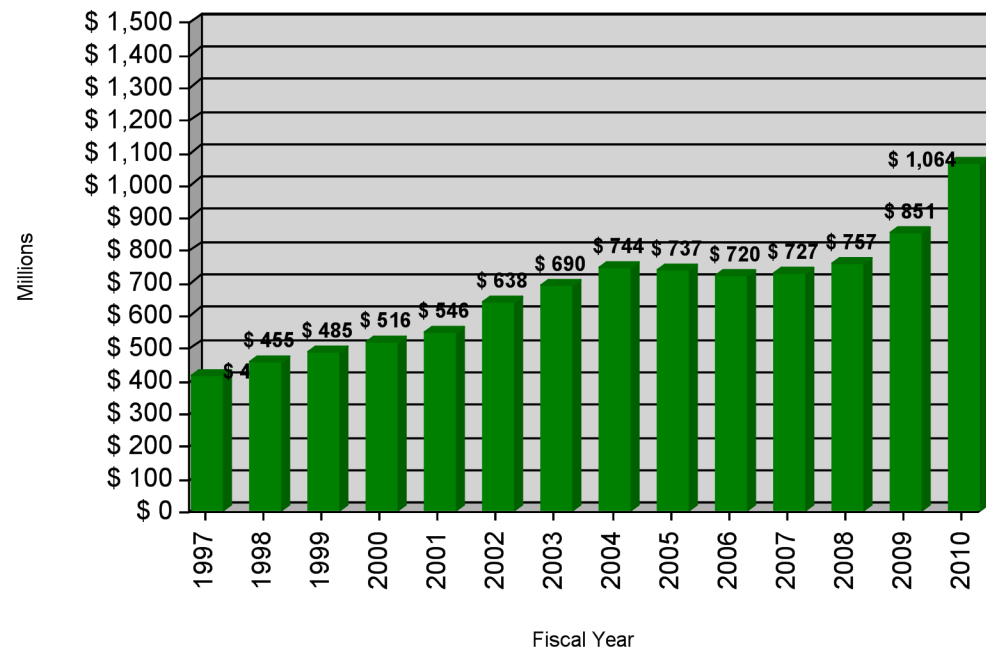
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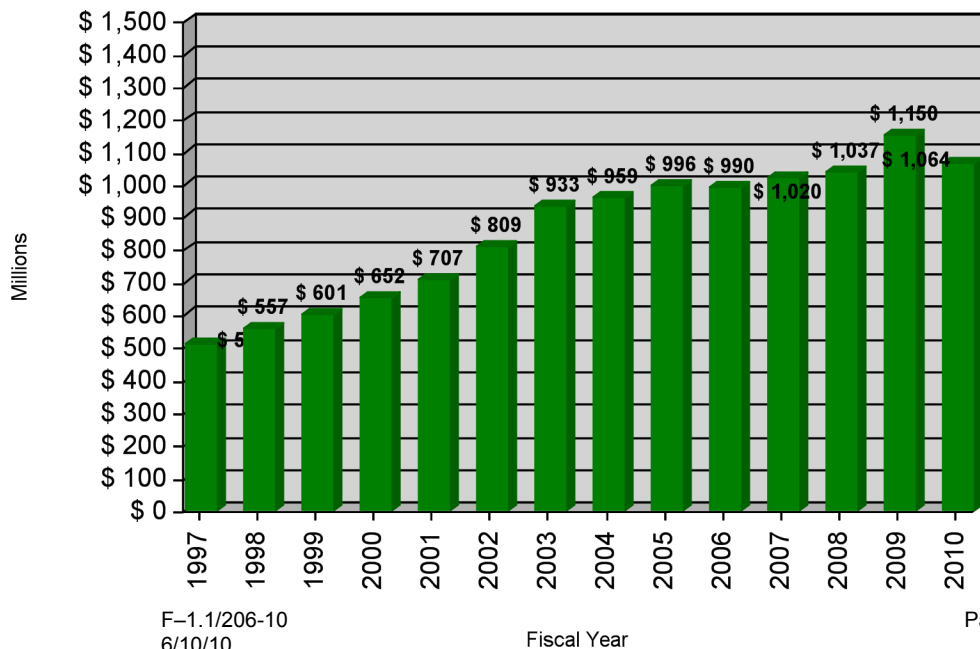
**April Only**  
Comparison of Grant & Contract Awards



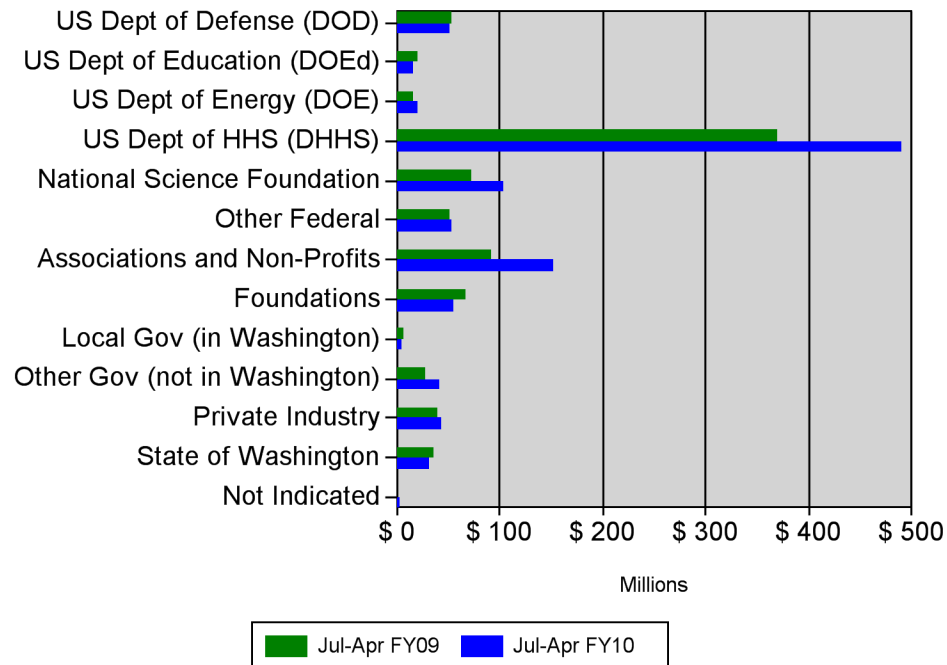
**Fiscal Year to Date**  
Comparison of Grant & Contract Awards



**Complete Fiscal Year**  
Comparison of Grant & Contract Awards



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



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**Summary of Grant and Contract Awards**

**Fiscal Year 2009-2010**

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<b>Month</b>	<b>RESEARCH AND OTHER</b>		<b>TRAINING</b>		<b>Total Grants and Contracts</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$ 92,331,480	\$ 29,367,440	\$ 15,030,890	\$ 1,904,177	\$ 138,634,000
August	\$ 125,313,800	\$ 30,523,640	\$ 5,900,316	\$ 1,531,602	\$ 163,269,300
September	\$ 126,577,700	\$ 36,002,340	\$ 32,079,670	\$ 395,123	\$ 195,054,800
October	\$ 77,578,540	\$ 45,219,790	\$ 28,673,290	\$ 1,363,737	\$ 152,835,400
November	\$ 22,820,040	\$ 62,174,290	\$ 366,285	\$ 725,599	\$ 86,086,220
December	\$ 28,128,920	\$ 26,204,650	\$ 1,144,268	\$ 2,039,430	\$ 57,517,270
January	\$ 32,923,960	\$ 23,788,300	\$ 1,549,702	\$ 987,327	\$ 59,249,280
February	\$ 37,894,840	\$ 22,017,140	\$ 324,364	\$ 374,178	\$ 60,610,520
March	\$ 55,917,460	\$ 24,811,290	\$ 3,171,296	\$ 415,867	\$ 84,315,910
April	\$ 44,445,060	\$ 17,904,090	\$ 3,780,778	\$ 101,411	\$ 66,231,340
<b>FY10 to Date</b>	<b>\$643,931,783</b>	<b>\$318,012,965</b>	<b>\$92,020,858</b>	<b>\$9,838,451</b>	<b>\$1,063,804,057</b>
<b>FY09 to Date</b>	<b>\$531,932,468</b>	<b>\$254,002,498</b>	<b>\$51,177,089</b>	<b>\$14,056,733</b>	<b>\$851,168,789</b>
<b>Over (Under) Previous Year</b>	<b>\$111,999,315</b>	<b>\$64,010,467</b>	<b>\$40,843,769</b>	<b>(\$4,218,282)</b>	<b>\$212,635,269</b>

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

**Comparison of Grant and Contract Awards by Agency**

**Fiscal Years 2008-2009 and 2009-2010**

<b>Agency</b>	<b>Jul-Apr FY09</b>	<b>Jul-Apr FY10</b>
US Department of Defense (DOD)	\$ 53,110,773	\$ 50,657,449
US Department of Education (DOEd)	\$ 19,425,615	\$ 16,413,667
US Department of Energy (DOE)	\$ 15,576,568	\$ 21,015,271
US Department of Health and Human Services (DHHS)	\$ 370,573,583	\$ 489,480,641
National Science Foundation (NSF)	\$ 72,337,569	\$ 104,459,051
Other Federal	\$ 52,085,450	\$ 53,926,562
<b>Subtotal for Federal :</b>	<b>\$ 583,109,557</b>	<b>\$ 735,952,641</b>
Associations and Non-Profits	\$ 91,330,463	\$ 151,467,147
Foundations	\$ 67,207,037	\$ 55,642,245
Local Government (in Washington)	\$ 6,267,441	\$ 4,875,610
Other Government (not in Washington)	\$ 27,981,914	\$ 42,340,082
Private Industry	\$ 39,486,051	\$ 42,607,001
State of Washington	\$ 35,786,325	\$ 30,919,332
Not Indicated	\$ 0	\$ 34,657
<b>Subtotal for Non-Federal :</b>	<b>\$ 268,059,231</b>	<b>\$ 327,886,073</b>
<b>Grand Total :</b>	<b>\$ 851,168,789</b>	<b>\$ 1,063,838,714</b>
 <b>Amount of Increase (Decrease) :</b>		<b>\$ 212,669,926</b>
<b>Percent of Increase (Decrease) :</b>		<b>25.0 %</b>

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

**Comparison of Grant and Contract Awards by School/College**

**Fiscal Years 2008-2009 and 2009-2010**

<b>School/College</b>		<b>Jul-Apr FY09</b>	<b>Jul-Apr FY10</b>
<b>Upper Campus</b>			
	Architecture and Urban Planning	\$ 1,916,265	\$ 1,644,257
	Arts and Sciences	\$ 77,665,147	\$ 87,767,308
	College of the Environment	\$ 120,088	\$ 31,503,958
	Director of Libraries	\$ 6,860,485	\$ 1,663,292
	Education	\$ 9,162,873	\$ 4,600,135
	Educational Outreach	\$ 96,400	\$ 123,000
	Engineering	\$ 69,269,274	\$ 82,012,409
	Evans School of Public Affairs	\$ 3,472,452	\$ 1,215,938
	Executive Vice President	\$ 1,451,647	
	Forest Resources	\$ 7,411,814	\$ 2,154,813
	Foster School of Business	\$ 770,000	\$ 1,072,257
	Graduate School	\$ 4,668,556	\$ 3,852,291
	Information School	\$ 5,433,363	\$ 6,677,009
	Law	\$ 2,775,906	\$ 1,445,814
	Ocean and Fishery Sciences	\$ 72,556,527	\$ 89,021,139
	Office of Research	\$ 16,770,005	\$ 40,310,532
	Provost	\$ 112,947	\$ 35,000
	Social Work	\$ 11,710,823	\$ 20,051,681
	Undergraduate Education	\$ 272,265	\$ 213,373
	VP Educational Partnerships	\$ 30,000	
	VP Minority Affairs	\$ 6,617,602	\$ 5,410,124
	VP Student Affairs		\$ 280,137
	VP Student Life		\$ 20,715
	<b>Subtotal :</b>	<b>\$ 299,144,439</b>	<b>\$ 381,075,182</b>
<b>Health Sciences</b>			
	Dentistry	\$ 7,607,794	\$ 8,713,823
	Medicine	\$ 432,351,705	\$ 559,943,681
	Nursing	\$ 10,445,386	\$ 14,480,963
	Pharmacy	\$ 8,122,739	\$ 13,523,440
	Public Health	\$ 59,944,183	\$ 64,575,457
	<b>Subtotal :</b>	<b>\$ 518,471,806</b>	<b>\$ 661,237,364</b>
<b>Special Programs</b>			
	Alcohol and Drug Abuse Institute	\$ 3,094,050	\$ 3,528,875
	CHDD Administration	\$ 5,066,478	\$ 5,960,764
	Regional Primate Center	\$ 20,076,037	\$ 9,502,792
	<b>Subtotal :</b>	<b>\$ 28,236,565</b>	<b>\$ 18,992,431</b>
<b>Other UW Campuses</b>			
	Bothell	\$ 4,804,721	\$ 2,074,457



School/College		Jul-Apr FY09	Jul-Apr FY10
Other UW Campuses	Tacoma	\$ 511,258	\$ 459,280
	<b>Subtotal :</b>	<b>\$ 5,315,979</b>	<b>\$ 2,533,737</b>
	<b>Grand Total :</b>	<b>\$ 851,168,789</b>	<b>\$ 1,063,838,714</b>

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

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**Summary of Grant Awards****Fiscal Year 2009-2010***Excluding private awards from Foundations, Industry, Associations and Others*

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<b>Month</b>	<b>RESEARCH AND OTHER</b>		<b>TRAINING</b>		<b>Total Grants</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$ 91,428,820	\$ 4,713,717	\$ 15,030,890	\$ 955,270	\$ 112,128,700
August	\$ 119,211,600	\$ 10,426,390	\$ 5,900,316	\$ 998,571	\$ 136,536,800
September	\$ 118,584,700	\$ 3,668,856	\$ 31,878,100	\$ 155,656	\$ 154,287,300
October	\$ 72,006,290	\$ 9,217,262	\$ 28,673,290	\$ 172,632	\$ 110,069,500
November	\$ 16,219,290	\$ 4,912,430	\$ 366,285	\$ 89,960	\$ 21,587,960
December	\$ 25,204,060	\$ 5,145,988	\$ 1,144,268	\$ 304,160	\$ 31,798,470
January	\$ 30,542,890	\$ 2,732,340	\$ 1,549,702	\$ 0	\$ 34,824,930
February	\$ 36,038,910	\$ 4,135,784	\$ 324,364	\$ 12,364	\$ 40,511,420
March	\$ 54,936,100	\$ 4,334,430	\$ 3,171,296	\$ 0	\$ 62,441,820
April	\$ 41,531,530	\$ 2,035,670	\$ 2,189,426	\$ 0	\$ 45,756,630
<b>Year to Date</b>	<b>\$ 605,704,100</b>	<b>\$ 51,322,860</b>	<b>\$ 90,227,940</b>	<b>\$ 2,688,613</b>	<b>\$ 749,943,600</b>

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

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**Summary of Grant Awards****Fiscal Year 2009-2010***Private awards from Foundations, Industry, Associations and Others*

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<b>Month</b>	<b>RESEARCH AND OTHER</b>	<b>TRAINING</b>	<b>Total Grants</b>
July	\$ 13,083,060	\$ 64,396	\$ 13,147,460
August	\$ 13,285,460	\$ 304,231	\$ 13,589,690
September	\$ 26,139,530	\$ 239,467	\$ 26,378,990
October	\$ 29,279,210	\$ 567,213	\$ 29,846,420
November	\$ 47,961,170	\$ 201,993	\$ 48,163,160
December	\$ 14,214,130	\$ 1,045,878	\$ 15,260,010
January	\$ 13,969,570	\$ 345,609	\$ 14,315,180
February	\$ 14,359,730	\$ 226,120	\$ 14,585,850
March	\$ 13,329,480	\$ 153,500	\$ 13,482,980
April	\$ 10,920,880	\$ 101,411	\$ 11,022,290
<b>Year to Date</b>	<b>\$ 196,542,200</b>	<b>\$ 3,249,818</b>	<b>\$ 199,792,000</b>

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

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**Summary of Contract Awards****Fiscal Year 2009-2010**

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<b>Month</b>	<b>RESEARCH AND OTHER</b>		<b>TRAINING</b>		<b>Total Contracts</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$ 902,667	\$ 11,570,660	\$ 0	\$ 884,511	\$ 13,357,840
August	\$ 6,102,208	\$ 6,811,787	\$ 0	\$ 228,800	\$ 13,142,800
September	\$ 7,993,044	\$ 6,193,956	\$ 201,565	\$ 0	\$ 14,388,560
October	\$ 5,572,260	\$ 6,723,323	\$ 0	\$ 623,892	\$ 12,919,470
November	\$ 6,600,753	\$ 9,300,686	\$ 0	\$ 433,646	\$ 16,335,080
December	\$ 2,924,862	\$ 6,844,534	\$ 0	\$ 689,392	\$ 10,458,790
January	\$ 2,381,065	\$ 7,086,389	\$ 0	\$ 641,718	\$ 10,109,170
February	\$ 1,855,925	\$ 3,521,629	\$ 0	\$ 135,694	\$ 5,513,249
March	\$ 981,362	\$ 7,147,384	\$ 0	\$ 262,367	\$ 8,391,113
April	\$ 2,913,529	\$ 4,947,536	\$ 1,591,352	\$ 0	\$ 9,452,417
<b>Year to Date</b>	<b>\$ 38,227,670</b>	<b>\$ 70,147,890</b>	<b>\$ 1,792,917</b>	<b>\$ 3,900,020</b>	<b>\$ 114,068,500</b>

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

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

**April 2010**

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

**Office of Research  
Office of Sponsored Programs**

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# Detail of Public Grant Awards

## Federal

### US Department of Energy (DOE)

#### US Department of Energy (DOE)

To: David B. Kaplan, Director \$ 2,655,000  
Institute for Nuclear Theory

For: National Institute for Nuclear Theory

Eff: 3/1/2010 Classified: No

**Total for US Department of Energy (DOE): \$ 2,655,000**

**Total for US Department of Energy (DOE): \$ 2,655,000**

### US Department of Health and Human Services (DHHS)

#### National Institutes of Health (NIH)

To: Timothy De Rouen, Professor \$ 1,267,912  
Dental Public Health Sciences

For: Network Chair for the Pacific Northwest DPBRN

Eff: 4/1/2010 Classified: No

To: Brian Leroux, Assoc Professor \$ 1,380,064  
Dental Public Health Sciences

For: Data Coordinating Center for the Pacific Northwest DPBRN

Eff: 4/1/2010 Classified: No

#### *National Institute of Environmental Health and Science (NIEHS)*

To: Harvey Checkoway, Professor \$ 2,342,413  
Department of Environmental and Occupational Health Sciences

For: Effects-Related Biomarkers of Environmental Neurotoxic Exposures

Eff: 4/20/2010 Classified: No

*Total for National Institute of Environmental Health and Science (NIEHS): \$ 2,342,413*

**Total for National Institutes of Health (NIH): \$ 4,990,389**

**Total for US Department of Health and Human Services (DHHS): \$ 4,990,389**

**Total for Federal: \$ 7,645,389**

**Total Public Grants: \$ 7,645,389**

## Detail of Contract Awards

### Federal

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#### US Department of Health and Human Services (DHHS)

##### National Institutes of Health (NIH)

*National Library of Medicine (NLM)*

To: Neil Rambo, Associate Dean Of Library LIBRARY \$ 1,531,292

For: National Network of Libraries of Medicine, Pacific NW Region

Eff: 8/1/2006 Classified: No

*Total for National Library of Medicine (NLM):* \$ 1,531,292

**Total for National Institutes of Health (NIH):** \$ 1,531,292

**Total for US Department of Health and Human Services (DHHS):** \$ 1,531,292

**Total for Federal:** \$ 1,531,292

**Total Contracts:** \$ 1,531,292

**Grand Total for all Awards** \$ 9,176,681



## VII. STANDING COMMITTEES

## B. Finance, Audit &amp; Facilities Committee

Amendment of Chapter 478-136 WAC, Use of University of Washington Facilities, and Amendment of WAC 478-137-030, Administrative AuthorityRECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents adopt the amendments to Chapter 478-136 WAC, “Use of University of Washington Facilities,” and the related housekeeping amendment to WAC 478-137-030, “Administrative Authority.”

BACKGROUND:

The primary purpose of amending the University’s rules governing the use of its facilities is to extend to each of the University’s three campuses a separate Committee for the Use of University Facilities (hereafter Committee) that can provide local guidance, specific to the unique facilities at each campus location, while adhering to the limitations on use provided in Chapter 478-136 WAC that apply to all University facilities and grounds. These proposed amendments better serve each campus to establish use patterns for new facilities and grounds at their respective campuses, as well as responding to routine requests for facilities use and guidance.

The amended rules continue to charge the President with delegating to the UW Seattle Committee Chair oversight for all UW facilities and grounds not located on either the UW Bothell or UW Tacoma campuses. The amended rules now also delegate from the President to the chancellors, the authority to establish their own Committees and subdelegate to their appointed chairs the responsibility for oversight of facilities and grounds maintained on their respective campuses. Additionally, these amended rules stipulate that the chairs of each of the three campus Committees will confer with one another to promote a uniform application of the use rules maintained in Chapter 478-136 WAC.

Other amendments to this chapter implement the following improvements:

- Streamlining the request process language for sponsorship and approval of events;
- Reorganization of various sections for clarity of purpose, including establishing a separate section for the Alcoholic Beverage Policy, without change to that policy;
- New and updated contact information for all three campus Committee chairs;

## VII. STANDING COMMITTEES

### B. Finance, Audit & Facilities Committee

#### Amendment of Chapter 478-136 WAC, Use of University of Washington Facilities, and Amendment of WAC 478-137-030, Administrative Authority (continued p. 2)

- New definitions to define the terms “chair” and “Committee on the Use of University Facilities,” and further define the existing definition for “facility or facilities”; and
- General updating of text to reflect current practice.

Also, two housekeeping amendments are proposed for WAC 478-137-030, “Administrative Authority,” from the chapter, “Use of Joint University of Washington, Bothell and Cascadia Community College Facilities,” in order to clarify the title and responsibilities of an existing facilities use coordinator (from that of the new chair of the Committee role) for a committee that regulates only the use of joint facilities on that co-located campus.

As required by the Washington Administrative Code rule-making process, the public was notified that a hearing would be held to consider these proposed rules amendments via notices in the *Washington State Register*, *The Daily, University Week*, and included in various online campus calendars. The hearing officer’s report is attached; although, no oral testimony or written comments were received.

The proposed rule amendments have been reviewed by the Attorney General’s Office, and endorsed by the UW chancellors, the current Secretary of the Committee on the Use of University Facilities, and the Office of the President.

#### *Attachments*

1. Proposed amendments to Chapter 478-136 WAC, “Use of University of Washington Facilities,” and amendments to WAC 478-137-030, “Administrative Authority”
2. Hearing Officer’s Report (concerning public hearing held on May 17, 2010)

AMENDATORY SECTION (Amending WSR 97-24-047, filed 11/26/97, effective 12/27/97)

**WAC 478-136-010 Use of university facilities--General policy.**

The University of Washington is an educational institution provided and maintained by the people of the state in order to carry out its broad mission of teaching, research and public service. The purpose of this policy is to ensure that all university facilities (~~((operated by the university))~~) are reserved primarily for educational use including, but not limited to, instruction, research, public assembly, student activities, and recreational activities related to educational use. Further, each facility may be used for a variety of activities, ~~((so))~~ as long as the primary function the facility was intended to serve is protected. Reasonable time, place, and manner restrictions may be placed on the use of university facilities.

AMENDATORY SECTION (Amending WSR 07-03-136, filed 1/23/07, effective 2/23/07)

**WAC 478-136-012 Definitions.** (1) "Chair" of the committee on the use of university facilities means the person delegated authority by the president of the University of Washington and the chancellors of the University of Washington to authorize the use of university facilities, as provided for herein, for activities which take place on their respective campuses or at locations governed by their respective campuses; who oversee the committee on the use of university facilities for their respective campuses; and who liaise with other chairs to promote coordination in the application of this policy across campuses. The University of Washington attorney general's division shall provide legal guidance to the chair as needed.

(2) "Committee on the use of university facilities" means a committee appointed by the chair of the committee on the use of university facilities, which meets on a schedule to be determined by the chair, to provide nonbinding guidance to the chair on the application of these rules. Committee representatives might include representatives for UW police, environmental health and safety, risk management, student affairs, student government, and faculty and staff representatives.

(3) "Facility" or "facilities" includes all structures, grounds, parking lots, waterfront, and airspace owned or operated by the University of Washington, except where a "facility" is

excluded from the application of this rule pursuant to a contract (such as a lease or rental agreement). Specific rules also apply to parking lots, bicycle and skateboard use (chapters 478-116, 478-117, and 478-118 WAC), boat moorage facilities (chapter 478-138 WAC and *University Handbook*, Volume 4, Part VII, Chapter 3, Section 2), residence halls (chapter 478-156 WAC), airspace use (*University Handbook*, Volume 4, Part VII, Chapter 3, Section 5), nonuniversity speakers on campus (*University Handbook*, Volume 4, Part VII, Chapter 3, Section 4), and use of facilities by the Associated Students University of Washington (ASUW), Graduate and Professional Student Senate (GPSS), and other affected organizations (*University Handbook*, Volume 3, Part III, Chapter 5).

~~((2))~~ (4) "Use of facilities" includes, but is not limited to~~((2))~~, the holding of events, the posting and removal of signs, all forms of advertising, commercial activities, and charitable solicitation.

~~((3) "Approved event" means a use of university facilities which has received preliminary approval from an academic or administrative unit and which has received final approval from the committee on the use of university facilities.))~~

AMENDATORY SECTION (Amending WSR 05-21-133, filed 10/19/05, effective 11/19/05)

**WAC 478-136-015 Delegated and administrative responsibilities.** (1) The board of regents has delegated to the president of the university the authority to regulate the use of university facilities.

~~((2))~~ Under this authority, the president has ~~((appointed))~~ acted or will act as follows:

(a) Delegate to the chair for the committee on the use of university facilities~~((To provide for proper))~~ with respect to facilities located on or governed by those located on the Seattle campus and for all other university facilities except for those located on the campuses for which there is a chancellor, the authority to review ~~((of))~~ the use of university facilities; to establish within the framework of this policy guidelines and procedures governing such use; to approve or disapprove requested uses; and to establish policies regarding fees and rental schedules where appropriate. Inquiries ~~((concerning the use of university facilities may))~~ to the chair for the Seattle campus should be directed to:

University of Washington Seattle  
~~((Secretary))~~ Seattle Chair of the Committee on the Use of  
University Facilities  
~~((239M Gerberding Hall))~~  
Box 351241  
Seattle, WA 98195-1241

(or phone: 206-543-9233, or e-mail sprogram@uw.edu).

~~((3) Preliminary approval))~~ (b) Delegate to the chancellors of the University of Washington campuses, with respect to facilities located on or governed by those located on their campus, the authority to review the use of university facilities; to establish within the framework of this policy guidelines and procedures governing such use; to approve or disapprove requested uses; and to establish policies regarding fees and rental schedules where appropriate.

(c) Delegate the chancellors the authority to subdelegate the authorities provided for in (b) of this subsection to a chair of the committee on the use of university facilities for facilities located on or governed by those located on their respective campuses. For the current UW campuses, other than the Seattle campus, inquiries concerning the use of university facilities may be directed to:

University of Washington Bothell  
Bothell Chair of the Committee on the Use of University  
Facilities  
Office of the Vice-Chancellor for Administration and  
Planning  
Box 358520  
18115 Campus Way N.E.  
Bothell, WA 98011

or

University of Washington Tacoma  
Tacoma Chair of the Committee on the Use of University  
Facilities  
1900 Commerce Street, GWP 312  
Box 358430  
Tacoma, WA 98402

(or, for the University of Washington Tacoma, phone: 253-692-5645).

(d) Directs the chairs for each committee on the use of university facilities to confer with one another to promote a uniform application of this chapter.

(2) Sponsorship of an event by an academic or administrative unit of the university implies that ((a responsible)) an official with authority to make such decisions for the academic or administrative unit has applied his or her professional judgment to the content of the program, the qualifications of the individuals conducting the event, the manner of presentation, and has concluded, on behalf of his or her academic or administrative unit, that the event is consistent with ((the teaching, research, and/or public service mission of the university)) this chapter.

((4) Final)) (3) Approval of a facilities use request by the ((committee on the use of university facilities implies)) appropriate committee chair means that the committee ((has reviewed)) chair has determined that the proposed event ((with regard to: The general facilities policy; the direct and indirect

~~costs to the institution; environmental, health and safety concerns; wear and tear on the facilities; appropriateness of the event to the specific facility; and the impact of the event on the campus community, surrounding neighborhoods and the general public.~~

~~(5) The university will not make its facilities or services available to organizations which do not assure the university that they will comply with the terms of the Americans with Disabilities Act (ADA, 42 U.S.C. 12132, 12182) and the Rehabilitation Act of 1973 (RA, 29 U.S.C. 794). Uses must not impose restrictions nor alter facilities in a manner which would violate the ADA or RA.~~

~~(6) The university will not make its facilities or services available to organizations which do not assure the university that they do not discriminate against any person because of race, color, religion, national origin, sex, sexual orientation, age, handicap, or status as a Vietnam era or disabled veteran, except where such organizations have been exempted from provisions of applicable state or federal laws or regulations.~~

~~(7) Individuals who violate the university's use of facilities regulations and approved users who violate university contract terms for use of facilities may be advised of the specific nature of the violation and, if continued, individuals may be requested to leave university property or be refused future use of university facilities. Failure to comply with a request to leave university property could subject such individuals to arrest and criminal prosecution under provisions of applicable state, county, and city laws)) is consistent with this chapter.~~

AMENDATORY SECTION (Amending WSR 97-24-047, filed 11/26/97, effective 12/27/97)

**WAC 478-136-025 Users.** (1) Faculty, staff, and registered student organizations or official student ~~((organizations))~~ governments may use university facilities to hold events for faculty, staff, and students provided such uses comply with this general policy on use of university facilities and specific facilities use policies of individual university units. These events do not~~((, however,))~~ require either ~~((preliminary approval))~~ sponsorship by an academic or administrative unit or ~~((final))~~ approval by a chair of the committee on the use of university facilities.

(2) Faculty, staff, and registered student organizations or official student ~~((organizations))~~ governments may use university facilities to hold events to which the general public is invited when the event ~~((has preliminary approval))~~ is sponsored by an academic or administrative unit and ~~((final approval of))~~ approved by the appropriate chair of the committee on the use of university facilities.

(3) Nonuniversity organizations and individuals may use

university facilities to hold events which ~~((have received preliminary approval))~~ are sponsored by a university academic or administrative unit and ~~((final approval))~~ approved by the appropriate chair of the committee on the use of university facilities. The general public may be invited to such events.

AMENDATORY SECTION (Amending WSR 07-03-136, filed 1/23/07, effective 2/23/07)

**WAC 478-136-030 Limitations on use.** (1) First priority for the use of campus facilities shall be given to regularly scheduled university activities. Additionally, use of university facilities may be subject to reasonable time, place, and manner restrictions that take into account, among other considerations, the general facilities policy; the direct and indirect costs to the institution; environmental, health and safety concerns; wear and tear on the facilities; appropriateness of the event to the specific facility; and the impact of the event on the campus community, surrounding neighborhoods, and the general public.

(2) Freedom of expression is a highly valued and indispensable quality of university life. However, university facilities may not be used in ways which obstruct or disrupt university operations, the freedom of movement, or any other lawful activities. ~~((Additionally, use of university facilities may be subject to reasonable time, place and manner restrictions.))~~ No activity may obstruct entrances, exits, staircases, doorways, hallways, or the safe and efficient flow of people and vehicles.

~~((+2))~~ (3) University facilities may be used for political activities (including events and forums regarding ballot propositions and/or candidates who have filed for public office ~~((so long as))~~ only if the event has ~~((received preliminary approval))~~ been sponsored by an administrative or academic unit and ~~((final approval))~~ approved by the ~~((committee on the use of university facilities. There are, however, certain limitations on the use of university facilities for these political activities.))~~ appropriate committee chair, and subject to the following limitations:

(a) ~~((First priority for the use of campus facilities shall be given to regularly scheduled university activities.~~

(b) ~~University facilities may be used for political purposes such as events and forums regarding ballot propositions and/or candidates who have filed for public office only when))~~ The full rental cost of the facility ~~((is))~~ must be paid~~((. However, use of))~~ and state funds ~~((for payment of facility))~~ may not be used to pay rental costs ~~((is prohibited))~~ or any other costs associated with the event.

~~((c) Forums or debates may be scheduled at full facility rental rates if all parties to a ballot proposition election or))~~

(b) All candidates who have filed for office for a given position, regardless of party affiliation, ~~((are))~~ must be given equal access to the use of facilities within a reasonable time.

~~((+d))~~ (c) No person shall solicit contributions on university property for political uses, except in instances where this limitation conflicts with applicable federal law regarding interference with the mails.

~~((+e))~~ Public areas outside university buildings may be used for political purposes such as events and forums regarding ballot propositions and/or candidates who have filed for public office, excluding solicitation of funds, provided the other normal business of the university is not disrupted and entrances to and exits from buildings are not blocked.

~~((+f))~~ (d) University facilities ~~((or services))~~ may not be used to establish or maintain offices or headquarters for political candidates or partisan political causes.

~~((+3))~~ (4) University facilities may not be used for private or commercial purposes such as sales, advertising, or promotional activities unless such activities serve an educational purpose, as determined by the appropriate chair of the committee on the use of university facilities (see also subsection (7) of this section, concerning residence halls).

~~((+4))~~ Nothing in these rules is intended to alter or affect the regular advertising, promotional, or underwriting activities carried on, by, or in the regular university media or publications. Policies concerning advertising, promotional or underwriting activities included in these media or publications are under the jurisdiction of and must be approved by their respective management or, where applicable, advisory committees, in accordance with applicable state and federal laws.

~~((+5))~~ (5) ~~((In accordance with WAC 478-136-010, the university will make its facilities available only for purposes related to the educational mission of the university, as determined by the committee on the use of university facilities, including but not limited to instruction, research, public assembly, and student activities.))~~ When permission is granted to use university facilities for approved instructional or related purposes, as a condition of approval, the user of university facilities agrees to include in all materials nonendorsement statements in the form approved by the ~~((committee on the use of university facilities))~~ appropriate committee chair. "Materials" includes all communications, advertisement, and any other printed, electronic, or broadcast/telecast information related to the user's activities offered in university facilities. The committee ~~((will))~~ chair may determine the content, size of print and placement of the nonendorsement language. The university will not make its facilities available for instructional or related purposes that compete with courses or programs offered by the university.

(6) Solicitation, or distribution of handbills, pamphlets and similar materials by anyone, whether a member of the university community or of the general public, is not permitted in those areas of campus to which access by the public is restricted or where such



solicitation or distribution would significantly impinge upon the primary business being conducted.

(7) Solicitation and distribution of materials in university residence halls are governed by residence hall policies. No solicitation of a commercial nature is permitted in university residence halls. Commercial advertising may be allowed, and is restricted to certain designated areas of each residence hall, when it is related to the university's mission and approved by the department of housing and food services.

(8) Outdoor electronic amplification (~~((on the grounds of the campus))~~) is prohibited with the following exceptions:

(a) The lawn area immediately west of the Seattle campus Husky Union Building (HUB) will be available for open-air speaking events using directional and volume-controlled speech amplification equipment provided by the university. Use of the Husky Union Building lawn site will be available to registered or official student organizations and faculty or staff groups on a first-come, first-served basis. The amplification system will be issued upon presentation of a currently valid student, faculty or staff identification card at the Husky Union Building Reservation Office.

(b) The committee (~~((on the use of university facilities))~~) chair with authority to permit the use of a facility may grant permission(~~((, under special circumstances,))~~) for the use of (~~((other))~~) amplification equipment (~~((on the lawn site west of the Husky Union Building or))~~) in other outdoor locations. Permission should be requested (~~((through:~~

~~University of Washington  
Secretary to the Committee on the  
Use of University Facilities  
239M Gerberding Hall  
Box 351241  
Seattle, WA 98195-1241~~

~~((or phone: 206-543-9233),))~~ from the appropriate committee chair sufficiently in advance of the program to allow timely consideration.

(9) (a) No person may use university facilities to camp, except if permission to do so has been granted in accordance with the provisions of chapters 478-116 and 478-136 WAC or except as provided in (b) of this subsection. "Camp" means to remain overnight, to erect a tent or other shelter, or to use sleeping equipment, a vehicle, or a trailer camper, for the purpose of or in such ways as will permit remaining overnight. Violators are subject to arrest and criminal prosecution under applicable state, county and city laws.

(b) This provision does not prohibit use of the university residence facilities in accordance with chapter 478-156 WAC or the use of facilities where the employee remains overnight to fulfill the responsibilities of his or her position or where a student remains overnight to fulfill the requirements of his or her course of study.

(10) Within the limits of applicable laws, the University of

Washington is committed to establishing and maintaining safe conditions for persons attending football games in Husky Stadium or other athletic events or concerts in ~~((campus))~~ university facilities. Accordingly, the rules enumerated below will apply to all such events and be strictly enforced.

(a) The possession or consumption of alcoholic beverages or illegal drugs is prohibited, except for alcohol allowed under a permit or license ~~((obtained under subsection (13) of this section))~~ as provided in WAC 478-136-041. In addition to having the beverages or drugs confiscated, violators may be subject to university disciplinary action and/or legal proceedings, and removal from the events.

(b) Air horns, glass bottles, cans, picnic baskets, bota bags, ice chests, and thermoses (in excess of two-quart capacity) are prohibited. Individuals possessing such will not be admitted to, or will be removed from, Husky Stadium or other athletic or concert facilities until the items have been stored temporarily at locations provided for that purpose or disposed of in some other manner.

(c) Except for designated outdoor smoking sites, as provided in WAC 478-136-035, smoking is prohibited in all portions of all athletic stadia, including, but not limited to, the seating areas, public concourses, and enclosed and covered spaces.

(d) All persons entering events in Husky Stadium or other athletic venues or events in other ~~((campus))~~ university auditoria or facilities shall be subject to having all containers, bags, backpacks, coolers, or similar items visually inspected. Security personnel shall first ask permission to visually inspect the item and advise the person that he/she may refuse. Persons who refuse to allow inspection shall be allowed to return the item to a vehicle or otherwise dispose of it, after which admission shall be allowed. Persons who refuse the visual inspection and refuse to dispose of the item shall be denied entry.

(11) Only public service announcements and acknowledgment of sponsors will be allowed on scoreboards at athletic venues.

(a) For purposes of this section, a public service announcement is defined as an announcement which promotes the activities or services of federal, state or local governments, including the University of Washington, or nonprofit organizations, or generally contributes to the community's welfare and interests.

(b) In acknowledgment of their sponsorship of the scoreboards or sponsorship of events and programs, sponsors may propose public service announcements for display on the scoreboard during athletic events. The public service announcement may be accompanied by a sponsor's name or logo ~~((7))~~ but ~~((in keeping with university policy))~~ may not directly promote the products or services of the company. The text and graphics of public service announcements must be submitted at least three days in advance to the department of intercollegiate athletics for approval by the university.

(c) In addition to these public service announcements, sponsors also may be acknowledged by the display of corporate logos, trademarks, or other approved messages upon panels located

on the scoreboard.

~~(12) ((Alcoholic beverages may be possessed, sold, served, and consumed at university facilities only if the procedures set forth in this section are followed.~~

~~(a) The appropriate permits/licenses for possession, sale, service, and consumption of alcohol must be obtained from the Washington state liquor control board.~~

~~(b) Permits/licenses must be displayed during the event and all other guidelines and restrictions established by the Washington state liquor control board must be followed.~~

~~(c) Alcoholic beverages may be possessed, sold, served, and consumed at the faculty center, as so designated by the university board of regents to the Washington state liquor control board, pursuant to a spirits, beer, and wine private club license issued by the Washington state liquor control board.~~

~~(d) Alcoholic beverages may be possessed, sold, served, and consumed at university facilities leased to a commercial tenant under a lease that includes authorization for the tenant to apply and hold a license issued by the Washington state liquor control board.~~

~~(e) Except as provided in (c) and (d) of this subsection, alcoholic beverages may be possessed, sold, served, and consumed at university facilities only under permits/licenses issued by the Washington state liquor control board and only as follows:~~

~~(i) Events at which alcohol is to be sold must be approved by the committee on the use of university facilities and an application to the committee must be accompanied by a request for written authorization under (f) of this subsection or proof that the seller holds an appropriate license; and~~

~~(ii) Events at athletic venues at which alcohol is to be possessed, sold, served, or consumed must not be within the spectator viewing areas and must have restricted attendance, and a university unit, or an individual or organization applying for a permit/license must have obtained approval under (f) of this subsection; and~~

~~(iii) A university unit, or an individual or organization applying for a permit/license must have obtained approval under (f) of this subsection; and~~

~~(iv) Sale, service, and consumption of alcohol is to be confined to specified room(s) or area(s) specified on the license or permit. Unopened containers may not be sold or served. No alcohol is permitted to be taken off premises.~~

~~(f) Written authorization to apply for a special occasion license to sell alcoholic beverages or a banquet permit to serve and consume alcoholic beverages at university facilities must be obtained from the committee on the use of university facilities prior to applying for a special occasion license or banquet permit from the Washington state liquor control board. Authorization should be requested through the University of Washington, secretary to the committee on the use of university facilities, sufficiently in advance of the program to allow timely consideration. (Note: Some license applications must be filed with the Washington state~~

~~liquor control board at least thirty days or more before the event.) Written authorization to apply for such a permit/license shall accompany the application filed with the Washington state liquor control board.~~

~~(g) Consumption, possession, dispensation, or sale of alcohol is prohibited except for persons of legal age)) The university will not make its facilities or services available to organizations which do not assure the university that they will comply with the terms of the Americans with Disabilities Act (ADA, 42 U.S.C. 12132, 12182) and the Rehabilitation Act of 1973 (RA, 29 U.S.C. 794). Uses must not impose restrictions nor alter facilities in a manner which would violate the ADA or RA.~~

~~(13) The university will not make its facilities or services available to organizations which do not assure the university that they do not discriminate against any person because of race, color, religion, national origin, sex, sexual orientation, age, handicap, or status as a Vietnam era or disabled veteran, except where such organizations have been exempted from provisions of applicable state or federal laws or regulations.~~

~~(14) Individuals who violate the university's use of facilities rules and approved users who violate university contract terms for use of facilities may be advised of the specific nature of the violation and, if continued, individuals may be requested to leave university property or be refused future use of university facilities. Failure to comply with a request to leave university property could subject such individuals to arrest and criminal prosecution under provisions of applicable state, county, and city laws.~~

AMENDATORY SECTION (Amending WSR 07-03-136, filed 1/23/07, effective 2/23/07)

**WAC 478-136-035 No smoking policy for university facilities.**

(1) The University of Washington is committed to maintaining a safe and healthful work and educational environment for all faculty, staff, students, and visitors. Accordingly, the University of Washington establishes the following no smoking policy, consistent with chapter 70.160 RCW (I-901), to protect individuals from exposure to second-hand smoke in their university-associated environments and to protect life and property against fire hazards.

(a) Except as provided in subsection (1)(b) and (c) of this section, smoking of all kinds is prohibited in all university facilities, including, but not limited to, vehicles, inside all buildings owned, occupied, or managed by the university and/or used by the university's faculty, staff, students, or visitors, and at any outside areas or locations, including, but not limited to, bus shelters, benches, and walkways.

(b) Smoking, while not permitted in on-campus residence halls,

may be permitted in a limited portion of designated university student housing in accordance with smoking regulations established for those facilities by the vice-president and vice-provost for student life, the appropriate chancellor, or their designees.

(c) Smoking may be permitted in specific designated outdoor locations approved by the director of environmental health and safety as smoking areas in accordance with chapter 70.160 RCW and published on the environmental health and safety web site. Signage also identifies the designated locations.

(2) Violations of the university no smoking policy are subject to enforcement by the University of Washington police department or other jurisdictional law enforcement agencies with regulatory responsibility. In addition, any student, staff, or faculty member who violates the university no smoking policy may be subject to disciplinary action.

#### NEW SECTION

**WAC 478-136-041 Alcoholic beverage policy.** Alcoholic beverages may be possessed, sold, served, and consumed at university facilities only if the procedures set forth in this section are followed.

(1) The appropriate permits/licenses for possession, sale, service, and consumption of alcohol must be obtained from the Washington state liquor control board.

(2) Permits/licenses must be displayed during the event and all other guidelines and restrictions established by the Washington state liquor control board must be followed.

(3) Alcoholic beverages may be possessed, sold, served, and consumed at the University of Washington club, as so designated by the university board of regents to the Washington state liquor control board, pursuant to a spirits, beer, and wine private club license issued by the Washington state liquor control board.

(4) Alcoholic beverages may be possessed, sold, served, and consumed at university facilities leased to a commercial tenant under a lease that includes authorization for the tenant to apply and hold a license issued by the Washington state liquor control board.

(5) Except as provided in subsections (3) and (4) of this section, alcoholic beverages may be possessed, sold, served, and consumed at university facilities only under permits/licenses issued by the Washington state liquor control board and only as follows:

(a) Events at which alcohol is to be sold must be approved by the appropriate committee chair for the committee on the use of university facilities and an application to the chair must be accompanied by a request for written authorization under subsection (6) of this section or proof that the seller holds an appropriate

license; and

(b) Events at athletic venues at which alcohol is to be possessed, sold, served, or consumed must not be within the spectator viewing areas and must have restricted attendance; and

(c) A university unit, or an individual or organization applying for a permit/license must have obtained approval under subsection (6) of this section; and

(d) Sale, service, and consumption of alcohol is to be confined to specified room(s) or area(s) identified on the license or permit. Unopened containers may not be sold or served. No alcohol is permitted to be taken off-premises.

(6) Written authorization to apply for a special occasion license to sell alcoholic beverages or a banquet permit to serve and consume alcoholic beverages at university facilities must be obtained from the appropriate committee chair for the committee on the use of university facilities prior to applying for a special occasion license or banquet permit from the Washington state liquor control board. Authorization should be requested sufficiently in advance of the program to allow timely consideration. (Note: Some license applications must be filed with the Washington state liquor control board at least thirty days or more before the event.) Written authorization to apply for such a permit/license shall accompany the application filed with the Washington state liquor control board.

(7) Consumption, possession, dispensation, or sale of alcohol is prohibited except for persons of legal age.

AMENDATORY SECTION (Amending WSR 03-24-045, filed 11/26/03, effective 12/27/03)

**WAC 478-136-060 Safety and liability.** (1) It is the responsibility of any person or organization requesting the use of university facilities to comply with all applicable university policies, procedures, rules and regulations, and applicable local, state and federal laws, including but not limited to fire, health and safety regulations.

(2) Permission to a nonuniversity organization (~~(or to)~~), a registered student organization, or an official student government for the use of university facilities is granted with the express understanding and condition that such organization assumes full responsibility for any loss, damage or claims arising out of such use.

When the event involves physical activity, the sale of alcohol, or otherwise will increase the risk of bodily injury above the level inherent in the facilities to be used, proof of appropriate liability insurance coverage with limits of at least \$1,000,000 per occurrence must be provided to the university's office of risk management before approval for the requested use

will be granted.

AMENDATORY SECTION (Amending WSR 06-13-022, filed 6/13/06, effective 8/1/06)

**WAC 478-137-030 Administrative authority.** (1) The board of regents of the University of Washington and the board of trustees for Cascadia Community College have delegated to the chancellor of the university and the president of the college, respectively, the authority to regulate the use of joint facilities on the colocated campus.

(2) Under this authority, the chancellor of the university and the president of the college designate the coordination for use of joint facilities to an appointed joint committee on facility use and designate the use of the wetlands to the wetlands oversight committee. The chancellor of the university and the president of the college shall each appoint representatives to the joint committee on facility use to develop suggested event procedures. Each designee shall review the use of the facilities; establish administrative procedures governing such use that are consistent with these rules; approve or disapprove requested uses and establish policies regarding fees and rental schedules unique to joint facilities as appropriate. Additionally, the joint committee on facility use shall act as an appeals board for decisions of the wetlands oversight committee regarding wetlands use requests. Inquiries concerning the use of joint facilities may be directed to:

University of Washington, Bothell  
Office of Administrative Services  
Joint Facilities Use Coordinator  
Box 358535  
18115 Campus Way N.E.  
Bothell, WA 98011

(Phone: 425-352-3556 or e-mail: [facuse@uwb.edu](mailto:facuse@uwb.edu)); and  
Cascadia Community College  
Finance and Operations Office  
Director of Auxiliary Services and Capital Projects  
18345 Campus Way N.E.  
Bothell, WA 98011  
(Phone: 425-352-8269).

(3) Preliminary approval of an event by an academic or administrative unit of the university or college implies that a responsible official has applied his or her professional judgment to the content of the program, the qualifications of the individuals conducting the event, the manner of presentation, and has concluded that the event is consistent with the teaching, research, and/or public service mission of the institutions.

(4) Final approval of a joint facilities use request by the



appropriate designee on the use of joint facilities implies that the designee has reviewed the proposed event with regard to: The rules in this chapter; the direct and indirect costs to the institutions; environmental, health and safety concerns; wear and tear on the facilities; appropriateness of the event to the specific facility; and the impact of the event on the institutions, surrounding neighborhoods and the general public.

(5) The institutions will not make their joint facilities or services available to organizations that do not assure the institutions that they will comply with the terms of the Americans with Disabilities Act (ADA, 42 U.S.C. 12132, 12182) and the Rehabilitation Act of 1973 (RA, 29 U.S.C. 794). Uses must not impose restrictions nor alter facilities in a manner which would violate the ADA or RA.

(6) The institutions will not make their joint facilities or services available to organizations which do not assure the institutions that they do not discriminate against any person because of race, color, religion, national origin, sex, sexual orientation, age, handicap, or status as a Vietnam era or disabled veteran, except where such organizations have been exempted from provisions of applicable state or federal laws or regulations.

(7) Individuals who violate the institutions' use of joint facilities regulations and approved users who violate the institutions' contract terms for use of joint facilities may be advised of the specific nature of the violation and individuals may be requested to leave the property or be refused future use of joint facilities. Failure to comply with a request to leave the property may subject such individuals to arrest and criminal prosecution under provisions of applicable state, county, and city laws.

May 19, 2010

President Mark A. Emmert  
Office of the President  
University of Washington  
Box 351230

Dear President Emmert,

Pursuant to your delegation, I served as the Hearing Officer to receive public comment on the University of Washington's proposed amendments to Chapter 478-136 WAC, "Use of University of Washington Facilities," and related housekeeping amendments to WAC 478-137-030, "Administrative Authority." The hearing commenced at 12:00 p.m. on Monday, May 17, 2010, in Room 309 of the Husky Union Building (HUB) at the University of Washington, Seattle campus. I am pleased to provide you a report of that hearing.

As required by the Administrative Procedure Act, the University filed the following notices with the Washington State Code Reviser: a Preproposal Statement of Inquiry (published as WSR 10-04-017 in the *Washington State Register* on February 17, 2010) and a notice of Proposed Rule Making (published as WSR 10-08-066 in the *Washington State Register* on April 21, 2010). Notice that the hearing would be held was published in *The Daily* and in *University Week* on May 6, 2010. In addition, notice of the public hearing was sent to all three UW campuses for various UW news units and UW online events calendars. The written comment period began February 17, 2010, and ended May 17, 2010.

### **Public Comment**

No individuals attended the hearing to provide comment on these proposed amendments, no individuals requested access to the conference phone lines for the purpose of presenting testimony, and no written comments were received.

### **Analysis and Recommendation**

The proposed amendments to Chapter 478-136 WAC, "Use of University of Washington Facilities," establish a separate Committee on the Use of University Facilities for each of the University's three campuses. Amendments also include newly delegated authority from the President to the Chancellors to appoint a chair for the UW Bothell and UW Tacoma committees (amending the previous secretary of the committee role) and add liaison responsibilities between the three committee chairs. In addition, the chapter is reorganized for clarity and updated where necessary to reflect current practice. The proposed housekeeping amendments to WAC 478-137-030, "Administrative Authority," clarify the meaning of the rule without changing its effect.

The proposed revisions have been reviewed by the Attorney General's Office and endorsed by the UW Chancellors and the current Secretary of the Committee for the Use of University Facilities.

It is my recommendation that the Board of Regents adopt the amendments to Chapter 478-136 WAC and WAC 478-137-030.

An audio tape of the hearing has been deposited with the Secretary of the Board of Regents.

Sincerely yours,

Carol S. Niccolls  
Special Counsel to the President

cc: Dr. Kenyon Chan  
Ms. Rebecca Goodwin Deardorff  
Ms. Joan Goldblatt  
Dr. Gus Kravas  
Ms. Joanne Matson  
Mr. William Nicholson  
Dr. Patricia Spakes  
Ms. V'Ella Warren

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee**Architectural Commission Membership AppointmentRECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to appoint John Syvertsen, FAIA, to the University of Washington Architectural Commission, commencing in June 2010, and ending in October 2011 (completing Norman Pfeiffer's remaining year on a three-year term). John fills the vacancy created by Norman Pfeiffer's recent resignation.

BACKGROUND:

The University of Washington Architectural Commission's "Statement of Organization and Function" provides that the membership of the Commission include eleven members, four of whom are professional members who shall be registered architects, landscape architects, or qualified city planners; and one of whom is a student member jointly recommended by the President of the Associated Students of the University of Washington (ASUW) and Graduate & Professional Student Senate (GPSS).

John Syvertsen earned a BA in Philosophy from Georgetown University and a MArch from Princeton University. He is a past Loeb Fellow in Advanced Environmental Studies, Harvard Graduate School of Design, and is one of our nation's most admired, respected, and experienced practitioners.

As president of OWP/P since 1999, John measurably elevated the firm's commitment to design excellence in every area of its practice. Last September, he directed the merger of OWP/P with Cannon Design, a leading global architecture and engineering firm. The merged company is one of the most formidable design and delivery firms in the world. In the new organization, John will continue as a senior principal with Cannon Design and serve as a member of the firm's executive leadership team and board of directors.

Among his many duties and responsibilities leading an office of more than 250 professionals, John worked especially closely with The University of Chicago since the mid-1990s. During that time, he directed project teams to complete a major Law Clinic and Classroom addition to the existing Law School campus, designed by Eero Saarinen. His experience in working with clients in a higher educational setting extends to nearly all of the colleges and universities in Chicago, as well as to numerous other schools and universities around the nation.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### Architectural Commission Membership Appointment (continued p. 2)

John is Chairman of the Urban Design Task Force for the Chicago Central Area Action Plan and a former Chairman of the Board of the Chicago Architecture Foundation. He is a senior member of Mayor Daley's Chicago Design Initiative, and serves on the University of Illinois at Chicago Chancellor's Design Review Committee. He is President of the Board of Trustees of the Graham Foundation, a member of the Board of Regents of the American Architectural Foundation, the Board of Overseers of the College of Architecture at Illinois Institute of Technology, the Board of Directors of Archeworks, and the Board of Directors of Family Focus, Illinois. Previously John served as vice-president and president of AIA Chicago, chairman of the AIA National Committee on Design, and president of the Chicago Architectural Club.

The other current members of the Commission are:

Rebecca Barnes – University Architect  
Daniel S. Friedman – (Chair) Dean, College of Built Environments  
Linda Jewell – Freeman & Jewell (Term expires 10/11)  
Stephen Kieran – KieranTimberlake (Term expires 10/13)  
Cathy Simon – Perkins+Will (Term expires 10/10)  
John Schaufelberger – Faculty Member  
Ted Wegrich – Student Member

#### *ex officio members:*

V'Ella Warren – Senior Vice President  
Richard Chapman – Associate Vice President, Capital Projects Office  
Kristine Kenney – University Landscape Architect  
Jeff Hou – Chair/University Landscape Advisory Committee

#### REVIEW AND APPROVALS

This recommendation has been reviewed and approved by the Chair of the Architectural Commission.

VII. STANDING COMMITTEES

B. Finance, Audit & Facilities Committee

Report of Contributions – April, 2010

For information only.

*Attachment*

University of Washington Foundation Report of Contributions for April, 2010

A photograph of a university campus scene. In the foreground, two people are walking away from the camera on a paved path. The path is lined with large, leafy green trees. In the background, there are historic university buildings with Gothic-style architecture, including spires and stone walls. The sky is clear and blue.

UNIVERSITY of WASHINGTON | *Foundation*

# Report *of* Contributions

All Areas

April 2010

Report By: University Advancement, Advancement Services, Information Management



## ANNUAL PROGRESS BY CONSTITUENCY

School	Current Month ( April 2010 )				Year to Date (07/01/2009 - 04/30/2010 )			
	Gifts	Grants	Total	Donors <sup>1</sup>	Gifts	Grants	Total	Donors
UW Medicine	\$2,209,265	\$21,345,085	\$23,554,350	2,280	\$30,374,274	\$91,809,448	\$122,183,722	14,092
Arts and Sciences	\$1,081,580	\$456,883	\$1,538,463	1,638	\$13,307,694	\$5,853,222	\$19,160,916	12,377
Broadcast Services	\$47,788	\$0	\$47,788	294	\$2,259,524	\$0	\$2,259,524	2,194
Built Environments	\$44,227	\$724,500	\$768,727	78	\$1,022,878	\$1,137,908	\$2,160,786	1,145
Business School	\$272,239	\$0	\$272,239	257	\$11,373,628	\$30,000	\$11,403,628	3,732
Dentistry	\$76,709	\$0	\$76,709	145	\$2,771,195	\$295,527	\$3,066,722	1,139
Education	\$25,964	\$0	\$25,964	198	\$1,888,260	\$2,134,598	\$4,022,858	1,278
Engineering	\$873,991	\$1,346,568	\$2,220,558	299	\$10,496,297	\$7,218,949	\$17,715,246	3,970
Environment	\$169,269	\$252,799	\$422,068	271	\$4,318,716	\$3,039,852	\$7,358,568	1,773
Evans School of Public Affairs	\$9,851	\$55,000	\$64,851	72	\$178,424	\$440,000	\$618,424	372
Forest Resources	\$0	\$0	\$0	0	\$0	\$0	\$0	0
Graduate School	\$51,151	\$50,000	\$101,151	24	\$882,187	\$50,000	\$932,187	300
Information School	\$49,804	\$0	\$49,804	47	\$239,520	\$1,276,250	\$1,515,770	609
Intercollegiate Athletics	\$851,288	\$0	\$851,288	1,333	\$11,789,699	\$0	\$11,789,699	13,057
Law	\$123,868	\$0	\$123,868	126	\$1,429,509	\$17,500	\$1,447,009	1,539
Libraries	\$46,877	\$0	\$46,877	544	\$948,671	\$0	\$948,671	4,905
Minority Affairs	\$13,247	\$0	\$13,247	153	\$314,164	\$25,000	\$339,164	586
Nursing	\$464,307	\$0	\$464,307	157	\$2,757,184	\$633,253	\$3,390,437	1,582
Ocean and Fishery Sciences	\$0	\$0	\$0	0	\$0	\$0	\$0	0
Pharmacy	\$142,656	\$0	\$142,656	66	\$1,398,179	\$1,394,079	\$2,792,258	886
President's Funds	\$15,573	\$0	\$15,573	96	\$521,042	\$0	\$521,042	1,340
Public Health	\$16,372	\$2,099,696	\$2,116,068	102	\$636,695	\$14,424,784	\$15,061,479	668
Social Work	\$50,607	\$899,855	\$950,462	33	\$1,241,940	\$1,211,321	\$2,453,261	736
Student Affairs	\$52,718	\$0	\$52,718	187	\$4,806,312	\$0	\$4,806,312	2,464
Undergraduate Academic Affairs	\$15,112	\$0	\$15,112	58	\$518,201	\$143,276	\$661,477	603
University Press	\$42,838	\$0	\$42,838	12	\$233,703	\$0	\$233,703	116
UW Alumni Association	\$80,346	\$0	\$80,346	1,649	\$639,302	\$0	\$639,302	13,417
UW Bothell	\$23,387	\$36,561	\$59,948	110	\$446,337	\$795,661	\$1,241,998	517
UW Tacoma	\$27,681	\$0	\$27,681	100	\$1,802,243	\$29,744	\$1,831,987	679
Other University Support	\$44,010	\$44,500	\$88,510	381	\$3,221,610	\$1,993,323	\$5,214,933	1,924
<b>Total</b>	<b>\$6,922,727</b>	<b>\$27,311,446</b>	<b>\$34,234,173</b>	<b>10,100</b>	<b>\$111,817,386</b>	<b>\$133,953,694</b>	<b>\$245,771,080</b>	<b>75,485</b>

## MONTHLY HIGHLIGHTS

The UW received \$34.23M in total private voluntary support (\$6.92M in gifts and \$27.31M in grants) in the current month.

Areas including UW Medicine, Built Environments, Dentistry, Education, Engineering, Environment, Intercollegiate Athletics, Libraries, Nursing, Pharmacy, Public Health, Social Work, Student Affairs, Undergraduate Academic Affairs and University Press are ahead of last year's year-to-date totals.

<sup>1</sup> 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.

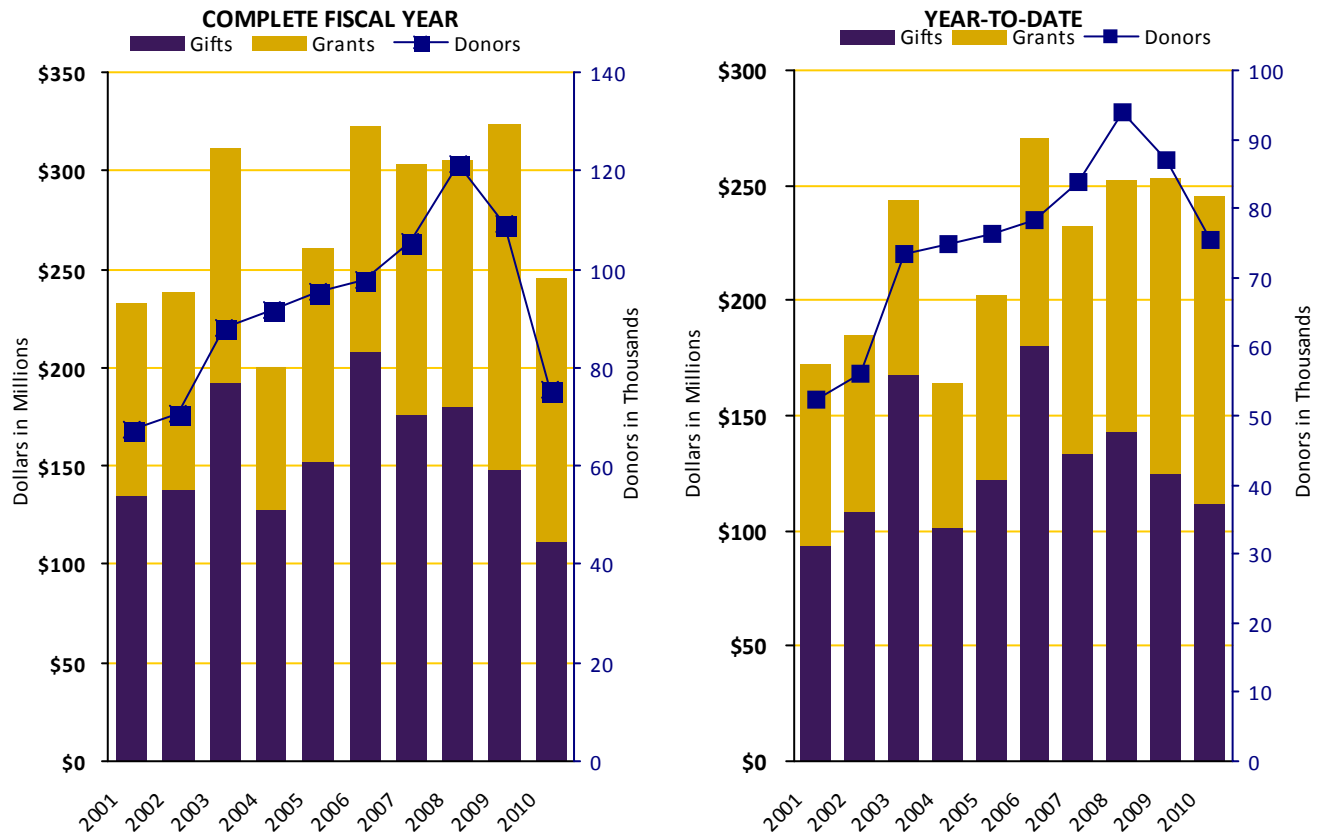


## DEVELOPMENT SUMMARY BY CONSTITUENCY

School	Current Month		Year to Date		Prior Year to Date		Prior Year Total	
	Total	Donors	Total	Donors	Total	Donors	Total	Donors
UW Medicine	\$23,554,350	2,280	\$122,183,722	14,092	\$111,274,121	14,894	\$156,190,821	16,799
Arts and Sciences	\$1,538,463	1,638	\$19,160,916	12,377	\$20,992,712	13,269	\$25,589,815	14,817
Broadcast Services	\$47,788	294	\$2,259,524	2,194	\$2,779,213	13,015	\$4,427,717	16,191
Built Environments	\$768,727	78	\$2,160,786	1,145	\$2,057,888	1,225	\$2,127,643	1,341
Business School	\$272,239	257	\$11,403,628	3,732	\$22,584,480	3,774	\$25,381,696	4,210
Dentistry	\$76,709	145	\$3,066,722	1,139	\$2,276,894	1,302	\$2,541,366	1,584
Education	\$25,964	198	\$4,022,858	1,278	\$3,186,530	1,395	\$3,724,956	1,667
Engineering	\$2,220,558	299	\$17,715,246	3,970	\$15,733,391	3,871	\$18,855,120	4,260
Environment	\$422,068	271	\$7,358,568	1,773	\$4,671,093	27	\$4,679,781	27
Evans School of Public Affairs	\$64,851	72	\$618,424	372	\$2,496,493	400	\$2,718,803	480
Forest Resources	\$0	0	\$0	0	\$2,255,118	973	\$3,451,299	1,096
Graduate School	\$101,151	24	\$932,187	300	\$1,546,752	310	\$1,602,622	324
Information School	\$49,804	47	\$1,515,770	609	\$1,604,635	554	\$1,679,278	609
Intercollegiate Athletics	\$851,288	1,333	\$11,789,699	13,057	\$11,139,195	12,139	\$15,659,243	23,317
Law	\$123,868	126	\$1,447,009	1,539	\$2,283,029	1,663	\$2,665,941	1,935
Libraries	\$46,877	544	\$948,671	4,905	\$900,569	4,363	\$1,171,951	5,280
Minority Affairs	\$13,247	153	\$339,164	586	\$346,882	381	\$388,492	511
Nursing	\$464,307	157	\$3,390,437	1,582	\$3,116,463	1,487	\$3,549,704	1,678
Ocean and Fishery Sciences	\$0	0	\$0	0	\$9,325,042	673	\$10,157,709	740
Pharmacy	\$142,656	66	\$2,792,258	886	\$1,683,710	905	\$2,098,248	1,034
President's Funds	\$15,573	96	\$521,042	1,340	\$5,623,815	1,540	\$5,761,734	1,691
Public Health	\$2,116,068	102	\$15,061,479	668	\$13,773,153	709	\$15,492,932	792
Social Work	\$950,462	33	\$2,453,261	736	\$1,181,967	642	\$1,289,956	700
Student Affairs	\$52,718	187	\$4,806,312	2,464	\$2,573,303	2,544	\$2,906,525	3,000
Undergraduate Academic Affairs	\$15,112	58	\$661,477	603	\$412,342	310	\$424,576	353
University Press	\$42,838	12	\$233,703	116	\$183,304	155	\$219,219	167
UW Alumni Association	\$80,346	1,649	\$639,302	13,417	\$754,510	15,034	\$1,001,508	19,763
UW Bothell	\$59,948	110	\$1,241,998	517	\$2,084,886	506	\$2,229,545	592
UW Tacoma	\$27,681	100	\$1,831,987	679	\$1,843,213	645	\$3,656,827	792
Other University Support	\$88,510	381	\$5,214,933	1,924	\$2,357,203	1,977	\$2,433,450	2,220
<b>Total<sup>1</sup></b>	<b>\$34,234,173</b>	<b>10,100</b>	<b>\$245,771,080</b>	<b>75,485</b>	<b>\$253,041,908</b>	<b>87,101</b>	<b>\$324,078,477</b>	<b>109,083</b>

<sup>1</sup> 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
2009-2010	\$111,817,386	\$133,953,694	\$245,771,080	75,485	\$111,817,386	\$133,953,694	\$245,771,080	75,485
2008-2009	\$148,364,809	\$175,713,667	\$324,078,477	109,083	\$124,878,006	\$128,163,902	\$253,041,908	87,101
2007-2008	\$180,735,444	\$124,224,214	\$304,959,657	121,447	\$142,940,995	\$109,295,358	\$252,236,353	93,875
2006-2007	\$176,490,215	\$126,399,369	\$302,889,584	105,353	\$133,126,824	\$99,466,674	\$232,593,498	83,674
2005-2006	\$207,744,231	\$115,261,186	\$323,005,417	97,876	\$180,494,199	\$90,387,665	\$270,881,863	78,460
2004-2005	\$151,969,925	\$108,802,371	\$260,772,296	95,227	\$122,122,874	\$80,143,890	\$202,266,764	76,167
2003-2004	\$128,174,367	\$71,603,323	\$199,777,690	91,903	\$101,365,172	\$62,684,981	\$164,050,153	74,985
2002-2003	\$192,573,183	\$118,677,722	\$311,250,905	88,259	\$168,025,960	\$75,232,159	\$243,258,119	73,546
2001-2002	\$137,959,340	\$100,820,547	\$238,779,887	70,560	\$108,064,405	\$76,888,322	\$184,952,727	55,977
2000-2001	\$134,797,642	\$97,112,979	\$231,910,621	67,307	\$94,000,176	\$78,829,602	\$172,829,778	52,440

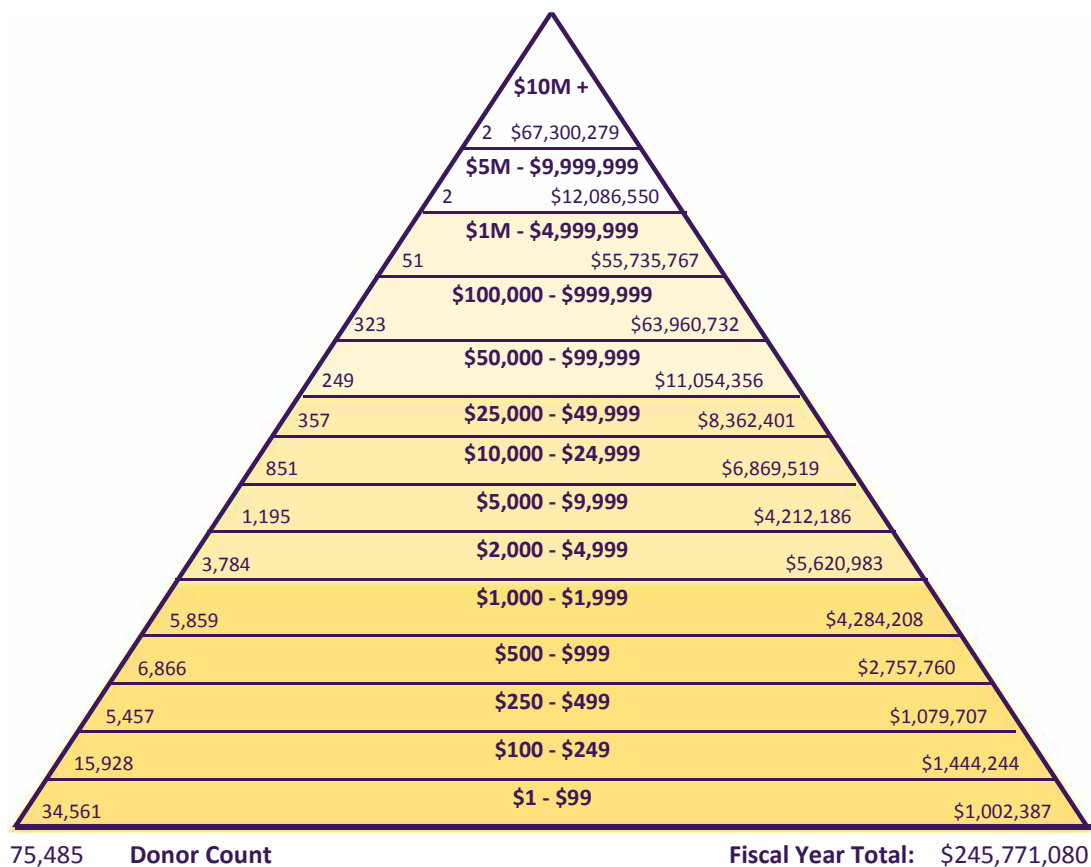
## ANNUAL FUNDING THEME PROGRESS

Theme	Year to Date		
	Current Use	Endowment	Total
Student Support	\$7,282,755	\$16,011,156	\$23,293,911
Faculty Support	\$7,885,689	\$7,550,495	\$15,436,184
Program Support for Faculty and Students	\$164,363,340	\$10,058,192	\$174,421,532
Capital	\$11,130,184	\$5,300	\$11,135,484
Excellence Funds	\$21,228,381	\$255,588	\$21,483,969
<b>Total</b>	<b>\$211,890,348</b>	<b>\$33,880,732</b>	<b>\$245,771,080</b>

## DEVELOPMENT ACTIVITY BY DONOR TYPE

Donor Type	Year to Date		Prior Year to Date		Prior Fiscal Year	
	Donors	Total	Donors	Total	Donors	Total
Alumni	39,040	\$27,358,913	41,525	\$31,746,877	49,981	\$40,529,614
Corporations	2,287	\$35,390,433	2,364	\$46,906,837	3,029	\$79,017,981
Family Foundations	160	\$10,216,536	154	\$12,108,643	173	\$15,996,206
Foundations	378	\$83,062,993	371	\$71,250,271	427	\$83,293,447
Non-Alumni	33,119	\$30,547,024	42,305	\$37,352,225	54,849	\$41,916,304
Organizations	501	\$59,195,180	530	\$53,677,055	624	\$63,324,926
<b>Total</b>	<b>75,485</b>	<b>\$245,771,080</b>	<b>87,249</b>	<b>\$253,041,908</b>	<b>109,083</b>	<b>\$324,078,477</b>

## DEVELOPMENT ACTIVITY PYRAMID



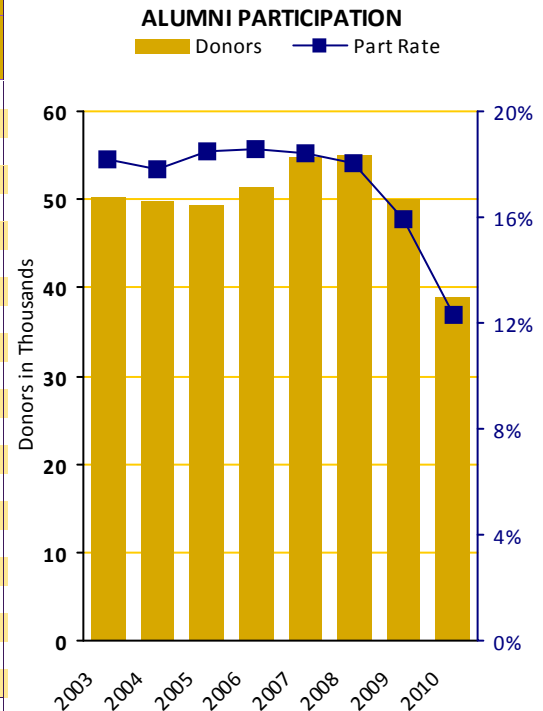
## ANNUAL PROGRESS BY GIVING LEVEL

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +	\$0	\$0	\$0	\$0	\$45,999,915	\$21,300,364	\$67,300,279
\$5M - \$9,999,999	\$0	\$5,765,493	\$0	\$0	\$0	\$6,321,057	\$12,086,550
\$1M - \$4,999,999	\$4,646,572	\$5,514,025	\$5,154,100	\$10,197,191	\$15,971,288	\$14,252,592	\$55,735,767
\$100,000 - \$999,999	\$7,222,777	\$8,220,600	\$3,021,189	\$15,265,388	\$17,172,093	\$13,058,685	\$63,960,732
\$50,000 - \$99,999	\$1,581,753	\$1,350,513	\$746,633	\$3,624,018	\$1,933,434	\$1,818,005	\$11,054,356
\$25,000 - \$49,999	\$1,642,406	\$1,102,020	\$699,381	\$2,479,203	\$1,082,110	\$1,357,282	\$8,362,401
\$10,000 - \$24,999	\$2,073,025	\$1,693,014	\$405,114	\$1,728,350	\$466,747	\$503,270	\$6,869,519
\$5,000 - \$9,999	\$1,687,689	\$1,126,134	\$99,930	\$746,447	\$238,376	\$313,610	\$4,212,186
\$2,000 - \$4,999	\$2,766,615	\$1,811,799	\$58,086	\$686,954	\$127,708	\$169,821	\$5,620,983
\$1,000 - \$1,999	\$2,095,149	\$1,665,805	\$27,588	\$389,895	\$47,115	\$58,657	\$4,284,208
\$500 - \$999	\$1,488,848	\$1,059,688	\$3,491	\$168,448	\$13,843	\$23,443	\$2,757,760
\$250 - \$499	\$642,614	\$375,120	\$300	\$46,389	\$5,617	\$9,667	\$1,079,707
\$100 - \$249	\$868,117	\$519,967	\$700	\$44,820	\$4,112	\$6,529	\$1,444,244
\$1 - \$99	\$643,347	\$342,847	\$25	\$13,332	\$636	\$2,200	\$1,002,387
<b>Total</b>	<b>\$27,358,913</b>	<b>\$30,547,024</b>	<b>\$10,216,536</b>	<b>\$35,390,433</b>	<b>\$83,062,993</b>	<b>\$59,195,180</b>	<b>\$245,771,080</b>

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +	0	0	0	0	1	1	2
\$5M - \$9,999,999	0	1	0	0	0	1	2
\$1M - \$4,999,999	8	12	3	8	12	8	51
\$100,000 - \$999,999	57	88	19	62	55	42	323
\$50,000 - \$99,999	57	72	13	51	30	26	249
\$25,000 - \$49,999	94	92	22	74	35	40	357
\$10,000 - \$24,999	270	346	28	136	36	35	851
\$5,000 - \$9,999	477	472	19	139	40	48	1,195
\$2,000 - \$4,999	1,769	1,616	21	275	43	60	3,784
\$1,000 - \$1,999	2,580	2,844	22	325	36	52	5,859
\$500 - \$999	3,273	3,231	6	292	22	42	6,866
\$250 - \$499	2,828	2,420	1	161	18	29	5,457
\$100 - \$249	8,348	7,144	5	347	32	52	15,928
\$1 - \$99	19,279	14,781	1	417	18	65	34,561
<b>Total</b>	<b>39,040</b>	<b>33,119</b>	<b>160</b>	<b>2,287</b>	<b>378</b>	<b>501</b>	<b>75,485</b>

## 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	19,127	3,071	16.06%	2,103	10.99%
Arts and Sciences	146,824	16,184	11.02%	5,383	3.67%
Business School	38,262	5,837	15.26%	2,022	5.28%
Built Environments	8,184	1,090	13.32%	489	5.98%
Dentistry	4,540	951	20.95%	532	11.72%
Education	18,841	2,648	14.05%	552	2.93%
Engineering	32,965	4,073	12.36%	2,194	6.66%
Evans School of Public Affairs	2,496	429	17.19%	198	7.93%
Forest Resources	4,612	497	10.78%		
Interdisc. Grad. Programs	1,817	228	12.55%		
Interdisc. Undergrad. Programs	258	20	7.75%		
Interschool Programs	520	50	9.62%		
Information School	4,614	811	17.58%	406	8.80%
Law	7,905	1,408	17.81%	846	10.70%
School of Nursing	8,644	1,512	17.49%	892	10.32%
Ocean & Fisheries	4,076	491	12.05%		
Pharmacy	3,547	740	20.86%	551	15.53%
Public Health	4,580	643	14.04%	268	5.85%
Social Work	6,522	783	12.01%	370	5.67%
UW Bothell	6,995	600	8.58%	295	4.22%
UW Tacoma	8,050	543	6.75%	326	4.05%
Unspecified	11,600	1,650	14.22%		
<b>ALL UW TOTAL</b>	<b>317,522</b>	<b>39,040</b>	<b>12.30%</b>		



## 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	19,109	2,978	15.58%	3,576	18.71%	1,992	10.42%	2,279	11.93%
Arts and Sciences	145,069	16,585	11.43%	21,029	14.50%	5,920	4.08%	6,553	4.52%
Business School	37,913	5,841	15.41%	7,343	19.37%	2,052	5.41%	2,345	6.19%
Built Environments	8,096	1,141	14.09%	1,410	17.42%	534	6.60%	576	7.11%
Dentistry	4,501	1,023	22.73%	1,237	27.48%	609	13.53%	722	16.04%
Education	18,944	2,812	14.84%	3,494	18.44%	545	2.88%	620	3.27%
Engineering	32,856	4,022	12.24%	4,994	15.20%	2,094	6.37%	2,374	7.23%
Evans School of Public Affairs	2,394	422	17.63%	529	22.10%	160	6.68%	189	7.89%
Forest Resources	4,601	582	12.65%	713	15.50%	283	6.15%	329	7.15%
Interdisc. Grad. Programs	1,719	208	12.10%	261	15.18%				
Interdisc. Undergrad. Programs	247	18	7.29%	27	10.93%				
Interschool Programs	493	56	11.36%	74	15.01%				
Information School	4,516	755	16.72%	932	20.64%	356	7.88%	395	8.75%
Law	7,755	1,485	19.15%	1,792	23.11%	883	11.39%	987	12.73%
School of Nursing	8,661	1,523	17.58%	1,804	20.83%	864	9.98%	944	10.90%
Ocean & Fisheries	4,038	564	13.97%	681	16.86%	304	7.53%	335	8.30%
Pharmacy	3,529	762	21.59%	895	25.36%	535	15.16%	594	16.83%
Public Health	4,465	679	15.21%	803	17.98%	254	5.69%	288	6.45%
Social Work	6,428	811	12.62%	972	15.12%	389	6.05%	427	6.64%
UW Bothell	6,635	623	9.39%	799	12.04%	221	3.33%	253	3.81%
UW Tacoma	7,685	581	7.56%	793	10.32%	253	3.29%	305	3.97%
Unspecified	11,813	1,711	14.48%	2,160	18.28%				
<b>ALL UW TOTAL</b>	<b>314,219</b>	<b>39,986</b>	<b>12.73%</b>	<b>49,980</b>	<b>15.91%</b>				

The University of Washington Alumni Association is the broad-based engagement vehicle for University Advancement and the University of Washington. Through its strategically designed programs, the UW Alumni Association invites alumni, donors and friends to engage in the life of the UW. Research indicates that engaged alumni and friends are more inclined to support the University and its students. The UW Alumni Association is proud to develop a solid base of support for the University of Washington.



## UWAA Member Giving by Constituency

School	Solicitable Alumni	Members <sup>1</sup>	Member Donors	Alumni Giving	
				Members	Non Members
UW Medicine	19,127	1,904	896	47.06%	10.99%
Arts and Sciences	146,824	18,291	5,317	29.07%	5.57%
Business School	38,262	7,051	2,452	34.78%	7.28%
Built Environments	8,184	1,111	333	29.97%	7.59%
Dentistry	4,540	1,017	440	43.26%	10.30%
Education	18,841	3,065	1,058	34.52%	6.76%
Engineering	32,965	4,463	1,378	30.88%	6.78%
Evans School of Public Affairs	2,496	289	104	35.99%	10.74%
Forest Resources	4,612	637	168	26.37%	5.51%
Interdisc. Grad. Programs	1,817	157	47	29.94%	7.65%
Interdisc. Undergrad. Progra	258	17	3	17.65%	5.39%
Interscholar Programs	520	41	8	19.51%	5.64%
Information School	4,614	746	264	35.39%	10.86%
Law	7,905	1,026	473	46.10%	11.43%
School of Nursing	8,644	1,322	491	37.14%	11.13%
Ocean & Fisheries	4,076	469	141	30.06%	7.10%
Pharmacy	3,547	624	275	44.07%	13.45%
Public Health	4,580	408	147	36.03%	9.68%
Social Work	6,522	603	193	32.01%	7.60%
UW Bothell	6,995	593	127	21.42%	3.89%
UW Tacoma	8,050	596	118	19.80%	3.06%
Unspecified	11,600	2,495	815	32.67%	5.18%
Non-Alumni		8,030	4,652	57.93%	
<b>Total</b>	<b>317,522</b>	<b>52,756</b>	<b>18,219</b>	<b>34.53%</b>	

## Alumni Activity

<b>1 in 3 registrants at 2009 UW events were UWAA members</b>
<b>1 in 12 registrants at 2009 UW events were UW donors</b>
<b>2 in 3 registrants at 2009 UW events were Solicitable Alumni</b>
<b>1 in 25 UWAA members attended a 2009 UW event</b>
<b>1 in 3 2008-2009 Football/Basketball season ticket holders were UWAA members</b>
<b>1 in 8 UWAA members were 2008-2009 Football/Basketball season ticket holders</b>

## Top 10 Membership by Class Year

Class Year	Part. Rate	Class Year	Population
1955	23.07%	2009	1,648
1953	22.16%	1971	1,096
1959	22.03%	1973	1,060
1954	21.88%	1974	1,044
1946	21.84%	1970	1,034
1956	21.34%	1972	1,027
1952	21.20%	1976	1,019
1950	20.96%	1975	985
1951	20.53%	1977	968
1944	20.52%	1968	892

## Activity Participation - Rolling 3 Year Total<sup>3</sup>

School <sup>2</sup>	Participants	Part. Donors	% Donors	Alum Non-Part.	Alum Non-Par Donor	% Non-Part Donor
UW Medicine	3,535	2,756	77.96%	19,025	3,257	17.12%
Arts and Sciences	11,794	2,869	24.33%	137,251	7,712	5.62%
Built Environments	1,315	571	43.42%	7,478	788	10.54%
Business School	5,384	1,429	26.54%	34,620	3,153	9.11%
Dentistry	1,797	751	41.79%	2,662	339	12.73%
Education	1,663	391	23.51%	16,638	925	5.56%
Engineering	2,458	847	34.46%	30,801	3,058	9.93%
Environment	542	514	94.83%			
Evans School of Public Affairs	675	253	37.48%	2,151	331	15.39%
Graduate School	306	188	61.44%	1,263	2	0.16%
Information School	651	184	28.26%	4,278	521	12.18%
Law	1,897	810	42.70%	6,486	1,112	17.14%
Libraries	790	766	96.96%			
Nursing	893	422	47.26%	8,073	1,336	16.55%
Ocean & Fishery Sciences	261			3,623		
Pharmacy	361	214	59.28%	3,316	767	23.13%
Public Health	511	185	36.20%	3,674	380	10.34%
Social Work	665	194	29.17%	6,097	694	11.38%
UW Bothell	581	186	32.01%	7,029	606	8.62%
UW Tacoma	429	187	43.59%	8,603	810	9.42%

<sup>1</sup> Members include paid Annual Members, Lifetime Members, and TPC Level Donors

<sup>2</sup> Activity is based on a unit affiliated Alumni or Donor being labeled as a positive RSVP, host, speaker, or participant at any tracked UW activity.

<sup>3</sup> 3-Years consists of any activity since 7/1/2006

Source: University of Washington Alumni Association

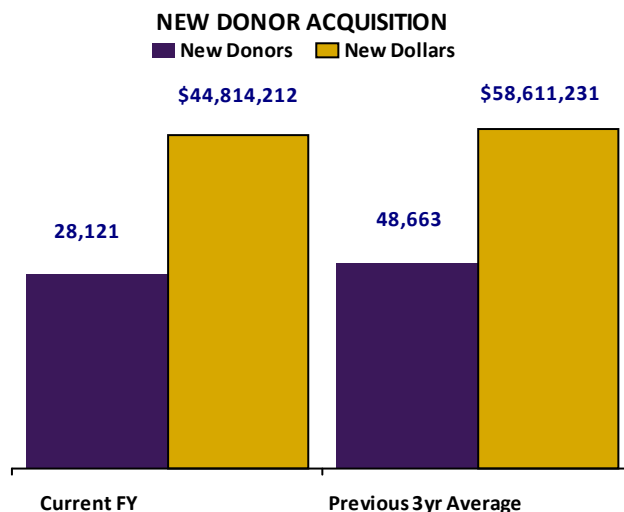
Source: University Advancement, Information Management Report # devrpts\_s10053

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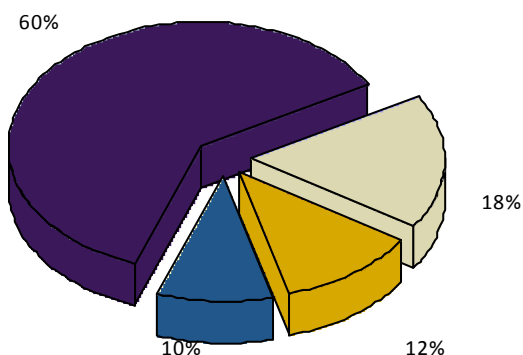
## KEY PERFORMANCE INDICATORS



	New Donors	New Dollars
Current FY	28,121	\$44,814,212
Previous 3yr Average	48,663	\$58,611,231

### DONOR RETENTION (CURRENT FY)

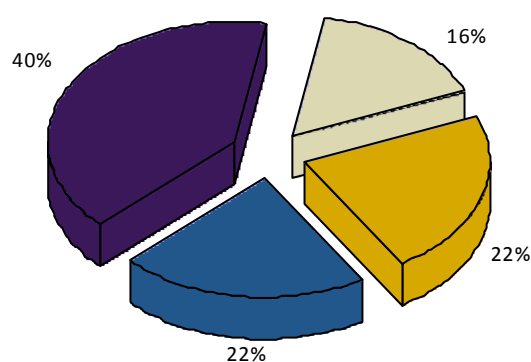
■ Returning Donor - Decreased Giving  
 ■ Returning Donor - Increased Giving  
 ■ Returning Donor - Same Giving  
 ■ Yet to Return as Donor



	Donors	Dollars
Returning Donor - Decreased Giving	21,338	\$47,050,517
Returning Donor - Increased Giving	14,042	\$150,328,028
Returning Donor - Same Giving	11,984	\$3,578,123
Yet to Return as Donor	74,083	

### DONOR RETENTION (PREVIOUS 3YR AVG)

■ Returning Donor - Decreased Giving  
 ■ Returning Donor - Increased Giving  
 ■ Returning Donor - Same Giving  
 ■ Yet to Return as Donor



	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 # devrpts\_s10053

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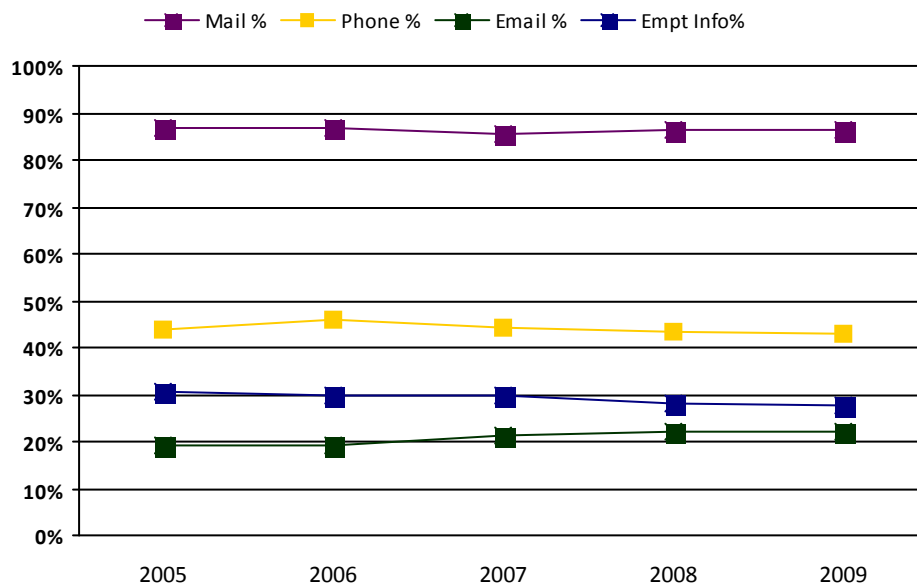
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## STATE OF THE DATABASE

School	Alumni	Friends	Total	Mailable	Mail %	Phonable	Phone %	Emailable	Email %	Emp Info	Emp %
UW Medicine	23,131	34,991	58,122	53,222	91.57%	31,011	53.36%	13,325	22.93%	17,558	30.21%
Arts and Sciences	183,968	18,134	202,102	169,248	83.74%	77,159	38.18%	51,513	25.49%	53,500	26.47%
Broadcast Services	0	37,557	37,557	36,679	97.66%	14,395	38.33%	5,245	13.97%	6,975	18.57%
Built Environments	9,688	1,686	11,374	10,079	88.61%	5,285	46.47%	3,036	26.69%	4,369	38.41%
Business School	47,306	3,915	51,221	43,168	84.28%	21,770	42.50%	16,094	31.42%	21,929	42.81%
Dentistry	5,121	1,558	6,679	6,180	92.53%	3,961	59.31%	1,977	29.60%	2,067	30.95%
Education	24,767	2,285	27,052	20,854	77.09%	10,942	40.45%	4,384	16.21%	7,824	28.92%
Engineering	41,605	3,979	45,584	37,547	82.37%	18,629	40.87%	11,031	24.20%	17,097	37.51%
Environment	0	4,296	4,296	4,116	95.81%	3,185	74.14%	1,590	37.01%	1,794	41.76%
Evans School of Public Affairs	2,894	509	3,403	3,172	93.21%	1,858	54.60%	1,752	51.48%	1,866	54.83%
Forest Resources	5,667	0	5,667	4,668	82.37%	2,235	39.44%	1,289	22.75%	2,255	39.79%
Graduate School	2,106	982	3,088	2,902	93.98%	1,830	59.26%	1,410	45.66%	1,428	46.24%
Information School	5,879	403	6,282	5,200	82.78%	3,182	50.65%	1,860	29.61%	2,694	42.88%
Intercollegiate Athletics	0	9,484	9,484	9,309	98.15%	7,360	77.60%	4,412	46.52%	3,801	40.08%
Law	8,987	1,679	10,666	9,662	90.59%	5,183	48.59%	6,022	56.46%	4,959	46.49%
Libraries	0	13,155	13,155	12,896	98.03%	10,742	81.66%	3,227	24.53%	2,538	19.29%
Minority Affairs	0	1,441	1,441	1,409	97.78%	1,053	73.07%	778	53.99%	798	55.38%
Nursing	10,946	1,536	12,482	10,341	82.85%	5,740	45.99%	2,916	23.36%	4,762	38.15%
Ocean and Fishery Sciences	4,994	0	4,994	4,175	83.60%	1,974	39.53%	1,188	23.79%	2,013	40.31%
Pharmacy	4,304	763	5,067	4,403	86.90%	2,538	50.09%	1,454	28.70%	2,229	43.99%
President's Funds	0	3,870	3,870	3,793	98.01%	3,009	77.75%	1,418	36.64%	2,036	52.61%
Public Health	5,319	838	6,157	5,601	90.97%	3,069	49.85%	2,499	40.59%	2,823	45.85%
Social Work	7,919	913	8,832	7,527	85.22%	3,542	40.10%	1,877	21.25%	3,013	34.11%
Student Affairs	0	9,446	9,446	9,278	98.22%	7,180	76.01%	3,723	39.41%	4,228	44.76%
Undergraduate Academic Affairs	0	1,339	1,339	1,295	96.71%	966	72.14%	630	47.05%	454	33.91%
University Press	0	583	583	556	95.37%	401	68.78%	230	39.45%	232	39.79%
UW Alumni Association	0	39,958	39,958	38,957	97.49%	24,725	61.88%	20,893	52.29%	15,557	38.93%
UW Bothell	8,108	940	9,048	8,471	93.62%	4,304	47.57%	3,360	37.14%	1,551	17.14%
UW Tacoma	9,511	912	10,423	9,726	93.31%	4,989	47.87%	3,489	33.47%	1,477	14.17%
Other University Support	974	6,927	7,901	7,523	95.22%	5,343	67.62%	3,850	48.73%	2,111	26.72%
Unspecified School	16,489	0	16,489	11,349	68.83%	6,137	37.22%	2,007	12.17%	3,684	22.34%
No Degree\Gift Affiliation	0	283,643	283,557	256,543	90.47%	153,376	54.09%	33,940	11.97%	49,115	17.32%
<b>Total</b>	<b>397,467</b>	<b>392,863</b>	<b>790,330</b>	<b>689,274</b>	<b>87.21%</b>	<b>366,144</b>	<b>46.33%</b>	<b>152,090</b>	<b>19.24%</b>	<b>189,014</b>	<b>23.92%</b>

## Database Trends



Source: University Advancement, Information Management Report # devrpts\_s10053

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**VII. STANDING COMMITTEES****B. Finance, Audit & 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. Henry Art Cooling Tower Replacement Project No. 203279  
Action Reported: Select Engineer/Adopt Budget

On April 28, 2010, a contract for engineering services was awarded to The Harris Group for the Henry Art Cooling Tower Replacement project under their existing Master Term Agreement for Engineering Services. The agreement amount for basic services is \$112,000 which is included in a budgeted value of \$257,974 for all design consultants. The balance of the design budget is intended for the hazardous materials consultant, commissioning and other specialty consultants required for the project.

The Harris Group is a multidiscipline engineering firm, headquartered in Seattle, with 11 offices in the US. They have completed several successful projects for the University under their master term agreements for mechanical and electrical engineering services awarded in April 2009. The Harris Group has experience in the design of retrofit projects of all sizes where minimal or no down time is allowed and with requirements for temporary backup systems during construction.

The Henry Art Museum was originally built in 1927 and significantly expanded in 1997. The facility houses art galleries, artifact storage, offices and reading rooms. The art exhibition and storage areas require stringent temperature and relative humidity control be maintained at all times. This requires the mechanical equipment to run 24/7, which limits maintenance access to critical components. Equipment failures have become more frequent as the equipment has aged and, since there is no redundancy in the primary equipment, it has not been feasible to perform preventive maintenance on the equipment.

A predesign study was commissioned in October 2009 to improve reliability and maintainability of the mechanical and electrical systems at Henry Art Gallery after a failure of a transformer last summer threatened to expose part of the

## VII. STANDING COMMITTEES

### B. Finance, Audit & Facilities Committee

#### Actions Taken Under Delegated Authority (continued p. 2)

collection to unacceptable temperatures and humidity. The study recommended replacement of critical equipment including the chiller, cooling tower and to provide redundancy to allow for maintenance of the equipment.

Construction start is anticipated in October, 2010 with completion anticipated before May 2011.

The project budget is established at \$1,500,000 based on the cost estimate developed in the predesign. Funding of \$1,150,000 has been provided from the Building Renewal fund. The project will be designed with bid alternates to assure that work can be done within current funding. Additional funding required to complete the entire scope will be requested from Central Funding upon budget confirmation at the end of design.

Budget Summary:	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$257,974	\$257,974
Total Construction Cost*	\$1,023,825	\$1,023,825
Other Costs	\$97,650	\$97,650
Project Administration	\$120,551	\$120,551
Total Project Budget	\$1,500,000	\$1,500,000

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

#### 2. Hutchinson Pool Decommission and Program Change Project No. 203052 Action Reported: Approve Budget Adjustment

On April 12, 2010, revised scope and budget were approved for the Hutchinson Pool Decommission and Program Change project. The scope was increased to include replacement of the roof over the project area. The project budget was increased from \$1,665,000 to \$1,965,000 to pay for the new roof.

The Hutchison Hall swimming pool is being decommissioned and the space converted to Drama Scene Design Studio for the UW School of Drama. This project is required to make a permanent space for a program displaced by the Phase I Housing Project located in the west campus.

## VII. STANDING COMMITTEES

### B. Finance, Audit & Facilities Committee

#### Actions Taken Under Delegated Authority (continued p. 3)

Design is complete and construction is scheduled to begin in late June continuing through November 2010.

The project's revised budget is established at \$1,965,000. Funding of \$1,965,000 is provided from the following source budgets:

\$708,300	Capital Resources/Central Funds
\$586,700	Arts & Sciences Minor Capital Repair Fund
\$370,000	Student Life and Student Life/Housing and Food Services
<u>\$300,000</u>	Building Renewal
<b>\$1,965,000</b>	

Budget Summary:	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$189,864	\$266,240
Total Construction Cost*	\$1,318,837	\$1,478,183
Other Costs	\$26,719	\$67,729
Project Administration	\$129,580	\$152,848
Total Project Budget	\$1,665,000	\$1,965,000

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

#### 3. Campus Natural Gas System Replacement Project No. 201035 Action Reported: Adopt Budget and Select Consultant

On May 7, 2010, a contract for engineering services was awarded to Reid Middleton, Inc. for the Campus Natural Gas System Replacement project under their existing Master Term Agreement for Engineering Services. The agreement amount for basic services is \$241,779 which is included in a budget value of \$378,916 for all design consultants. The balance of the design budget is intended for the hazardous materials consultant, surveys, commissioning and other specialty consultants required for the project.

Reid Middleton, Inc. is a multidiscipline engineering firm, headquartered in Everett, Washington. Their area of expertise is civil and structural, with an emphasis in waterfront engineering, utility site development and transportation. They have held a master term agreement with the University since February, 2009. They worked on the University's Connibear Shellhouse, as well as other

## VII. STANDING COMMITTEES

### B. Finance, Audit & Facilities Committee

#### Actions Taken Under Delegated Authority (continued p. 4)

projects. Other educational projects include work at Edmonds Community College, Bellingham Public Schools and Green River Community College.

This project will upgrade the campus natural gas distribution system. The scope of the work includes installing pipe sleeves for much of the existing gas lines and will trench and replace the line where piping sizes cannot be reduced. A total of 28 gas meters on campus will be replaced.

The project is funded for design only this biennium. Construction start is dependent on a construction phasing plan to be determined during the design phase.

The project budget is established at \$3,353,841. Partial funding of \$600,000 to complete design has been provided from the Utility Renewal Reserves. Funding to complete the construction will be supplied from the Utility Renewal Reserves in future biennia.

Budget Summary:	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$378,916	\$378,916
Total Construction Cost*	\$2,663,361	\$2,663,361
Other Costs	\$72,868	\$72,868
Project Administration	\$238,696	\$238,696
Total Project Budget	\$3,353,841	\$3,353,841

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

#### 4. N-28 Data Center & UW Tower Garage Roofing Project No. 203252 Action Reported: Adopt Budget and Select Consultant

On April 12, 2010 a contract for architectural services was awarded to Cornerstone Architectural Group under their existing master term agreement. The agreement amount for basic services for the N-28 Data Center Roof Repair is \$86,400 which is included in a budget value of \$247,448 for all design consultants. The balance of the design budget is intended for basic services for the UW Tower Garage Roof Repair, hazardous materials consultant, testing and inspections and other specialty consultants required for the project.

## VII. STANDING COMMITTEES

### B. Finance, Audit & Facilities Committee

#### Actions Taken Under Delegated Authority (continued p. 5)

Cornerstone Architectural Group is a medium-sized firm located in Kenmore, Washington. The firm has completed several successful projects for the University under their master term agreements for building envelope improvements. Cornerstone expertise exists mostly in educational facilities including Western Washington University and K-12.

This project is a design-bid-build project to complete the re-roofing at two locations. At 4545 15<sup>th</sup> Avenue NE Building, the Data Center roof which is the floor of the N28 parking garage is leaking. The parking lot surfacing will be removed, a new roof membrane installed and the parking lot repaved. The second location is the removal and resurfacing of the parking deck coating at the UW Tower Parking Garage. This includes the uppermost parking level and reroofing of the stair and elevator roofs.

Construction is anticipated to start August, 2010 with completion anticipated before the end of November, 2010.

The project budget is established at \$2,162,023. The project is currently funded for design with \$336,000 from UW Transportation Services Capital Reserve. Sources for construction funding are currently under review with portions coming from UW Transportation Services and portions coming from TSB Properties, the 63/20 property owner for the 4545 Building. Additional funding required to complete construction will be obtained upon budget confirmation at the end of design.

Budget Summary:	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$247,448	\$247,448
Total Construction Cost*	\$1,728,242	\$1,728,242
Other Costs	\$24,413	\$24,413
Project Administration	\$161,920	\$161,920
Total Project Budget	\$2,162,023	\$2,162,023

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

VII. STANDING COMMITTEES

B. Finance, Audit & Facilities Committee

Metropolitan Tract Quarterly Report: Q1 as of 3/31/2010

For information only.

*Attachment*

Metropolitan Tract Quarterly Report: Q1 as of 3/31/2010

# Metropolitan Tract Quarterly Report

Q1 as of 3/31/2010

## Q1 Notables:

- Unico's percentage rent payment for 2009 was received per Master Lease, at \$10.7M.
- Revenue generated during Q1 is consistent with 2010 projections. Both the hotel revenue and Unico's revenue are outpacing 2009.
- 2009 revenues include 2 quarters of additional rent payments from Unico based on a modification of the payment schedule from annual to quarterly.

## Market News:

- CBD office vacancy rates actually declined this quarter to 19% driven by Amazon.com expansion and PATH relocating downtown. All projects that were under construction are now on-line and most buildings are reporting strong leasing activity.
- In spite of the lackluster hotel market, hotel development is on the rise with the completion of Renaissance Seattle Hotel's renovation, a new Courtyard by Marriott planned for Second Avenue and a privately owned hotel being conceptualized in Pioneer Square.

## Operations & Cash Flow

(Millions \$ - cash flow basis)

	Q1 2010	YTD 2010	Budget 2010	2009	2008	2007
Revenues <sup>1</sup>	\$ 12.25	\$ 12.25	\$ 20.62	\$ 26.33	\$ 23.60	\$ 33.69
Operating Expenses <sup>2</sup>	\$ (0.68)	\$ (0.68)	\$ (3.72)	\$ (3.75)	\$ (4.12)	\$ (3.94)
Net Operating Income	\$ 11.57	\$ 11.57	\$ 16.90	\$ 22.59	\$ 19.48	\$ 29.74
Non-Operating Expenses	\$ (0.24)	\$ (0.24)	\$ (2.30)	\$ (2.79)	\$ (1.96)	\$ (1.12)
Net Income	\$ 11.33	\$ 11.33	\$ 14.60	\$ 19.80	\$ 17.52	\$ 28.62
Debt Repayment (Borrowing)	\$ -	\$ -	\$ -	\$ (0.33)	\$ (0.65)	\$ (8.47)
Capital & Tenant Improvements <sup>3</sup>	\$ (0.39)	\$ (0.39)	\$ (6.85)	\$ (3.76)	\$ (12.06)	\$ (11.65)
Net Cash Flow	\$ 10.94	\$ 10.94	\$ 7.74	\$ 15.71	\$ 4.81	\$ 8.50
Distribution to University	\$ -	\$ -	\$ (8.00)	\$ (8.00)	\$ (8.00)	\$ (8.00)
Increase/(Decrease) in Cash	\$ 10.94	\$ 10.94	\$ (0.26)	\$ 7.71	\$ (3.19)	\$ 0.50

<sup>1</sup> Revenues include rent from tenant leases, operating savings payments from Unico and Leashold Excise Tax receipts from tenants.

<sup>2</sup> Operating Expenses include Leashold Excise Tax payments, earthquake insurance, professional fees and Met Tract Real Estate Office management expenses. Some payments occur in the second half of the year.

<sup>3</sup> Unico and Rainier Tower.

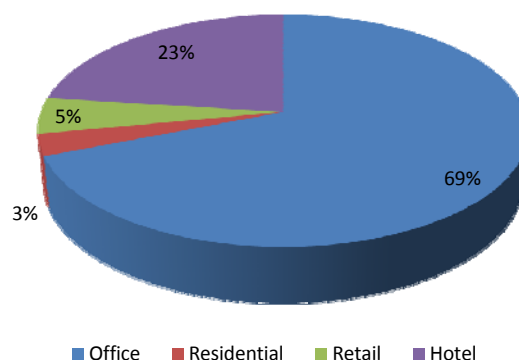
## Assets Under Management

## Product Type

2009	Valuation (Millions \$)	2008
\$338.3M	Office Buildings	\$366.0M
\$110.8M	Olympic Hotel	\$111.0M
\$30.5M	Cobb Building	\$29.0M
\$479.6M		\$505.0M

- Internal Valuation as of 12/31/2009
- UW portion of 2009 value is approx. \$342M
- 2009 decrease driven by higher cap rates and lower market rents
- Key assumptions include lease up rates, TI's, exit cap and discount rates

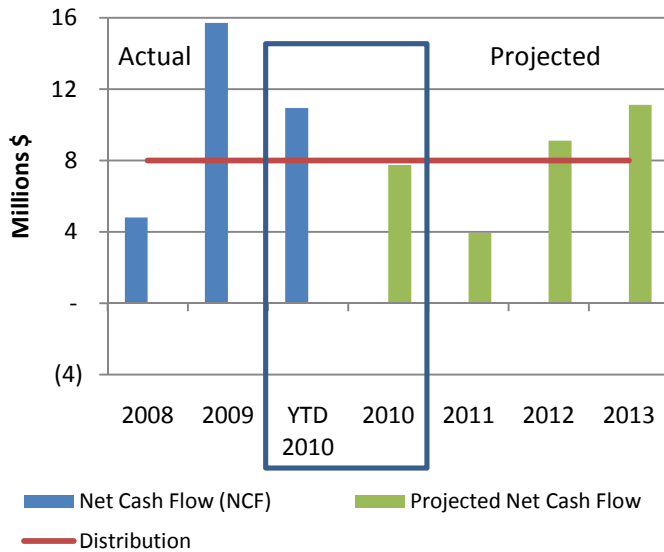
## Product Type (by RSF)



# Metropolitan Tract Quarterly Report

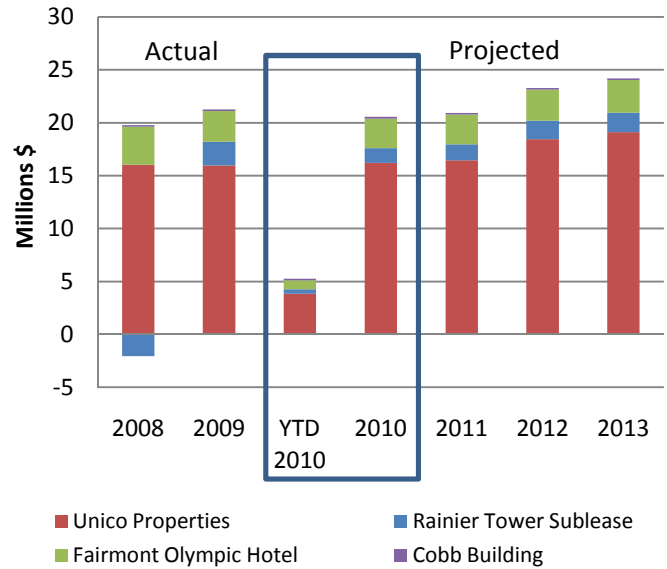
Q1 as of 3/31/2010

## UW Distribution & Cash Flow



- Distribution has consistently been \$8M / year.
- NCF is impacted by capital expenses. Total 2009 capital was \$3.76M, 2010 capital is projected to be \$6.8M and 2011 capital is projected to be \$10.8M driven by leasing and TIs.
- 1st Quarter 2010 includes \$10.7M attributable to percentage rent earned in 2009 under the Unico lease.

## Total UW Rent Earned



- Rent earned from each lease; does not include cash flow items or misc. revenue.
- Projected rent is based on Argus model of 12/31/09.
- Rainier Tower Sublease is net revenue including direct operating expenses and capital.

## Metropolitan Tract Portfolio



### Unico Portfolio

Rainier Tower	569,155 sf
Financial Center	339,527 sf
Puget Sound Plaza	274,885 sf
IBM Building	225,129 sf
Skinner Building	193,672 sf
<b>Total</b>	<b>1,602,368 sf</b>
Retail Space	141,806
Parking Stalls	744
Lease Expiration:	10/31/2014

### Cobb Building

Residential Units	91
Retail Space	18,717
Lease Expiration:	3/22/2050
<b>Rainier Tower Sublease</b>	
Sublease Space	379,463
Lease Expiration:	10/31/2017

### Fairmont Olympic Hotel

Luxury Hotel Rooms	450
Office Space	15,500
Retail Space	28,000
Parking Stalls	787
Lease Expiration:	10/1/2040



VII. STANDING COMMITTEES

B. Finance, Audit & Facilities Committee

Investment Performance Report, Third Quarter Fiscal Year 2010

For information only.

*Attachment*

University of Washington, Investment Performance Report to the Board of Regents, Third Quarter Fiscal Year 2010

UNIVERSITY OF WASHINGTON  
INVESTMENT PERFORMANCE REPORT  
TO THE BOARD OF REGENTS  
THIRD QUARTER FISCAL YEAR 2010



TREASURER BOARD OF REGENTS  
TREASURY OFFICE

*Published May 2010*

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# TREASURY ASSETS<sup>1</sup>

As of 3/31/10—\$3.4 Billion

Dollars in Millions



## Endowment & Similar Funds

Endowment Funds	\$1,527
Operating Funds	370
Consolidated Endowment Fund	<u>1,897</u>
Life Income Trusts	72
Outside Trusts	49
Non-CEF Endowments	17
Permanent Fund <sup>6</sup>	<u>29</u>
	<u><b>\$2,064</b></u>

## Operating & Reserve Funds

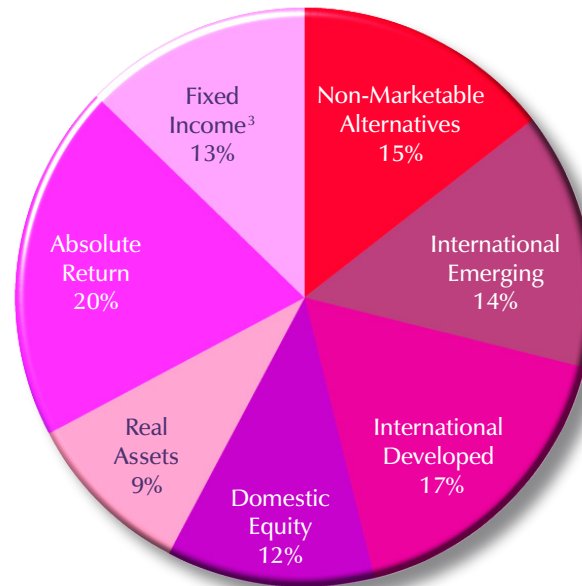
Invested Funds <sup>2,3</sup>	\$1,139
Bond Retirement Fund <sup>4</sup>	20
Building Fund <sup>4</sup>	20
Debt Service Reserve Funds <sup>5</sup>	12
Bond Proceeds <sup>7</sup>	<u>113</u>
	<u><b>\$1,304</b></u>

1. Includes assets whose management falls under the auspices of the Finance & Audit Committee of the Board of Regents. Excludes Metro Tract and Forest Trust Lands. All dollar amounts are expressed in millions and represent market values.
2. The Invested Funds holds Consolidated Endowment Fund units valued at \$370. To avoid double counting, the dollars are included only in the CEF totals.
3. In June 2002, the Board of Regents authorized the establishment of a captive insurance company, Portage Bay Insurance(PBI). The previous insurance vehicle, the Self Insurance Revolving Fund (SIRF), will close after existing claims are resolved. Current balances: PBI \$75.5 & SIRF \$2.8.
4. General obligation bond reserve fund on deposit with the state of Washington.
5. Required reserve funds for locally issued bonds (TSB Properties \$1.1, Twenty Fifth Ave Prop \$2.4, 2004 Parking \$1.4, 2002 Housing & Dining \$1.5, 2004 Housing & Dining \$0.6, Roosevelt 1 \$2.3 and Roosevelt 2 \$2.0 & Commodore Duchess \$0.6)
6. Proceeds from sale of land grants and subsequent investment returns on deposit with the state of Washington.
7. Construction project funds which have not yet been disbursed.

# ASSET ALLOCATION

As of March 31, 2010

Consolidated Endowment Fund <sup>1</sup>—\$1,897 MM



Dollars in Millions				Policy Target	Policy Range
Current Allocation <sup>2</sup>					
Global Equity	Non-Marketable Alternatives	\$273	15%	12%	5%–25%
	International Emerging Markets	\$274	14%	13%	5%–35%
	International Developed Markets	\$329	17%	16%	5%–35%
	Domestic Equity	\$222	12%	15%	5%–35%
	Equity Fund	\$1,099	58%	56%	45%–75%
	Real Assets Fund	\$176	9%	15%	5%–25%
	Absolute Return	\$383	20%	18%	5%–25%
	Fixed Income Fund <sup>3</sup>	\$240	13%	11%	5%–35%
Total Consolidated Endowment Fund		\$1,897	100%		

<sup>1</sup> International exposure: 37%; net foreign currency exposure: 36%.

<sup>2</sup> Current exposure percentage may not add to 100% due to rounding.

<sup>3</sup> Includes allocation to cash.

# CONSOLIDATED ENDOWMENT FUND (CEF)

For the Quarter ending March 31, 2010

## Total Returns <sup>1</sup> (%)

	3 <sup>rd</sup> Qtr FY 2010	1-Year	5-Year	10-Year
<b>Total CEF Return</b>	<b>3.1</b>	<b>26.4</b>	<b>5.9</b>	<b>4.7</b>
Strategy Weighted Policy Benchmark	2.7	27.7	6.2	3.6
<b>Equity Fund</b>	<b>4.2</b>	<b>40.5</b>	<b>6.6</b>	<b>4.5</b>
Weighted Policy Benchmark	3.6	45.2	5.9	2.4
<b>Real Assets Fund</b>	<b>-1.5</b>	<b>-1.0</b>	<b>0.5</b>	—
Policy Benchmark	1.8	7.5	5.7	—
<b>Absolute Return Fund</b>	<b>4.3</b>	<b>31.8</b>	—	—
Policy Benchmark	1.5	13.3	—	—
<b>Fixed Income Fund</b>	<b>1.0</b>	<b>4.2</b>	<b>3.7</b>	<b>4.7</b>
Policy Benchmark (LB Govt Bond)	1.1	-0.1	5.2	5.9

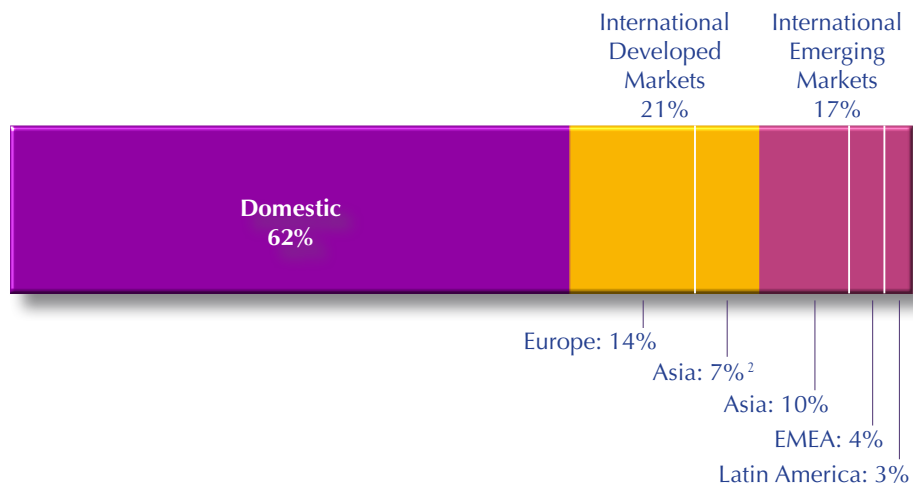
<sup>1</sup> Average Annual Compound Return

## Activity (in Millions)

	FYTD 2010	FY 2009	FY 2008	5 Years	10 Years	15 Years
<b>Beginning Balance <sup>1</sup></b>	<b>\$1,649</b>	<b>\$2,161</b>	<b>\$2,074</b>	<b>\$1,335</b>	<b>\$1,169</b>	<b>\$404</b>
Gifts	33	84	99	407	619	776
Transfers	4	10	8	56	84	125
<b>Total Additions</b>	<b>37</b>	<b>94</b>	<b>107</b>	<b>463</b>	<b>703</b>	<b>901</b>
Operating Funds Purchases	8	3	44	70	157	157
Net Investment Return	260	(515)	53	499	647	1,320
Distributions	(44)	(75)	(94)	(380)	(646)	(743)
Administrative Fees	(3)	(4)	(4)	(18)	(28)	(35)
Advancement Support	(10)	(14)	(17)	(71)	(104)	(106)
<b>Ending Balance</b>	<b>\$1,897</b>	<b>\$1,649</b>	<b>\$2,161</b>	<b>\$1,897</b>	<b>\$1,897</b>	<b>\$1,897</b>
Net Change	\$248	(\$512)	\$88	\$563	\$728	\$1,494

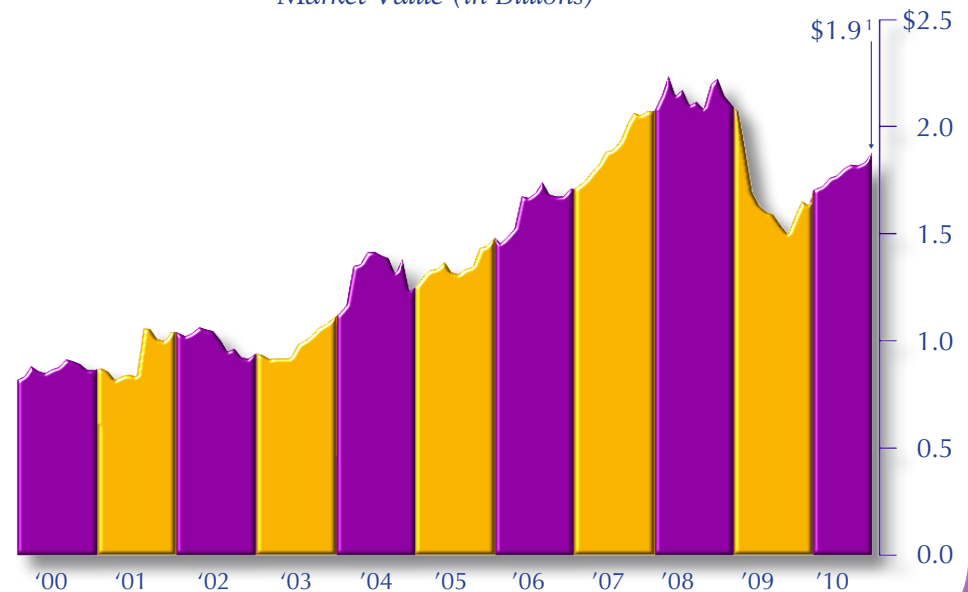
<sup>1</sup> Restated

## Geographic Exposure <sup>1</sup>



<sup>1</sup> Includes all strategies in the CEF portfolio <sup>2</sup> Includes 3.3% exposure in Japan

## Market Value (in Billions)



<sup>1</sup> Reflects inclusion of IF units in CEF starting 7/01—value without would be \$1.5

# PERFORMANCE UPDATE

Total Return<sup>1</sup> As of 3/31/10

	3 <sup>rd</sup> Qtr FY '10	1 Year	3 Years	5 Years	10 Years
<b>Consolidated Endowment Fund</b>	<b>3.1</b>	<b>26.4</b>	<b>-1.2</b>	<b>5.9</b>	<b>4.7</b>
Equity Fund	4.2	40.5	-1.0	6.6	4.5
<b>Non-Marketable Alternatives<sup>2</sup></b>	<b>3.6</b>	<b>11.0</b>	<b>2.1</b>	<b>9.5</b>	<b>2.6</b>
Global Equity <sup>3</sup>	4.4	55.6	--	--	--
<b>International Emerging Markets</b>	<b>4.9</b>	<b>83.5</b>	<b>9.0</b>	<b>--</b>	<b>--</b>
International Developed Markets	3.3	52.5	-5.3	4.4	3.2
<b>Domestic Equity</b>	<b>4.9</b>	<b>35.8</b>	<b>-5.2</b>	<b>1.5</b>	<b>1.9</b>
Real Assets Fund	-1.5	-1.0	-10.1	0.5	--
<b>Absolute Returns Fund<sup>3</sup></b>	<b>4.3</b>	<b>31.8</b>	<b>--</b>	<b>--</b>	<b>--</b>
Fixed Income Fund	1.0	4.2	2.2	3.7	4.7
<b>Public Market Indices</b>					
<i>Equity Indices</i>					
S&P	5.4	49.8	-4.2	1.9	-0.7
MSCI ACWI	1.7	61.7	-3.7	6.6	3.2
Russell 3000	5.9	52.4	-4.0	2.4	-0.1
NASDAQ	5.7	56.9	-1.8	2.8	-6.7
NAREIT	10.0	106.7	-10.6	3.8	11.4
Dow Jones Industrial Average	4.8	46.3	-1.7	3.2	2.2
MSCI EAFE	0.9	55.2	-6.6	4.2	1.7
MSCI EMF	2.5	81.6	5.5	16.0	9.7
<i>Fixed Income Indices</i>					
BC Government Bond	1.1	-0.1	6.0	5.2	5.9
CG World Bond Index(unhedged to USD)	-1.3	6.3	7.2	4.8	6.5

Sources: Cambridge Associates and State Street

<sup>1</sup> Total Return: average annual compound return (dividend or interest plus capital appreciation or depreciation)

<sup>2</sup> Provided by Cambridge Associates on a quarter lag.

<sup>3</sup> New strategies reflecting data starting 7/1/2008.



# INVESTED FUNDS (IF)

For the Quarter ending March 31, 2010

Total Return<sup>1</sup> (%)

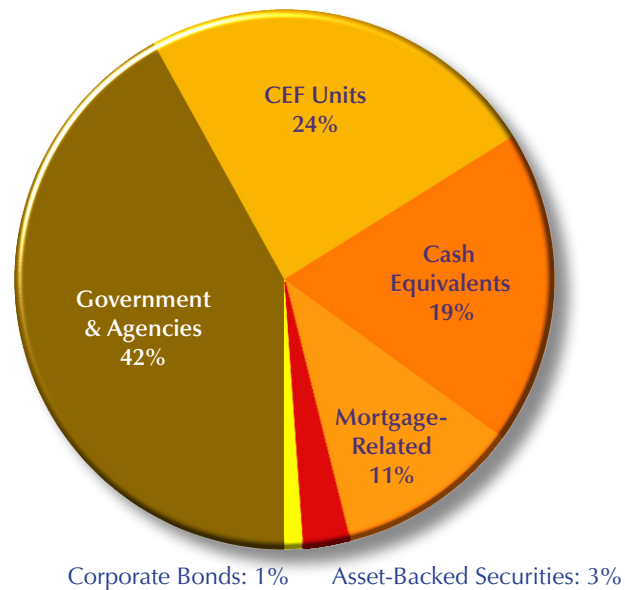
	3 <sup>rd</sup> Qtr FY 2010	1-Year	5-Year	10-Year
<b>Cash</b>	<b>0.1</b>	<b>1.1</b>	<b>4.1</b>	<b>4.5</b>
Citi 2 Yr Treasury	0.7	1.5	4.5	4.6
<b>Liquidity</b>	<b>1.5</b>	<b>1.9</b>	<b>4.4</b>	<b>5.3</b>
LB Intermediate Government Bond	1.1	0.9	5.1	5.6
<b>IF excluding CEF units</b>	<b>0.9</b>	<b>1.6</b>	<b>4.3</b>	<b>5.1</b>
Weighted Benchmark	1.0	1.1	4.9	5.3
<b>IF including CEF units</b>	<b>1.5</b>	<b>7.4</b>	<b>4.8</b>	<b>5.0</b>
Weighted Benchmark	1.5	7.5	5.6	5.0

<sup>1</sup> Average Annual Compound Return

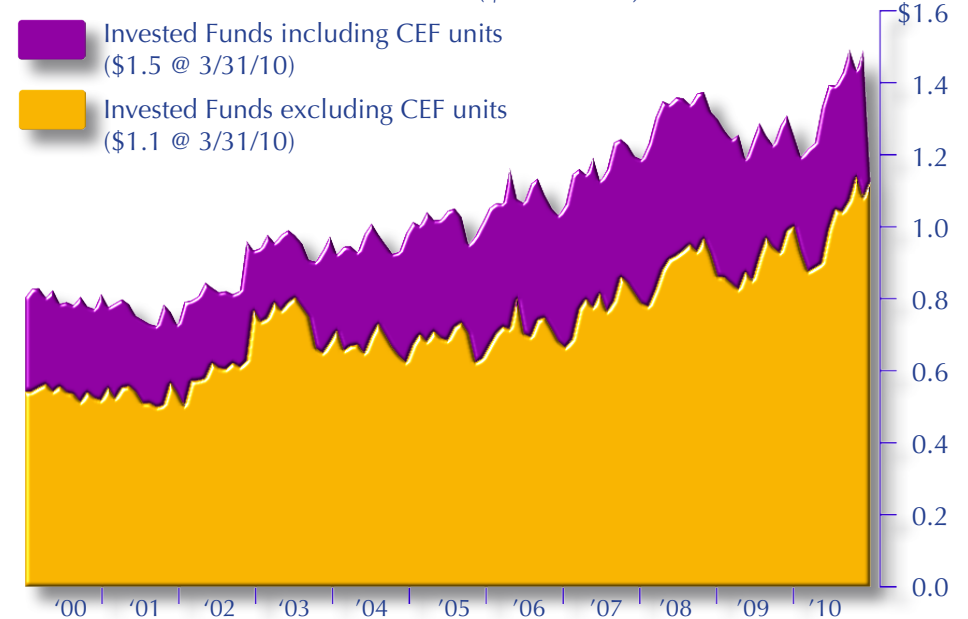
Fund Allocation by Pool (\$ in Millions)

	Fund Allocation		Range	Duration	
				Actual	Maximum
Cash Pool	\$471	31%	10%–40%	0.3 yrs	3.0 yrs
Liquidity Pool	\$669	44%	30%–60%	3.4 yrs	4.2 yrs
<b>Total Cash &amp; Liq. Pool</b>	<b>\$1,139</b>	<b>76%</b>			
CEF Units held by IF		24%	15%–40%		
<b>Total Invested Funds</b>		<b>100%</b>			

Mix of Investments



Market Value (\$ in Billions)





# CONSOLIDATED ENDOWMENT FUND SPENDING UPDATE

For the Quarter ending March 31, 2010

## Interim Policy, Approved 3/19/09

Reduce CEF distributions 25% in FY09 and another 25% in FY10.  
Thereafter, hold constant until reviewed by Board of Regents (no later than 6/30/13).

### Current and Projected Results of Interim Policy

\$ = 000's

	FY 2008	FY 2009	FY 2010
Beginning Market Value	\$2,073,519	\$2,161,438	\$1,649,159
Distributions <sup>1</sup>	\$94,314	\$75,478	\$59,015
Effective Spending Rate	4.5%	3.5%	3.6%
Administrative Fees <sup>2</sup>	\$21,331	\$18,004	\$17,908
Effective Spending Rate Including Fees	5.6%	4.3%	4.7%
Total Return	2.0%	-23.7%	15.9% (FYTD)

<sup>1</sup> Actual distributions are administered on a quarterly and per unit basis. New gifts are added quarterly and receive payouts at the next distribution date. Therefore, year over year declines cannot equal 25%.

<sup>2</sup> Administrative fees supporting Advancement (80 bps) and Treasury (20 bps) operations paid quarterly based on prior quarters' market value.

### Quarterly Market Values and Additions

\$ = 000's

	Value	Additions	Additions as %
07/1/2008	\$2,161,438	\$34,311	1.6%
10/1/2008	\$1,901,352	\$26,187	1.4%
01/1/2009	\$1,617,610	\$20,809	1.3%
04/1/2009	\$1,515,209	\$12,194	0.8%
07/1/2009	\$1,649,159	\$11,829	0.7%
10/1/2009	\$1,776,688	\$7,786	0.4%
01/1/2010	\$1,840,054	\$17,101	0.9%
04/1/2010	\$1,897,286	\$11,615	0.6%

### Per Unit Distributions

FY '08–FY '11

	Year-Over-Year Payout Per Unit	Change
FY08 Four Quarter Total	\$4.176	NA
FY09 Four Quarter Total	\$3.132	-25%
FY10 Four Quarter Total	\$2.349	-25%
FY11 Four Quarter Total	\$2.349	0%

- FY09 per unit payouts were 25% less than FY08 payouts.
- FY10 per unit payouts will be 25% less than FY09 payouts.
- FY11 per unit payouts will equal FY10 payouts.

# SUMMARY OF ACTIONS TAKEN UNDER BOARD DELEGATED AUTHORITIES

## JANUARY 1, 2009 THROUGH MAY 17, 2010 (\$ IN MILLIONS)

*By the Chief Investment Officer*

### *Public Markets*

Approved	Action	Manager / Fund	Strategy	Investment (\$MM)
01/22/10	Addition	Wellington Dividend Growth	Domestic Equity	\$30.0
01/22/10	Reduction	State Street S&P 500 Futures	Domestic Equity	-\$14.5
01/22/10	Addition	Arrowstreet International Equity	International Developed	\$25.0
01/22/10	Reallocation	Arrowstreet International Equity	International Developed (change from international to global)	\$25.0

### *Private Markets*

01/22/10	New	Deerfield International	Absolute Return	\$20.0
03/08/10	New	Convexity Capital Management	Absolute Return	\$25.0
03/11/10	New	Regiment Capital Advisors	Absolute Return	\$25.0
01/15/10	Reup	Battery Ventures IX	Non-Marketable Alternatives	\$8.0
04/03/10	Reup	Riverside Europe IV	Non-Marketable Alternatives	\$8.0

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee****UW Seattle Parking and U-PASS Rate Revisions****RECOMMENDED ACTION:**

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents adopt the attached “Seattle Campus Parking and U-PASS Fee Schedule” effective June 21, 2010 for summer quarter products and effective July 1, 2010 for daily, monthly, and annual products.

**BACKGROUND:**

The University transportation system has expenditures that include transit contracts, other transportation demand management expenses, parking system operational expenses, debt service, and capital projects. The program is funded with U-PASS fees, parking fees and fines, and central sources.

Transit costs have increased from \$12.4 million in FY08 to a projected \$22.8 million for FY11. The University’s transit costs are a product of transit fares and the number of rides taken by U-PASS participants. King County Metro Transit and other transit agency fares have risen sharply, triggered in part by their own budget shortfalls from declining sales tax proceeds. Metro fares alone have increased 53% since fall 2008 and an additional 11% increase is scheduled for January 2011. The number of rides taken by U-PASS participants has also increased dramatically. With the downturn in the economy, the average number of rides taken by existing U-PASS participants increased approximately 20%, the impact of which is being phased in over the AY10 and AY11 contracts.

The increase in transit costs comprises the bulk of the \$3.1 million deficit projected for the next fiscal year. The proposed rate increases close half of the gap. The remedy for the remaining half is expected to come from external cost savings measures, as well as program and organizational efficiencies.

There was significant public process around rate setting. Briefings were made to the appropriate committees of the student and faculty governing bodies and to SEIU 925. The fee proposal was reviewed and adopted by the University Transportation Committee, a committee comprised of faculty, student, organized labor, professional staff, and other stakeholder representatives. A public hearing was held to accept testimony on the proposed parking and U-PASS fee schedules and interested parties were also invited to submit comments online.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### UW Seattle Parking and U-PASS Rate Revisions (continued p. 2)

Public comments included concerns about the poor timing of the increase given the economic climate, layoffs, and salary freeze; debate about the way in which costs of the transportation program are distributed among users of the various commute modes; concern about the size of the increases; concern about the reduction in the discount enjoyed by two-person carpools; and concern that the fee proposal was regressive in nature. Two percent of the comments were supportive in nature and another 12% expressed support of an increase in general, but objected to either the amount or the specific product to which the increase was assigned. Comments from constituency briefings included appreciation for efforts to control costs and to engage members of the public in the fee approval process.

Recognizing the need to stop the attrition of students from the U-PASS program that occurred as a result of the 2009 U-PASS rate increase, no increase is proposed for the student U-PASS. An increase of 10% is proposed for the faculty and staff U-PASS, which is less than the planned King County Metro fare increase of 11%.

The proposed fee schedule includes an average increase of 14% in parking rates. Pricing for each parking product was considered individually. The rates proposed for most daily and hourly visitor and student parking reflect no increases in an effort to maintain and expand access to campus by holding rates at levels comparable to the cost of parking at nearby privately owned facilities. The other key parking product, the Single Occupancy Vehicle permit will increase 18%. Single day parking for faculty, staff, and students is standardized at five dollars, just one third of the visitor parking rate.

The rate changes proposed also address other issues important to the UW community including:

- Equalizing the discounted occasional parking options available to transit users and active transportation commuters who walk or bike to campus
- Discontinuing rarely-used products and combining similar products to streamline operations and reduce administrative costs
- Expanding parking fees for UW owned vehicles to reflect the cost of providing the parking resources they utilize
- Establishing a single low rate for parking in parking lot E1, maintaining the resource for UW community members who require access to a discounted parking option while simplifying pricing
- Enhancing campus safety by making campus parking more affordable and accessible during nighttime hours
- Adjusting the Annual/Quarterly Carpool rate to reflect the cost of providing the

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### UW Seattle Parking and U-PASS Rate Revisions (continued p. 3)

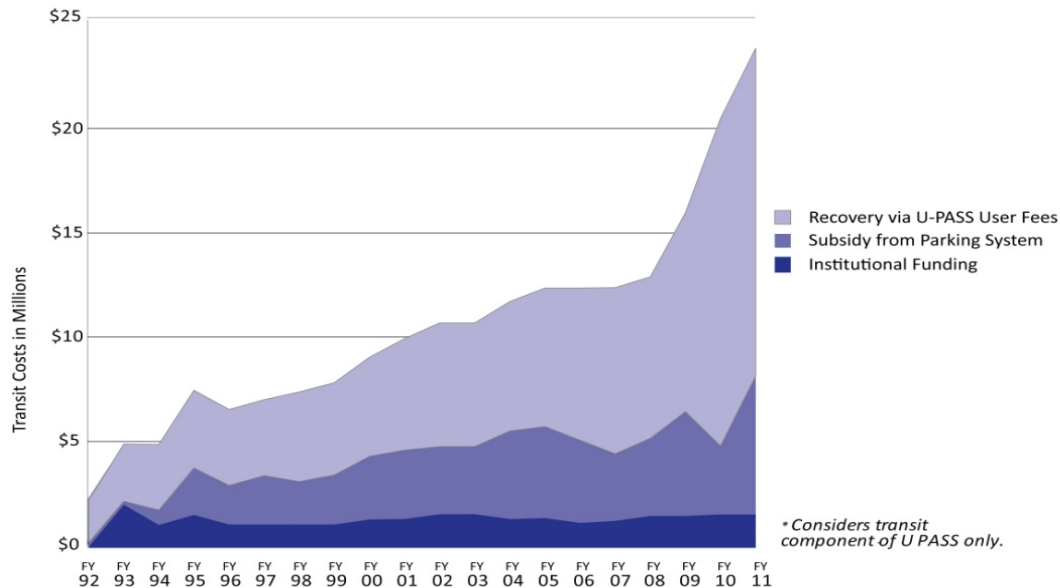
resource of parking, without requiring the purchase of U-PASS

- Encouraging active commuting by maintaining the cost of U-Powered U-PASS and fees for secure bicycle enclosure parking at 2009-10 levels

#### *Attachments*

1. U-PASS Cost & Cost Recovery Overview
2. Value Generation for U-PASS Users
3. U-PASS Participation and U-PASS Fees
4. Net Income with Fee Increases
5. Proposed Parking and U-PASS Rates 2010-2011

## U-PASS Cost & Cost Recovery Overview



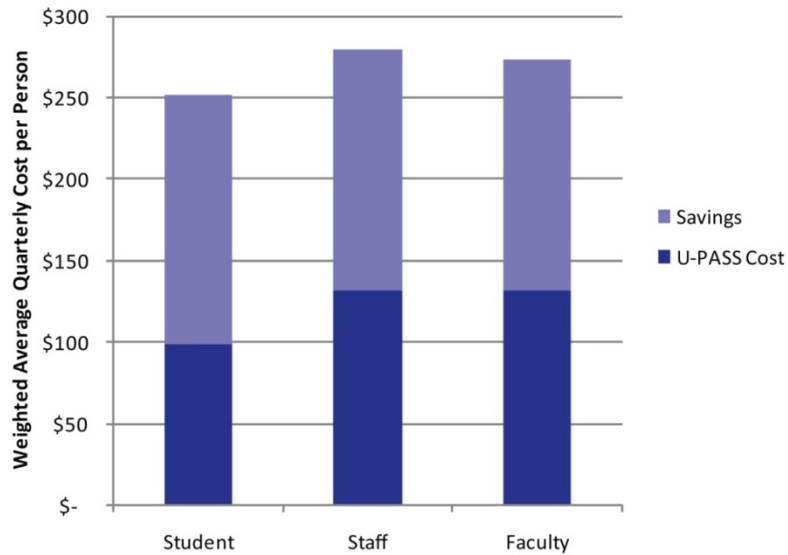
This chart demonstrates the pressure on the U-PASS funding model brought on by the current financial crisis. As students, faculty, and staff have experienced economic pressures, they have shifted from driving to transit at an accelerated rate (>10% increase in transit ridership each year since 2006). Transit agencies, which receive the majority of their operating dollars from sales tax proceeds, have been struggling and have raised fares by over 53% since the fall of 2008.

Institutional support for the U-PASS program has been nearly flat at approximately \$1.5M annually since the beginning of the program, falling from 35% in FY93 to just over 6% (projected) in FY10. Correcting this is proving challenging in the current economic environment.

The parking system has been able to provide an annual U-PASS subsidy in the \$3-5M range. With declining participation in the parking system and increasing sales and parking tax burdens, steep parking rate increases are necessary to maintain this subsidy.

### ATTACHMENT 1

## Value Generation for U-PASS Users

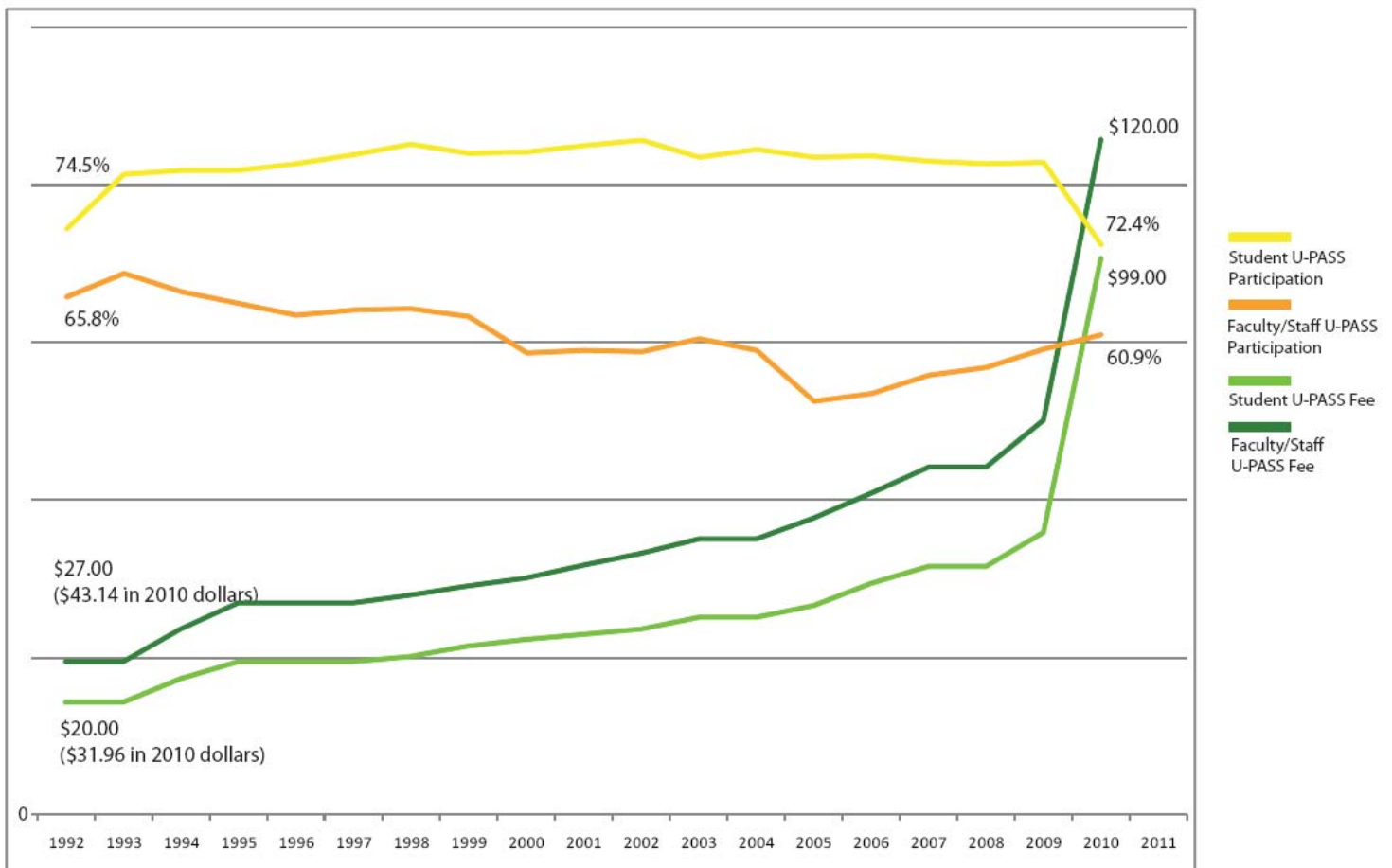


This chart demonstrates that even with the increased rates, the U-PASS program delivers significant value to transit users. The combined height of the stacked bar represents the average quarterly cost of the least expensive transit pass product(s) customers in each category would need to purchase to make their daily commutes. (Students, faculty, and staff have different average costs because of where they tend to live, relative to the University.) The dark blue portion of each column represents the U-PASS costs for that user group and the light blue represents real savings that the program generates for participants, even after rate increases.

These savings reflect transit costs only and do not affect additional categories of savings enjoyed by U-PASS participants including: tax savings via pretax payroll deduction, access to discounted parking through U-PASS “occasional parking” products, and access to savings on retail goods and services through the U-PASS merchant discount program.

## ATTACHMENT 2

## U-PASS Participation and U-PASS Fees



This chart illustrates the relative price sensitivity of student U-PASS participants as contrasted to Faculty and Staff U-PASS participants. While both populations experienced significant price increases during FY2010, Faculty and Staff participation was maintained while student participation fell precipitously to the lowest level in program history.

Stemming the tide of student attrition from the program is a key priority for Commuter Services as we seek to maintain the large and diverse group of users that helps to keep costs low for all. Faculty and Staff participants have shown minimal price sensitivity, indicating room for continued growth as merited by increases in Commuter Services' cost to purchase transit service on their behalf.



# **Net Income With Fee Increases**

	<b>2008-09</b>	<b>2009-10</b>	<b>2010-11</b>
<b>Operating Revenues</b>			
Permit	7,722,290	8,703,329	10,444,205
Gate	5,542,733	5,925,999	5,875,473
Coin Operated	1,288,131	1,103,415	1,322,117
Other - Parking	1,182,172	1,400,073	1,400,073
Less: Sales Tax	(1,215,605)	(1,225,821)	(1,362,410)
Less: City Parking Tax	(1,013,004)	(1,290,338)	(1,434,116)
Parking sub-total	<b>13,506,718</b>	<b>14,616,657</b>	<b>16,245,342</b>
UPASS - Student	4,933,044	9,494,378	9,494,378
UPASS - Faculty/Staff	3,291,839	5,469,600	5,253,072
Transit Subsidy	1,495,242	1,346,240	1,346,240
Other - UPASS	39,687	31,099	32,654
UPASS sub-total	<b>9,759,812</b>	<b>16,341,317</b>	<b>16,126,344</b>
<b>Total</b>	<b>23,266,530</b>	<b>30,957,974</b>	<b>32,371,687</b>
<b>Operating Expenses</b>			
Salaries/Wages	3,038,544	3,869,497	3,958,584
Benefits	899,268	1,089,447	1,317,869
Transit Service - Metro	12,447,432	17,938,572	20,130,425
Rebate/Demand adj.		(1,916,363)	(1,623,008)
Transit Service - Community	1,619,683	1,603,881	1,625,778
Transit Service - Sound	1,216,897	1,757,154	2,373,118
Transit Service - Other	42,874	254,064	327,543
Camp Svcs - Phy Pl, other	475,038	855,258	935,240
Utilities	203,354	196,972	213,284
Other Operating Expenses*	1,808,796	2,790,451	2,730,212
<b>Total</b>	<b>21,751,886</b>	<b>28,438,934</b>	<b>31,989,044</b>
<b>Net Operating Income</b>	<b>1,514,644</b>	<b>2,519,041</b>	<b>382,643</b>
<b>Non-Operating Income (Expense)</b>			
ILP - WCGE \$1.3 million	(5,618)	(53,546)	(91,793)
Existing Debt Service \$20 million	(1,020,112)	(1,339,356)	(1,339,931)
<b>Debt Service</b>	<b>(1,025,730)</b>	<b>(1,392,902)</b>	<b>(1,431,724)</b>
University Overhead	(936,606)	(778,512)	(865,259)
Capital Equipment & Software	47,008		
Interest Income	230,786	249,751	277,580
Insurance Refund	328,425		
<b>Total Non-Operating Income</b>	<b>(1,356,117)</b>	<b>(1,921,663)</b>	<b>(2,019,403)</b>
<b>Change in Fund Balance</b>	<b>158,527</b>	<b>597,377</b>	<b>(1,636,760)</b>

\* 08/09 reduced by \$615K bond reimbursement, 09/10 increased by \$400K bicycle initiative and deferred maintenance

## ATTACHMENT 4

# Proposed Parking and U-PASS Rates 2010-2011

*As Approved by University Transportation Committee on April 12, 2010*

Rates Unchanged from 2009

1. UW COMMUNITY – PERSONAL	Term	Current Price	Proposed	Change	Participants
Student U-PASS	Monthly	\$33.00	\$33.00	0%	27,533 (1460 gratis)
Faculty/Staff U-PASS (FlexPass)	Monthly	\$40.00	\$44.00	10%	13,871 (2789 gratis)
U-Powered U-PASS	Annual	\$40.00	\$40.00	0%	248
Annual/Quarterly Single Occupancy Vehicle (SOV) includes 1 gratis U-PASS	Monthly	\$120.00	\$141.00	18%	3141/825
Annual/Quarterly Carpool - 2 person with 2 gratis U-PASSes	Monthly	\$100.40	\$141.00	40%	835/196
- 3 person with 3 gratis U-PASSes	Monthly	\$140.40	\$141.00	.04%	in # above
- 4 person with 3 gratis U-PASSes	Monthly	\$180.40	\$141.00	%-22	in # above
Annual/Quarterly Swing Permit ( 2:30pm - 8:00am, M-F, Sat, 7:00am to noon)	Monthly	\$60.00	\$70.50	18%	75/5
Annual/Quarterly Night Permits (4:00pm to 8:00am, M-F, Sat, 7:00am to noon)	Monthly	\$40.00	\$47.00	18%	431/15
Annual Reserved Space	Monthly	\$240.00	\$282.00	18%	28
Annual/Quarterly Motorcycle, Scooter, Moped	Monthly	\$40.00	\$47.00	18%	166/54
Night Extension (valid only with Night Permit) - 3:30pm-4:00pm entry	Per Day	\$2.00	\$2.00	0%	12/mo
- 3:00pm-3:30pm entry	Per Day	\$3.00	\$3.00	0%	in # above
- 2:30pm-3:00pm entry	Per Day	\$6.00	\$6.00	0%	in # above

2. UW COMMUNITY – PERSONAL LIMITED USE	Term	Current Price	Proposed	Change	Participants
Individual Commuter Tickets (non U-PASS)	Per Day	\$7.00	\$5.00	-29%	1328
Individual Commuter Tickets (U-PASS)	Per Day	\$3.50	\$5.00	43%	3142
U-Powered U-PASS Commuter Ticket	Per Day	\$3.00	\$5.00	67%	n/a
Short Term Daytime	Per Day	\$6.00	\$7.05	18%	312
Short Term Swing	Per Day	\$3.00	\$3.53	18%	0
Short Term Night	Per Day	\$2.00	\$2.35	18%	866
<b>Pay Per Use (PPUP) - UW Faculty, Staff &amp; Affiliates only (with U-PASS/Without U-PASS)</b>					1868/1582
4 days a pay period w/U-PASS	Per Day	\$3.50	\$5.00	43%	
4 days a pay period w/out U-PASS	Per Day	\$6.00	\$5.00	-17%	
Greater than 4 days w/U-PASS	Per Day	\$6.00	\$7.05	18%	
Greater than 4 days w/out U-PASS	Per Day	\$7.00	\$7.05	1%	
<b>Carpool</b>					
PPUP Carpool (2 + person) requires Husky Card and U-PASS	Per Day	\$1.02	\$3.00	194%	1740/mo
Impromptu Carpool (2 - 3 + person) - Upper Campus (U-PASS required)	Per Day	\$1.02	\$3.00	194%	1320/mo
E1 Lot Carpool (2 + person) requires Husky Card and U-PASS	Per Day	\$0.80	\$2.00	150%	2320/mo
Retiree Permit	Monthly	\$48.00	\$56.40	18%	13
Retiree	Per Day	\$1.00	\$1.00	0%	3600/mo
NightRide Pre-purchased Tickets (no charge w/UPASS)	Per Day	\$1.00	\$1.00	0%	250

3. UW COMMUNITY – UW BUSINESS & UW VEHICLES	Term	Current Price	Proposed	Change	Participants
Annual University Owned or Operated Vehicle	Annual	\$0.00	\$270.54	NEW	642
Stall Reserved for University Department	Monthly	\$240.00	\$282.00	18%	61
Department Out of Area (premium added to other permit product)	Monthly	\$10.00	\$20.00	100%	103
Annual Special Designators - "U" Universal (premium added to other permit product)	Monthly	\$15.00	\$20.00	33%	127
Annual Special Designators - "S" Service (premium added to other permit product)	Monthly	\$30.00	\$40.00	33%	13
Annual Special Designators Limited - "UL" (premium added to other permit product)	Monthly	\$10.00	Discontinued		18

*April 26, 2010*

4. PUBLIC RATES	Term	Current Price	Proposed	Change	Participants
<b>Daytime Rates</b> - entry from 6:00am to 5:00pm, M-F					
Daily average - 0-30 minutes	Each	\$2.00	\$2.00	0%	
30 minutes to 1 hour	Each	\$3.00	\$3.00	0%	
over 1 hour to 2 hours	Each	\$6.00	\$6.00	0%	
over 2 hours to 3 hours	Each	\$9.00	\$9.00	0%	
over 3 hours to 4 hours	Each	\$12.00	\$12.00	0%	
over 4 hours	Each	\$15.00	\$15.00	0%	
Motorcycle, Scooter, Moped	Per Day	\$6.00	\$5.00	-17%	180/mo
<b>Nighttime Rates</b> - entry from 5:00pm - 9:00pm M-F, Sat 7:00am - noon					
0-30 minutes		\$2.00	\$2.00	0%	
30 minutes to 1 hour		\$3.00	\$3.00	0%	
over 1 hour		\$6.00	\$5.00	-17%	
CPG Night - start charging event rate at 5:00pm		\$10.00	\$10.00	0%	
<b>Triangle Garage Rates</b> (Note: Parking staff available beyond posted hours to collect parking fees)					
Daytime Rates - entrance between 6:00am and 5:00pm M-F					
0-30 minutes	Each	\$2.00	\$2.00	0%	
30 minutes to 1 hour	Each	\$3.00	\$3.00	0%	
over 1 hour to 2 hours	Each	\$6.00	\$6.00	0%	
over 2 hours to 3 hours	Each	\$9.00	\$9.00	0%	
over 3 hours to 4 hours	Each	\$12.00	\$12.00	0%	
over 4 hours	Each	\$15.00	\$15.00	0%	
Night Rates- entry from 5:00pm - 9:00pm M-F and Sat 7:00am - noon					
0-30 minutes	Each	\$2.00	\$2.00	0%	
30 minutes to 1 hour	Each	\$3.00	\$3.00	0%	
over 1 hour	Each	\$6.00	\$5.00	-17%	
Lost Ticket	Each	\$15.00	\$15.00	0%	
In/Out Privileges Card (Only with validation)	Each	\$15.00	\$15.00	0%	
Parking Card Permit - billed to UW department	Each	\$15.00	\$15.00	0%	
<b>Mechanically Issued Rates</b>					
Lot E1 - Cash	Per Day	\$7.00	\$6.00	-14%	1920/mo
Lot E1 - Husky Card	Per Day	\$4.00	\$6.00	50%	14,740/mo
Parking Meters	Hourly	\$3.00	\$3.00	0%	
Lot E4 daytime dispensers	Per Day	\$3.00	\$3.00	0%	
Tubby Graves/IMA	Hourly	\$3.00	\$3.00	0%	
West Campus night dispensers	Per Night	\$5.00	\$5.00	0%	
30 minute load/unload zone	30 min.	\$2.00	\$2.00	0%	

5. PRE-PURCHASED VISITOR	Term	Current Price	Proposed	Change	Participants
Departmental Commuter Tickets (for guests)	Each	\$15.00	\$15.00	0%	1960/mo
Universal Departmental Commuter Ticket (for guests)	Each		\$20.00	NEW	
Night Department Commuter Tickets (for guests)	Each	\$6.00	\$5.00	-17%	in # above
VIP Departmental Visitor (in 5 Ticket Booklet)	Booklet	\$200.00	Discontinued		24
President's Club Permits	Each	\$7.50	\$10.00	33%	791
Daytime - Visitors	Per Day	\$15.00	\$15.00	0%	1261
Nighttime - Visitors	Per Day	\$6.00	\$5.00	-17%	474
Parking Card - Daytime entry	Per Day	\$15.00	\$15.00	0%	1402
Parking Card - Nighttime entry	Per Day	\$6.00	\$5.00	-17%	
E1 Permit	Weekly	\$35.00	\$30.00	-14%	
Metro Bus Tickets (at face value)	Booklet	\$35.00	Discontinued		7000

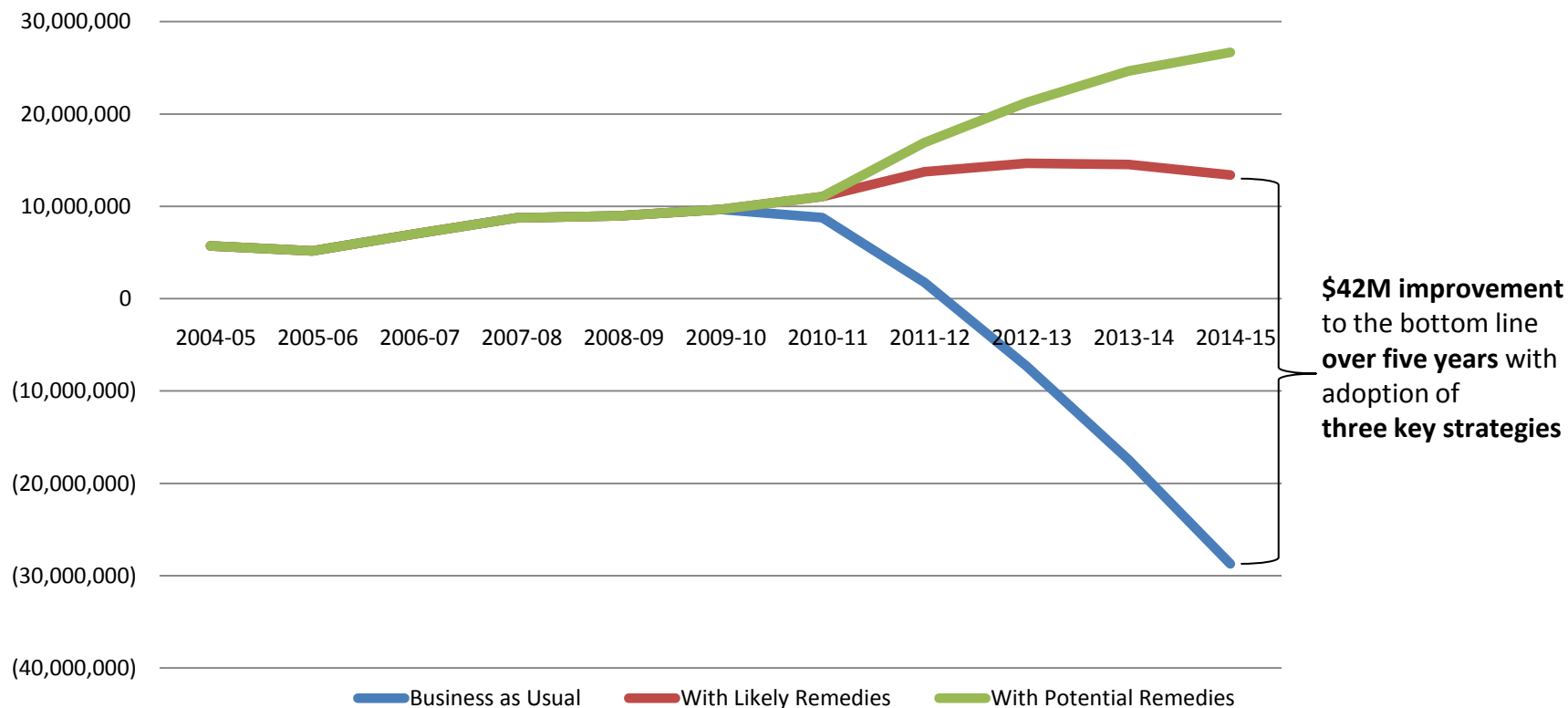
6. SECURE BICYCLE PARKING	Term	Current Price	Proposed	Change	Participants
Key Deposit	Deposit	\$85.00	\$85.00	0%	
Locker Rental	Annual	\$120.00	\$140.00	17%	550
Bike Enclosure Rental	Annual	\$40.00	\$40.00	0%	75

7. SPECIAL EVENTS & ARRANGED PARKING	Term	Current Price	Proposed	Change	Participants
Football and events in excess of 24,000 in attendance					
Autos - weekend 3 or more persons, weekdays 4 or more persons	Per Day	\$15.00	\$20.00	33%	
Autos - weekend Fewer than 3 persons, weekdays fewer than 4 persons	Per Day	\$25.00	\$25.00	0%	
Motorhomes	Per Day	\$50.00	\$100.00	100%	
Additonal fee for trailer	Per Day		\$25.00	NEW	
Private Buses	Per Day	\$75.00	\$100.00	33%	
Men's Basketball, Windemere, Weekday Daytime Events					
E lots South of Wahkiakum	Per Day	\$15.00	\$15.00	0%	
E lots North of Wahkiakum	Per Day	\$7.00	\$7.00	0%	
Weekend and after 5:00pm General Arena Sports Events					
E lots South of Wahkiakum	Per Day	\$7.00	\$7.00	0%	
E lots North of Wahkiakum	Per Day	\$7.00	\$7.00	0%	
Weekend and after 5:00pm Outdoor Sports					
E lots South of Wahkiakum	Per Day	\$7.00	\$7.00	0%	
E lots North of Wahkiakum	Per Day	\$7.00	\$7.00	0%	
Other Events					
E lots South of Wahkiakum	Per Day	\$15.00	\$15.00	0%	
E lots North of Wahkiakum	Per Day	\$7.00	\$7.00	0%	
Events at Other Campus Locations	Per Day	\$15.00	\$15.00	0%	

8. ADMINISTRATIVE FEES	Term	Current Price	Proposed	Change	Participants
<b>Parking Replacement Fees</b>					
UW Parking Card Replacement	Each	\$25.00	\$25.00	0%	
Hang Tag Permit Replacement	Each	\$25.00	\$50.00	100%	67
Hang Tag Permit 2nd Replacement	Each	\$35.00	Discontinued		
4545 15th Ave (N28) Access Card Replacement	Each		\$35.00	NEW	
<b>UPASS Replacement</b>					
Student U-PASS Replacement (after 1st week)	Each	\$40.00	\$40.00	0%	
Faculty Staff U-PASS - First Replacement	Each	\$50.00	\$50.00	0%	246
1st quarter	Each	\$50.00	\$50.00	0%	in # above
Each additional quarter	Each	\$40.00	\$40.00	0%	in # above
Faculty Staff U-PASS - Second Replacement	Each	\$70.00	\$70.00	0%	in # above
1st quarter	Each	\$70.00	\$70.00	0%	in # above
Each additional quarter	Each	\$60.00	\$60.00	0%	in # above
<b>Failure to Return U-PASS Upon Withdrawal</b>					
Student withdrawal within 7 days	Each	\$200.00	\$200.00	0%	
Student withdrawal after 7 days	Each	\$99.00	\$99.00	0%	
<b>Handling Fees</b>					
Validation Coupon Handling Fee	Each	\$0.20	\$0.20	0%	
Returned Departmental Products Fee	Each	10%	10%	0%	
Parking Product Rush Processing Fee (less than 5 business days)	Each		10%	NEW	

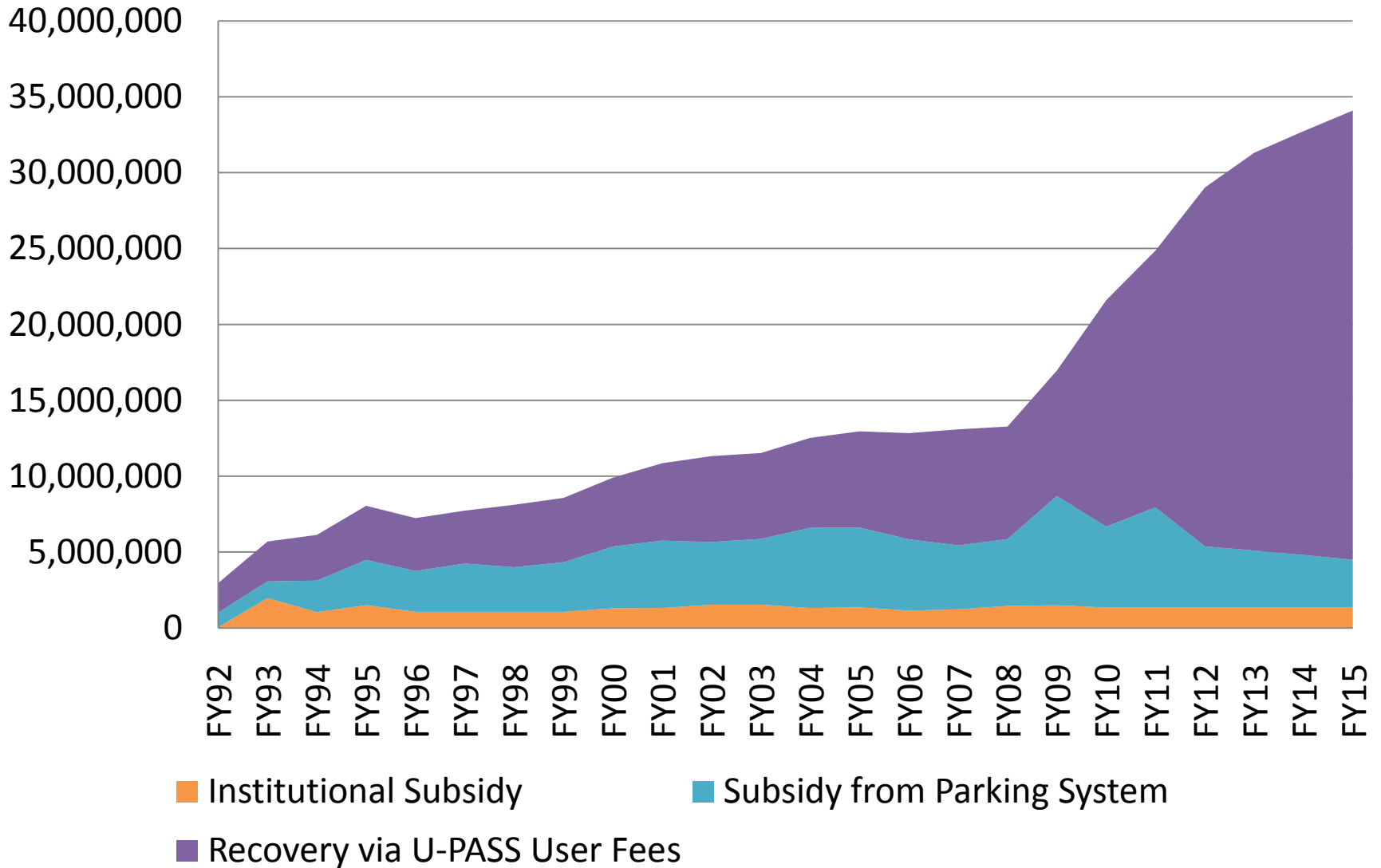
# Commuter Services Strategic Reserves

(sum of capital, price stabilization, and debt coverage reserves)





# U-PASS Funding Streams and Program Cost (Business as Usual)



# Key Strategies

- Mitigate the Tax Burden
- Reduce Transit Costs
- Increase Socialization / Decrease Price Point

# Mitigate the Tax Burden

## Parking Effective Tax Rate

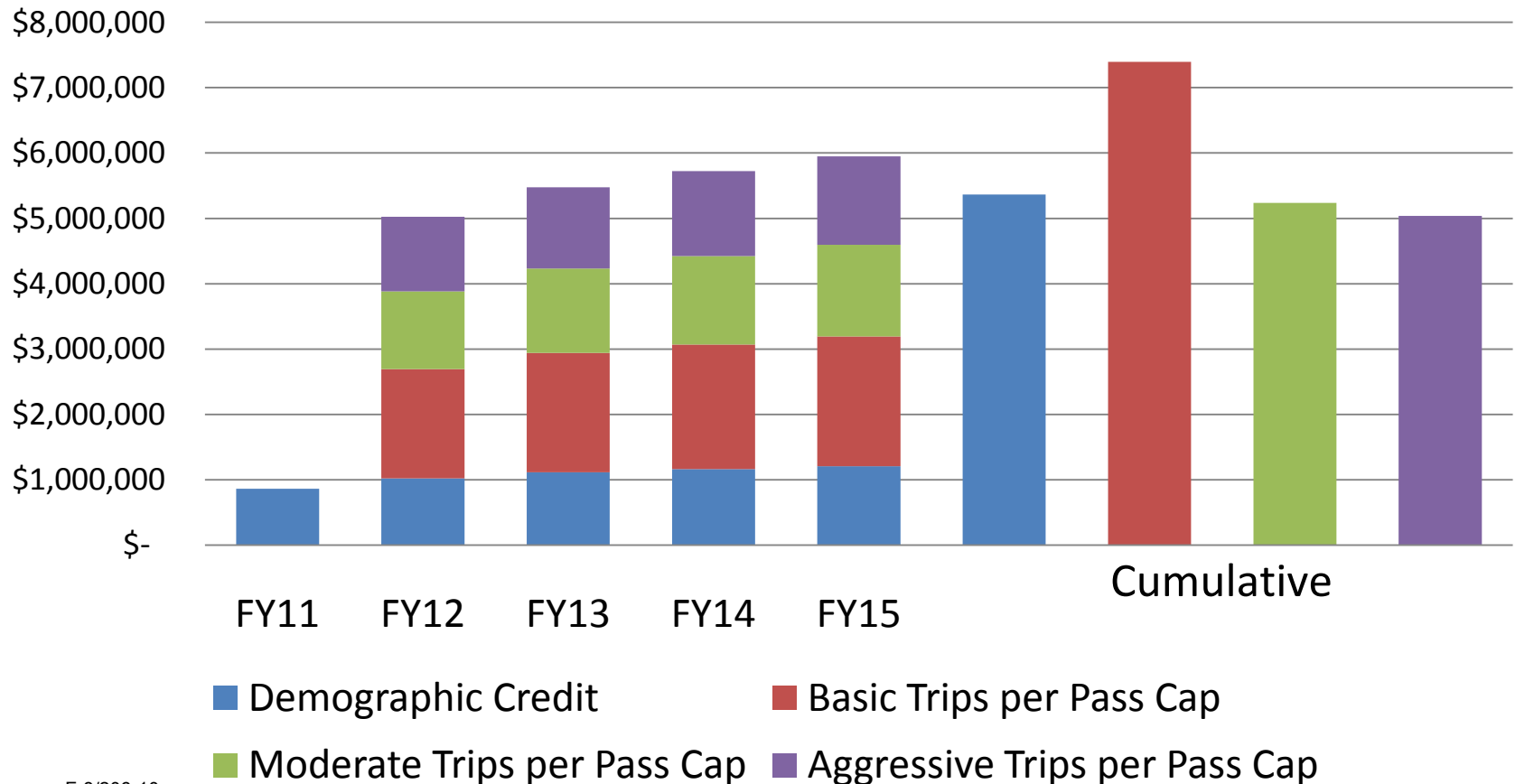
Tax Burden / Parking Fees





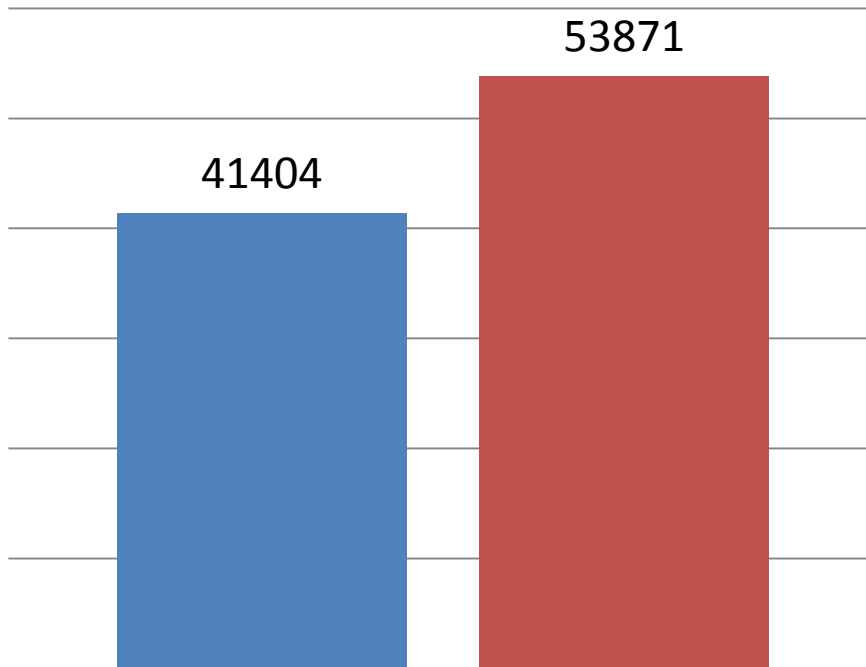
# Reduce Transit Costs

## Potential Transit Cost Savings (Reflects KC Metro Only)



# Increase Socialization / Decrease Price Point

## Impacts of Universal Student U-PASS



U-PASS Participants

■ FY10 ■ FY12



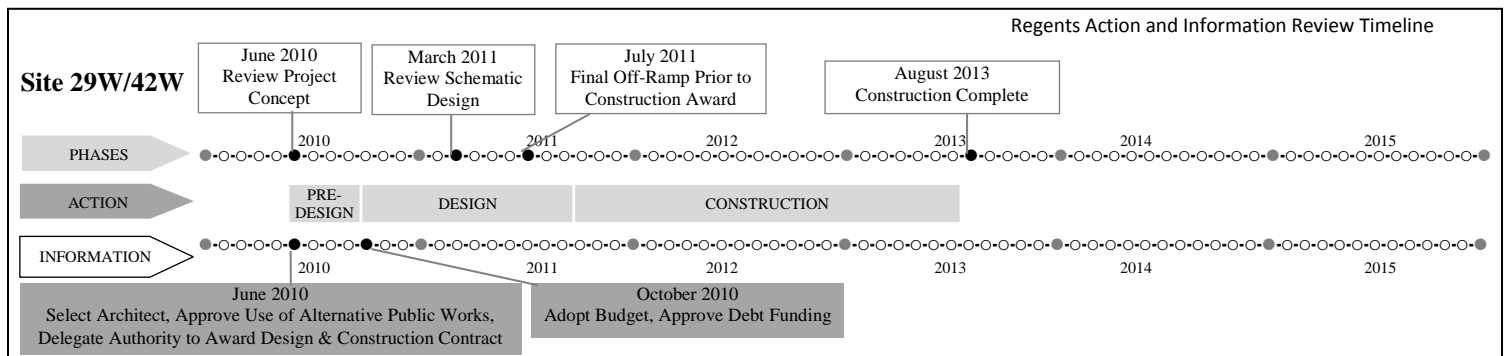
Student U-PASS Fee

■ FY10 ■ FY12

## VII. STANDING COMMITTEES

## B. Finance, Audit and Facilities Committee

Student Housing Phase II: Sites 29W/42W and 30W – Review Project Concept, Select Architect, Delegate Authority to Award Design Contract, Approve Use of Alternative Public Works, and Delegate Authority to Award Construction Contract



*Note for duration of project: written semi-annual reports in January & July. oral semi-annual updates in March & October*

RECOMMENDED ACTIONS:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that

1. the President be delegated authority to award a design contract for the Student Housing Phase II: Sites 29W/42W and 30W housing project on the Seattle Campus to the firm of Ankrom Moisan Architects with Feilden Clegg Bradley Studios, subject to successful negotiation of an architectural agreement. In the event of an unsuccessful negotiation with the selected firm, a delegation of authority is requested to open negotiations with the alternate team of Weinstein Architects and Urban Designers with Sasaki Associates, and
2. 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 preconstruction and construction GC/CM contracts to the selected contractor, subject to the scope, budget, and funding remaining within 10 percent of the established budget.

BACKGROUND:

Housing and Food Services (HFS) developed a Comprehensive Housing Master Plan which was presented to the Board of Regents in March 2008. Since then, the

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

Student Housing Phase II: Sites 29W/42W and 30W – Review Project Concept, Select Architect, Delegate Authority to Award Design Contract, Approve Use of Alternative Public Works, and Delegate Authority to Award Construction Contract (continued p. 2)

development of four sites in West Campus (31W, 32W, 33W and 35W) have been underway with occupancy of sites 31W and 33W scheduled for fall quarter 2011 and occupancy of sites 32W and 35W scheduled for fall quarter of 2012. These sites will add approximately 1,650 beds to the student housing inventory. Also underway is the Terry and Lander Halls renovation project which has an occupancy date of fall quarter 2013 for Lander Hall, and an occupancy date of fall quarter 2014 for Terry Hall.

The proposed project is composed of student-focused apartments on two west campus sites. An 800-900 bed apartment project is planned on site 29W/42W with five stories of wood frame housing on top of a concrete garage with parking for up to 300 cars. An initial project assumption anticipates the demolition of Mercer Hall which is currently located adjacent to site 29W. The options of reuse or demolition of Mercer Hall will be studied during the predesign phase. Construction on site 29W/42W is scheduled to begin in October of 2011 and will be ready for occupancy in fall of 2013. The occupancy date for site 30W with approximately 200 student focused apartment beds will be determined during the predesign phase. Site 30W is anticipated to have five floors of wood frame housing constructed over two floors of concrete that will house services that support the residents of the building.

The preliminary project cost for developing site 29W/42W is estimated at \$93-\$105 million and for site 30W the estimated project cost is an additional \$24 million. HFS will use existing reserves to fund the initial design phase through November 2010, which is estimated to cost approximately \$1.5 million.

#### ARCHITECT SELECTION:

The project is intended to be designed by a single design team to take advantage of the similarities of the type of housing, student apartments, and the type of construction, five floors of wood frame over one or two levels of concrete.

The Architectural Commission is charged with identifying the most qualified architectural firm as well as one or two alternate qualified firms that would ensure that negotiations can continue in a timely manner.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

Student Housing Phase II: Sites 29W/42W and 30W – Review Project Concept, Select Architect, Delegate Authority to Award Design Contract, Approve Use of Alternative Public Works, and Delegate Authority to Award Construction Contract (continued p. 3)

In April of 2010, the Capital Projects Office advertised for firms interested in providing architectural services for the development of site 29W/42W and site 30W. Thirteen firms responded to the request for qualifications and three firms were interviewed by the Architectural Commission on June 7, 2010: Ankrom Moisan Architects with Feilden Clegg Bradley Studios, Weber Thompson, and Weinstein Architects + Urban Designers. The Commission recommended that Ankrom Moisan Architects with Feilden Clegg Bradley Studios be appointed design architect for this project. The Architectural Commission recommended the team of Weinstein Architects and Urban Designers with Sasaki Associates as alternate in the event of an unsuccessful negotiation with the selected firm.

Ankrom Moisan Architects is a local firm with offices in Seattle and Portland. They have extensive experience in the design of market-rate housing, especially five story wood frame construction over one story of concrete construction, which is envisioned for this project. Feilden Clegg Bradley Studios located in England with offices in Bath and London, and specializes in the design of student housing. Feilden Clegg Bradley Studios has won numerous design awards including the 2008 RIBA Stirling Prize for best building design and the AJ100 2010 Sustainable Practice of the year award. Together these firms provide us with an exciting opportunity to create additional new student housing in the West Campus.

### CONSTRUCTION CONTRACTING STRATEGY:

The Capital Projects Office recommends the use of 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 critical to the successful construction and renovation of many recent UW buildings. Because the schedule is aggressive, having the GC/CM on board early will help the design team maintain schedule and possibly accelerate it.

The intent is to have the GC/CM selected and under contract for preconstruction services before the end of the predesign phase. Early selection of the GC/CM is expected to improve project delivery through greater involvement in project budget development, examination of existing conditions, assistance in developing

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

Student Housing Phase II: Sites 29W/42W and 30W – Review Project Concept, Select Architect, Delegate Authority to Award Design Contract, Approve Use of Alternative Public Works, and Delegate Authority to Award Construction Contract (continued p. 4)

contracting strategies for equipment procurement, and subcontractor involvement during the design phase. This collaborative approach is expected to reduce project costs and improve product quality through improved tradecraft involvement and better design and construction coordination. A construction contract will not be awarded to the GC/CM until the Board of Regents has reviewed the project status at the final off-ramp presentation, which is scheduled for July 2011.

#### FUTURE BOARD OF REGENTS ACTION:

The Treasury Office will complete a credit analysis of HFS's sites 29W/42W and 30W housing project prior to Board action in October 2010 for project budget and financing approval. The financing plan for the sites 29W/42W and 30W housing project will include identification of off-ramps that will coincide with milestones in the design and bidding process.

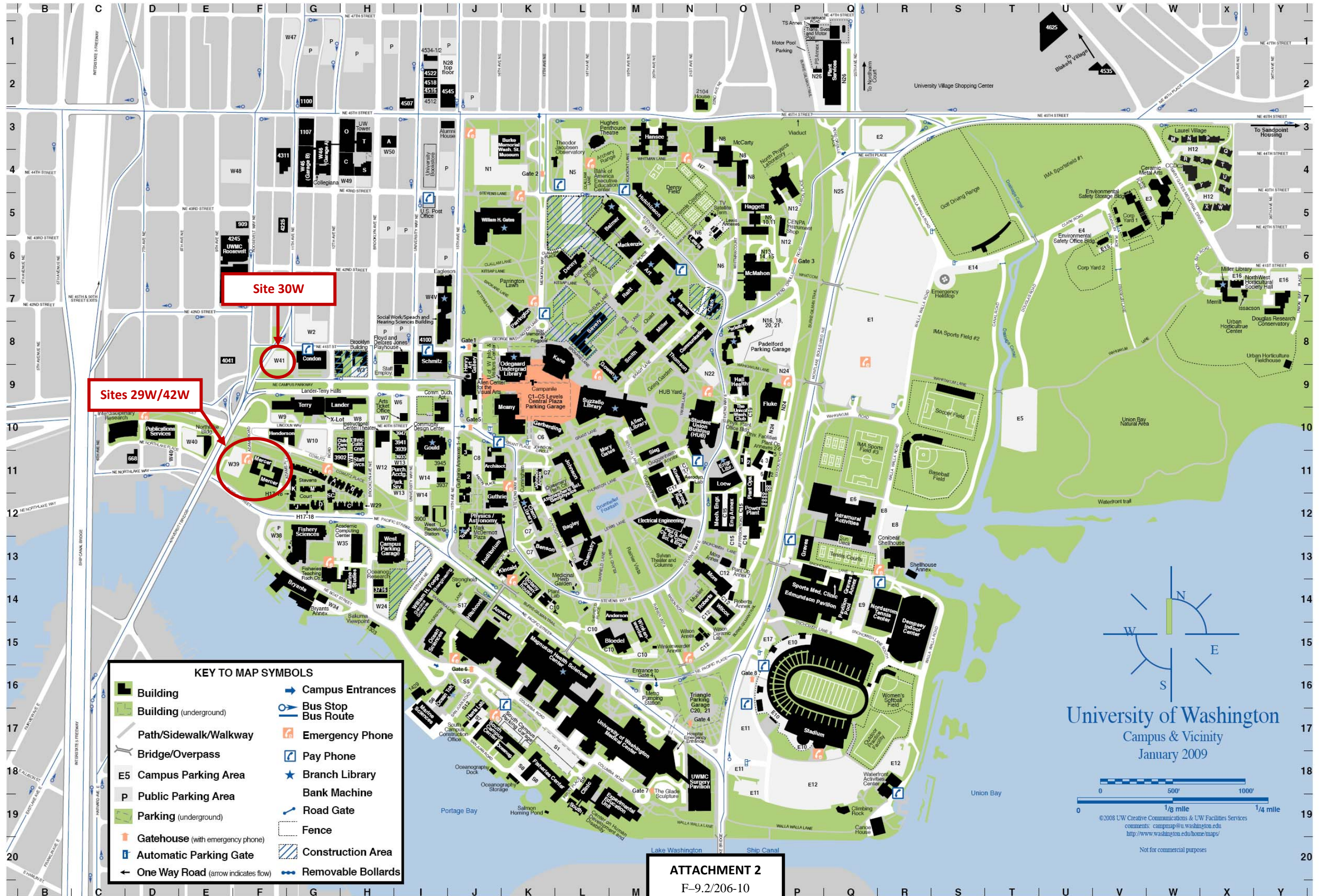
#### *Attachments*

1. Sites 29W/42W 30W Detailed Map
2. Sites 29W/42W 30W Campus Vicinity Map



ATTACHMENT 1







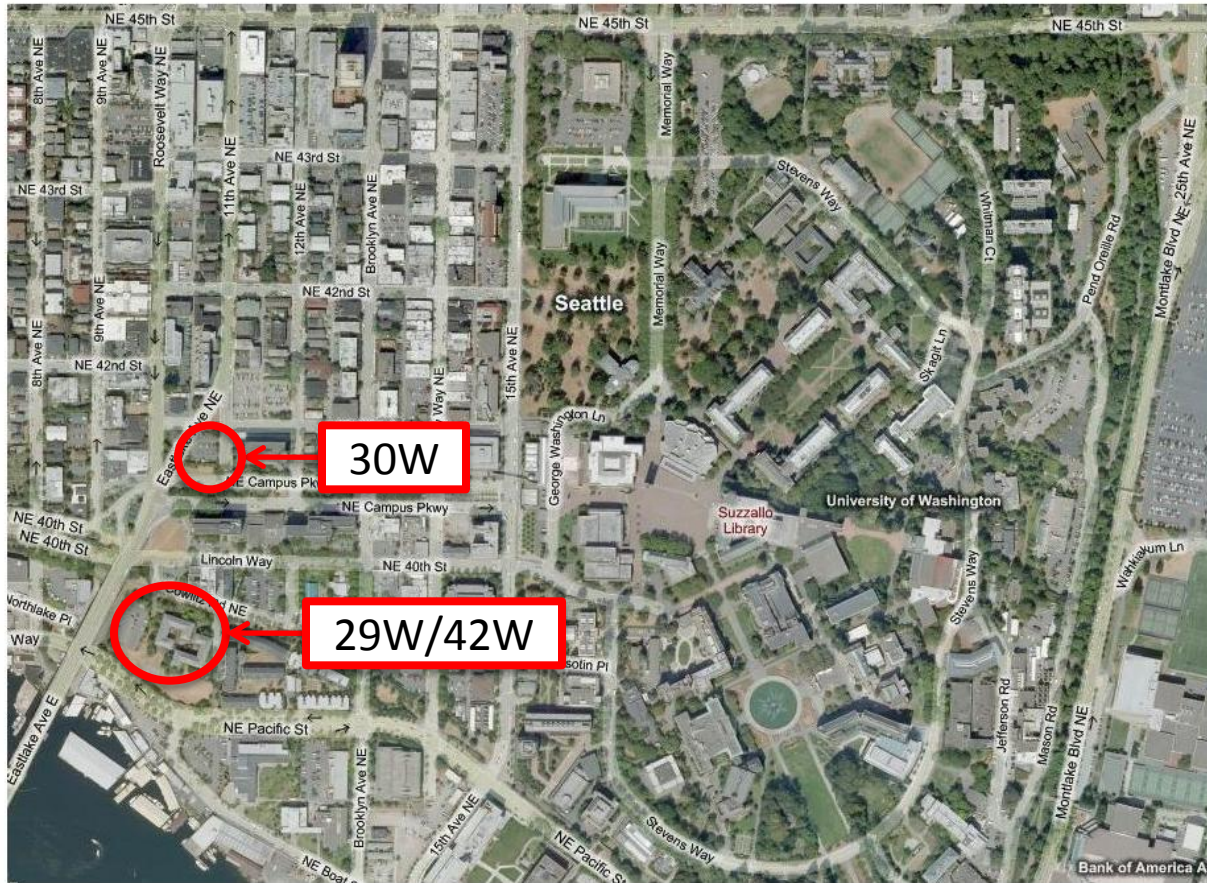
# Student Housing Projects

Board of Regents

June 10, 2010

# Student Housing Projects

## Sites 30W and 29/42W



F-9/206-10  
6/10/10

## Student Housing Projects West Campus



F-9/206-10  
6/10/10

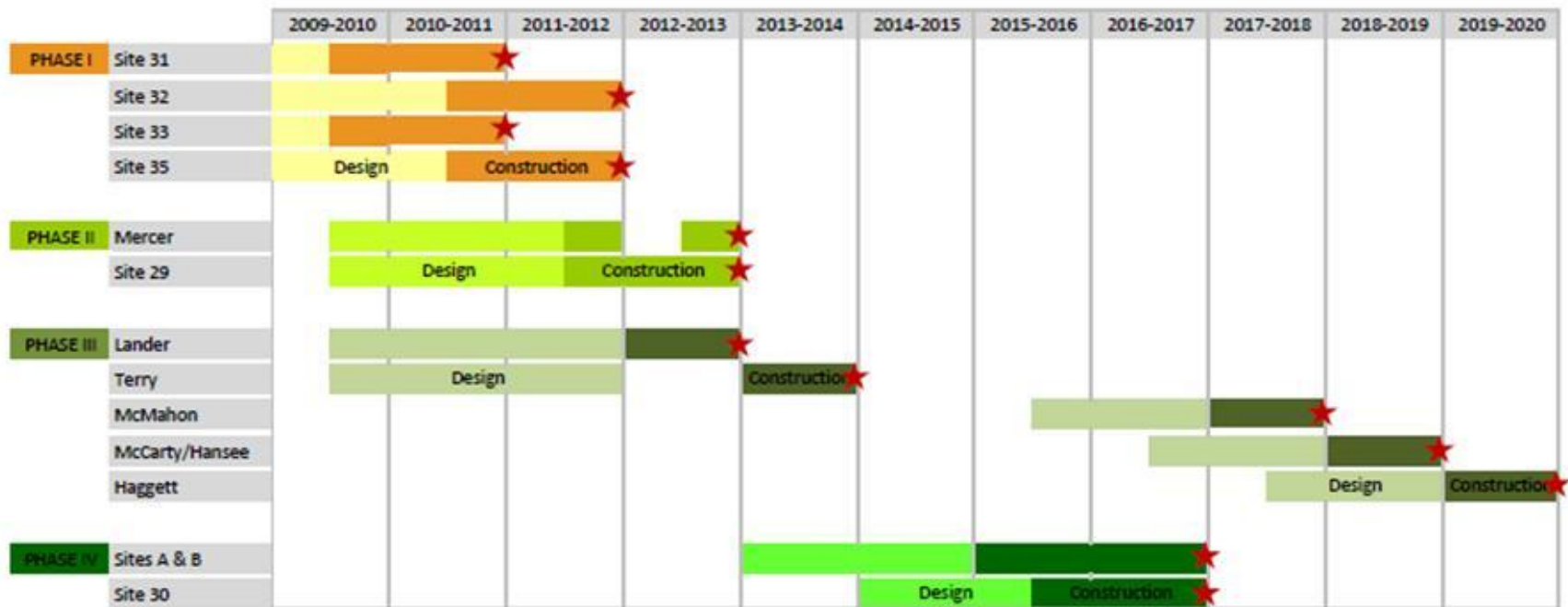


Current Housing Development Sites



Existing Housing Sites

## Student Housing Projects New Construction and Renovation Schedule



F-9/206-10  
6/10/10



VII. STANDING COMMITTEES

B. Finance, Audit & Facilities Committee

Capital Projects Office Semi Annual Status Report

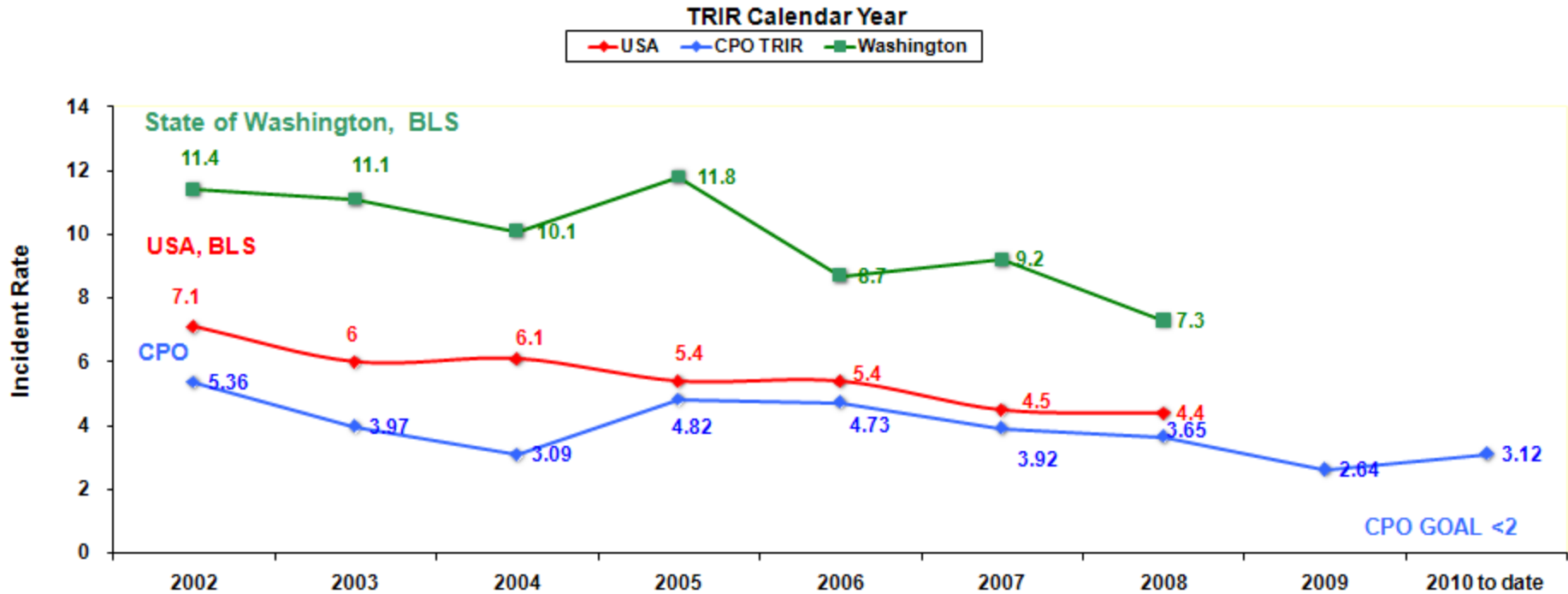
This will be an oral report for information only.



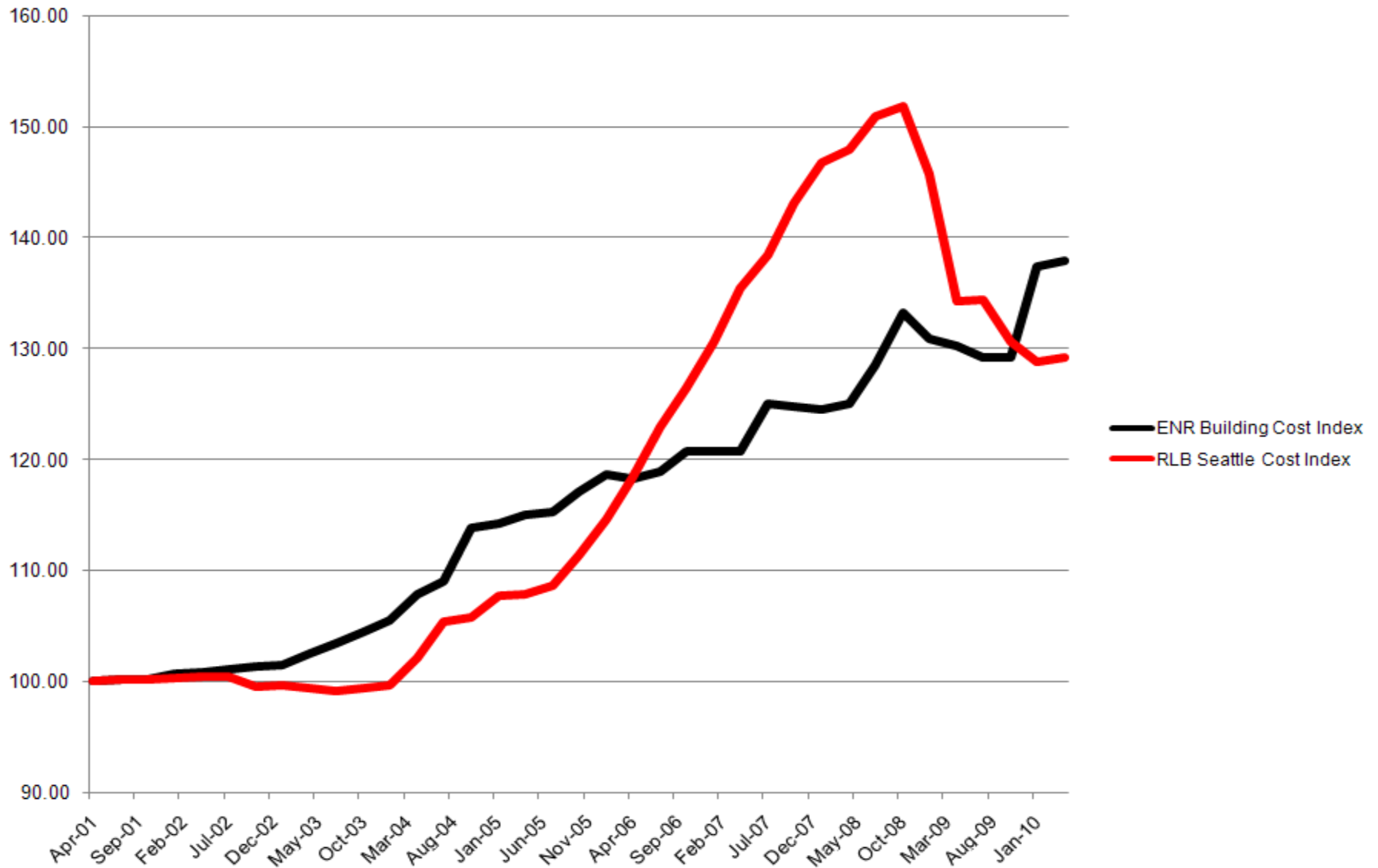
# Capital Projects Office Semi-Annual Status Report

October 2009 – May 2010

# CPO SAFETY



## ENR Building Cost Index vs. RLB Seattle Cost Index





# Material Commodities Index

## ASPHALT, CEMENT, AGGREGATE, CONCRETE, BRICK

Ready mix concrete 4000 psi  
8" concrete block

## PIPE PRODUCTS

PVC 4"  
Copper tube 1/2"

## LUMBER, PLYWOOD, GYPSUM WALL BOARD

2" x 4" Fir  
5/8" Gypsum board

## METALS

Structural steel wide flange  
Rebar

## COMMON LABOR INDEX

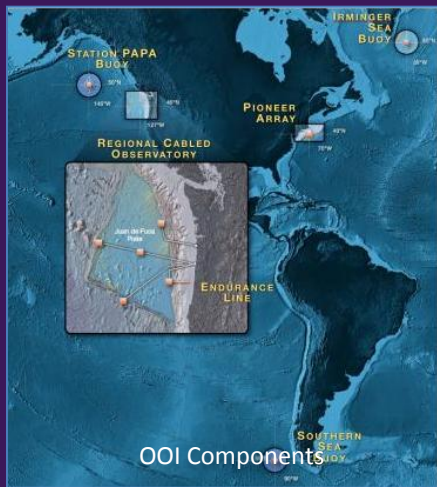
UNIT	2008	2009	2010
CY	\$91.37	\$93.00	\$102.97
C	\$155.20	\$155.20	\$155.20
LF	\$1.50	\$1.62	\$1.62
LF	\$2.49	\$2.49	\$2.42
MBF	\$488.89	\$455.80	\$452.10
MSF	\$274.00	\$278.00	\$278.00
CWT	\$37.54	\$40.57	\$43.88
CWT	\$35.72	\$38.53	\$42.70
	17097	18016	18556

# Emerging Projects

- ▶ Rainier Vista / 520 Interchange
- ▶ Student Housing – Phase 2
- ▶ Sound Transit – North Link

# Other Projects

- ▶ Ocean Observatories Initiative
- ▶ Sound Transit U - Link

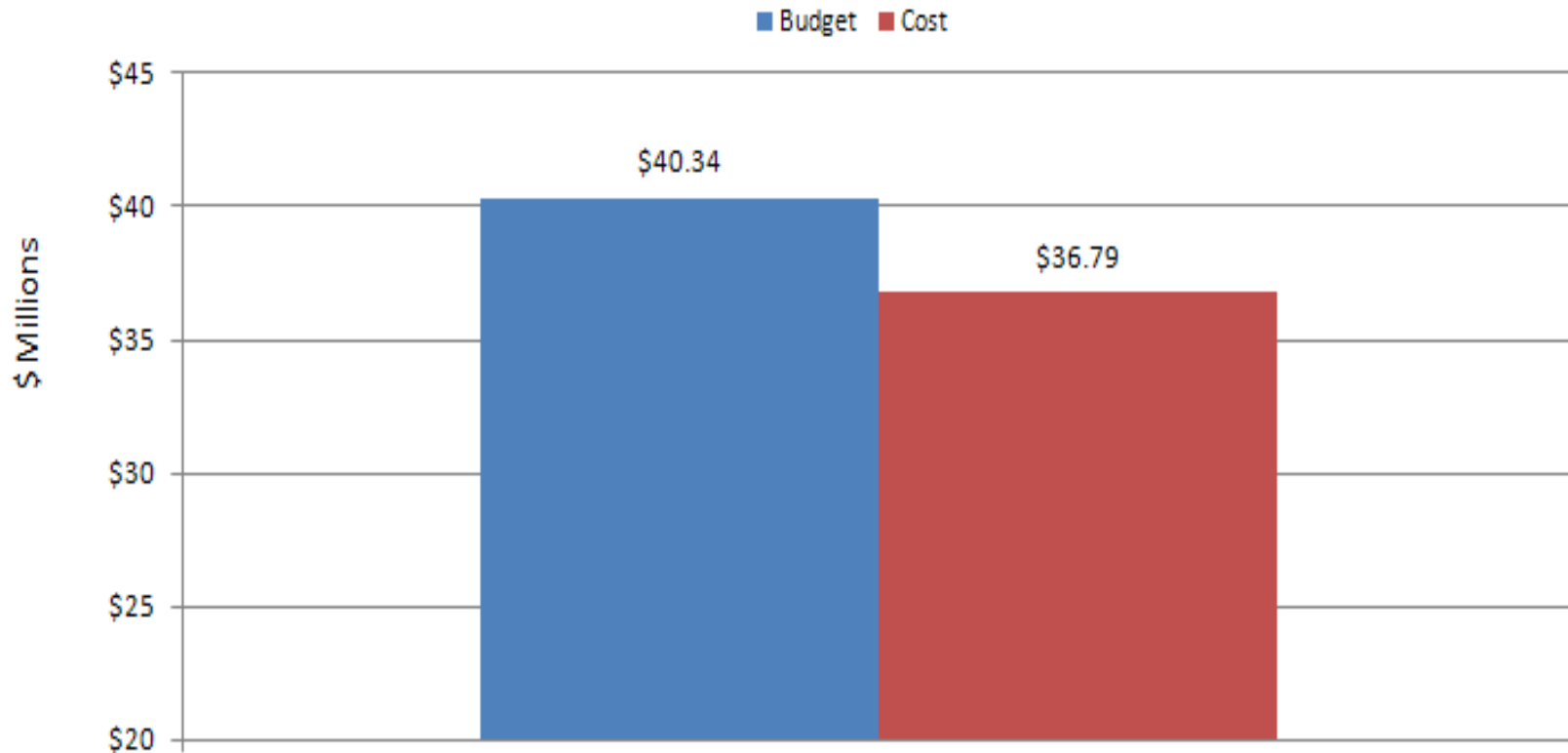


# Major Projects Closed

	Budget / Actual \$M	Use Date / Actual
Clark Hall	18.1 / 17.2	3-09 / 6-09
Playhouse Theatre	9.8 / 10.5	9-08 / 10-08
West Campus Parking	17.9 / 13.6	9-09 / 3-09
Harborview Bond *	221 / 210	4-08 / 7-08
Architecture Hall	25.4 / 24.2	9-07 / 9-07
UWMC Radiation Oncology	5.3 / 4.8	7-09 / 5-09
MAG HSC H-Wing	43.2 / 37.9	10-8 / 10-8
* Budget includes future demolition. Cost does not.		

# Projects Under \$5 Million Closed

October 2009 - May 2010  
167 Special Projects Closed



# Number of Project Contracts Issued November 2009 – May 2010

	<u>W/MBE</u>	<u>Total</u>
Designers/Consultants	7 (4%)	157
Contractors	2 (6%)	32



# Major Projects in Closeout

	<u>Budget/ F'cst \$M</u>	<u>Use Date / F'cst</u>
Benjamin D. Hall	29.9 / 29.4	9-05 / 3-06
Benjamin D. Hall iAMT	6.6 / 6.1	9-09 / 9-09
Wm. H. Philip Hall	12.1 / 10.7	1-09 / 10-08
Savery Hall	61.2 / 61.2*	9-09 / 9-09
UW Tower Data Center	32.5 / 32.5*	12-09 / 12-09
* Scope reinstated		



# Major Projects in Bid/Construction

	<u>Budget/F'cst \$M</u>	<u>Use Date / F'cst</u>
Business Phase 1	95.0 / 92.1	9-10 / 9-10
Hall Health	10.2 / 10.2	8-11 / 9-11
Housing Phase 1	147.7 / 153.2*	(9-11 / 9-11) (9-12 / 9-12)
HSC 6 <sup>th</sup> Floor – RR Wing	28.7 / 25.1	4-10 / 6-10
HSC J-Wing Micro. Bio.	23.5 / 18.6	3-11 / 6/11
Molecular Engineering	77.7 / 77.7 *	1-12 / 1-12
UW MC Expansion	199.5 / 199.5	5-12 / 5-12
UW Tacoma Phase 3	54.3 / 54.3	(9-11 / 3-11) (6-12 / 6-12)
Wash. Dental Bldg.	19.8 / 19.8*	9-10 / 9-10
* Scope expanded		

Kidney, Heart and  
Various Human Organ  
Transplants are being  
performed on the other  
side of this wall.  
IT COULD BE SOMEONE  
YOU KNOW!!!!!!

03/31/2010 11:21

# Major Projects in Design

Budget/F'cst \$M

Use Date / F'cst

Anderson Hall	TBD	TBD
Burke Museum	TBD	TBD
Ethnic Cultural Ctr.	15.5 / 13.95	9-11 / 2-12
Foster School Phase 2	46.8 / 46.8	9-12 / 5-12
House of Knowledge	TBD	TBD

# Major Projects in Design

	<u>Budget/F'cst \$M</u>	<u>Use Date / F'cst</u>
Housing Phase 3	TBD / 85	(9-13/9-14) /(9-13/9-14)
Hub Renovation	128.3 / 128.3	9-12 / 9-12
Safe Campus	8.0 / 8.0	6-11 / 6-11
Smart Grid	9.2 / 9.2	5-11 / 5/11
UW Bothell Phase 3	TBD / 68.0	TBD / 9-13

# UW Board of Regents

## Report Timing

### ► Current Agreement

- Semi Annual Written Reports

  - 1 January – 30 June in July

  - 1 July – 31 Dec. in January

- Verbal Reports

  - 1 September – 28 February in March

  - 1 March – 31 August in September

# UW Board of Regents

## Proposed Report Timing

### ► Proposed

- Semi Annual Written Reports

  - 1 December – 31 May in June

  - 1 June – 30 November in December

- Verbal Reports

  - 1 September – 28 February in March

  - 1 March – 31 August in September

VII. STANDING COMMITTEES

B. Finance, Audit & Facilities Committee

University of Washington Investment Committee (UWINCO) Update

This will be an oral report for information only.

VII. STANDING COMMITTEES

B. Finance, Audit & Facilities Committee

Advisory Committee on Real Estate (ACRE) Update

This will be an oral report for information only.



**VII. STANDING COMMITTEES****A. Academic and Student Affairs Committee**

*In Joint Session with*

**B. Finance, Audit and Facilities Committee****UW Medicine Annual Operations and Governance Report – Strategic Plan  
Overview****INFORMATION:**

The UW Medicine health care system has made a number of important steps this year in implementing the strategic plan adopted last summer. The fundamental goal of the UW Medicine strategic plan is to achieve a fully integrated, balanced, and accountable health care delivery system. The strategies articulated in the plan are focused on building key clinical programs through direct investment and the development of core systems and organizational capabilities that provide the infrastructure for those services in support of our mission to improve health.

This report is for information only.

***Attachments***

1. UW Medicine Operations Report to the UW Board of Regents, June 10, 2010
2. UW Medicine Fact Sheet

# **UW Medicine Operations Report to the UW Board of Regents**

**June 10, 2010**

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## **Strategic plan overview**

The UW Medicine health care system has made a number of important steps this year in implementing the strategic plan adopted last summer. The fundamental goal of the UW Medicine strategic plan is to achieve a fully integrated, balanced, and accountable health care delivery system. The strategies articulated in the plan are focused on building key clinical programs through direct investment and the development of core systems and organizational capabilities that provide the infrastructure for those services in support of our mission to improve health. More details on the UW Medicine strategic plan can be found at <http://depts.washington.edu/uwmisp/>.

## **Strategic priorities**

### **Building key clinical programs will be accomplished by:**

- Investing in the development of new centers of excellence in eye, pain, vascular, diabetes/obesity, and digestive disorders;
- Growing and defending our market position in established programs of cardiac, oncology, neurosciences, obstetrics/neonatology, musculoskeletal, and transplantation; and
- Ensuring continued public and community support for our core services of trauma, burn, behavioral health, and care for the uninsured and underinsured.

### **Building core systems and organizational capabilities will be accomplished by:**

- Expanding UW Medicine's ambulatory and secondary care capabilities;
- Expanding strategic outreach and marketing throughout the WWAMI region to defend volumes in tertiary care and expand reach for quaternary care using Airlift Northwest and 24/7 Transfer Center.
- Consolidating patient access services (call center, transfer center) and expanding the scope to cover all UW Medicine clinical care entities;
- Engaging in a system-wide initiative to enhance service, quality and safety; and
- Investing in priority information technology systems to support our patient care, quality & safety, administrative and financial activities.

### **Advancing UW Medicine's educational and research programs through the planning and execution of appropriate strategic initiatives.**

- Focused development of services, centers, and institutes that advance and expand the core services of UW Medicine through the translation of research to the bedside.
- Developing more robust training sites in ambulatory and secondary care settings.

## Strategic initiatives

The actions we have taken to implement the strategic plan fall into three categories:

- Investment in programs, facilities, and systems;
- Organizational change; and
- Reallocation of resources.

As we have continued to implement the strategic plan for the UW Medicine health system we have modified elements to best position us for National Health Reform. Specific examples that I want to call your attention to today include adjustments to the UW Medicine IT strategic plan, adjustments to the sequencing of patient care units in the UW Medical Center expansion to meet new demands for strategic growth in oncology patients, Airlift Northwest (ALNW) 501C3 changes for optimum efficiency and financial improvement, and the plan for improvement of payer mix erosion that has been influenced by the economy this past year at Harborview Medical Center.

### UW Medicine IT-Computerized Physician Order Entry (CPOE) – Regent's Action Item

We have accelerated the design and development of the final element of our Online Record of Clinical Activity (ORCA) project – Computerized Physician Order Entry (CPOE). In 2002, UW Medicine embarked on the selection and implementation of an electronic medical record (EMR) to unify patient data residing in various paper and electronic sources and to provide tools for documenting care, viewing results of diagnostic tests, monitoring patient status, and ordering of patient care interventions, supplies and services. While many of these objectives have been achieved through the investment to date in ORCA, transition of clinicians' order management processes to the EMR has not yet been undertaken. This proposed CPOE Project is the primary component of the fourth phase of the ORCA project. CPOE has the potential to decrease medical errors, facilitate best medical practices, strengthen regulatory compliance, and optimize business objectives. Specifically, the CPOE Project is intended to solve clinical/business issues associated with the current paper-based patient orders management processes.

UW Medicine health professionals at the University of Washington Medical Center (UWMC) and Harborview Medical Center (HMC) currently write patient orders on the paper chart. These orders are then transcribed by a clerk onto a paper requisition which is then transported to the appropriate essential service department (e.g., Radiology, Laboratory, Pharmacy, etc) where the order goes through additional processing before the request is fulfilled. In the case of medications, imaging, lab and nutrition orders, the orders are then entered into a separate electronic departmental system. The current processes related to order management are inefficient and provide caregivers limited information about the type and status of previous orders. Implementation of CPOE will provide:

Enhancement to Patient Safety & Quality – Multiple quality assurance processes are currently required to mitigate the occurrence of errors. These are manual processes that are resource intensive and do not provide the level of safeguards that CPOE provides. Examples include:

- Hand-written orders are not always legible and details are prone to misinterpretation.
- Hand-written transcription of order details to requisition forms by staff is resource intensive and an additional point of error introduction.
- Orders entered for medications can have significant interactions with other medications or allergies.
- There is no process for continuous review using electronic decision support advancements
- Paper-based orders are occasionally lost in the multiple hand-offs within the ordering location, between ordering and ordered service location and within the servicing location.

System Efficiencies – The current hand written order management mega-process is comprised of a complex series of batch and serial processes. While component sub-processes may be effective, the resulting system has a number of efficiencies to be gained. Examples include:

- Multiple hands-offs and interim processing steps result in an extended period of time to get an authenticated request into an order fulfillment queue.
- Ordering health professionals must spend time collecting relevant patient data points from paper and systems to inform their ordering decisions.
- Patient care unit staff spend time transcribing orders from order sheets to requisition forms.
- Fulfilling department staff manage work queues with paper-based processes.
- Orders with incomplete or inappropriate order specifications result in phone calls to units or practicing health professionals for clarification.

These universally understood clinical/business challenges related to paper-based orders have received a great deal of national exposure over the past decade. This scrutiny ultimately resulted in federal government action as part of the American Recovery and Reinvestment Act of 2009 (ARRA). Among its criteria, ARRA requires the use of CPOE and sets specific targets for use between 2011 and 2015 including mandates, financial incentives and penalties. ARRA anticipates health professional and physician use of CPOE to begin in 2011. The guidelines state that in order to receive incentive payments, hospitals are required to enter 10% of their orders using CPOE in 2011, and must be at 100% CPOE by 2015, with substantial penalties starting in 2015 if CPOE is not in full use. For UW Medicine, estimates of incentive payment opportunities range from \$10-18 million over the initial four years. Correspondingly, penalty payments start at \$3 million per year and could exceed \$24 million by 2017.

A significant amount of effort to implement CPOE will go towards re-design of operational processes such as care delivery, order authorization workflow and service department delivery, and inpatient transfer and discharge processes. Because of the impact of CPOE on clinical practice throughout UW Medicine, the project steering committee includes the medical directors and chief nursing officers, the president of UW Physicians, director of pharmacy, and director of IT clinical applications. The steering committee will utilize standing clinical practice and quality committees to assist in guiding the project and ensuring input. UW Medicine has been working on the detail planning for CPOE in order to prepare a project investment plan for approval. Total project budget investment costs include:

Project staffing – internal salaries/benefits	\$ 14,218,700
Service contract with Cerner	4,898,700
Service contracts – other external providers	3,240,700
Staffing / labor contingency	5,959,300
External contract vendor travel/expenses	783,800
Software license and maintenance	62,000
Total	\$ 29,163,200

In addition to project investment costs, five year operating costs for software licensing and maintenance and operations staff will total approximately \$13,700,880. The project implementation plan is based on a 27 month schedule, with an additional six months for contingency. Project initiation is contingent on approval of the project investment plan by the Washington State Department of Information Services and the Information Services Board, which has oversight for information technology acquisitions by state agencies and institutions.

### **UW Medical Center (UWMC) Expansion Project - Regent's Information Item**

We are planning a modification to the first phase of the UWMC expansion project to complete the eighth floor in lieu of the fifth floor. Over the past year, UWMC has experienced significant growth in medical oncology, hematologic malignancy, and Blood and Marrow Transplant (BMT) volumes. An additional inpatient hematology/oncology team has been added to support the increased hematologic malignancy/acute leukemia demand from the Seattle Cancer Center Alliance (SCCA). Additionally, the SCCA expanded its BMT service to a fifth outpatient team to be able to accommodate an additional 100 stem cell transplants per year by 2014. Additional bed capacity is needed for these patients and to support this clinical program. The strategic plan that has been jointly developed with the SCCA for oncology services was updated in April 2010. The updated plan anticipates continued significant growth in BMT and hematologic malignancy patient volumes beyond what has been experienced this past year. A total of 50 additional beds for oncology patients are forecast to be needed by 2014, 26 of which are specifically needed for BMT and hematologic malignancy.

To address the BMT and hematologic malignancy specialized bed needs, UWMC will build out the 8<sup>th</sup> floor of the inpatient tower rather than the 5<sup>th</sup> floor in the current phase of the expansion. While the 5<sup>th</sup> floor met the need for general oncology beds, the 8<sup>th</sup> floor location is required for BMT and hematologic malignancy patients due to the need to treat these patients in rooms with special HVAC systems that are most easily accommodated on the top floor of the wing. The cost of the phase 1 would increase by about \$11 million (5%). The total project cost (phase 1 and 2) would increase by about \$4 million or 1% since the estimated cost of phase 2 would decline by about \$7 million. UWMC will use cash to fund the change. Doing so will not materially impact UWMC's cash position nor ILP covenant on days cash on hand. The amount of debt issued for the whole project does not change. This change has been reviewed with the Treasurer's Office and they are in agreement.

### **Airlift Northwest (ALNW) 501C3 Dissolution - Regent's Information Item**

In July 2009, the ALNW Board asked for an evaluation of the implications of dissolving the 501 (c) (3) status of ALNW in order to achieve further cost savings and improve financial viability. This evaluation was supported by all three founding partners-Harborview Medical Center, UW Medical Center and Seattle Children's Hospital. After thorough review and consultation with UW Assistant Attorney General, UW Human Resources, UW Risk Management and review of the potential process improvement and cost savings opportunities associated with UW Medicine Management of Airlift Northwest (ALNW), management is prepared to propose a process to the ALNW Board to dissolve the 501 (c) (3) status and structure ALNW as a distinct operating unit of the University of Washington. The summary is being brought forward now to the Board of Regent's as an information item.

Airlift Northwest (ALNW) was created in 1982 by an Inter-hospital Agreement between Children's Hospital and Regional Medical Center (now renamed Seattle Children's Hospital), Harborview Medical Center, University of Washington Medical Center and Providence Seattle Medical Center for the purpose of providing quality medical air transport services for critically ill and seriously injured patients within

the Pacific Northwest and Alaska. ALNW grew to include eight bases in Washington and Alaska. Subsequently, ALNW closed bases in Ketchikan, Alaska and Wenatchee, Washington in 2008 and 2007 respectively. Currently, Airlift Northwest responds from one of six bases located strategically throughout the Pacific Northwest and Alaska. With helicopters based in Bellingham, Arlington, Seattle and Olympia, ALNW teams arrive within minutes to sites throughout Washington. Airplanes based in Juneau and Seattle enable ALNW to provide timely air medical transport services to a much broader region, including any location in the continental United States, Canada or Mexico. ALNW contracts for aviation services, including pilots and aircraft maintenance, with Air Methods, Inc. (rotary wing) and Executive Flight, Inc. (fixed wing). The aircraft are leased by the respective vendors with the exception of one Agusta helicopter that is owned by ALNW.

From 1982 until 2002, Airlift Northwest operated as a contractual consortium through an Executive Committee comprising leaders from HMC, UWMC, Children's, and Providence as well as the President and Medical Director of ALNW. This committee developed Airlift Northwest's mission statement; approved the annual budgets; reviewed quarterly financial statements and set policy direction. In 2002, the decision was made to reorganize ALNW as a 501(c) (3) nonprofit corporation with HMC, UWMC and Children's as the members of the corporation. Each member appoints one trustee to the ALNW Board.

The decision to restructure Airlift Northwest to a 501 (c) (3) nonprofit corporation was based on an impending change in the requirements of the Center for Medicare and Medicaid Services (CMS) Medicare rules governing provider-based services. Effective October 1, 2002, the new Medicare provider-based rules would have prevented the hospitals from billing for services provided by Airlift Northwest because the services were based outside the physical plant of the hospitals. The consortium members would benefit from ALNW becoming a separate organization billing and collecting directly for air ambulance services.

Subsequent to the reorganization of ALNW, but prior to the implementation of these new rules CMS published a clarification in the Federal Register stating that the new provider-based rules would not apply to ambulance services.

There are three key factors supporting the decision to bring ALNW into the University. First, there are added costs of doing business as a separate corporation, including Business and Occupational tax liability and the cost of outside counsel. Second, currently ALNW already substantively functions as a unit of the University. The management and the majority of the staff of ALNW are University employees, ALNW assets are invested through the UW Investment Pool, and ALNW participates in the professional liability program of the UW. Third, Harborview currently records a 70% interest in ALNW on an equity method basis. As a result, the assets, liabilities, and operating results of ALNW are not rolled up into the UW financial results.

The following tables summarize the financial status of ALNW, based on the audited financial statements for the fiscal year ending June 30, 2009:

### ALNW Balance Sheet FY 2009

<b>Current assets</b>	<b>\$12,950,791</b>	<b>Current liabilities</b>	<b>\$ 4,460,025</b>
<b>Equipment and leasehold improvements (net)</b>	<b>\$ 5,059,348</b>	<b>Long term debt</b>	<b>\$ 2,373,321</b>
		<b>Unrestricted net assets</b>	<b>\$11,176,793</b>
<b>Total assets</b>	<b>\$18,010,139</b>	<b>Liabilities and net assets</b>	<b>\$18,010,139</b>

### ALNW Income statement FY 2009

<b>Patient service revenues (net)</b>	<b>\$32,235,706</b>
<b>Other revenue</b>	<b>\$ 554,650</b>
<b>Total revenue</b>	<b>\$34,790,356</b>
<b>Operating expense</b>	<b>\$34,144,658</b>
<b>Operating income</b>	<b>\$ 645,698</b>
<b>Non-operating income</b>	<b>\$ 268,589</b>
<b>Total income</b>	<b>\$ 914,287</b>

The draft transition agreement calls for all of the assets of ALNW to be distributed to the University for the purpose of continuing the operation of ALNW. Children's has waived its rights to any assets provided that ALNW's assets are not subsequently transferred to a third party.

The draft transition agreement also ensures that Children's remains an integral part of the oversight and planning activities for ALNW, including membership on the Advisory Board, provision of pediatric medical direction, oversight and provision of pediatric-related training, and participation in the Quality Improvement program. Current Children's nursing staff assigned to ALNW will either transition to UW employment or remain as Children's employees and be leased to ALNW.

ALNW will continue to operate as a distinct business unit within UW Medicine, maintaining its own financial accounting and reporting system and will continue to be audited annually as a distinct business unit. ALNW will contract for air ambulance services with third party payers as part of UW Medicine and will bill and collect for services provided. In consultation with UW Accounting and Tax management, it has been decided that ALNW will retain a unique tax ID number to facilitate contracting with and billing to third party payers. As noted earlier, the financial results of ALNW will roll up into the UW financial statements at the end of each fiscal year. UW Medicine will provide for additional legal support from the UW's Attorney General's Office.

Management recommended support of the recommendation of the ALNW Board to approve the transition of ALNW from a 501(c) (3) corporation to an organizational unit of the UW, under the aegis of UW Medicine. The ALNW Board voted to approve this recommendation at their May 2010 meeting.

The recommendation was reviewed and supported by the Harborview Board of Trustees, the UW Medicine Board and the Seattle Children's Board.

Over the past two years, ALNW under new leadership has made a remarkable financial turnaround from losses sustained in FY 07 & FY08 through diligent process improvements. ALNW has also improved the overall quality and safety of the air medical service through key investments in aircraft upgrades and the implementation of a state-of-the-art safety program. Financial performance YTD April is \$1.6M ahead of budget for a total income of \$2.0M. In fiscal year 2010 cash on hand rose to \$9.1M which allowed for the retiring of \$2.6M in long term debt in March for the one Agusta helicopter owned. Current cash on hand YTD through April is now \$6.5M.

### **Harborview Medical Center – FY 10 Financial Status - Regent's Information Item**

Harborview has recorded a loss of \$14.3 million through March of this year. Based on patient volumes and payer mix in April, this loss may increase. The loss figures do not include \$15.7 million in positive adjustments that are likely to be recognized in FY10, primarily resulting from settlements with the state under the certified public expenditure (CPE) program, implementation of the Professional Services Supplemental Payment program, and process improvements. These adjustments frequently occur between the fiscal year end close (June 30, 2010) and the completion of the independent audit (October/November 2010). It is possible that we will see an improvement in volumes and payer mix in May and June as the trauma volumes generally pick up as the weather improves and travel and recreational activities increase. However even on the optimistic side, we are not projecting to end the year at better than a break even position, which was the approved budget.

Harborview has \$175 million of available cash reserves. These reserves were built over the past number of years from the positive operating results at Harborview. Even though there is an operating loss, the cash flow margin (i.e., excluding depreciation) will be a positive \$26 million based on current estimates. Thus, Harborview is in a position to weather the operating losses without substantial erosion of its balance sheet. This is not a sustainable position in the long run, however, as it would not permit Harborview to maintain a reasonable capital investment plan. In the near term, it does provide us with an opportunity to address the erosion of payer mix, which is the fundamental issue driving the losses.

The key factor affecting Harborview's financial position has been the deterioration of the commercial payer mix and an increase in unsponsored patients. Payer mix is partially driven by the deterioration in the economy. As the employment numbers improve, the payer mix should benefit, but this is difficult to forecast.

The team is closely evaluating options for strengthening payer mix. They are also working to continue to consolidate services, as appropriate across the health system, to reduce cost and improve productivity and access for patients. Reducing duplication allows us to serve patients from all walks of life in the highest quality and lowest cost manner. These options are being carefully discussed and addressed in our UW Medicine Strategic Plan and are reviewed with the Harborview Board of Trustees to ensure that



HMC maintains its commitment to serve the mission populations. This is a specific commitment spelled out in the UW/King County/Harborview management contract.

It is also important to note that for the last two years, Harborview has been in the process of bringing two large building additions on line. The Maleng inpatient building was opened in 2008, and the Ninth and Jefferson Building was opened in 2009. These additions provided the opportunity for new program development such as the UW Medicine Vascular Center and the UW Medicine Eye Institute as well as the expansion of existing programs as part of the strategic planning effort. These programs are in the process of ramping up now and Harborview is projecting an increase of 6% to 7% in surgical volume in FY 2011. These programs will have a regional draw, and should serve to diversify and strengthen the payer mix.

UW Medicine, as a comprehensive health system providing clinical care, teaching and research, will continue its efforts to evolve and implement key elements of the strategic plan and adjust the plan as needed to remain responsive to a rapidly changing and highly competitive health care environment. We look forward to providing updates to the Board of Regent on a periodic or as needed basis to keep informed of the progress and key issues.



### UW Medicine's mission

To improve the health of the public by advancing medical knowledge, providing outstanding primary and specialty care to the people of the region, and preparing tomorrow's physicians, scientists and other health professionals.

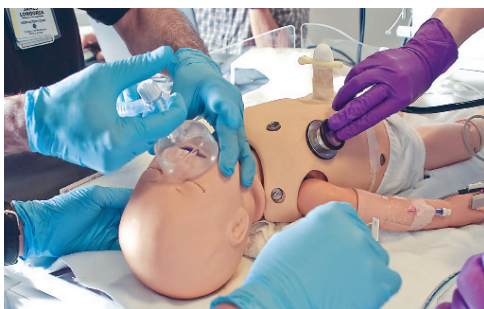
### Components of UW Medicine

#### UW Medicine owns or operates:

- Harborview Medical Center
- University of Washington Medical Center
- Northwest Hospital & Medical Center
- UW Medicine Neighborhood Clinics
- UW School of Medicine
- UW Physicians
- Airlift Northwest

#### UW Medicine shares in the ownership and governance of:

- Children's University Medical Group
- Seattle Cancer Care Alliance



### People

- More than 18,300 employees contribute to the mission of UW Medicine.
- The School of Medicine has approximately 2,000 employed faculty members and more than 4,600 clinical faculty across the WWAMI program who teach medical students, residents and post-doctoral fellows.
- UW Medicine has approximately 4,500 students and trainees across a broad range of undergraduate, professional and post-graduate programs.



### Patient care

- About 51,000 admissions each year to UW Medicine's two core academic medical centers, Harborview Medical Center and UW Medical Center, and Northwest Hospital & Medical Center
- About 1.4 million outpatient and emergency room visits to the hospitals and clinics annually

### Faculty includes:

- Four Nobel Prize winners
- 33 Institute of Medicine members
- 32 National Academy of Sciences members
- 16 Howard Hughes Medical Institute investigators
- 10 Canada Gairdner International Award recipients
- Five National Academy of Engineering members

## RESEARCH

### UW Medicine is a leader in stem-cell research

The UW Institute for Stem Cell and Regenerative Medicine has one of the nation's largest concentrations of researchers studying human embryo cells. UW faculty members are conducting basic research in biology, engineering and medicine to find potential and innovative uses of stem cells to treat various medical conditions, including heart disease and blindness.

### Center for AIDS Research (CFAR)

The UW has been at the forefront of HIV/AIDS research since 1988 and is one of the first AIDS research centers in the United States.

### Pancreatic cancer research

Teri Brentnall, UW professor of medicine in gastroenterology, led an international team of scientists that discovered the link between a genetic mutation and familial pancreatic cancer. The team also developed a screening protocol for the disease using endoscopic ultrasound.

### Tumor Vaccine Group

The UW Tumor Vaccine Group is working on a cancer vaccine to prevent cancer relapse. Despite advances in surgery, chemotherapy and radiation, patients with cancer may ultimately relapse because of residual microscopic disease. Our cancer vaccine program targets that patient population whose disease has been optimally treated with standard therapies but who remain at risk for relapse.

### The Institute for Health Metrics and Evaluation (IHME)

at the UW is an independent research center that is rigorously measuring the effectiveness of responses to the world's most pressing health issues. The institute provides scientific evaluations of health system and health program performance in order to guide health policy and accelerate global health progress.

**The UW School of Medicine is ranked consistently among the top three schools in receipt of National Institutes of Health grant funding in *U.S. News & World Report* surveys.**

#### THE 2011 RANKINGS:

1. Harvard University
2. University of Washington
3. University of Pennsylvania

### UW School of Medicine research provides a significant economic benefit to the community.

UW Medicine generated more than \$800 million in research funds last year. A number of established and start-up biotechnology companies, including Zymogenetics and ICOS, have their roots in UW School of Medicine research.

## EDUCATION

The five-state WWAMI regional medical educational network, serving Washington, Wyoming, Alaska, Montana and Idaho, is widely considered the best academic model for the training and placing of physicians in underserved communities.

**The UW School of Medicine has been ranked as the No. 1 primary-care medical school in the country for 17 consecutive years.** In addition, UW Medicine teaching programs are ranked among the best in the country in the 2011 rankings by *U.S. News & World Report*.

## CLINICAL CARE

### UW Medicine medical centers are ranked among the top medical centers.

Several UW Medicine programs were ranked highly by *U.S. News & World Report*, including rehabilitation medicine and cancer.

**Harborview Medical Center** is the only Level I adult and pediatric trauma and regional burn center serving Washington, Alaska, Montana and Idaho. Harborview was the 2007 recipient of the prestigious Foster G. McGaw prize, which honors excellence in community service and outreach in health care. Harborview is owned by King County and managed by the University of Washington. All staff are UW employees, and all physicians are UW faculty. Harborview and UW School of Medicine faculty physicians based there provide more than \$150 million in charity care per year.

**UW Medical Center** ranked in the top 1 percent out of more than 5,000 major medical centers in the 2009 "Best Hospitals Honor Roll" by *U.S. News & World Report* and was the first medical center in the country to achieve Magnet Hospital certification, the highest honor awarded by the American Nurses Credentialing Center. It is also a leader in solid organ and stem cell transplantation, Regional Heart Center care and high-risk neonatal care.

**Northwest Hospital & Medical Center** is a full-service, nonprofit community hospital offering personalized, technologically advanced medical, surgical and therapeutic services. Its staff of health-care professionals is recognized for promoting wellness through early detection and prevention, minimally invasive interventions and innovative clinical practices. HealthGrades has recognized Northwest Hospital for excellence and has ranked it among the top 5 percent of hospitals in the nation for patient safety for four years.

**UW Neighborhood Clinics** is a network of primary care clinics with seven neighborhood locations throughout the greater Puget Sound area. The clinics offer a complete spectrum of primary-care services for the entire family, from pediatrics to geriatrics. They also offer ancillary services, including on-site laboratory and X-ray facilities and nutrition services.

**Airlift Northwest**, an air medical transport program, was founded by a consortium of hospitals in the Seattle area, including Harborview Medical Center, UW Medical Center and Seattle Children's. Airlift Northwest has provided air medical transport for more than 80,000 patients since 1982.

**Medic One** is an international model for emergency care. It was developed in a collaborative effort among Harborview, the Seattle Fire Department and the UW School of Medicine. The system, one of the first of its kind in the world, is the model most emulated by communities throughout the country.

**UW Medicine**  
**1959 N.E. Pacific St., Box 356350**  
**Seattle, WA 98195**  
**206.543.7718**

**VII. STANDING COMMITTEES****A. Academic and Student Affairs**

*In Joint Session with*

**B. Finance, Audit and Facilities Committee**

Computerized Physician Order Entry System Project – Establish Project Budget and Delegate Authority to Award Contracts

RECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President or the President's authorized representative be delegated authority to enter into appropriate contracts and related expenditures and to establish a total project budget not to exceed \$29,163,200 for acquisition and implementation of a Computerized Physician Order Entry system for UW Medical Center and Harborview Medical Center.

BACKGROUND:

UW Medicine began implementation of an electronic medical record (EMR) in 2002, in order to unify patient data from various paper and electronic sources, and to provide tools for documenting care, viewing results of tests, monitoring patient status, and ordering patient care interventions, supplies and services. Many of these objectives have been achieved through a series of project investments in the Online Record of Clinical Activity (ORCA); however, transition of clinicians' order management processes to the EMR has not yet been undertaken.

UW Medicine physicians and health care professionals at UW Medical Center and Harborview Medical Center currently write patient orders on the paper chart, which is then transcribed onto a paper requisition and transported to service departments such as Radiology or Pharmacy. The order goes through additional processing at the service department, sometimes by entry into separate department systems, before the request is fulfilled. Current processes for patient order management are inefficient, can be prone to error, and provide limited information about the profile and status of previously documented orders.

The proposed Computerized Physician Order Entry (CPOE) project has potential to decrease errors, facilitate best medical practices, strengthen regulatory compliance, and optimize business objectives, which will solve problems associated with the current paper-based orders management processes. Problems related to paper-based orders are universally known and have received national exposure in recent years. The federal government has included criteria in the American Recovery and Reinvestment Act of 2009 (ARRA) requiring use of

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs

*In Joint Session with*

### B. Finance, Audit and Facilities Committee

#### Computerized Physician Order Entry System Project – Establish Project Budget and Delegate Authority to Award Contracts (continued p. 2)

CPOE, with specific targets between 2011 and 2015 that include financial incentives, and penalties starting in 2015 if CPOE is not achieved. ARRA incentives and penalties are based on Medicare and Medicaid volumes, and for UW Medicine, estimates of incentive payment opportunities for achieving CPOE targets range from \$10-18 million over the initial four years. Correspondingly, penalties would start around \$3 million and could exceed \$24 million by 2017.

UW Medicine's ORCA system is a suite of modules from the Cerner Corporation, acquired in 2002 at the start of EMR implementation. The currently licensed software includes CPOE functionality that supports: direct order entry and authentication by providers to eliminate interpretation or transcription errors; real-time alerts of contra-indications such as allergies, drug interactions, or duplicate orders; automated transmission of orders to the servicing departments and status of order fulfillment. Cerner's CPOE software can also incorporate existing paper-based standard order sets, which will promote order-entry efficiency and support standards of care.

A significant amount of effort to implement CPOE will go towards re-design of operational processes such as care delivery, order authorization workflow and service department delivery, and inpatient transfer and discharge processes. Because of the impact of CPOE on clinical practice throughout UW Medicine, the project steering committee includes the medical directors and chief nursing officers, the president of UW Physicians, director of pharmacy, and program director of clinical applications. The steering committee will utilize standing clinical practice and quality committees to assist in guiding the project and ensuring input.

UW Medicine has been working on the detail planning for CPOE in order to prepare a project investment plan for approval. Total project budget investment costs include:

Project staffing – internal salaries/benefits	\$ 14,218,700
Service contract with Cerner	4,898,700
Service contracts – other external providers	3,240,700

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs

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### B. Finance, Audit and Facilities Committee

#### Computerized Physician Order Entry System Project – Establish Project Budget and Delegate Authority to Award Contracts (continued p. 3)

Staffing / labor contingency	5,959,300
External contract vendor travel/expenses	783,800
Software license and maintenance	62,000
Total	\$ 29,163,200

In addition to project investment costs, five year operating costs for software licensing and maintenance and operations staff will total approximately \$13,700,880.

Project implementation plan is based on a 27 month schedule, with an additional six months for contingency. Project initiation is contingent on approval of the project investment plan by the Washington State Department of Information Services and the Information Services Board, which has oversight for information technology acquisitions by state agencies and institutions.

#### UW MEDICINE TECHNOLOGY PROJECTS

UW Medicine Information Technology Services (ITS) currently manages several IT projects to implement enhanced capabilities to support the medical centers:

- CHARMS – Replaces the legacy admissions-discharge-transfer and hospital billing system with standard software from Epic Corporation. Epic software has been used by UW Physicians Network for over ten years, and CHARMS expands its use for inpatients. Project was approved by Board of Regents in 2008 and is scheduled for implementation August 2010.
- Amalga Clinical Data Warehouse Project – A research pilot project successfully used a Microsoft product to query large, multiple data sources and provide real-time ad hoc reports. UW Medicine has approval from the Washington State Department of Information Services to implement Amalga for clinical, financial and operational data, to be used to support quality assessment, quality improvement, and administrative reporting for the medical centers. Project is in beginning phases, with implementation planned for mid-2012.

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs

*In Joint Session with*

### B. Finance, Audit and Facilities Committee

#### Computerized Physician Order Entry System Project – Establish Project Budget and Delegate Authority to Award Contracts (continued p. 4)

- Epic hardware replacement - Washington State Department of Information Services will be asked to approve an investment plan to replace older equipment with new, more efficient servers. Having recently completed the opening of a new data center, in which the new Epic equipment will be housed, UW Medicine ITS staff are well prepared for this effort, scheduled to run to the end of 2011.

#### REVIEWS AND APPROVALS:

Funding for the CPOE costs is available from patient revenues and has been approved by the Harborview Medical Center Board and the UW Medicine Board. A determination that there are no significant impacts on institutional systems, resources or business practices was reviewed with the University's Information Technology leadership.

The Washington State Department of Information Services and the Information Services Board will consider this proposed investment plan once it is approved by the Board of Regents. This request has been approved by the Chief Executive Officer for UW Medicine, the Chief Technology Officer, the interim Vice President and Vice Provost for UW Information Technology, and the Senior Vice President.

**VII. STANDING COMMITTEES****A. Academic and Student Affairs Committee**

*In Joint Session with*

**B. Finance, Audit and Facilities Committee****University of Washington Fiscal Year 2011 Operating and Capital Budgets****RECOMMENDED ACTION:**

It is the recommendation of the administration that the Board of Regents, pursuant to its authority under RCW 28B.20.130, the Bylaws of the Board of Regents, and the Board of Regents Standing Order No. 1, approve the Fiscal Year 2011 operating and capital budgets for the University of Washington that are presented in the following text and tables. In this action item, the Board of Regents, in its sole and independent discretion:

- Adopts the Fiscal Year 2011 Operating Budget;
- Establishes tuition rates for all tuition categories for the 2010-11 academic year;
- Changes selected fees for Fiscal Year 2011;
- Specifies that academic fee increases that are implemented under authority that the Board of Regents has delegated to the president and provost that are consistent with the limitations the Board has specified are reasonable and necessary; and
- Adopts the Fiscal Year 2011 Capital Budget;

*Attachment*

Proposed FY 2011 Operating and Capital Budgets



## **Proposed FY 2011 Operating and Capital Budgets**

The FY 2011 budget proposal that is being presented to the Board of Regents is divided into four areas:

- The three parts of the Operating Budget:
  - the Core Education Budget;
  - the Restricted Programs Budget;
  - the Academic Enhancement/Support Budget; and
- The Capital Budget.

The FY 2011 proposed operating budget is summarized in Table 1; the FY 2011 proposed capital budget is presented in Table 5. The financial context for FY 2011 is different for the Core Education, Restricted Programs, Academic Enhancement/Support, and Capital Budgets.

Core Education Budget Financial Context. The financial context for the FY 2011 Core Education Budget is shaped by two actions of the state legislature. First, the state legislature previously authorized the UW to increase undergraduate resident tuition by up to 14% for FY 2011. Second, the 2010 State Supplemental Budget included a cut of \$20,559,000 in State General Fund support for the UW.

Restricted Operating Budget Financial Context. One of the few bright spots in the FY 2011 budget is the grant-related part of this budget. Direct expenditures on grants and contracts are projected to increase dramatically in FY 2011. Much of the increase can be attributed to the federal stimulus program which provided a substantial increase to both the NSF and NIH research budgets. As a result, both the direct expenditures on grants and contracts and the associated indirect cost recovery are predicted to have increases in FY 2011.

Expenditures from gift and endowment budgets are predicted to remain constant in FY 2011.

State restricted funds change slightly in FY 2011 based on legislative actions (small appropriations to the Accident Fund and the Medical Aid Fund that support certain public health-related activities as well as a small decrease in the state appropriation for bio-toxin monitoring).

Academic Enhancement/Support Budget Financial Context. The University's Academic Enhancement/Support functions have generally fared well during a period of difficult state and local economic conditions. In most areas, demand for the services provided by these units continues to be strong. The University's large auxiliary business enterprises (UW Medical Center, Educational Outreach, Housing and Food Services, Intercollegiate Athletics, and Parking and Transportation Services) are all financially stable and slow growth is expected in FY 2011.

Capital Budget Financial Context. Work on a number of previously approved capital projects continues. The changes in the proposed UW Capital Budget for FY 2011 are primarily related to projects supported from state appropriated resources. In their 2010 session, the legislature authorized the UW to proceed with a few projects, changed funding sources for one project, and revised an operating to capital shift that has been part of the State Capital Budget for a number of years.

## Approach to FY 2011 Budget Decisions

The annual budget development process is always guided by the university's vision statement and core values below:

*The University of Washington educates a diverse student body to become responsible global citizens and future leaders through a challenging learning environment informed by cutting-edge scholarship.*

***Discovery is at the heart of our university.***

*We discover timely solutions to the world's most complex problems and enrich the lives of people throughout our community, the state of Washington, the nation, and the world.*

The core values are:

*Integrity ~ Diversity ~ Excellence ~ Collaboration ~ Innovation ~ Respect*

After much discussion and analysis (both of which will continue), in the Fiscal Year 2011 budget the UW is beginning a transition to an activity based budgeting model. The current plan is to have a "soft launch" of one element of an activity based budgeting model in FY 2011 with the full implementation of the model planned for the FY 2012 budget. In the proposed FY 2011 Core Education Budget, 70% of the incremental revenue from tuition increases will be allocated back to the academic units that generate this revenue; 30% of the incremental revenue from tuition increases will be maintained centrally and will be utilized for strategic investments, mitigation of academic unit budget cuts and selected administrative unit investments. Unfortunately, because of reductions in state support, most of the incremental tuition revenue allocated to colleges and schools in FY 2011 will be utilized to offset budget cuts.

The current outlook for the State General Fund budget for the 2011-13 biennium projects a significant deficit. The Provost has told deans, chancellors, vice provosts and vice presidents that their planning should consider the strong possibility of further reductions in state support in FY 2012 and FY 2013.

## FY 2011 Core Education Budget Discussion

The proposed FY 2011 Core Education Budget is presented in Table 2; proposed temporary investments from fund balance are shown in Table 3. Proposed tuition increases for the 2010-11 academic year are presented in Appendix 2.

### Changes in Revenues

The changes in revenues supporting the FY 2011 Core Education Budget are summarized below:

<b>Revenue Source</b>	<b>FY 2010 Adopted</b>	<b>Changes</b>	<b>FY 2011 Proposed</b>
State General Fund	320,627,000		
FY 2011 State Budget Cut		(20,559,000)	
New Funds for Health Benefits		10,194,000	
Capital to Operating Fund Shift		5,084,000	
Miscellaneous Budget Adjustments		603,000	
2009-11 Technical Changes		2,573,000	
Subtotal: State General Fund	320,627,000	(2,105,000)	318,522,000
 Tuition Operating Fee	330,558,000	39,339,000	369,897,000
Designated Operating Fund	55,502,000	3,400,000	58,902,000
Subtotal: Ongoing Core Education Revenues	706,687,000	40,634,000	747,321,000
 Use of Fund Balance for Temporary Expenditures	11,000,000	(1,000,000)	10,000,000
<b>TOTAL REVENUES</b>	<b>717,687,000</b>	<b>39,634,000</b>	<b>757,321,000</b>

### Comments on Changes in Revenues

Budgeted ongoing revenues in the proposed FY 2011 Core Education Budget are \$40,634,000 (5.7%) higher than budgeted revenues that supported this budget in FY 2010. In FY 2011 State General Fund revenue decreases by \$2,105,000, tuition operating fee revenue increases by \$39,339,000 and Designated Operating Fund revenue increases by \$3,400,000. These proposed changes in revenues for FY 2011 are discussed below.

**State General Fund.** The “State General Fund” numbers include the sum of State General Fund, Education Legacy Trust Fund, and Federal Stimulus resources. State General Fund support for the UW in FY 2011 is \$2,105,000 less than in FY 2010. State General Fund support in FY 2011 reflects a \$20,559,000 reduction in State General Fund support for the UW that was implemented in the 2010 State Supplemental Budget. New State General Fund resources are provided in FY 2011 for four purposes: to pay for a large increase in the cost of health care for employees; as a result of a fund shift of building operations and maintenance costs from the capital budget to the operating budget; for a number of special allocations to particular programs (presented in Appendix 1); and technical changes related to employee benefit costs. None of the additions of State General Fund dollars in FY 2011 provide flexible funds – all of the funds are to pay for either specific cost increases or for the cost of specific activities or programs.

Tuition Operating Fee. The proposed FY 2011 Core Education Budget assumes that the proposed tuition increases for the 2010-11 academic year shown in Appendix 2 are adopted. Consistent with legislative direction, a portion of the incremental revenue generated by the proposed 14% tuition increase for undergraduate resident students in FY 2011 has been set aside for financial aid for undergraduate resident students; specifically, \$1,660,000 in tuition revenue is set aside for financial aid. The tuition operating fee estimate for FY 2011 is the estimated revenue after this additional set aside for financial aid.

Appendix 2 shows the proposed tuition change for all tuition categories for the 2010-11 academic year; for informational purposes, both the percentage increase and the dollar increase recommended for each tuition category are shown. Appendix 2 also shows how the proposed tuition and fees for the university would compare to the projected 2010-11 academic year tuition and fee rates for the Higher Education Coordinating Board 24 Comparison Group.

In the 2009-11 state operating budget bill, the legislature limited the amount that undergraduate resident tuition could be increased for the 2010-11 academic year to 14%. In the 2009 legislative session, the legislature passed Substitute Senate Bill 5734 which granted the Board of Regents authority to set tuition for the undergraduate non-resident category as well as all graduate and professional tuition categories for the 2009-10 academic year through the 2012-13 academic year.

For the 2010-11 academic year, the administration is recommending that:

Undergraduate resident tuition increase by 14% (an increase of \$997);

Undergraduate non-resident tuition increase by 4% (an increase of \$950);

Resident tuition for Graduate Tier 1 increase by 7%;

Non-resident tuition for Graduate Tier 1 increase by 3%;

The tuition differential between Graduate Tier II and Graduate Tier I is \$540 (for both the resident and non-resident categories);

The tuition differential between Graduate Tier III and Graduate Tier II is \$530 (for both the resident and non-resident categories);

Resident and non-resident tuition for Master of Library and Information Science increase by 7%;

Resident and non-resident tuition for Law increase by 9% and 14% respectively;

Resident and non-resident tuition for Pharm D. increase by 14% and 7% respectively;

Resident and non-resident tuition for Medicine increase by 10% and 4% respectively;

Resident tuition for Dentistry increase by 14%;

Both the resident and the non-resident tuition for incoming students in Public Affairs Master increase by 14% and 10% respectively (this is a program that has a cohort-based tuition model; as a result, there is no tuition increase for continuing students);

At UW Seattle, both resident and the non-resident tuition for the Master of Nursing/Doctor of Nursing Practice increase by 14%;

The tuition for the Master of Nursing programs at UW Bothell and UW Tacoma continue to be set at the Graduate Tier 2 level;

At UW Seattle, both resident and non-resident tuition for incoming students in the Business Administration Master category increase by 5% (this is a program that has a cohort-based tuition model; as a result, there is no tuition increase for continuing students);

At UW Bothell, both resident and non-resident tuition for incoming students in the Business Administration Master category increase by 5% (this is a program that has a cohort-based tuition model; as a result, there is no tuition increase for continuing students);

UW Tacoma proposes a cohort model for their MBA program, and resident and non-resident tuition for the Business Administration Master category increase by 10% for incoming students and 5% for continuing students;

The College of Built Environments has proposed all master degrees reside in the College of Built Environments Master tuition category, which they recommend increasing both resident and non-resident by 14%. (Currently, Master degree programs in Architecture, Landscape Architecture and Urban Planning are in this category, the move would shift the Master of Science in Real Estate and Master of Construction Management from Tier III);

The School of Public Health has proposed moving the Master of Public Health and the Master of Health Administration out of Tier III and creating separate tuition categories. The corresponding tuition rates would be \$1,000 above the Tier III resident and non-resident rates for the MPH and \$2,000 above the Tier III resident and non-resident rates for the MHA.

Tuition charges for post-baccalaureate and non-matriculated students adjust consistent with the policy that has been used for tuition for these students since these tuition categories were established. Under this policy, post-baccalaureate and non-matriculated students taking undergraduate courses pay at the resident or non-resident undergraduate tuition rate established for that academic year; post-baccalaureate and non-matriculated students taking one or more graduate courses pay at the resident or non-resident Graduate Tier III tuition rate established for that academic year;

Designated Operating Fund. The Designated Operating Fund revenues that support the Core Education Budget are shown in the table below:

<b>Revenue Source</b>	<b>FY 2010 Adopted</b>	<b>FY 2011 Proposed</b>	<b>Change</b>
Summer Quarter Tuition	29,997,000	32,997,000	3,000,000
Investment Income	15,000,000	15,000,000	0
Miscellaneous Fees	5,595,000	5,795,000	200,000
UWB & UWT Admin Overhead	4,255,000	4,455,000	200,000
Administrative Allowances	655,000	655,000	0
<b>TOTAL REVENUES</b>	<b>55,502,000</b>	<b>58,902,000</b>	<b>3,400,000</b>

Summer Quarter tuition revenue is projected to increase by \$3,000,000 for FY 2011 due to increased tuition rates. The investment income revenue estimate remains constant for FY 2011. Overhead revenue from the UW/Bothell and UW/Tacoma campuses is projected to increase by \$200,000. The expected revenue from administrative allowances related to certain financial aid programs is not anticipated to increase for FY 2011.

The “miscellaneous fees” category is projected to increase by \$200,000 due to increases in the graduate application fee from \$65 to \$75.

Use of Fund Balance. The proposed FY 2011 budget uses \$10 million of fund balance that will be used to bridge the impact of budget reductions on our academic mission.

## FY 2011 Core Education Budget Allocations

The new allocations in the FY 2011 Core Education Budget are summarized below:

<u>Core Education Budget</u>	<u>FY 2011 Proposed</u>
<b><u>UW Seattle Budget Reductions:</u></b>	
FY 2011 Reductions - Academic Units	(17,047,000)
FY 2011 Reductions - Administrative Units	(8,542,000)
Subtotal for UW Seattle Budget Reductions	(25,589,000)
<b><u>UW Bothell Budget Reductions</u></b>	
FY 2011 Reductions	(1,037,000)
Subtotal for UW Bothell Budget Reductions	(1,037,000)
<b><u>UW Tacoma Budget Reductions</u></b>	
FY 2011 Reductions	(1,329,000)
Subtotal for UW Tacoma Budget Reductions	(1,329,000)
 TOTAL BUDGET REDUCTIONS	 (27,955,000)
<b><u>Incremental Tuition Allocation to Academic Units</u></b>	
UW Seattle Academic Units	21,677,000
UW Bothell	5,235,000
UW Tacoma	3,137,000
Subtotal	30,049,000
<b><u>Incremental Tuition Allocation to the Provost</u></b>	
Strategic Investments	2,000,000
Mitigation of Academic Unit Budget Reductions	3,000,000
Administrative Unit Investments	4,566,000
Subtotal	9,566,000
<b><u>Compensation Adjustments</u></b>	
FY 2011 Health Benefit Increase (GOF)	10,194,000
FY 2011 Health Benefit Increase (DOF)	410,000
Other Benefit Budget Adjustments	4,500,000
Faculty Promotions	650,000
Subtotal	15,754,000
<b><u>Other Adjustments</u></b>	
Required Cost Increases/Adjustments	7,582,000
Legislative Actions	5,788,000
Subtotal	13,370,000
<b><u>Use of Fund Balance</u></b>	10,000,000

## Comments on FY 2011 Core Education Budget Allocations

The incremental FY 2011 Core Education Budget changes are listed in the table above and are discussed in more detail below. The base budget against which these changes are applied is the Regents adopted budget for FY 2010.

UW Seattle Budget Reductions. The total budget reduction for the UW Seattle campus is \$25,589,000. This value represents a 5% budget reduction from the permanent base budget held by units as of the end of December 2009. The percent of budget reduction is an across the board figure. Strategic reductions were completed at the beginning of FY 2010 and this supplemental reduction is uniform in regards to percentage. The value of the reduction is to cover the reduced state funding and increases to fixed costs. Budget discussions with the Provost have been completed and the UW is beginning to plan for future budget reductions in state support in FY 2012 and FY 2013.

UW Bothell Budget Reductions. The total budget reduction for the UW Bothell campus is \$1,037,000. The Chancellor's Office at the UW Bothell campus will determine how these cuts will be distributed between academic and administrative functions.

UW Tacoma Budget Reductions. The total budget reduction for the UW Tacoma campus is \$1,329,000. The Chancellor's Office at the UW Tacoma campus will determine how these cuts will be distributed between academic and administrative functions.

Compensation Adjustments. The increase in this category of \$15,104,000, represents the benefit cost change from FY2010 and FY2011 in both near general funds and local funds. Over \$10M is for the near general funds and the remaining is local funds.

Only one pay increase allocation is made in this proposed budget. Funding of \$650,000 is provided for faculty promotions.

Other Adjustments. This category includes \$13,139,000 in adjustments in the FY 2011 budget. Of that total, \$5,788,000 is associated with specific legislative budget allocations and \$7,351,000 is associated with changes in various institutional budgets. Details of the specific allocations for both of these subcategories are provided in Appendix 1 and are discussed below.

There were a number of specific budget actions that the State legislature took in the 2009-11 state operating budget and the FY2010 supplemental budget. The largest of these actions was a building operations and maintenance – capital to operating shift in the amount of \$5,084,000. The other items are relatively smaller allocations for telecommunication regulations, CINTRAFOR, WWAMI expansion and health care system planning, and funding for tax increment financing cost/benefit analysis. These smaller items total \$704,000.

FY 2011 changes for various institutional budgets are shown in Appendix 1. "Institutional" budgets include cost changes for utilities, property rentals, debt service and other institutional budgets. In FY 2011, \$1,638,000 is provided for increased utility costs, \$1,078,000 is provided for property rentals and other institutional budgets, \$578,000 is provided for increased debt service costs, \$360,000 for UW Tower Data Center electricity, and \$3,728,000 for other issues including previous Dean/VP commitments.



Use of Fund Balance for Temporary Expenditures. The proposed budget for FY 2011 includes a temporary allocation of \$10,000,000 of fund balance. As part of the FY 2011 budget, the President and Provost are proposing that \$10 million in fund balance be used to bridge the impact of budget reductions on our academic mission. This will be the second instance of this support. The allocation will be allocated across academic units at the same level funding was provided in FY2010. Deans will be directed to utilize this temporary allocation to fund teaching assistants, lecturers, and other academic positions that would have otherwise been eliminated in FY 2011 and to assist with alleviating further budget reductions. This one-time allocation will give academic units some additional time to transition to a lower permanent funding level.

### **Increases in Financial Aid Allocations for FY 2011**

The level of financial aid that the university can offer to students is an important component of its ability to attract a diverse and excellent student body. The proposed FY 2011 Core Education Budget increases financial aid allocations for both undergraduate and graduate/professional students by providing both additional financial aid grants and additional tuition waivers. The total amount of financial aid provided from these two sources and the incremental increase in the FY 2011 budget are shown in the table below:

#### **Increases in Financial Aid Allocations for FY 2011**

	<b>FY2010 Adopted</b>	<b>FY 2011 Proposed</b>	<b>Difference</b>
Undergraduate Merit/Need Waivers	\$9,040,000	\$10,776,000	\$1,736,000
Undergraduate Financial Aid Grants	\$9,090,000	\$10,479,000	\$1,389,000
Subtotal: Undergraduate Merit/Need Waivers & Grants	\$18,130,000	\$21,255,000	\$3,125,000
Graduate Merit/Need Waivers	\$4,352,000	\$4,618,000	\$266,000
Graduate Financial Aid Grants	\$3,896,000	\$4,491,000	\$595,000
Subtotal: Graduate Merit/Need Waivers & Grants	\$8,248,000	\$9,109,000	\$861,000
TA/RA Tuition Waivers	\$53,204,000	\$54,115,000	\$911,000
Other Tuition Waivers	\$13,531,000	\$16,659,000	\$3,128,000
Subtotal: Teaching/Research & Other Tuition Waivers	\$66,735,000	\$70,774,000	\$4,039,000
Total All Grants/Waivers	\$93,113,000	\$101,138,000	\$8,025,000

The UW's current financial aid policy of utilizing 3.5 percent of net tuition revenue for financial aid grants and providing merit/need tuition waivers equal to 4 percent of the resident portion of tuition will provide \$3,125,000 in additional financial aid resources to needy undergraduate resident students in the 2010-11 academic year.

The 14 percent increase in undergraduate resident tuition for the 2010-11 academic year will generate \$3,610,000 in additional unfunded need for undergraduate resident students in the 2010-11 academic year. The Regents have adopted a policy of meeting at least 55 percent of this additional need through financial aid grants and tuition waivers. To meet this policy goal next year given a 14 percent increase in undergraduate resident tuition, \$1,990,000 in additional grant

and tuition waiver financial aid must be made available. The increase of \$3,125,000 in financial aid grants and tuition waivers available for undergraduate students in FY 2011 exceeds the commitment made by the regents by \$1,135,000. Note that these figures do not include an additional \$1,660,000 in financial aid grants that will be provided to needy undergraduate resident students as a result of the legislative requirement to utilize a portion of the tuition revenue generated by the undergraduate resident tuition increase for financial aid grants.

Given the proposed tuition levels for the 2010-11 academic year, graduate appointees qualifying for the non-resident tuition differential waiver and for the operating fee tuition waiver will have \$911,000 in additional tuition waiver benefits in FY 2011. In addition, the UW's current financial aid policy of utilizing 3.5 percent of tuition operating fee collections for financial aid grants and providing merit/need tuition waivers equal to 4 percent of tuition will make \$861,000 of additional financial aid available to graduate and professional students in the 2010-11 academic year.

## **FY 2011 Restricted Operating Budget Discussion**

The proposed FY 2011 Restricted Programs Budget is presented in Table 4.

### **Changes in Revenues**

The changes in revenues supporting the FY 2011 Restricted Programs Budget are summarized below:

<b>Revenue Source</b>	<b>FY 2010 Adopted</b>	<b>FY 2011 Proposed</b>	<b>Change</b>
Grant and Contract Direct Costs	898,994,000	958,994,000	60,000,000
Grant and Contract Indirect Costs	211,000,000	230,000,000	19,000,000
Gifts	84,815,000	84,815,000	0
State Restricted Funds	6,855,000	6,884,000	29,000
<b>TOTAL REVENUES</b>	<b>1,201,664,000</b>	<b>1,280,693,000</b>	<b>79,029,000</b>

### **Comments on Changes in Revenues**

Budgeted revenues in the proposed FY 2011 Restricted Programs Budget increase by \$79,029,000 over the FY 2010 budgeted level: grant and contract direct cost increases by \$60,000,000; grant and contract indirect cost increases by \$19,000,000; gift and endowment revenue is projected to remain constant; and State Restricted Funds increase by \$29,000. These proposed changes in revenues are discussed below.

Grant and Contract Direct Cost. Direct costs for grants and contracts are projected to increase by 6.67 percent in FY 2011 – an increase of \$60,000,000 over the current fiscal year. The budgeted level of grant and contract direct costs for FY 2010 did not include any upward adjustment to reflect additional spending associated with grant activity funded by federal stimulus dollars. The FY 2011 budgeted level is consistent with the projection for actual grant and contract direct costs for FY 2010.

Grant and Contract Indirect Cost. As direct costs for grants and contracts are projected to be higher in FY 2011 than in FY 2010, and as the effect of the federal stimulus funds are evident, grant and contract indirect cost recovery is expected to increase by \$19,000,000 - an increase of 9 percent over the budgeted level for FY 2010.

Gifts. Revenues to gift and endowment spending accounts are projected to remain constant in FY 2011.

State Restricted Funds. The School of Public Health receives a small amount of appropriated state funding from the Accident Account and the Medical Aid Account for specific activities performed by the Department of Environmental Health. In addition, there is a small appropriation from the Bio-toxin Account that is part of this category. Changes in revenues for FY 2011 (an increase of \$29,000 over FY 2010) for these State Restricted Funds simply reflect changes in state appropriations.

## FY 2011 Restricted Programs Budget Allocations

The discussion in this section is limited to how the administration proposes to allocate additional indirect cost recovery resources that are anticipated in FY 2011. Expenditures for grant and contract direct cost, almost all gifts, and state restricted funds budgets can only be used for the purposes specified by the granting agency, donor or legislature. Thus, annual expenditures for these areas are assumed to be equal to budgeted levels. The university does have discretion over how indirect cost recovery revenues are allocated.

The new allocations in FY 2011 supported by indirect cost recovery resources are summarized below.

<b><u>Restricted Budget - Indirect Cost Recovery</u></b>	<b><u>FY 2011 Proposed</u></b>
<b><u>Compensation Adjustments</u></b>	
FY 2011 Health Benefit Increase	1,229,000
<b><u>Investments in Research Excellence</u></b>	
Research Support Activities	1,292,000
Allocation to Capital - Research Support Facilities	4,000,000
Research Cost Recovery Allocation Change	7,191,000
Dedicated Indirect Cost Recovery Changes	3,500,000
Subtotal	15,983,000
<b><u>Required Cost Increases/Adjustments</u></b>	1,788,000

## Comments on FY 2011 Indirect Cost Recovery Budget Allocations

Compensation Adjustments. The change in this category, an increase of \$1,229,000, reflects an increase in health care benefits per employee.

Investments in Research Excellence. Many administrative offices provide essential support for research activities. These areas include Grant and Contract Accounting, the Office of Sponsored Programs, the Human Subjects Division, Environmental Health and Safety and many other groups. The budget allocation for “research support activities” will be used by the Provost to make targeted investments in some of these critical research support activities.

The allocation to the capital budget for research support facilities will provide additional funding that the Provost can target toward renewal or enhancement of key equipment/facilities that support research (e.g., building cooling systems, animal care facilities, fume hoods, electrical capacity improvements, etc.).

By policy, the university allocates the portion of indirect cost recovery revenues that is associated with college/school grant administration back to the colleges/schools based on their actual grant activity in the prior fiscal year. This allocation is called the “research cost recovery”

allocation and it is increased by \$7,191,000 in FY 2011 in order to get the budgeted level equal to the actual research cost recovery allocation for FY 2010, and anticipated allocations for FY2011.

Annual adjustments to certain budgets that are dedicated to specific purposes, such as paying for the operations and maintenance costs of particular buildings (South Lake Union buildings, Harborview Research and Training, other Harborview research space, etc.), are also included in this category. As research activity at the South Lake Union 2 building has been ramping up, the allocation of revenue to support operations and maintenance of that building has been increased.

Required Cost Increases. The indirect cost recovery budget picks up a share of estimated cost increases for utilities, risk management and for other critical institutional investments approved by the President and Provost – these allocations are shown in Appendix 1.

## **FY 2011 Academic Enhancement/Support Budget Discussion**

There are four areas included in the Academic Enhancement/Support Budget: UW Medical Center, auxiliary enterprises, auxiliary educational activities, and institutional overhead activities that support the other functions. Auxiliary enterprises include: Housing and Food Services, Intercollegiate Athletics, Parking, internal service units (Stores, Motor Pool, Publication Services, etc.), Student Government, Recreational Sports, and miscellaneous other activities. Auxiliary educational activities include: continuing education, conferences, the medical resident program, the WWAMI Program in the School of Medicine, and miscellaneous activities. The University charges institutional overhead to all of these activities to recover the cost of central services utilized by these academic enhancement/support activities.

The projected changes in revenue for academic enhancement/support activity are shown in the table below:

<b>Revenue Source</b>	<b>FY 2010 Adopted</b>	<b>FY 2011 Proposed</b>	<b>Change</b>
UW Medical Center	663,310,000	689,842,000	26,532,000
Auxiliary Enterprises	329,796,000	342,988,000	13,192,000
Auxiliary Educational Activities	197,767,000	205,678,000	7,911,000
Institutional Overhead	15,768,000	16,268,000	500,000
<b>TOTAL REVENUES</b>	<b>1,206,641,000</b>	<b>1,254,776,000</b>	<b>48,135,000</b>

Based on financial results over the last few years, inflationary increases in revenues have been projected for FY 2011 for UW Medical Center, auxiliary enterprise, and auxiliary educational activities. The projected increase in institutional overhead revenue is based on both actual collections in the current fiscal year and projected revenue increases for those units that pay institutional overhead.

With the exception of institutional overhead resources, the Academic Enhancement/Support Budget resources can only be spent for specified purposes and annual expenditures are assumed to be equal to budgeted levels.

## **Academic Fee Increases for FY 2011 Implemented Under Delegated Authority**

Initiative 960 was passed by the voters of the State of Washington in November 2007. Under Initiative 960, all state agency fee increases (including tuition) must receive legislative approval prior to implementation. The state legislature has chosen to utilize a two-step process for approving fee increases. First, as part of the normal legislative budget process, state agencies submit information about expected increases for various categories of fees that have been defined by the State Office of Financial Management and the state legislature. In July 2008 as part of their approval of the University of Washington's 2009-11 state operating and capital budget request, the Board of Regents approved a framework that set limits on increases for various academic fee categories for Fiscal Year 2010 and Fiscal Year 2011.

The legislative approval for fee increases is included in Section 603 of the 2009-11 state biennial operating budget. The language in this section sets a specific increase level for undergraduate resident tuition. For all other fee increase categories, the Board of Regents is authorized to increase fees "by amounts judged reasonable and necessary by the governing board." For many fees (tuition rates for the state-subsidized academic program, services and activities fees, etc.), the Board of Regents specifically approves fee increases. For fee increases that are implemented under authority that the Board of Regents has delegated to the president and provost, the Board of Regents determines (as part of their action in adopting the annual UW budget) that fee increases that are consistent with the limitations the Board has specified are reasonable and necessary.

## Fiscal Year 2011 Capital Budget Discussion

The proposed FY 2011 Capital Budget is presented in Table 5 and reflects actions taken in the 2010 legislative session that include a reduction of \$24,097,000 in state capital funding and appropriation of UW building account funds. The FY 2011 Capital Budget includes \$103,937,500 in non-state funds from the UW building account, indirect cost recovery, unrestricted operating funds and UW bonds. Given the decrease in state funding, total capital funds for FY 2011 from both state and non-state sources is \$79,840,500.

For FY 2011 debt-funded projects, the payment source for debt service is shown in the table below:

<b>Project Name</b>	<b>Debt Payment Source</b>	<b>Debt Funds</b>
Balmer Hall Reconstruction	Building Fee	42,800,000
UW Tacoma Phase 3	Building Fee	7,450,000
UW Tacoma Phase 3	Unrestricted operating funds	5,450,000
<b>TOTAL</b>		<b>55,700,000</b>

### Business School Facilities Phase 2 – Balmer Hall Reconstruction

The legislature approved debt service from the UW building account for \$42.8 million of UW debt for the reconstruction of Balmer Hall.

### UW Tacoma

State funding of \$34 million appropriated in the 2009 legislative session for a portion of UW Tacoma Phase 3 (the renovation of the Joy Building) was reduced in the 2010 legislative session by \$17.2 million and replaced with \$14 million of UW building account funds - a budget cut of \$3.2 million. The 2010 legislative session also authorized debt service from the UW building account for UW debt of \$7,450,000 to complete Phase 3 (construction of the Jefferson Building). Additional sources to complete Phase 3 include UW debt of \$5.45 million with the debt service to be paid from UW Tacoma rental income from leases and \$4.5 million of UW Tacoma unrestricted operating funds. The legislature also appropriated funding of \$2 million for UW Tacoma land acquisition from the UW building account.

In addition to the major projects described above, in FY 2011, state funding for facility preservation was reduced \$6,865,000 and replaced by UW building account funds. The appropriation for preventative facility maintenance and building system repairs was also reduced from \$12,912,000 to \$7,828,500. This \$5,084,000 reduction in the capital budget was offset by an increase in state funding in the operating budget.



**Table 1**  
**University of Washington Fiscal Year 2011 Proposed Operating Budget**

<b>Budget Category</b>	<b>FY 2010 Adopted</b>	<b>FY 2011 Proposed</b>
<b>CORE EDUCATION BUDGET</b>		
<b>Core Education Budget</b>		
<b>Revenues</b>		
State General Fund	320,627,000	318,522,000
Tuition Operating Fee	330,558,000	369,897,000
Designated Operating Fund	55,502,000	58,902,000
Subtotal: Ongoing Core Education Revenues	706,687,000	747,321,000
Use of Fund Balance for Temporary Expenditures	11,000,000	10,000,000
<b>Total Revenues</b>	<b>717,687,000</b>	<b>757,321,000</b>
<b>Expenditures</b>		
Ongoing Core Education Expenditures	706,687,000	747,321,000
One-time/temporary Expenditures	11,000,000	10,000,000
<b>Total Expenditures</b>	<b>717,687,000</b>	<b>757,321,000</b>
<b>RESTRICTED OPERATING BUDGET</b>		
<b>Revenues</b>		
Grant and Contract Direct Costs	898,994,000	958,994,000
Grant and Contract Indirect Costs	211,000,000	230,000,000
Gifts	84,815,000	84,815,000
State Restricted Funds	6,855,000	6,884,000
<b>Total Revenues</b>	<b>1,201,664,000</b>	<b>1,280,693,000</b>
<b>Expenditures</b>	<b>1,201,664,000</b>	<b>1,280,693,000</b>
<b>ACADEMIC ENHANCEMENT/SUPPORT BUDGET</b>		
<b>Revenues</b>		
UW Medical Center	663,310,000	689,842,000
Auxiliary Enterprises	329,796,000	342,988,000
Auxiliary Educational Activities	197,767,000	205,678,000
Institutional Overhead	15,768,000	16,268,000
<b>Total Revenues</b>	<b>1,206,641,000</b>	<b>1,254,776,000</b>
<b>Expenditures</b>	<b>1,206,641,000</b>	<b>1,254,776,000</b>
<b>TOTAL OPERATING BUDGET</b>		
<b>Revenues</b>	<b>3,125,992,000</b>	<b>3,292,790,000</b>
<b>Expenditures</b>	<b>3,125,992,000</b>	<b>3,292,790,000</b>

**Table 2**  
**Proposed Budget**  
**Core Education Operating Budget for Fiscal Year 2011**

	<b>FY 2010 Adopted</b>	<b>FY 2011 Proposed</b>	<b>Comment</b>
<b><u>REVENUES</u></b>			
State General Fund	320,627,000	318,522,000	
Tuition Operating Fee	330,558,000	369,897,000	
Designated Operating Fund	55,502,000	58,902,000	
Subtotal: Ongoing Core Ed Revenues	706,687,000	747,321,000	
Use of Fund Balance for Temporary Expenditures	11,000,000	10,000,000	
<b>TOTAL REVENUES</b>	<b>717,687,000</b>	<b>757,321,000</b>	
<b><u>EXPENDITURES</u></b>			
<b><u>Adjusted Base Budget</u></b>	717,687,000	706,537,000	
<b><u>UW Seattle Budget Reductions:</u></b>			
FY 2011 Reductions - Academic Units		(17,047,000)	
FY 2011 Reductions - Administrative Units		(8,542,000)	
Subtotal for UW Seattle Budget Reductions		(25,589,000)	
<b><u>UW Bothell Budget Reductions</u></b>			
FY 2011 Reductions		(1,037,000)	
Subtotal for UW Bothell Budget Reductions		(1,037,000)	
<b><u>UW Tacoma Budget Reductions</u></b>			
FY 2011 Reductions		(1,329,000)	
Subtotal for UW Tacoma Budget Reductions		(1,329,000)	
<b>TOTAL BUDGET REDUCTIONS</b>		(27,955,000)	
<b><u>Incremental Tuition Allocation to Academic Units</u></b>			
UW Seattle Academic Units		21,677,000	
UW Bothell		5,235,000	
UW Tacoma		3,137,000	
Subtotal		30,049,000	
<b><u>Incremental Tuition Allocation to the Provost</u></b>			
Strategic Investments		2,000,000	
Mitigation of Academic Unit Budget Reductions		3,000,000	
Administrative Unit Investments		4,566,000	
Subtotal		9,566,000	
<b><u>Compensation Adjustments</u></b>			
FY 2011 Health Benefit Increase (GOF)		10,194,000	
FY 2011 Health Benefit Increase (DOF)		410,000	
Other Benefit Budget Adjustments		4,500,000	
Faculty Promotions		650,000	
Subtotal		15,754,000	
<b><u>Other Adjustments</u></b>			
Required Cost Increases/Adjustments		7,582,000	See Appendix 1
Legislative Actions		5,788,000	See Appendix 1
Subtotal		13,370,000	
<b>SUBTOTAL: CORE EDUCATION EXPENDITURES</b>		<b>747,321,000</b>	
<b><u>Use of Fund Balance</u></b>		10,000,000	See Table 3
<b>TOTAL EXPENDITURES</b>		<b>757,321,000</b>	

**Table 3**  
**Core Education Budget**  
**Proposed Temporary Investments from Fund Balance for Fiscal Year 2011**

<b>Temporary Investments</b>	<b>FY 2011 Proposed</b>	<b>Comments</b>
One-time Funding for Academic Programs	10,000,000	<i>Bridge funding for FY2011 reduction</i>
<b>TOTAL EXPENDITURES</b>	<b>10,000,000</b>	

**Table 4**  
**Proposed Budget**  
**Restricted Programs Budget for Fiscal Year 2011**

	<b>FY 2010 Adopted</b>	<b>FY 2011 Proposed</b>	<b>Comments</b>
<b><u>REVENUES</u></b>			
Grant and Contract Direct Cost	898,994,000	958,994,000	
Grant and Contract Indirect Cost	211,000,000	230,000,000	
Gifts	84,815,000	84,815,000	
State Restricted Funds	6,855,000	6,884,000	
<b>TOTAL REVENUES</b>	<b>1,201,664,000</b>	<b>1,280,693,000</b>	
<b><u>EXPENDITURES</u></b>			
Grant and Contract Direct Cost	898,994,000	958,994,000	
Gifts	84,815,000	84,815,000	
State Restricted Funds	6,855,000	6,884,000	
Subtotal	990,664,000	1,050,693,000	
<b><u>Indirect Cost Recovery:</u></b>			
<b><u>Adjusted Base ICR Budget</u></b>	211,000,000	211,000,000	
<b><u>Compensation Adjustments</u></b>			
FY 2011 Health Benefit Increase		1,229,000	
<b><u>Investments in Research Excellence</u></b>			
Research Support Activities		1,292,000	
Allocation to Capital - Research Support Facilities		4,000,000	
Research Cost Recovery Allocation Change		7,191,000	<i>See Appendix 1</i>
Dedicated Indirect Cost Recovery Changes		3,500,000	<i>See Appendix 1</i>
Subtotal		15,983,000	
<b><u>Required Cost Increases/Adjustments</u></b>		1,788,000	<i>See Appendix 1</i>
<b>TOTAL INDIRECT COST RECOVERY BUDGET</b>		<b>230,000,000</b>	
<b>TOTAL EXPENDITURES</b>		<b>1,280,693,000</b>	

**Table 5**  
**Proposed Capital Budget for Fiscal Year 2011**

<b>FY 2010 Capital Budget Proposal</b>	<b>FY 2010 Adopted</b>	<b>FY 2011 Proposed</b>
<b>REVENUE</b>		
<b><u>Funding for FY 2009 Projects</u></b>		
Projects Approved in FY 2009	356,836,123	
Substantially Completed Projects	21,238,000	
<b>Previously Approved Continuing Projects</b>	<b>335,598,123</b>	
<b><u>Funding for FY 2010 and 2011 Projects</u></b>		
<b>State Funds</b>	<b>65,500,000</b>	<b>(24,097,000)</b>
<b>Non-State Funds</b>		
UW Building Account - Local Funds	34,087,500	30,700,500
ICR - Local Funds	10,000,000	10,000,000
Enterprise Unit Funds	5,437,513	
Transfer from Unrestricted Local Funds	3,037,000	7,537,000
UW Debt	381,014,000	55,700,000
Federal Stimulus Grants	68,400,000	
<b>Subtotal, Non-State Funds</b>	<b>501,976,013</b>	<b>103,937,500</b>
<b>Total, New Funds</b>	<b>567,476,013</b>	<b>79,840,500</b>
<b>TOTAL REVENUE</b>	<b>903,074,136</b>	<b>79,840,500</b>
<b><u>EXPENDITURE COMMITMENTS</u></b>		
<b>Previously Approved Continuing Projects</b>	<b>335,598,123</b>	
<b><u>Proposed FY 2010 Projects</u></b>		
<b>Major Projects</b>		
Anderson Hall - P/D	200,000	
House of Knowledge Longhouse - P/D	300,000	
Molecular Engineering Building Phase I - C	83,900,000	
Safe Campus	8,000,000	
Tacoma Phase 3 - C	34,000,000	14,175,000
Bothell Phase 3 - P	5,000,000	
Animal Facilities Improvements	30,000,000	
MHSc Center J-1/J-2 Microbiology Renovation	15,000,000	
Guthrie Hall Renovation	6,000,000	
BSL-3 Labs Renovation	7,000,000	
Student Housing - New Residence Hall Ph I	158,300,000	
HUB Renovation and Expansion	128,300,000	
Hall Health Remodel	10,851,513	
Ethnic Cultural Center Expansion	15,500,000	
Balmer Hall Phase 2		42,800,000
UW Tacoma Land Acquisition		2,000,000
<b>Subtotal, Major Projects</b>	<b>502,351,513</b>	<b>58,975,000</b>
<b>Minor Projects</b>		
Minor Works - Facility Preservation	34,175,000	
Minor Works - Program	18,037,000	13,037,000
<b>Subtotal, Minor Projects</b>	<b>52,212,000</b>	<b>13,037,000</b>
<b>Preventative Facility Maintenance and Building System Repairs</b>	<b>12,912,500</b>	<b>7,828,500</b>
<b>Total, New Projects for FY 10 and FY 11</b>	<b>567,476,013</b>	<b>79,840,500</b>
<b>TOTAL EXPENDITURE COMMITMENTS</b>	<b>903,074,136</b>	<b>79,840,500</b>

P - Planning, D-Design, C-Construction

**Appendix 1**  
**Required Cost Increases/Adjustments for Fiscal Year 2011**

<b>Item</b>	<b>FY 2011 Change</b>	<b>FY 2011 Amount to Core Educ.</b>	<b>FY 2011 Amount to ICR</b>
<b><u>Institutional Budgets</u></b>			
<b>Utilities:</b>			
Electricity	2,495,000	1,921,000	574,000
Natural gas	(903,000)	(649,000)	(254,000)
Water/sewer	776,000	598,000	178,000
Solid waste	(45,000)	(35,000)	(10,000)
Power Plant	4,000	3,000	1,000
Subtotal utilities:	2,327,000	1,838,000	489,000
<b>Other institutional budgets:</b>			
Property rentals-general	(551,000)	(424,000)	(127,000)
Property rental-Sand Point centrally supported space	7,000	5,000	2,000
Property rental-Sand Point unassigned space	(282,000)	(217,000)	(65,000)
Wellington Hills	134,000	103,000	31,000
Conservation Project Loan Payments	85,000	65,000	20,000
Institutional overhead offset	(500,000)	(500,000)	0
Judgments/Settlements/Litigation	126,000	97,000	29,000
Investment Management Fees	115,000	115,000	0
AFRS Interface Expense	355,000	355,000	0
Residential Parking Zone	(9,000)	(7,000)	(2,000)
Transportation subsidy	87,000	67,000	20,000
Institutional financial audits	(62,000)	(48,000)	(14,000)
Revolving fund budget adjustments	300,000	300,000	0
PACCAR Hall - Building Operations Expenses	950,000	950,000	0
Friday Harbor Lab Utilities	21,000	17,000	4,000
Disabled Student Services	200,000	200,000	0
Subtotal other institutional budgets:	976,000	1,078,000	(102,000)
<b><u>Debt Service</u></b>			
Animal facilities upgrades debt service	110,000	0	110,000
Molecular Engineering Building - ICR supported debt	289,000	0	289,000
Physics/Astronomy Building	578,000	578,000	0
UW Tower Data Center	12,000	0	12,000
Subtotal Debt Service	989,000	578,000	411,000
<b><u>UW Tower</u></b>			
UW Tower Operations	750,000	0	750,000
UW Tower Data Center Electricity	600,000	360,000	240,000
Subtotal UW Tower	1,350,000	360,000	990,000

**Appendix 1 (continued)**  
**Required Cost Increases/Adjustments for Fiscal Year 2011**

<b>Item</b>	<b>FY 2011 Change</b>	<b>FY 2011 Amount to Core Educ.</b>	<b>FY 2011 Amount to ICR</b>
<b><u>Other Issues</u></b>			
WWAMI offset (assuming 10% tuition incr)	250,000	250,000	0
Previous Dean/VP Commitments	3,000,000	3,000,000	0
Summer quarter cost increase	378,000	378,000	0
UW Bothell - FY11 Summer Qtr Tuition Increase Allocation	50,000	50,000	0
UW Tacoma - FY11 Summer Qtr Tuition Increase Allocation	50,000	50,000	0
Subtotal Other Issues	3,728,000	3,728,000	0
<b>Subtotal Required Cost Increases</b>	<b>9,370,000</b>	<b>7,582,000</b>	<b>1,788,000</b>
<b><u>Research Cost Recovery Policy Allocation</u></b>			
RCR adjustment to FY 2010 actual	1,575,000	0	1,575,000
RCR adjustment for College of Environment Transition	616,000	0	616,000
FY 2011 Projected RCR change	5,000,000	0	5,000,000
Subtotal Policy Application	7,191,000	0	7,191,000
<b><u>Dedicated Indirect Cost Recovery Dollars</u></b>			
Harborview Research and Training Building	1,000,000	0	1,000,000
Harborview - Other Research Space	500,000	0	500,000
Rosen Building	500,000	0	500,000
Brotman Building & South Lake Union Phase 2	1,500,000	0	1,500,000
Subtotal Dedicated Indirect Cost Recovery	3,500,000	0	3,500,000
<b>Subtotal RCR &amp; Dedicated Indirect Cost Recovery</b>	<b>10,691,000</b>	<b>0</b>	<b>10,691,000</b>
<b><u>Legislative Actions (From 2009 and 2010 sessions)</u></b>			
WWAMI / Ride Expansion - Incremental Funding	244,000	244,000	0
CINTRAFOR - Incremental Funding	2,000	2,000	0
WWAMI / Ride - Health Care System Planning	250,000	250,000	0
Telecommunication Regulations	183,000	183,000	0
Tax Increment Financing Cost/Benefit Analysis	25,000	25,000	0
Building Operations & Maintenance - Capital to Operating Shift	5,084,000	5,084,000	0
Subtotal Legislative Actions	5,788,000	5,788,000	0
<b>TOTAL REQUIRED COST INCREASES/ADJUSTMENTS</b>	<b>25,849,000</b>	<b>13,370,000</b>	<b>12,479,000</b>

Appendix 2  
University of Washington  
**2010-11 Proposed Tuition and Mandatory Fees**

Tuition Category	University of Washington						HECB 24 Comparison Group		
	2010-11 Proposed Tuition and Fees						2009-10 Peer	2010-11 Peer	2009-10 Peer
	2009-10 Tuition	Proposed Tuition	Dollar Increase	Percent Increase	Estimated Fees	Proposed Tuition & Fees	Tuition & Fees	Tuition & Fees	Percent Increase
<b>Undergraduate</b>									
Undergraduate Resident	7,125	<b>8,122</b>	997	14%	567	8,689	9,297	9,819	5.61%
Undergraduate Nonresident	23,800	<b>24,750</b>	950	4%	567	25,317	24,997	26,041	4.18%
<b>Graduate</b>									
Graduate Tier I Resident	10,160	<b>10,870</b>	710	7%	567	11,437	10,755	11,200	4.14%
Graduate Tier I Nonresident	23,500	<b>24,210</b>	710	3%	567	24,777	22,720	23,237	2.28%
Graduate Tier II Resident	10,660	<b>11,410</b>	750	7%	567	11,977			
Graduate Tier II Nonresident	24,000	<b>24,750</b>	750	3%	567	25,317			
Graduate Tier III Resident	11,160	<b>11,940</b>	780	7%	567	12,507			
Graduate Tier III Nonresident	24,500	<b>25,280</b>	780	3%	567	25,847			
Master of Library and Information Science Resident	11,540	<b>12,350</b>	810	7%	567	12,917			
Master of Library and Information Science Nonresident	25,260	<b>27,030</b>	1,770	7%	567	27,597			
Master of Public Affairs Resident ( <i>incoming</i> )	12,100	<b>13,790</b>	1,690	14%	567	14,357			
Master of Public Affairs Nonresident ( <i>incoming</i> )	24,750	<b>27,230</b>	2,480	10%	567	27,797			
Master of Public Affairs Resident ( <i>continuing</i> )	11,000	<b>12,100</b>			567	12,667			
Master of Public Affairs Nonresident ( <i>continuing</i> )	22,500	<b>24,570</b>			567	25,137			
College of Built Environment Master Degrees Resident	12,130	<b>13,830</b>	1,700	14%	567	14,397			
College of Built Environment Master Degrees Nonresident	26,540	<b>30,260</b>	3,720	14%	567	30,827			
Master of Public Health Resident	11,160	<b>12,940</b>	1,780	15%	567	13,507			
Master of Public Health Nonresident	24,500	<b>26,280</b>	1,780	7%	567	26,847			
Master of Health Administration Resident	11,160	<b>13,940</b>	2,780	24%	567	14,507			
Master of Health Administration Nonresident	24,500	<b>27,280</b>	2,780	11%	567	27,847			
Doctor of Pharmacy Resident	15,620	<b>17,810</b>	2,190	14%	567	18,377	18,423	19,176	4.09%
Doctor of Pharmacy Nonresident	30,920	<b>33,080</b>	2,160	7%	567	33,647	32,966	34,017	3.19%

All percentages are rounded down  
2009-10 HECB 24 projections are based on five-year trend estimates



Appendix 2  
University of Washington  
**2010-11 Proposed Tuition and Mandatory Fees**

Tuition Category	University of Washington						HECB 24 Comparison Group		
	2010-11 Proposed Tuition and Fees						2009-10 Peer	2010-11 Peer	2009-10 Peer
	2009-10 Tuition	Proposed Tuition	Dollar Increase	Percent Increase	Estimated Fees	Proposed Tuition & Fees	Tuition & Fees	Tuition & Fees	Percent Increase
<b>Graduate</b>									
Master of Law and Law (JD) Resident	21,700	<b>23,760</b>	2,060	9%	567	24,327	23,762	24,976	5.11%
Master of Law and Law (JD) Nonresident	32,210	<b>36,720</b>	4,510	14%	567	37,287	36,558	38,176	4.43%
Medicine Resident	20,430	<b>22,470</b>	2,040	10%	567	23,037	28,635	30,013	4.81%
Medicine Nonresident	49,470	<b>51,450</b>	1,980	4%	567	52,017	46,819	48,422	3.42%
Dentistry Resident	20,430	<b>23,290</b>	2,860	14%	567	23,857	29,427	31,321	6.44%
Dentistry Nonresident	49,470	<b>49,470</b>	-	0%	567	50,037	49,735	52,205	4.97%
<b>Master of Nursing and Doctor of Nursing Practice</b>									
<b>UW Seattle</b>									
Master of Nursing/Doctor of Nursing Practice Resident	15,250	<b>17,390</b>	2,140	14%	567	17,957			
Master of Nursing/Doctor of Nursing Practice Nonresident	30,190	<b>34,420</b>	4,230	14%	567	34,987			
<b>Master of Nursing (Satellite Campuses)</b>									
<b>UW Bothell/UW Tacoma</b>									
Master of Nursing Resident	10,660	<b>11,410</b>	750	7%	528	11,938			
Master of Nursing Nonresident	24,000	<b>24,750</b>	750	3%	528	25,278			
<b>Business Administration Master Degrees</b>									
<b>UW Seattle</b>									
Master of Business Administration Resident ( <i>incoming</i> )	23,350	<b>24,520</b>	1,170	5%	567	25,087	22,434	23,250	3.64%
Master of Business Administration Nonresident ( <i>incoming</i> )	35,090	<b>36,840</b>	1,750	5%	567	37,407	33,141	34,146	3.03%
Master of Business Administration Resident ( <i>continuing</i> )	21,230	<b>23,350</b>			567	23,917			
Master of Business Administration Nonresident ( <i>continuing</i> )	31,900	<b>35,090</b>			567	35,657			
<b>UW Bothell</b>									
Master of Business Administration Resident ( <i>incoming</i> )	19,890	<b>20,880</b>	990	5%	450	21,330			
Master of Business Administration Nonresident ( <i>incoming</i> )	26,450	<b>27,770</b>	1,320	5%	450	28,220			
Master of Business Administration Resident ( <i>continuing</i> )	18,587	<b>19,890</b>			450	20,340			
Master of Business Administration Nonresident ( <i>continuing</i> )	24,717	<b>26,450</b>			450	26,900			

All percentages are rounded down  
2009-10 HECB 24 projections are based on five-year trend estimates

Appendix 2  
University of Washington  
**2010-11 Proposed Tuition and Mandatory Fees**

Tuition Category	University of Washington						HECB 24 Comparison Group		
	2010-11 Proposed Tuition and Fees						2009-10 Peer	2010-11 Peer	2009-10 Peer
	2009-10	Proposed	Dollar	Percent	Estimated	Proposed			
	Tuition	Tuition	Increase	Increase	Fees	Tuition & Fees	Tuition & Fees	Tuition & Fees	Percent Increase
<b>Graduate</b>									
<b>UW Tacoma</b>									
Master of Business Administration Resident ( <i>incoming</i> )	15,780	<b>17,360</b>	1,580	10%	528	17,888			
Master of Business Administration Nonresident ( <i>incoming</i> )	28,700	<b>31,570</b>	2,870	10%	528	32,098			
Master of Business Administration Resident ( <i>continuing</i> )	15,780	<b>16,570</b>	790	5%	528	17,098			
Master of Business Administration Nonresident ( <i>continuing</i> )	28,700	<b>30,140</b>	1,440	5%	528	30,668			
<b>Post-baccalaureate and Non-matriculated</b>									
<b>Post- baccalaureate Resident</b>									
taking only undergraduate courses	7,125	<b>8,122</b>	997	14%	567	8,689			
taking one or more graduate courses	11,160	<b>11,940</b>	780	7%	567	12,507			
<b>Post- baccalaureate Nonresident</b>									
taking only undergraduate courses	23,800	<b>24,750</b>	950	4%	567	25,317			
taking one or more graduate courses	24,500	<b>25,280</b>	780	3%	567	25,847			
<b>Non-matriculated Resident</b>									
taking only undergraduate courses	7,125	<b>8,122</b>	997	14%	567	8,689			
taking one or more graduate courses	11,160	<b>11,940</b>	780	7%	567	12,507			
<b>Non-matriculated Nonresident</b>									
taking only undergraduate courses	23,800	<b>24,750</b>	950	4%	567	25,317			
taking one or more graduate courses	24,500	<b>25,280</b>	780	3%	567	25,847			

**College of Built Environments** has requested to have all master degrees in its tuition category "College of Built Environments Master." Previously, Master of Architecture Master of Urban Planning, and Master of Landscape Architecture were in this category while Master of Science in Real Estate and Master of Construction Management were in Tier III.

**School of Public Health** has requested new tuition categories for Master of Public Health and Master of Health Administration. Both were previously in Graduate Tier III.

**UW Tacoma** has requested a cohort model for their MBA program. For the 2010-11 academic year incoming student will be charged 10 percent above the 2009-10 rate, and continuing students will be charged 5 percent above 2009-10 rates.

HECB 24 Comparison refers to the 2009-10 UW - HECB 24 Tuition Comparison prepared by the Office of Planning and budgeting. Complete peer tuition comparison information can be found at the [Planning and Budgeting website](#).

All percentages are rounded down  
2009-10 HECB 24 projections are based on five-year trend estimates



# University of Washington Fiscal Year 2011 Budget Summary

# Summary of changes from May information item.



1. The School of Public Health has proposed moving the Master of Public Health and the Master of Health Administration out of Tier III and creating separate tuition categories resulting in tuition totaling:
  - ❖ \$1,000 above the Tier III resident and non-resident rates for the MPH.
  - ❖ \$2,000 above the Tier III resident and non-resident rates for the MHA.
2. The tuition revenue estimate increased \$132,000 as a result of this change.



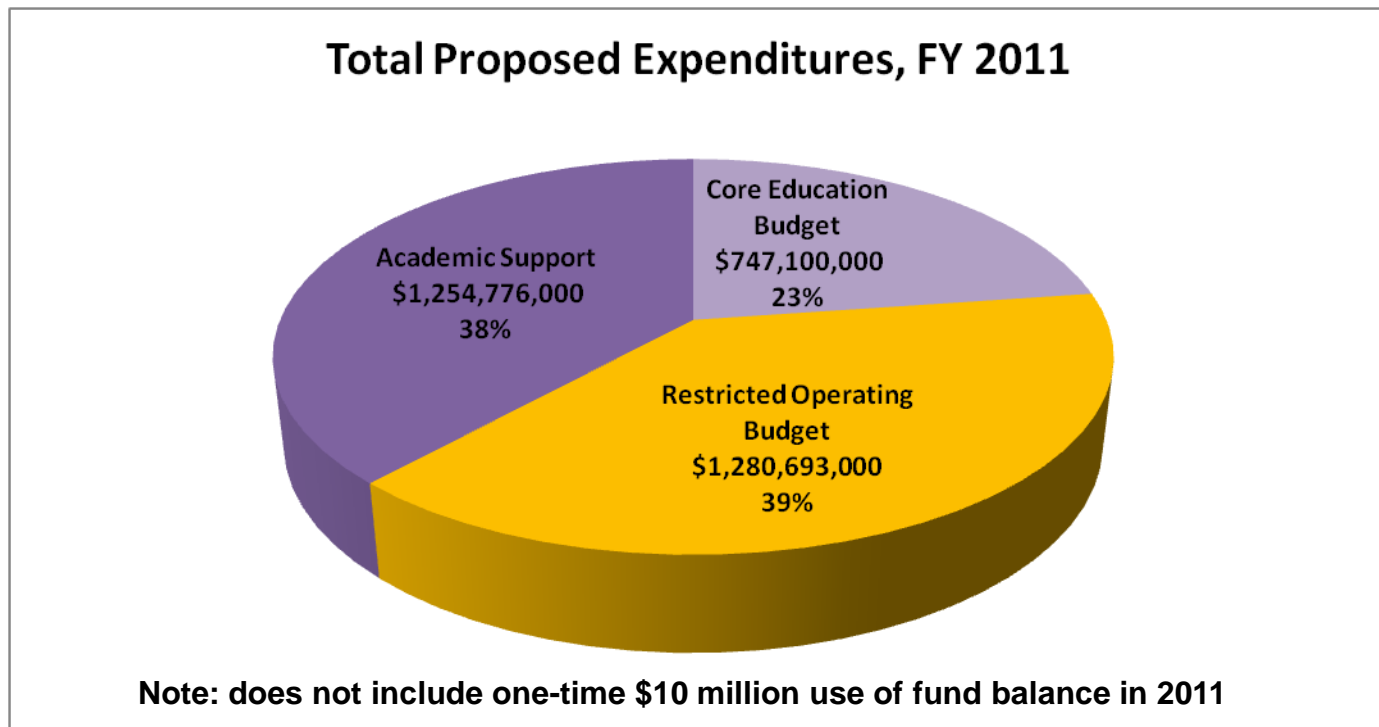
# FY 2011 Capital Budget Summary

- ❖ Total capital funds from all sources is \$79.8 for FY 2011.
  - \$103.9m in non-state funds
  - \$-24.1m in state funds
  
- ❖ UW projects funded from FY 2011 capital budget of \$79.8m:
  - Balmer Hall Reconstruction: \$42.8 million
  - UW Tacoma Phase 3: \$14.2 million for Jefferson Building
  - UW Tacoma Land Acquisition: \$2 million
  - Minor Repair Projects: \$13 million
  - Facility Maintenance: \$7.8 million

# The proposed UW operating budget for FY 2011 totals \$3.3 billion, an increase of 5% over FY 2010.



- ❖ A net increase of 4.1 percent for the Core Education Budget
- ❖ An increase of 6.6 percent in the Restricted Operating Budget
- ❖ An increase of 4.0 percent in the Academic Support Budget

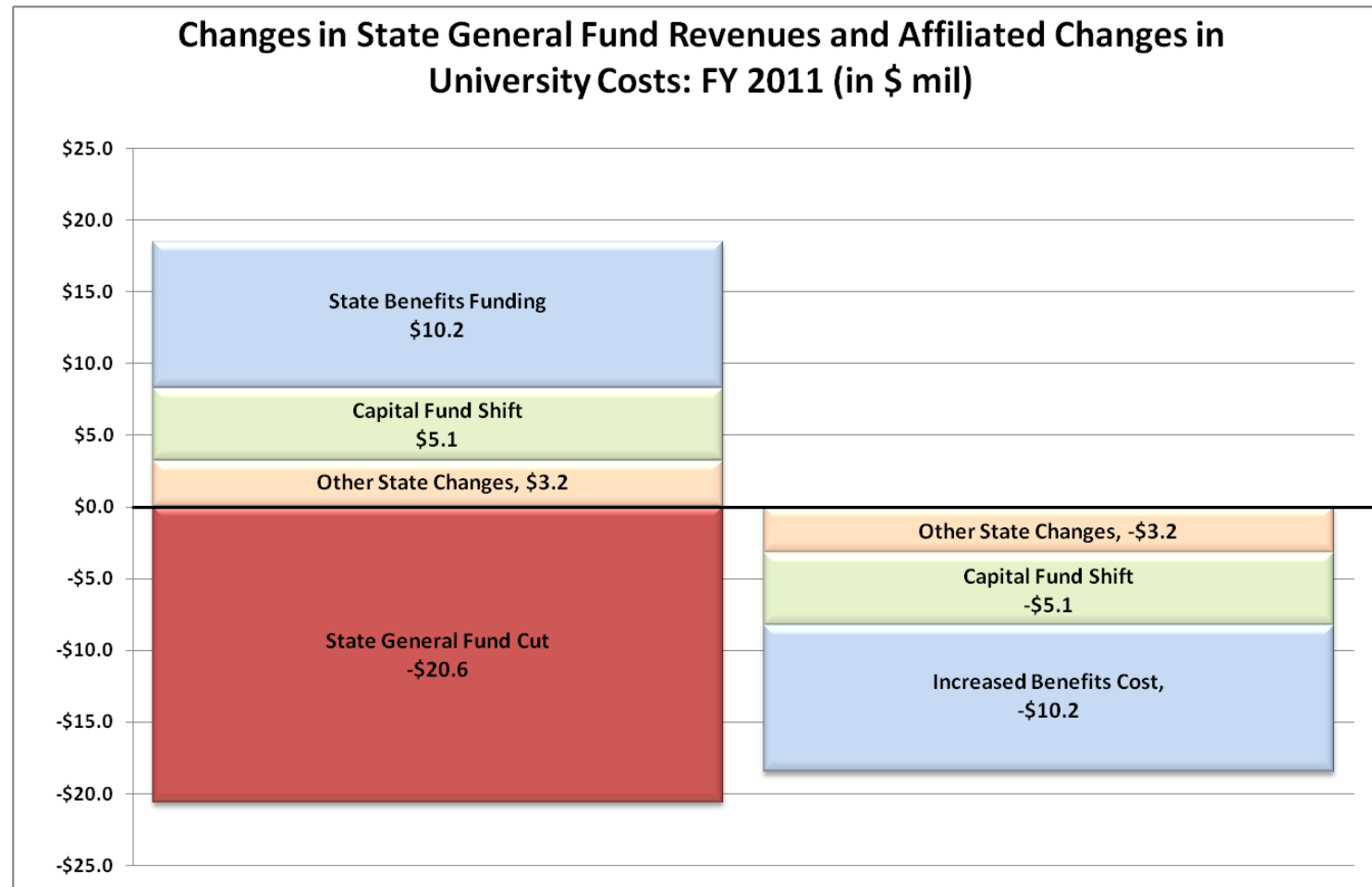


# FY 2011 Operating Budget Summary



- ❖ **Academic Support budget (4.0% growth):** continued stable growth is expected through FY 2011 for the UW's auxiliary business enterprises, including the UW Medical Center, Educational Outreach, Housing and Food Services, Intercollegiate Athletics, and Parking and Transportation Services.
- ❖ **Restricted Operating Budget (6.6% growth):** a 6% increase is projected for direct grants and contracts expenditures alongside a corresponding 8% increase in indirect cost recovery due to the federal stimulus. Gift revenue is expected to remain flat.
- ❖ **Core Education Budget (4.1% growth):** a 12% increase in tuition revenue, plus \$3m in additional summer quarter tuition boost the core education budget by about 4% over last year despite a state cut of \$20.6m, unfunded increases in fixed costs, and substantial increases in financial aid costs.

# **Net change in state revenue is -\$2.1m, not accounting for new mandatory costs using up 'additional funds'.**





# Planned approach to budget reductions in FY 2011.



- ❖ State budget reduction will be proportionately distributed to the three campuses.
- ❖ Seattle academic and administrative units all asked to take a 5% reduction.
  - Incremental tuition will be allocated by the Provost to mitigate the impact of the 5% reduction, especially for academic units.
    - 70% allocated to Academic Units based on recommendations included in the draft Activity Based Budgeting report.
    - 30% allocated by the provost for further mitigation of cuts to academic units, key administrative support functions and strategic investments.



# Tuition and Financial Aid

# Proposed tuition increases for the 2010-11 academic year.



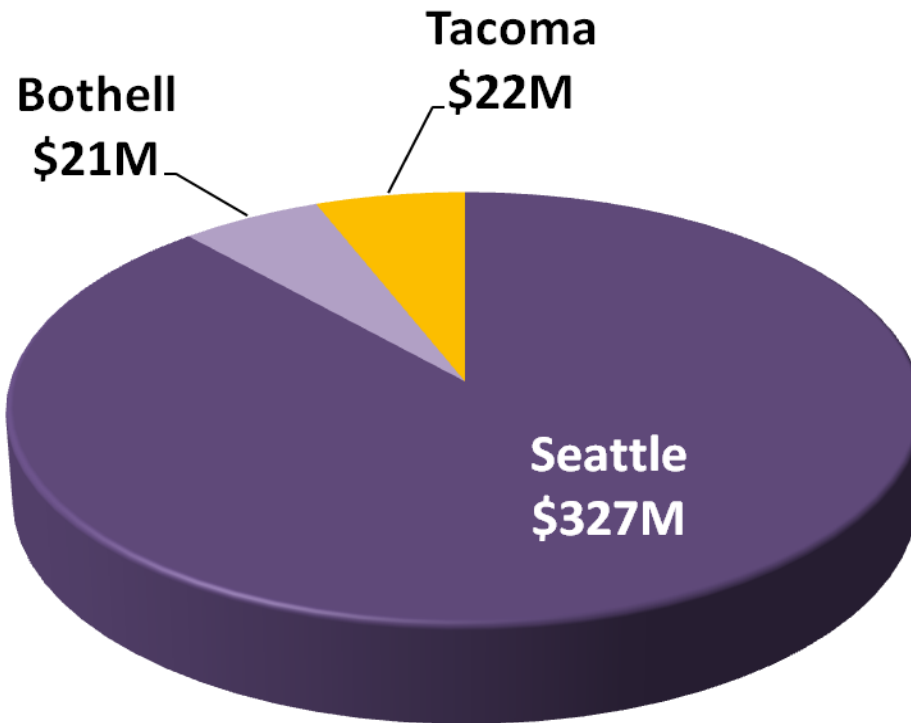
- ❖ The Legislature limited the amount that undergraduate resident tuition could be increased by 14 percent for both 2009-10 and 2010-11.
- ❖ The Legislature extended authority to set tuition for all other tuition categories through 2012-13.
- ❖ For 2010-11, the administration is recommending the following tuition increases:
  - 14% (\$997) for undergraduate residents
  - 4% (\$950) for non-resident undergraduates
  - 0-14% for graduate and professional students, depending on program.
- ❖ UW tuition will continue to be more affordable than our peer institutions in almost all tuition categories.

# The proposed FY 2011 budget includes substantial financial aid increases.



- ❖ Tuition increases will provide an additional **\$3,125,200** in financial aid revenue for needy undergraduate resident students.
- ❖ The Legislature also requires that 1/7 (14 percent ) of tuition revenue beyond what would have been generated by a 7% increase be used for financial aid grants for undergraduates. This is equivalent to **\$1,660,000**.
- ❖ Increased tuition levels will increase the value of tuition waivers granted to graduate students by over **\$4.0 million**, plus make an additional **\$861,000** available to graduate and professional students through grants or waivers.
- ❖ The federal Pell grant, plus the State Need Grant will combine with increases in UW aid to further offset tuition increases for needy students.
- ❖ An expanded federal tax credit will continue to help offset tuition increases for many middle class students who do not typically qualify for financial aid.

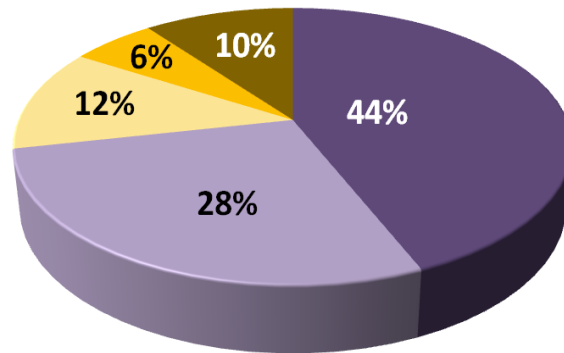
**It is projected that net tuition revenue  
in FY 2011 will be \$370 million**



**Undergraduates are in the majority and provide the largest amount of tuition; nonresident undergraduates contribute disproportionately to revenue.**

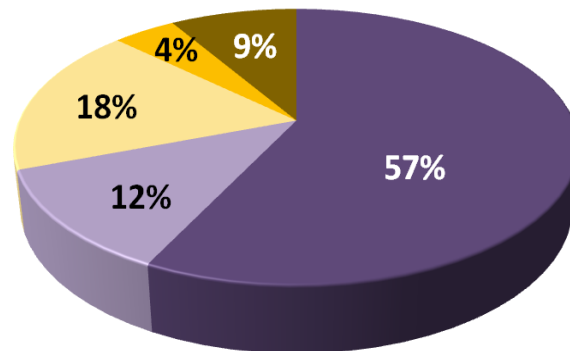


**2010-11 Projected  
Revenue by Tuition  
Category  
(\$327.4 million total)**



- Undergraduate Resident
- Undergraduate Nonresident
- Graduate Tiers
- Professional Masters
- Professional (Med, Dent, Law, Pharm)

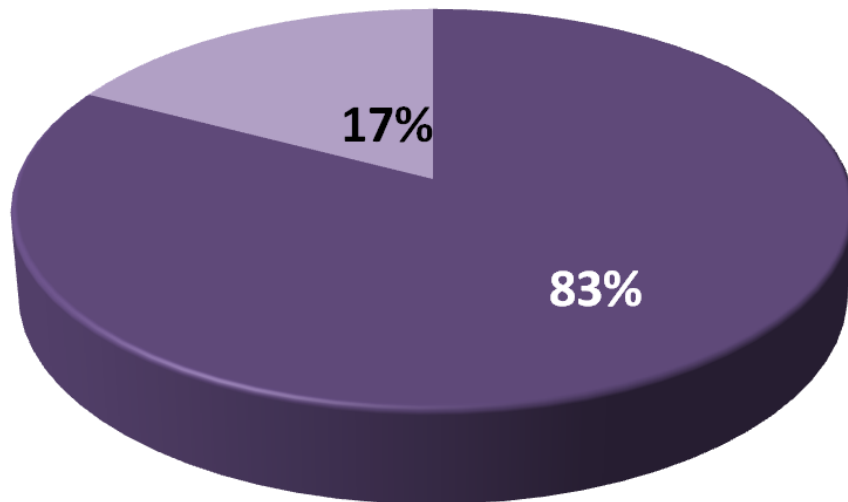
**2010-11 Projected  
FTE by Tuition  
Category  
(34,067)**



# Nonresident undergraduate enrollment will be increasing



Seattle Campus Undergraduate FTE  
2010-11



- While 17 percent of undergraduate FTE enrollment is nonresident, it is planned that 4,000 resident and 1,500 nonresident freshmen will enter in Fall 2010.

**VII. STANDING COMMITTEES****A. Academic and Student Affairs Committee**

*In Joint Session with*

**B. Finance, Audit and Facilities Committee**

University of Washington 2011-13 State Operating and Capital Budget Requests  
– Information Only

INFORMATION ONLY:

The University of Washington's 2011-13 state operating and capital budget requests are due to the Office of Financial Management (OFM) on September 1, 2010. In order to meet the budget submission deadline, the framework for the UW's 2011-13 state operating and capital budget requests will be discussed with the Board of Regents as an information item at the June 2010 meeting and will be brought to the Board for action at the July 2010 meeting. This document contains preliminary estimates that may change in the action item that will be presented to the Board at the July meeting.

ACTIONS THAT WILL BE PROPOSED TO THE BOARD IN JULY:

At the July 2010 Board of Regents meeting, the administration will ask the Board to:

1. Approve the 2011-13 state operating budget request;
2. Approve the 2011-13 state capital budget request;
3. Endorse the general framework for certain policy initiatives that the UW may seek during the 2011 legislative session; and
4. Authorize the UW administration to further develop the descriptions of selected 2011-13 budget requests and to prepare and submit other supporting materials that are required by the Office of Financial Management.

*Attachment*

Proposed 2011-13 State Operating and Capital Budget Requests



# **Proposed 2011-13 State Operating and Capital Budget Requests**

## **State Fiscal Outlook for 2011-13**

In the 2009-11 biennial budget, Washington State faced a budget deficit of approximately \$9 billion, a major portion of which was resolved with state funding reductions. Since FY 2009, the University of Washington has sustained cuts to its state general fund base budget of \$132,066,000 (or 33 percent). Despite significant reductions across numerous state agencies and the tax increases that accompanied the 2010 supplemental budget, the outlook for the 2011-13 biennial budget cycle remains grim.

The Office of Financial Management's (OFM) outlook for the state general fund currently assumes another \$2.6 billion deficit for the 2011-13 biennium. This outlook anticipates increased demand for essential state services, the need to replace one-time federal stimulus funding, increased commitment of state funding for constitutionally mandated (and voter-approved) performance measures in the K-12 sector, and cost of living increases for teachers, which are required by a voter initiative passed in 2000. Mandatory, escalating operating costs compounded by the anticipated general fund deficit also mean that state bond capacity will be constrained.

These and other pressures indicate that state support for new budget initiatives is expected to be negligible. Thus, state agencies have been instructed to include only constitutionally mandated or emergency funding requests in their 2011-13 operating and capital state budget requests.

## **Components of the 2011-13 Budget Submission**

The UW will still be required to submit a variety of materials to satisfy OFM budget submission requirements. UW administration must prepare a multitude of reports on topics which include tuition waivers, enrollments, maintenance and operations costs, student debt and information related to Initiative-960 (I-960). While we are not able to submit a full complement of state performance level budget requests with the required components of the operating budget, UW administration suggests two operating budget requests and a list of potential capital requests.

## **I-960 process**

As required by the voter-approved Initiative 960, all state agency fee increases (including tuition) must receive legislative approval prior to implementation. OFM has asked agencies to include any fees expected to be initiated or increased during the 2011-13 biennium to be justified as part of the 2011-13 budget submittal. For the UW, this includes all categories of tuition and related fees not yet adopted by the Board of Regents for the 2011-12 and 2012-13 academic years, in addition to a variety of other student and course fees.

## 2011-13 Operating Budget Request

Funding requests proposed by the administration for inclusion in the UW's 2011-13 state operating budget request are presented in the sections that follow this introduction. As required by OFM, the proposed budget requests are listed in proposed priority order. For the 2011-13 state operating budget request, the administration does not intend to present to the Board the actual text that will be submitted to OFM for each request. Instead, the administration is asking the Board to approve the items that will be included in the request.

The University is requesting state operating funds for two critical proposals in the 2011-13 state operating budget.

### I. Compensation Adjustments

At the end of FY 2011, UW faculty will reach the end of a two-year compensation freeze. While salaries have stagnated across all state agencies, UW faculty salaries would have to grow \$6,800 on average to achieve the 60<sup>th</sup> percentile of Global Challenge State (GCS) peers. Flat compensation has an immediate effect at the UW. Recruiting and retaining the most talented faculty is difficult during faculty wage freezes. UW faculty leverage federal and private investment dollars to initial state investment at a three to one ratio; investing in our most influential resource is imperative.

Given that state revenues appear to be significantly constrained in the coming biennium, UW administration suggests that a two percent increase in salary and corresponding benefit adjustments be requested to begin to address the declining parity of UW faculty salaries compared to tier one research institutions in the GCS peer group, while recognizing that the state has limited resources to adjust compensation.

Likewise, professional staff sustained flat compensation for several years. The elimination of filled and vacant positions over the past three years, in concert with increasing workload pressure from over-enrollment, have combined to increase workload pressures across the academy. Professional staff members continue to bear expanding job responsibilities with less administrative support. Classified staff compensation adjustments will be made as a result of contract negotiations with university administration at a later date.

### II. Funding for Current Enrollment Levels

The Legislature budgeted enrollments for each year of the biennium well below actual anticipated enrollments. When enrollments are budgeted by the legislature, full-time equivalent (FTE) students are combined from Seattle, Bothell and Tacoma and undergraduate and graduate FTEs are aggregated.

Enrollment	FY09	FY10	FY11
Actual/Estimated Average Annual FTEs	39,729	40,943	41,517*
Legislature Budgeted	38,526	36,546	37,162
Difference	1,203	4,397	4,355

\*FY11 average annual FTEs is an estimate based on UW admission plans.

In the adopted 2009-11 state budget, the state authorized enrollment levels for FY 2010 and FY 2011 for the UW were reduced because of the budget cuts that were implemented as part of that budget. Because of record demand for undergraduate, graduate and professional programs, the UW decided to at least temporarily use its FY 2009 state authorized enrollment level as its “target” enrollment figure – and in the current fiscal year, the UW is substantially overenrolled relative to that number.

Should any new state resources be available in 2011-13, the UW administration may seek funding that would allow the UW to continue to serve the number of students that the state specified as the UW’s enrollment level for FY 2009. In effect, this action would restore budget cuts made in the last two legislative sessions and allow the UW to maintain access at current levels.

#### **Enrollment Support for Areas of Critical State Need**

Further, UW administration may seek resources for enrollment support in areas of critical state need. “Areas of critical state need” has been defined by the UW as including degrees in “life, natural, environmental and health sciences, engineering, computer and information systems and sciences, education and teacher preparation, and mathematics, applied mathematics and statistics.” Supporting enrollments in areas of critical state need is more costly than other academic areas; the UW received additional state funding for “high demand” enrollments in both years of the 2007-09 biennium.

### **III. Other Potential Requests**

The administration is still evaluating whether it may want to submit one or two other budget requests for support for high priority issues at the UW where some state investment might leverage support from other funding sources. One possibility is to ask for some state funding to support the operation of facilities that support biomedical, science or engineering research.

## Background for the Capital Budget Request

### State Capital Funding in the Current Biennium

In the 2009-11 biennium, the UW received \$114 million (compared to \$146.9 million in the 2007-09 biennium) in state capital funds, and experienced a reduction in state support in the second year of the biennium in particular. Funding for Tacoma Phase 3, Savery Hall, Denny Hall and Lewis Hall Renovation Projects was reduced in the second year.

### OFM and Higher Education Coordinating Board Capital Prioritization Process

In the 2008 supplemental legislative session, the legislature passed Engrossed Substitute House Bill 3329 which created a new capital prioritization process for public baccalaureate institutions. Major projects that have not been funded for design are required to go through the scoring process. In the 2010 supplemental legislative session, Senate Bill 6355 passed, which directs the Higher Education Coordinating Board to rank major capital projects at four-year institutions in a single list by priority order and submit the list to OFM for consideration.

## 2011-13 State Capital Budget Request

UW administration is requesting a total of \$240.1 million in state capital funds in the 2011-13 state budget and authority to spend \$47 million out of the UW Building Account (for a total of \$287,095,000). A summary of the UW's 2011-13 capital budget request (in priority order) is shown in the table below and brief project descriptions follow on the next page:

Project Name	2011-13	
	State Funds	UW Building Account
Minor Capital Repair - Infrastructure and Program Allocations	66,000,000	47,000,000
Denny Hall Renovation	54,615,000	-
House of Knowledge (New Academic Building)	2,700,000	-
Odegaard Undergraduate Learning Center - Phase 1 (Renovation)	19,500,000	-
UW Bothell Phase 3 (New Academic Building)	62,850,000	-
UW Tacoma Land Acquisition/Remediation	5,000,000	-
Anderson Hall Renovation	2,300,000	-
Lewis Hall Renovation	23,130,000	-
Miller Hall Renovation	4,000,000	-
Biennial TOTALS	<b>\$240,095,000</b>	<b>\$47,000,000</b>

**Minor Capital Repairs, \$113,000,000.** This request is split into \$66 million of state funds and \$47 million of UW Building Account funds for minor capital repair projects including building renewal, utility and energy conservation projects, upgrades to the communications data network, and critical educational facilities program improvements.

**Denny Hall Renovation, \$54,615,000.** After a delay of one biennium due to state funding constraints, Denny Hall is scheduled for construction in the 2011-13 biennium. Denny Hall must be strengthened to better resist earthquakes; the project scope includes the replacement of the electrical, lighting, mechanical, communications systems to bring the building into compliance with current building codes, and LEED Silver certification.

**House of Knowledge, \$2,700,000.** The UW is requesting state funds for the House of Knowledge, with the balance of the project to be funded from non-state sources.

**Odegaard Undergraduate Learning Center- Phase 1, \$19,500,000.** This request is for design and construction of Phase I renovation of Odegaard to reinvigorate student learning spaces, increase access to technology and support undergraduate education.

**UW Bothell Phase 3, \$62,850,000.** The UW is requesting state funds for the construction phase of UW Bothell Phase 3, a new academic building and associated site work to accommodate enrollment growth.

**UW Tacoma Land Acquisition/Remediation, \$5,000,000.** This request is for the acquisition of properties as well as for funds to address remediation requirements within the 46 acre footprint of the UW Tacoma campus. This appropriation would allow the UW to proceed with procuring individuals parcels of land as they become available; in total, six acres of individual parcels are not yet acquired.

**Anderson Hall Renovation, \$2,300,000.** Anderson Hall has not had a major upgrade in over 40 years; this request is for the design phase of its renovation. The renovation will address outdated building systems such as the heating/ventilation, electrical, lighting, and plumbing, as well as addressing the needs to upgrade seismic, life safety, access and building code issues.

**Lewis Hall Renovation, \$23,130,000.** This request is for the construction phase of Lewis Hall, which is listed on the Washington Heritage Register. The exterior and interior of Lewis Hall are in dire need of a complete renovation and upgrade. The project will update all major building systems utilizing sustainability goals to LEED Silver certification as well as address important seismic, life safety, accessibility and current building code requirements.

**Miller Hall Renovation, \$4,000,000.** Miller Hall is home to the College of Education and has not had a major upgrade in over 46 years; this request is for a combined predesign/design phase of its renovation. The project will address major building issues including the exterior shell, heating/ventilation system, plumbing, electrical, fire protection, access issues and computing infrastructure.

## **2011-13 Policy Level Requests**

The UW administration is evaluating several policy requests for the coming legislative session with the goal of putting the university on a more stable and predictable funding path.

### **I. Provide a Sustainable Operating Funding Model for the University**

- A. The UW administration would like to continue a conversation with state lawmakers to develop a sustainable funding model for the university that could include granting greater flexibility to set tuition and fees for resident undergraduate tuition to the UW Board of Regents.
- B. The UW's tuition setting authority for all nonresident and resident graduate tuition fee categories will sunset at the end of the 2012-13 academic year. Thus, the administration would like to engage in discussion with state lawmakers to grant permanent tuition setting authority to the UW Board of Regents for these categories.

### **II. Provide a Sustainable Capital Funding Model for the University**

UW administration would like to continue prior discussions with state lawmakers on developing a sustainable funding model for capital projects that could provide the UW with greater ability to locally manage its Metro Tract and student building fee revenues.

### **III. Other Efficiency/Cost Saving Initiatives**

UW administration seeks Regental consent to pursue legislative initiatives that would produce efficiencies or cost savings in purchasing, capital project contracting, etc.



# University of Washington 2011-13 State Operating and Capital Biennial Budget Development

# 2011-13 State Biennial Budget Process



## ❖ Outlook for state general fund capacity in 2011-13 is bleak.

- OFM predicts another deficit for the coming biennium of at least \$2.6 billion.
- June quarterly revenue forecast shows revenue losses are worse than anticipated.
- Capacity for new operating budget initiatives and state bonding will be extremely limited.

## ❖ 2011-13 Budget Submission:

- Will include a full complement of required reports, but new budget initiatives are discouraged.
- The initial draft of UW operating and capital requests is due to the Higher Education Coordinating Board this summer.
- Formal operating and capital budgets are due to OFM early September.

## ❖ UW administration suggests the following structure:

- Two operating budget requests at the “performance level.”
- An abbreviated list of capital state budget requests
- Pursuit of several policy initiatives related to stable funding and student financial aid.



# UW Proposed Operating Maintenance and Performance Level Requests.



## Maintenance Level:

- ❖ *Restore Operations and Maintenance Shift*

## Performance Level:

- ❖ *Compensation adjustments for faculty and staff*

Two percent increase in salary and corresponding benefit adjustments to address declining parity of UW faculty salaries compared to GCS peers.

- ❖ *Funding for Enrollments*

The UW is supporting more enrollments than the state is providing funding for. An enrollment funding package could support general enrollments or expand high demand enrollments, which is a clear priority for the state.

Enrollment	FY09	FY10	FY11
Legislature Budgeted	38,526	36,546	37,162
Actual/Estimated Average Annual FTEs	39,729	40,943	41,517*
Difference	(1,203)	(4,397)	(4,355)

# UW Proposed Capital Project List.



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UW Tacoma Land Acquisition/Remediation	5,000,000	-
Anderson Hall Renovation	2,300,000	-
Lewis Hall Renovation	23,130,000	-
Miller Hall Renovation	4,000,000	-
Biennial TOTALS	\$240,095,000	\$47,000,000

# UW administration policy directions for the 2011-13 Biennial Budget Process.



UW administration seek Regental consent to:

- ❖ Advocate for increased funding for the State Need Grant
- ❖ Provide a sustainable operating model for the UW
  - Resident undergraduate tuition setting authority for the UW Regents.
  - Permanent tuition setting authority for the UW Regents for resident graduate and nonresident undergraduate and graduate tuition categories.
- ❖ Provide a sustainable capital funding model for the UW
  - Locally manage Metro Tract and student building fee revenues.
- ❖ Pursue other efficiency/cost savings initiatives as they arise

VII. STANDING COMMITTEES

A. Academic and Student Affairs

*In Joint Session with*

B. Finance, Audit and Facilities Committee

One Capital Plan Update

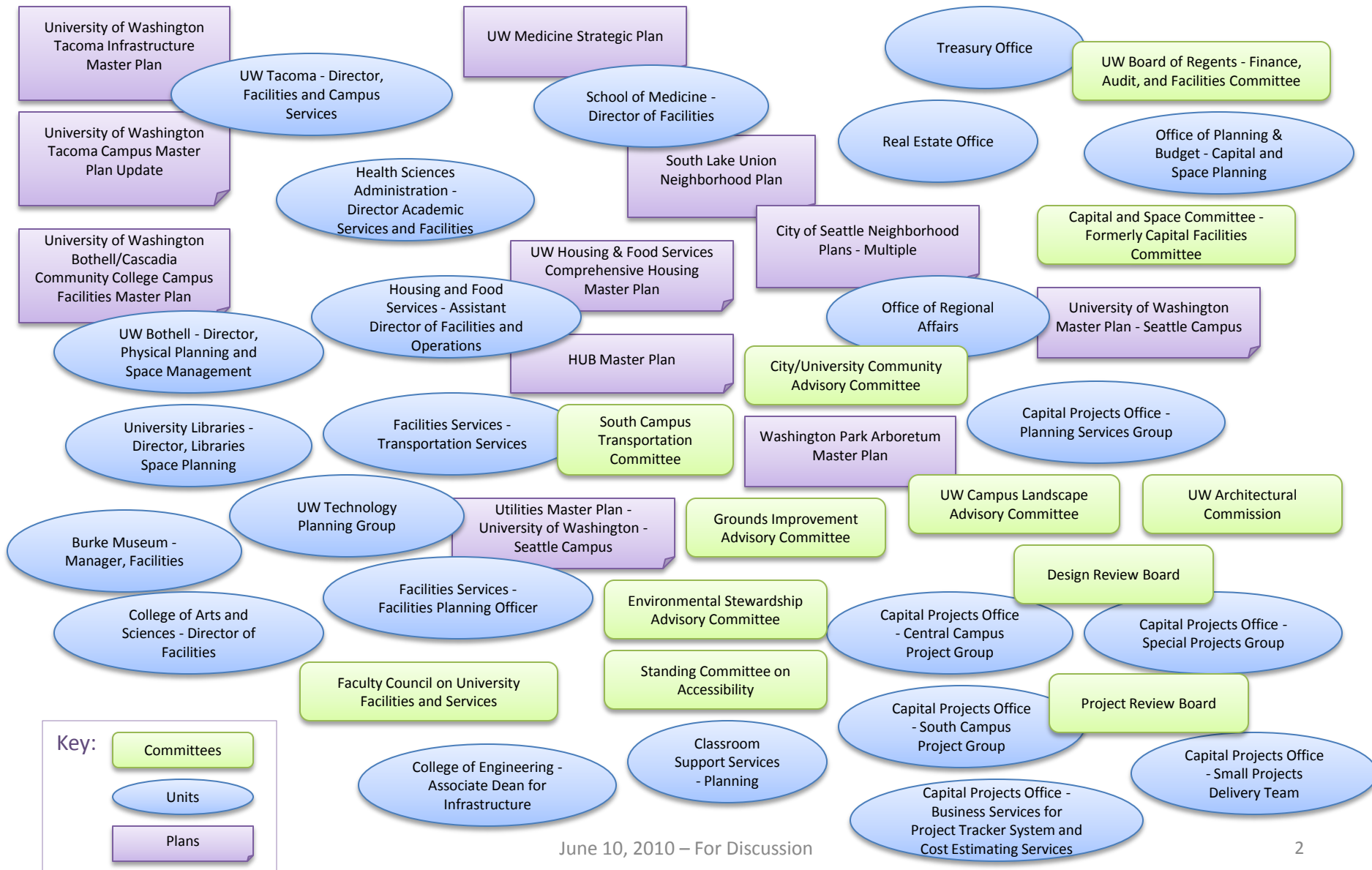
This will be an oral report for information only.

# Capital Plan Update 2011-2021

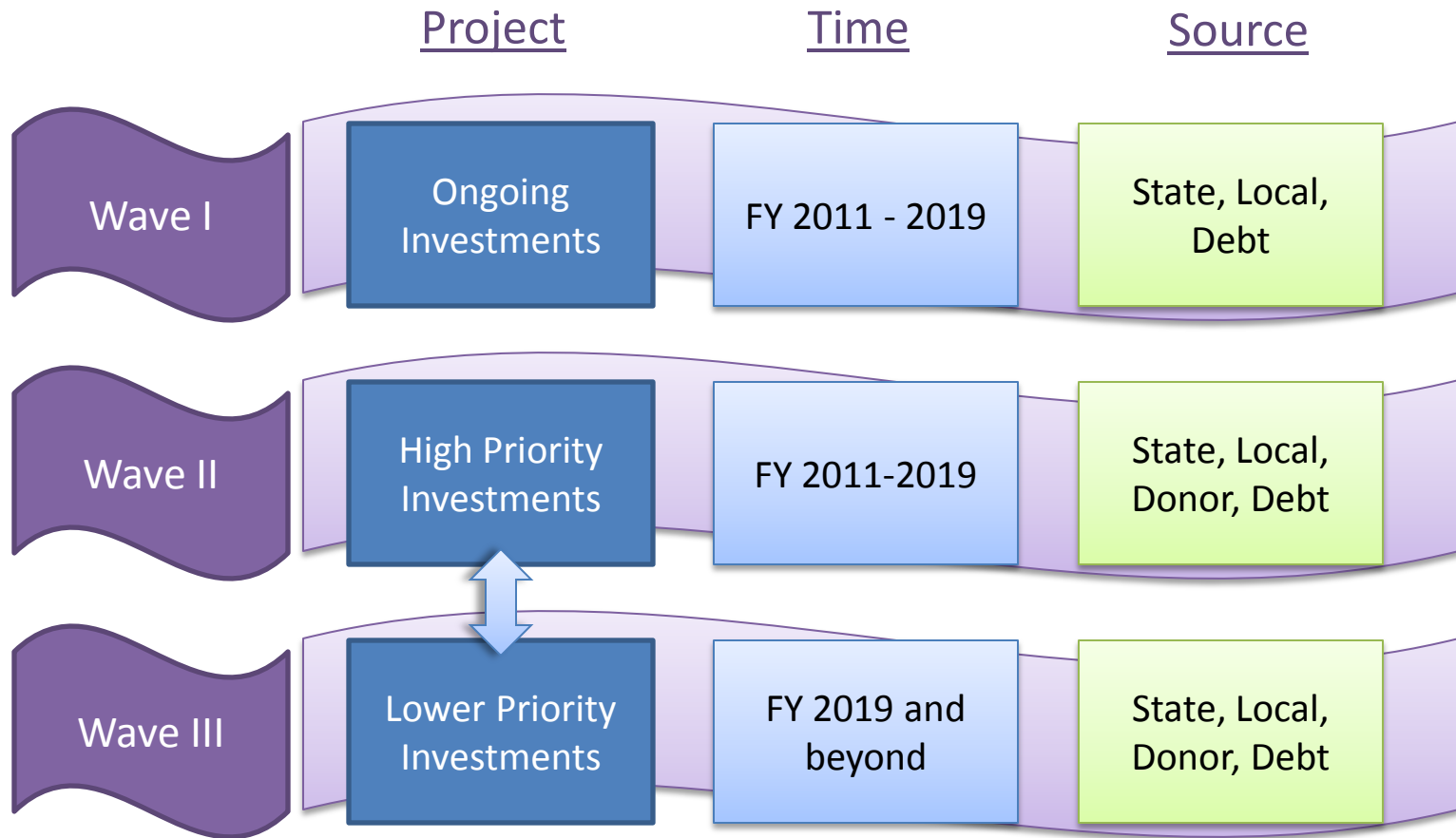
University of Washington  
Office of Planning & Budgeting

June 10, 2010

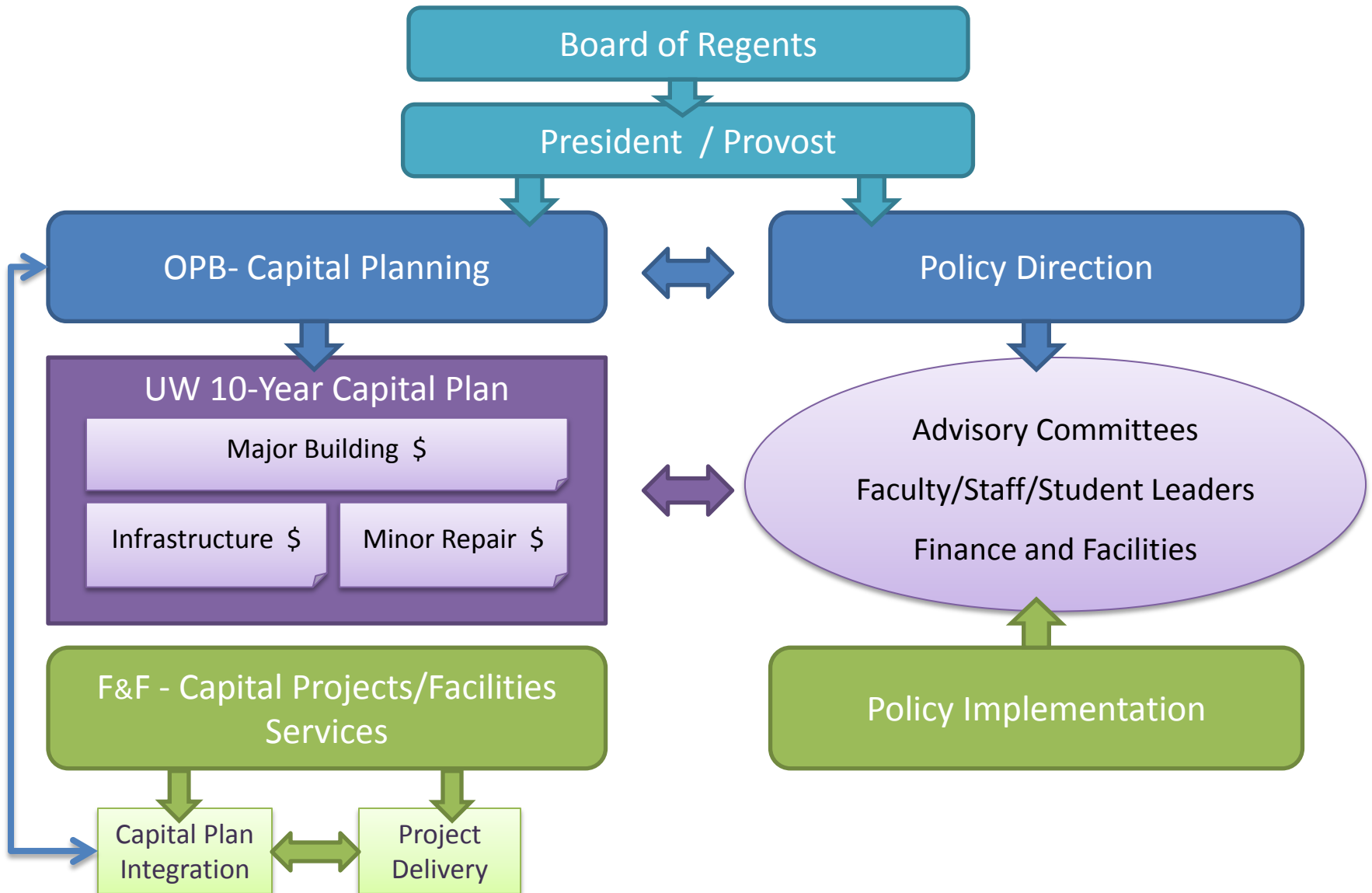
# Many Plans



# One Capital Plan

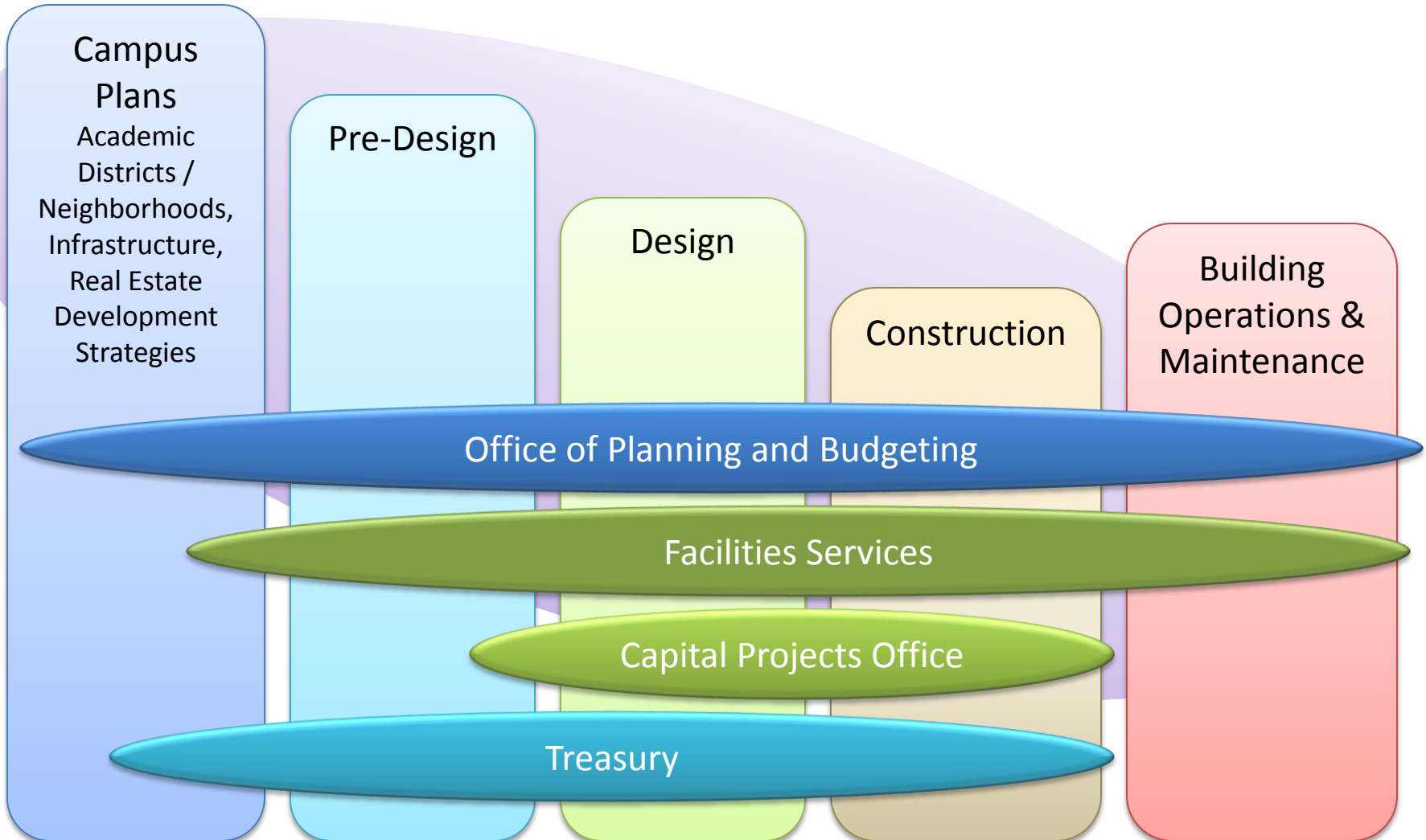


# One Capital Plan

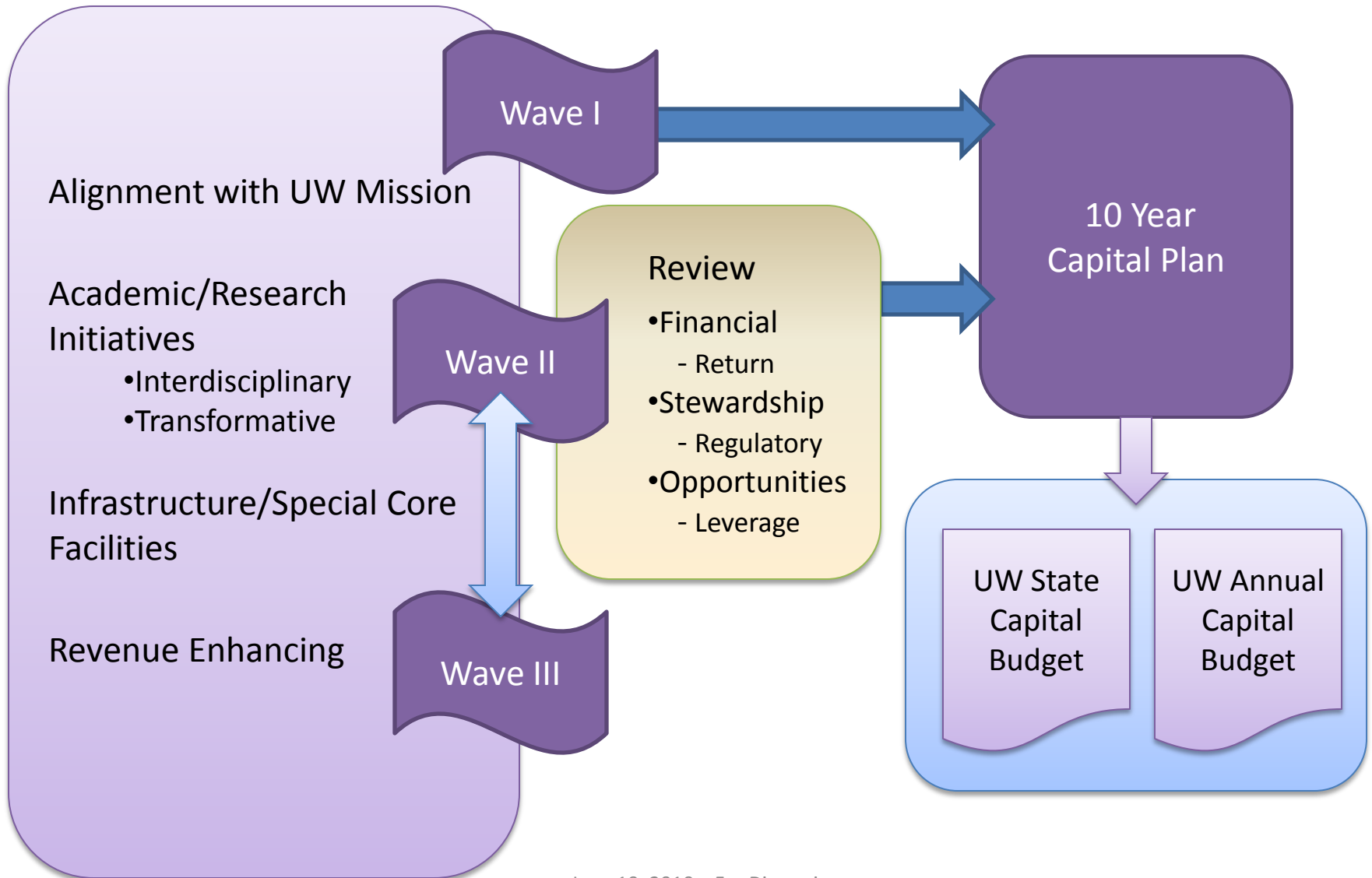




# One Capital Plan



# One Capital Plan Prioritization



# Capital Planning Initiatives

- Long Range District Planning

  - West Campus Planning – West of 15<sup>th</sup> Avenue Plan

  - Campus Master Infrastructure Plan Update

  - Health Sciences Infrastructure Plan

- Academic/Research Program Planning

  - College of Engineering Precinct Plan

  - College of Arts and Sciences Plan

  - Health and Life Sciences Planning

  - Core Research Facilities Master Plan

- Enhanced Space Utilization Projects

  - Health Sciences South Campus Center

  - Odegaard Undergraduate Learning Center

# West Campus Planning

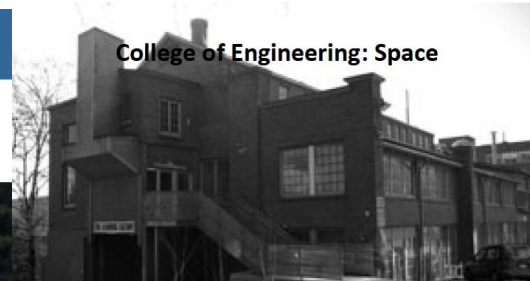




# College of Engineering Precinct Plan

## Guiding Principles

Foster Translation Engineering  
Lab-Prototype-Market-Assessment



College of Engineering: Space

**ENGINEER OF THE FUTURE**

Learner



Collaborator



Communicator



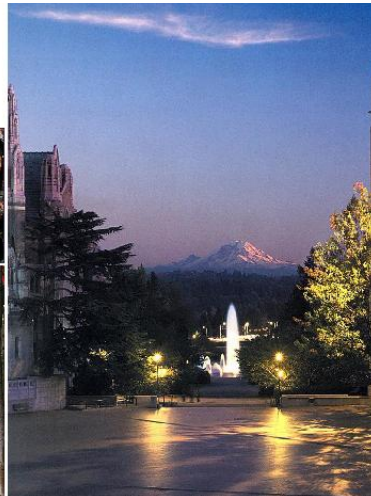
Leader



**COLLABORATORY**

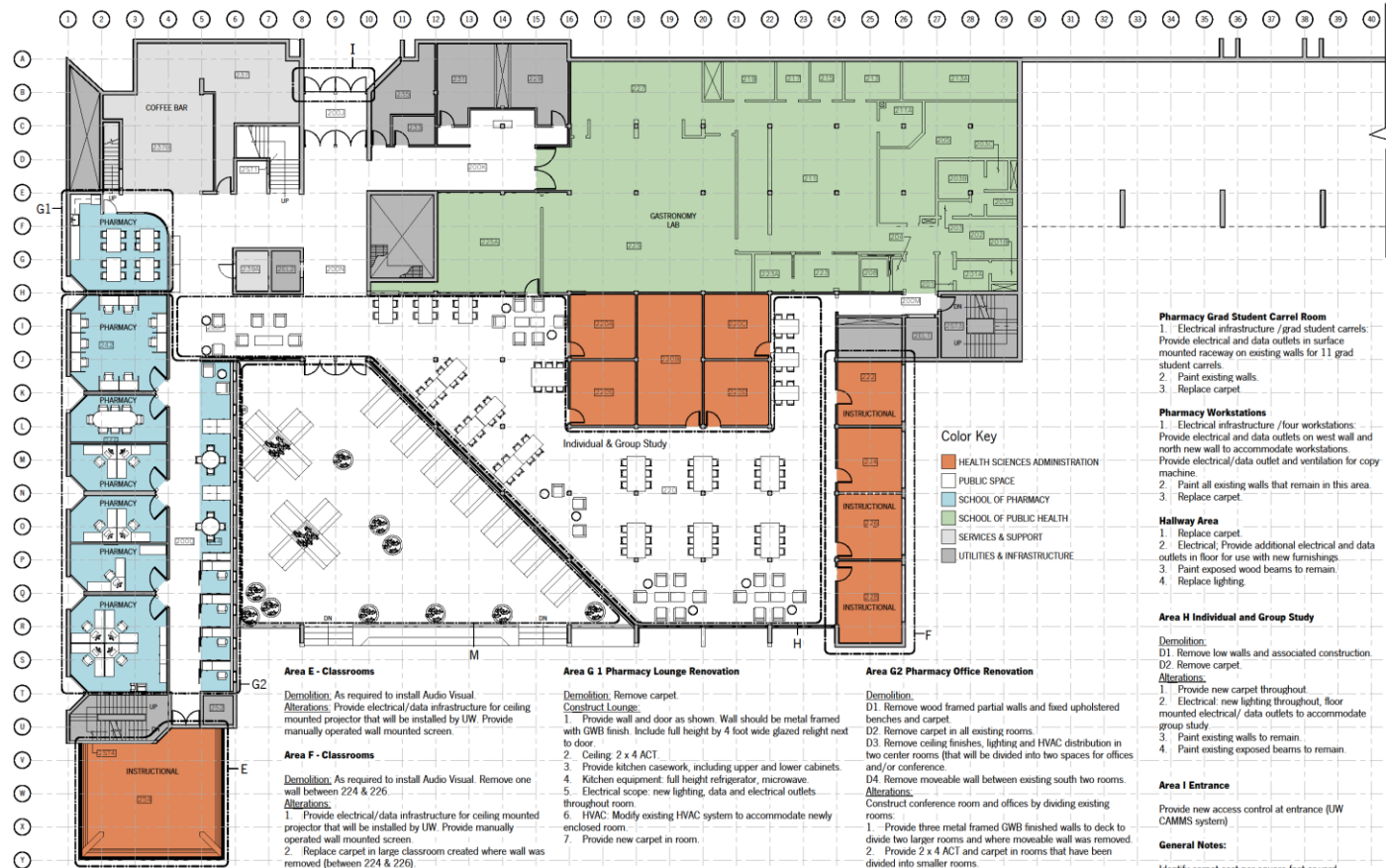


Enhance UW Brand  
Transitional  
Educational Urbanism  
Super district





# South Campus Center Renewal



SECOND FLOOR  
145' x 145'

**schacht | asiani**  
architects  
Seattle, Tacoma  
509 Second Ave  
Suite 700  
Seattle, WA 98104  
www.schacht-asiani.com  
www.schacht.com

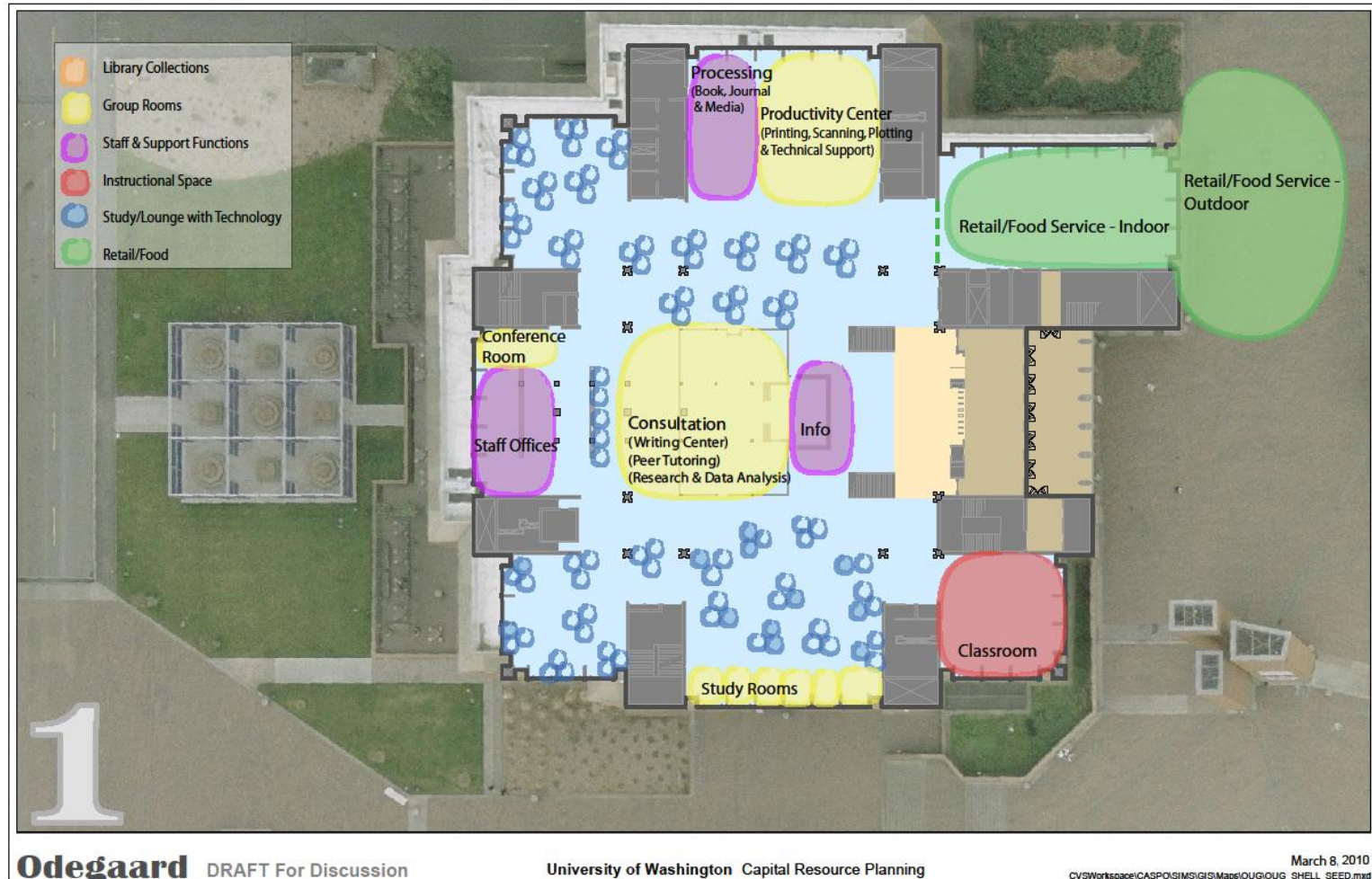
UNIVERSITY OF WASHINGTON  
South Campus Teaching & Learning Center  
Health Sciences Renovation  
Seattle, WA 98195

Principal Designer  
Project Manager Architect  
Drawn By Architect  
Reviewed By Checker  
Job No. 04-001  
Revision No. 01  
Date 04/29/10

State Project #  
29 April 2010  
Space  
Assignments  
Second Floor  
Plan  
A2.2



# Odegaard Undergraduate Learning Center





# Proposed 2011-13 State Capital Request

	Prior Funding 2007-11	State Proposal 2011-13	Potential State Proposals 2013-21
1 Minor Capital Repair - Infrastructure and Program Allocations	\$113,000,000	\$66,000,000	+ 8% per biennium
2 Denny Hall Renovation	\$2,300,000	\$54,615,000	-
3 House of Knowledge (New Academic Building)	\$300,000	\$2,700,000	-
4 Odegaard Undergraduate Learning Center Phase 1 (Renovation)	-	\$19,500,000	\$19,500,000
5 UW Bothell Phase 3 (New Academic Building)	\$5,150,000	\$62,850,000	-
6 UW Tacoma Land Acquisition/Remediation	\$5,000,000	\$5,000,000	\$32,000,000
7 Anderson Hall Renovation	\$200,000	\$2,300,000	\$21,750,000
8 Lewis Hall Renovation	\$1,478,000	\$23,130,000	-
9 Miller Hall Renovation	-	\$4,000,000	\$40,000,000
<b>Total</b>		<b>\$240,095,000</b>	

# Proposed 2011-13 Non-State Capital Approach

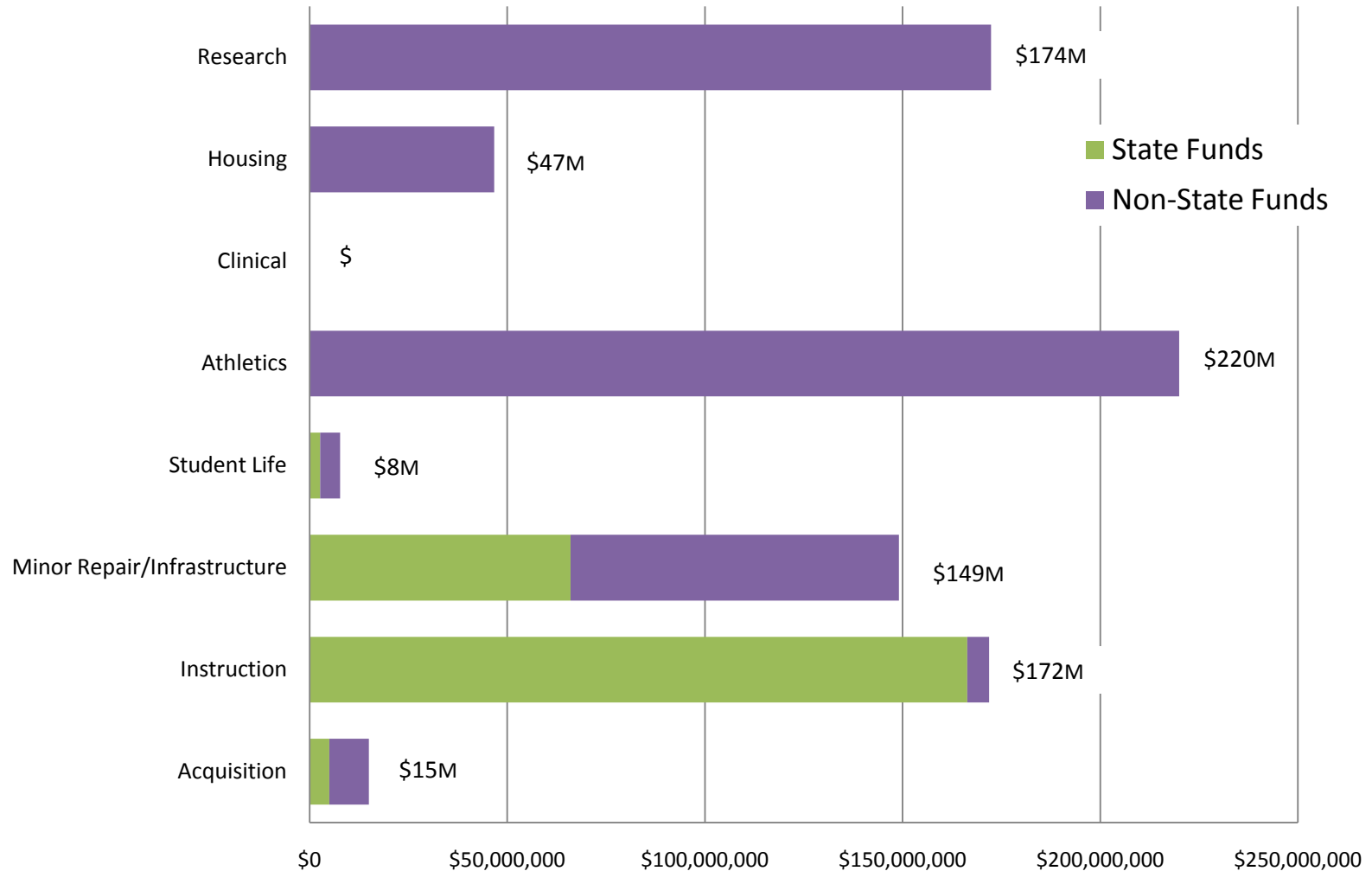
	Non-State Funds 2011-13	Potential Funding 2013-21
<b>Minor Repair/Infrastructure</b>		
Minor Capital Repair - Infrastructure and Program Allocations	\$47,000,000	\$47M per biennium
Major Infrastructure Upgrade Projects	\$500,000	\$27,500,000
Major Infrastructure - Energy Conservation Center	\$5,000,000	\$12,500,000
Major Infrastructure - Green Streets/Clean Storm Water Technology	\$500,000	\$4,500,000
Major Infrastructure - SMART Campus	\$500,000	\$12,000,000
UW Health / Life Sciences Plan	\$250,000	\$100,000
UW Seattle Master Infrastructure Plan	\$250,000	\$100,000
UW Seattle West Campus Plan	\$100,000	\$1,500,000
Enterprise Information System	\$25,000,000	\$100,000,000
Sound Transit Overpass - University of Washington Station	\$4,000,000	-
<b>Acquisition</b>		
Strategic Real Estate Investment	\$10,000,000	\$40,000,000
<b>Student Life</b>		
UWPD and Facilities Services Relocation	\$5,000,000	-
<b>SubTotal</b>	<b>\$98,100,000</b>	

# Proposed 2011-13 Non-State Capital Approach

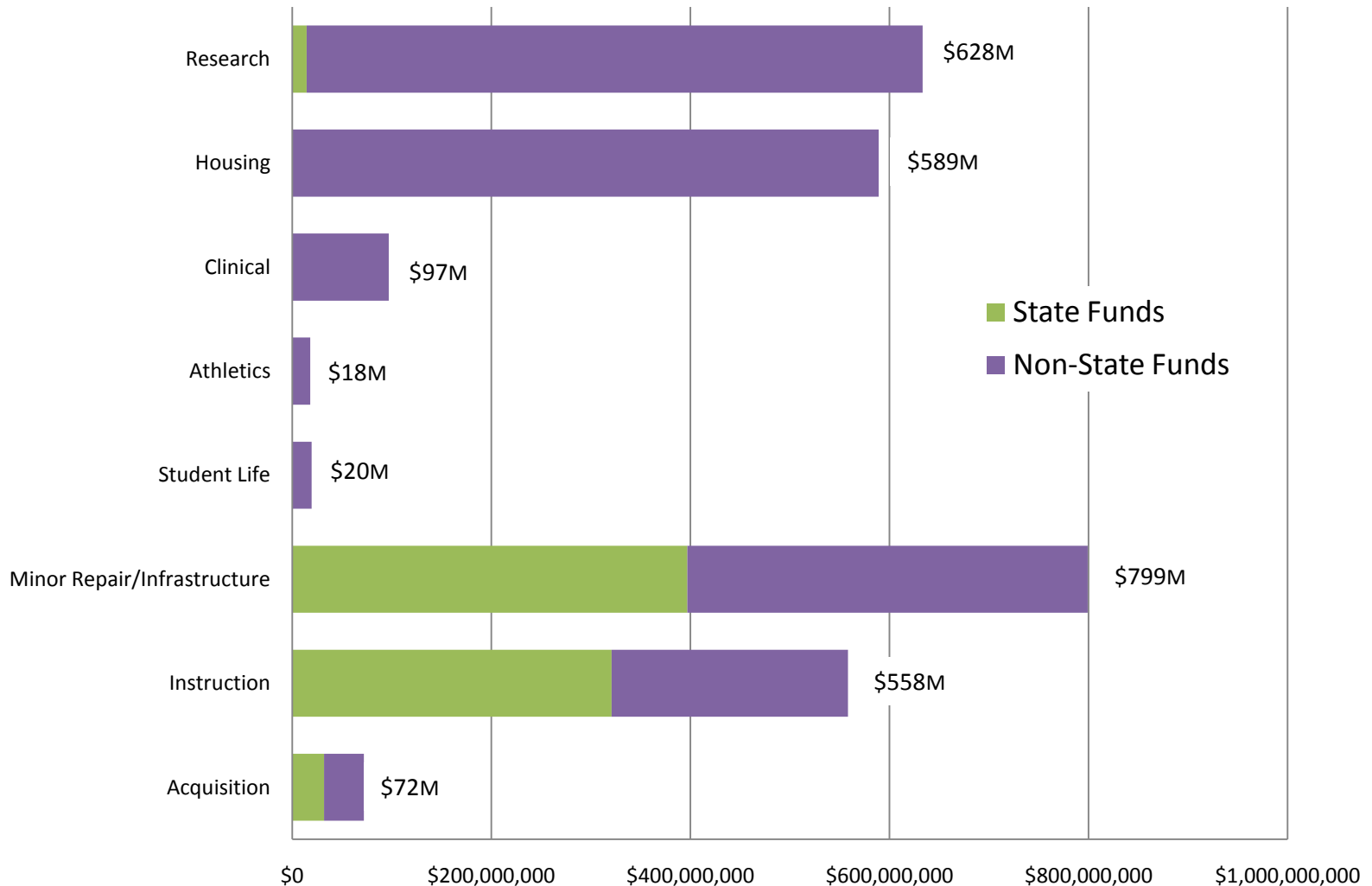
	Non-State Funds 2011-13	Future Funding 2013-21
<b>Instruction and Research</b>		
Biological & Environmental Sciences Building	\$250,000	\$179,750,000
Health and Life Sciences Core Research Facilities	\$4,000,000	\$46,000,000
Interdisciplinary Research Center - West of 15th Ave (Joint Venture)	\$500,000	\$35,000,000
Molecular Engineering Phase 2	-	\$63,300,000
Sand Point Building 5 - Archival Storage	\$5,000,000	-
Sand Point Building 5 – Freezer Farm	\$2,000,000	-
South Lake Union Phase 3.1	\$168,000,000	-
UW College of Arts & Sciences Precinct Plans	\$75,000	\$50,000
UW College of Engineering Precinct Plan	\$50,000	\$50,000
<b>Athletics</b>		
Husky Stadium + Soccer Field + Track Improvements	\$220,000,000	-
<b>Clinical</b>		
UW Medicine Major Capital Projects	-	-
<b>Housing</b>		
Student Housing - Lander Renovation	\$46,200,000	-
Student Housing – Site 29W – Mercer Hall	\$500,000	\$30,000,000
Student Housing – Site 30W	\$250,000	\$90,000,000
<b>SubTotal</b>	<b>\$446,825,000</b>	
<b>2011-13 Non-State Total</b>	<b>\$544,925,000</b>	

# Proposed 2011- 2013 Capital Approach

## Program Targets



# Potential 2013- 2021 Capital Investment Program Targets



UW 10 Year Capital Plan - DRAFT Working Plan

June 10, 2010

\$ in Thousands (,000)

		Proposed 2011-13 Capital by Fund Source						Potential 2013-21 Capital by Fund Source							
Proposed Project		State Funds	State Approp UW Building Account	Local Funds	Donor	Central Debt	Non- Central Debt	State Funds	State Approp UW Building Account	Local Funds	Grant Funds	Donor	Central Debt	Non-Central Debt	Total Capital 2011-21
Wave I	Major Infrastructure - Energy Conservation Service Center	-	-	5,000	-	-	-	-	-	7,500	5,000	-	-	-	17,500
	Major Infrastructure - Green Streets/Clean Stormwater Technology	-	-	500	-	-	-	-	-	2,000	2,500	-	-	-	5,000
	Major Infrastructure - SMART Campus	-	-	500	-	-	-	-	-	2,000	10,000	-	-	-	12,500
	Major Infrastructure Upgrade Projects	-	-	500	-	-	-	61,000	-	-	20,000	-	7,500	-	89,000
	Minor Capital Repair - Program and Infrastructure Repairs	66,000	47,000	-	-	-	-	326,000	188,000	-	-	-	-	-	627,000
	Strategic Real Estate Investment	-	-	10,000	-	-	-	-	-	40,000	-	-	-	-	50,000
	UW College of Arts & Sciences Precinct Plans	-	-	75	-	-	-	-	-	50	-	-	-	-	125
	UW College of Engineering Precinct Plan	-	-	50	-	-	-	-	-	50	-	-	-	-	100
	UW Health / Life Sciences Plan	-	-	250	-	-	-	-	-	100	-	-	-	-	350
	UW Seattle Master Infrastructure Plan	-	-	250	-	-	-	-	-	100	-	-	-	-	350
	UW Seattle West Campus Plan	-	-	100	-	-	-	-	-	-	1,500	-	-	-	1,600
Subtotal Wave I		66,000	47,000	17,225	-	-	-	387,000	188,000	51,800	39,000	-	7,500	-	803,525
Totals Wave I		66,000	47,000	17,225	-	-	-	387,000	188,000	51,800	39,000	-	7,500	-	803,525

Wave II	Anderson Hall Renovation	2,300	-	-	-	-	-	21,750	-	-	-	-	-	-	24,050
	Biological & Environmental Sciences Building	-	-	250	-	-	-	-	-	-	60,000	119,750	-	-	180,000
	Denny Hall Renovation	54,615	-	-	-	-	-	-	-	-	-	-	-	-	54,615
	Enterprise Information System	-	-	-	-	25,000	-	-	-	-	-	-	100,000	-	125,000
	Global Public Health, Nursing & Pharmacy Learning/Research Center	-	-	-	-	-	-	-	-	-	-	60,000	60,000	-	120,000
	Gould Hall Court Addition	-	-	-	-	-	-	-	-	-	-	5,000	-	-	5,000
	Health and Life Sciences Core Research Facilities	-	-	-	-	4,000	-	-	-	-	-	-	46,000	-	50,000
	House of Knowledge	2,700	-	-	-	-	-	-	-	-	-	7,600	-	-	10,300
	Husky Stadium + Soccer Field + Track Improvements	-	-	-	110,000	-	110,000	-	-	-	-	-	-	-	220,000
	Hutchinson Hall Renovation	-	-	-	-	-	-	30,000	-	-	-	-	-	-	30,000
	Interdisciplinary Research Center - West of 15th Ave (Joint Venture)	-	-	250	250	-	-	-	-	-	35,000	-	-	-	35,500
	Lewis Hall Renovation	23,130	-	-	-	-	-	-	-	-	-	-	-	-	23,130
	Miller Hall Renovation	4,000	-	-	-	-	-	40,000	-	-	-	-	-	-	44,000
	Molecular Engineering Phase 2	-	-	-	-	-	-	-	-	-	30,000	33,300	-	-	63,300
	Odegard Undergraduate Learning Center Phase 1	19,500	-	-	-	-	-	-	-	-	-	-	-	-	19,500
	Odegard Undergraduate Learning Center Phase 2	-	-	-	-	-	-	19,500	-	-	-	-	-	-	19,500
	Sand Point Building 5 - Archival Storage	-	-	-	-	5,000	-	-	-	-	-	-	-	-	5,000
	Sand Point Building 5 - Freezer Farm	-	-	2,000	-	-	-	-	-	-	-	-	-	-	2,000
	Sound Transit Overpass - University of Washington Station	-	-	4,000	-	-	-	-	-	-	-	-	-	-	4,000
	South Lake Union Phase 3.1	-	-	14,700	-	-	153,300	-	-	-	-	-	-	-	168,000
	South Lake Union Phase 3.2	-	-	-	-	-	-	-	-	12,800	-	-	-	134,200	147,000
	South Lake Union Phase 3.3	-	-	-	-	-	-	-	-	16,500	-	-	-	173,500	190,000
	Student Housing - Site 29W - Mercer Hall	-	-	-	-	-	500	-	-	-	-	-	-	90,000	90,500
	Student Housing - Site 30W	-	-	-	-	-	250	-	-	-	-	-	-	30,000	30,250
	Student Housing - Lander Renovation	-	-	-	-	-	46,200	-	-	-	-	-	-	-	46,200
	Student Housing - Terry Renovation	-	-	-	-	-	-	-	-	-	-	-	-	57,200	57,200
	UW Bothell Phase 3 (New Academic Building)	62,850	-	-	-	-	-	-	-	-	-	-	-	-	62,850
	UW Bothell Infrastructure	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	UW Medicine Major Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	UW Tacoma Land Acquisition/Remediation	5,000	-	-	-	-	-	32,000	-	-	-	-	-	-	37,000
	UW Tacoma Infrastructure							10,000			15,000				25,000
	UWMC Expansion Phase 2	-	-	-	-	-	-	-	-	26,000	-	-	-	71,000	97,000
	UWPD and Facilities Services Relocation	-	-	5,000	-	-	-	-	-	-	-	-	-	-	5,000
	Subtotal Wave II	174,095	-	26,200	110,250	34,000	310,250	153,250	-	55,300	140,000	225,650	206,000	555,900	1,990,895
Cumulative Totals (Wave I + II)		240,095	47,000	43,425	110,250	34,000	310,250	540,250	188,000	107,100	179,000	225,650	213,500	555,900	2,794,420

Wave III	Baseball Stadium	-	-	-	-	-	-	-	-	-	-	18,000	-	-	18,000
	Day Care Center Expansion	-	-	-	-	-	-	-	-	-	-	-	4,500	-	4,500
	Eagleson Hall Renovation	-	-	-	-	-	-	12,000	-	-	-	-	-	-	12,000
	Fine Arts Center & Library	-	-	-	-	-	-	-	-	-	-	65,000	-	-	65,000
	Harris Hydraulics Renovation	-	-	-	-	-	-	14,600	-	-	-	-	-	-	14,600
	Interdisciplinary Academic Building - Renovation	-	-	-	-	-	-	50,000	-	-	-	-	-	-	50,000
	Rainier Vista Triange Garage Improvements	-	-	-	-	-	-	-	-	-	-	-	-	25,000	25,000
	Student Housing - McMahon Renovation	-	-	-	-	-	-	-	-	-	-	-	-	100,800	100,800
	Student Housing - McCarty Renovation	-	-	-	-	-	-	-	-	-	-	-	-	66,700	66,700
	Student Housing - Hansee Renovation	-	-	-	-	-	-	-	-	-	-	-	-	49,000	49,000
	Student Housing - Haggett Renovation	-	-	-	-	-	-	-	-	-	-	-	-	78,300	78,300
	Student Housing - 2 Other Sites	-	-	-	-	-	-	-	-	-	-	-	-	117,000	117,000
	UW Bothell Phase 4	-	-	-	-	-	-	68,000	-	-	-	-	-	-	68,000
	UW Seattle Structured Parking	-	-	-	-	-	-	-	-	-	-	-	-	16,000	16,000
	UW Tacoma Phase 4	-	-	-	-	-	-	79,500	-	-	-	-	-	-	79,500
	UW Tacoma Student Union - Phase I	-	-	-	-	-	-	-	-	-	-	-	7,500	-	7,500
	Subtotal Wave III	-	-	-	-	-	-	224,100	-	-	-	83,000	12,000	452,800	771,900
Cumulative Totals (Wave I + II + III)		240,095	47,000	43,425	110,250	34,000	310,250	764,350	188,000	107,100	179,000	308,650	225,500	1,008,700	3,566,320

**VII. STANDING COMMITTEES****A. Academic and Student Affairs**

*In Joint Session with*

**B. Finance, Audit and Facilities Committee**

Washington State Department of Transportation Preferred Alternative for the SR 520 Project - Informational Update

INFORMATION:

This is an informational update on the preferred alternative that was announced by the Governor on April 29<sup>th</sup> for SR 520.

PROJECT DESCRIPTION:

After 13 years of analysis and input from thousands of people, the Governor announced the state's preferred alternative for the I-5 to Medina Bridge Replacement and HOV project. The preferred alternative has 6 lanes, a complete HOV system from Seattle to Redmond, improved safety features, bike and pedestrian paths along the corridor, a second bascule bridge next to the current one, no direct access ramps from the Arboretum to SR 520 and the Westside interchange stays at Montlake and includes an expanded lid.

Included in the preferred alternative is a lid over Montlake that would take the place of the Sound Transit pedestrian overpass and would tie into the Rainier Vista land-bridge. This is currently a concept that will be explored and refined during the month of June in a series of charrettes which will include the UW, ST, WSDOT, SDOT and King County METRO.

This is the alternative the University supported in its comment letter. It has the least amount of impact on University resources and does less environmental damage to the areas surrounding the interchange. It can be built within the defined budget and can be permitted by the environmental agencies with jurisdiction over the project.

PROPOSED SCHEDULE:

- April 28, 2010 – Announce Preferred Alternative
- June to August 2010 – WSDOT convenes three Workgroups as defined by ESSB 6392 to refine preferred alternative
- June 2010 – WSDOT convenes charrettes to refine lid over Montlake
- December 2010 – Workgroup reports issued to Legislature and public

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs

*In Joint Session with*

### B. Finance, Audit and Facilities Committee

#### Washington State Department of Transportation Preferred Alternative for the SR 520 Project - Informational Update (continued p. 2)

- January 2011 – Final Environmental Impact Statement issued
- 2012 Permits for construction received
- 2014 New floating bridge open to drivers

#### PREVIOUS ACTIONS:

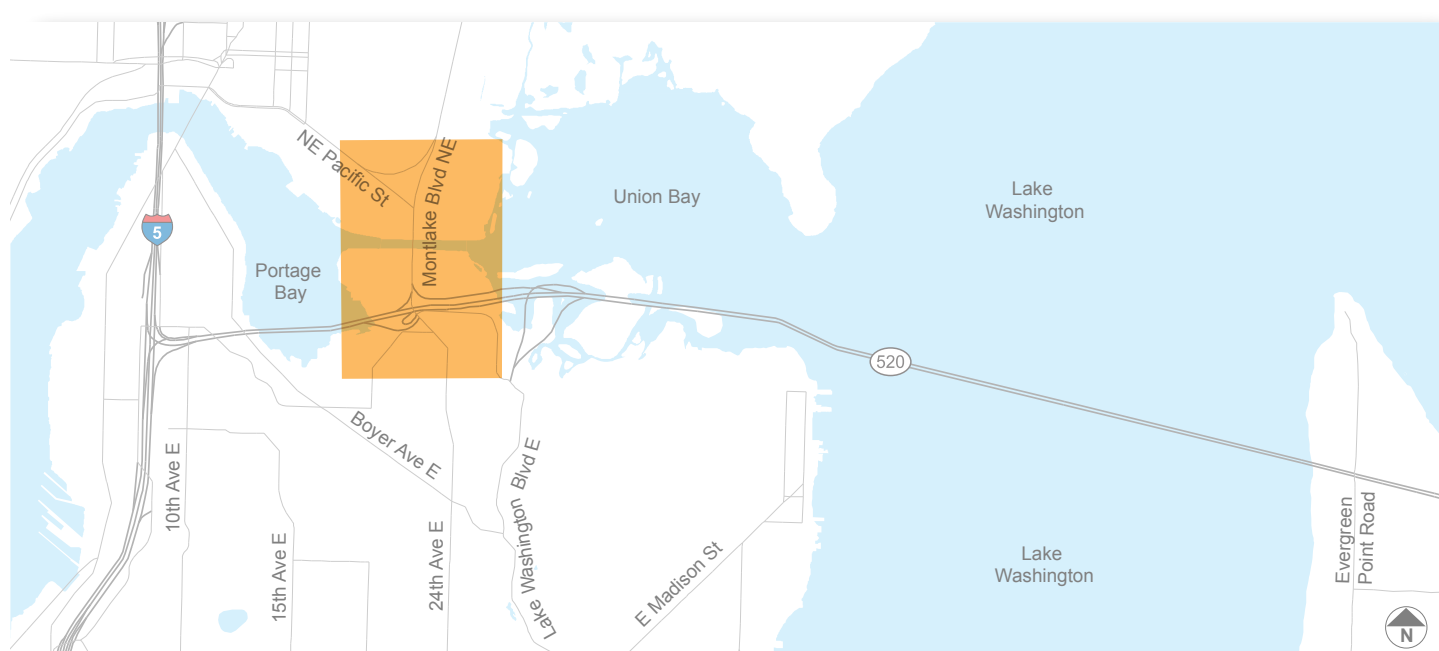
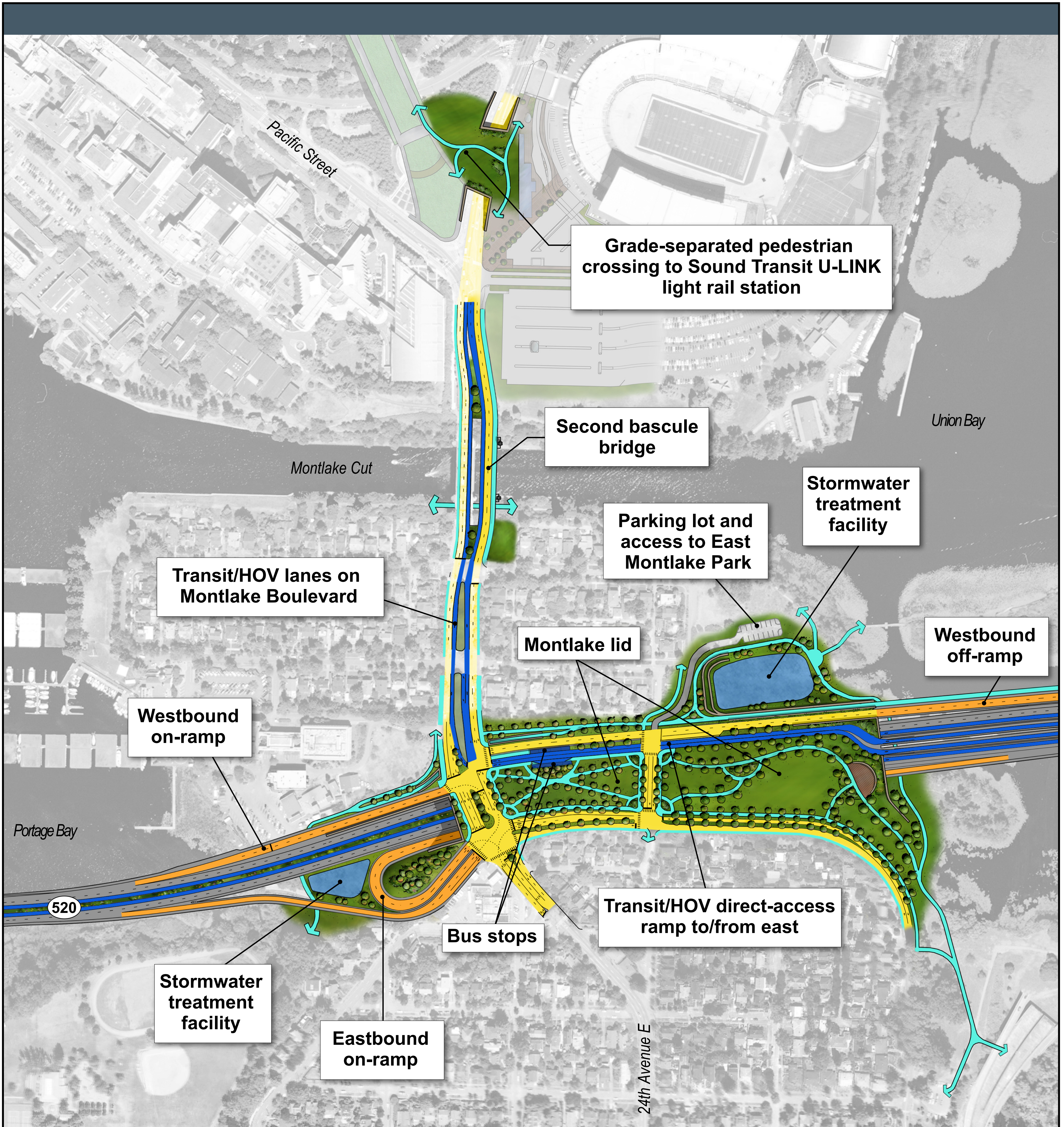
- May 2005 – Update on Pacific Interchange alternative of SR 520 project (information only)
- March 2010 – Update on SR 520 planning (information only)

*Attachment*

Montlake Interchange graphic



## Montlake Interchange



Vicinity map

Additional refinement will occur through the City of Seattle design process per legislation (ESSB 6392).

### LEGEND:

- General-purpose lane (SR 520)
- Existing general-purpose (local)
- General-purpose lane (local)
- Transit/HOV lane
- On- and off-ramp
- Bicycle and pedestrian path



CONCEPTUAL

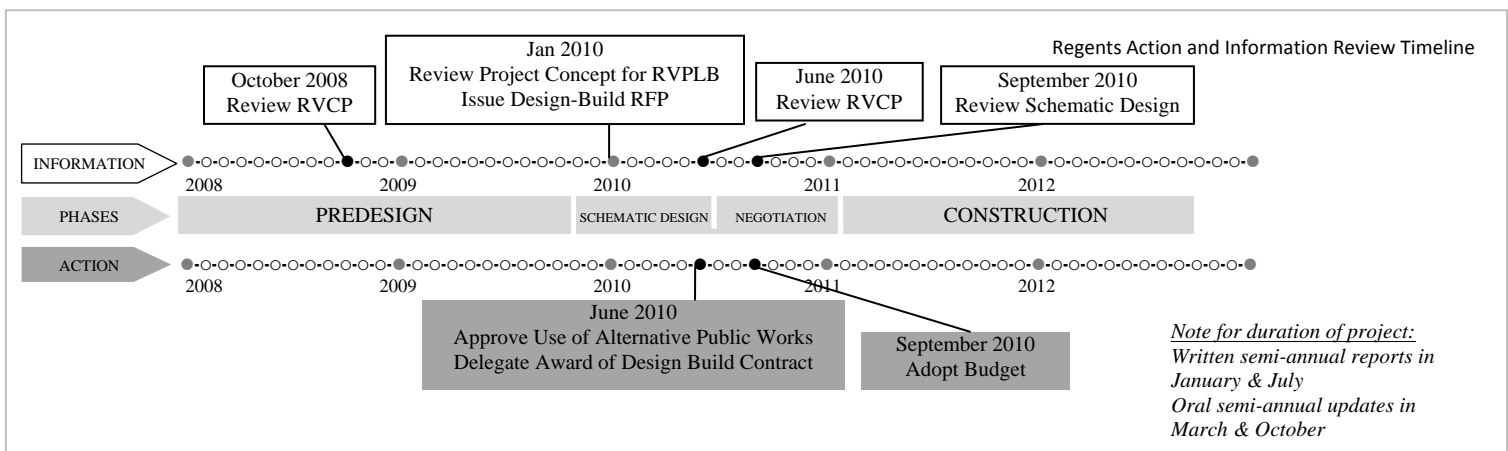


## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

*In Joint Session with*

## B. Finance, Audit and Facilities Committee

Rainier Vista Pedestrian Land Bridge – Review Project Concept, Approve the Use of Alternative Public Works and Delegate Authority to Award Design Build ContractRECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award a \$7.5 million design build contract to Tri-State/INCA subject to confirmed funding being in place, and approve the use of Alternative Public Works for the Rainier Vista Pedestrian Land Bridge Project (RVPLB) which includes lowering a portion of Pacific Place and the construction of the Rainier Vista pedestrian land bridge.

Owing to ongoing funding discussions with other public agencies including Sound Transit and Washington State Department of Transportation (WSDOT), the President shall be delegated authority to execute the initial task for this contract for \$1 million, and upon receipt of full funding commitments for the entire \$18.8 million project budget, to execute the balance of the contract.

PROJECT DESCRIPTION:

Sound Transit (ST) is required to have a grade separated crossing along the Burke Gilman Trail as part of the pedestrian access to and from the train station at Husky Stadium. Sound Transit's solution was to provide a 710 foot long

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

*In Joint Session with*

### B. Finance, Audit and Facilities Committee

#### Rainier Vista Pedestrian Land Bridge – Review Project Concept, Approve the Use of Alternative Public Works and Delegate Authority to Award Design Build Contract (continued p. 2)

pedestrian bridge over Montlake Blvd and Pacific Place to connect the station to the south end of Rainier Vista.

During the permitting review, Seattle Department of Transportation (SDOT) requested a study be performed to see if there was an equal, if not better, alternative to the bridge. A committee comprised of Sound Transit, the University of Washington (UW) and SDOT concluded there was indeed a better alternative that used the Rainier Vista Concept Plan (RVCP) as the basis of the design.

Pursuant to a Term Sheet between UW, ST and SDOT, the University advertised for bids for a design build contract to lower Pacific Place and construct a land bridge on Rainier Vista. This project was budgeted at \$18.8M with funding contributions from ST (\$10.8M), SDOT (\$4M) and UW (\$4M). Owing to fiscal difficulties, SDOT is unable to meet that funding contribution.

WSDOT has selected a Preferred Alternative for SR 520 which incorporates a pedestrian land bridge at Rainier Vista and a lid over portion of Montlake Avenue from Pacific Street and Pacific Place. WSDOT has expressed willingness to assist in funding portion of the Rainier Vista Land Bridge project.

WSDOT has tentatively agreed to fund \$1M towards execution of Part 1 of the design build contract which will allow work by the design build contractor for 60 days. All parties (WSDOT, SDOT, METRO King County, ST and UW) have agreed to participate in a series of design workshops to evaluate the feasibility of the Montlake Lid proposed by WSDOT in this 60 days. At the end of the 60 days, the University will make a determination of whether or not to proceed with the balance of the design build contract for Rainier Vista.

#### SCOPE OF THE PROJECT:

The scope of the Rainier Vista Pedestrian Land Bridge (RVPLB) project lowers Pacific Place NE and constructs a land bridge that will connect the Montlake triangle with lower Rainier Vista in a seamless pedestrian experience. Transit patrons will access the triangle via a combination of existing crosswalks and new

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

*In Joint Session with*

### B. Finance, Audit and Facilities Committee

#### Rainier Vista Pedestrian Land Bridge – Review Project Concept, Approve the Use of Alternative Public Works and Delegate Authority to Award Design Build Contract (continued p. 3)

mid-block crossing along Montlake. This mid-block crossing will be funded and installed by SDOT.

The project will be constructed in two phases. The first phase is a design-build package responsible for lowering Pacific Place, constructing the land bridge, realigning the Burke-Gilman trail, installing required lighting and rough grading the triangle and lower Rainier Vista. The second phase is a design-bid-build landscape package responsible for restoration of the surface treatment for the triangle and lower Rainier Vista.

In the design build contract the work is intended to be conducted in two parts. The First part or Task, involves completing the necessary design, permitting and procurement work for the first 60 days of the contract. The Second part involves an approval to proceed with the remainder of design, procurement, permitting and construction within the first 60 days. Should that approval not be given by the University, the contract would be cancelled at a pre-agreed total cost within the \$1 million budget.

The RVPLB project proceeded with Schematic Design and development of the RFP for the design-build package simultaneously. Statements of Qualifications were submitted in early December by ten teams. Upon review and scoring by committee, four teams were selected to be shortlisted and invited to prepare proposals by the end of March 2010. The four shortlisted teams were:

- Graham/ABKJ
- Mortenson/Mowat/CH2M Hill
- Sellen/KPFF/Bright/Merlino
- Tri-State/INCA

The high scoring firm is Tri-State/INCA.

- Project budget: \$18.7 million
- D-B land bridge construction budget: \$10.7 million
- Surface landscape construction budget: \$ 4 million

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

*In Joint Session with*

### B. Finance, Audit and Facilities Committee

Rainier Vista Pedestrian Land Bridge – Review Project Concept, Approve the Use of Alternative Public Works and Delegate Authority to Award Design Build Contract (continued p. 4)

#### PROPOSED SCHEDULE:

- |                                 |                |
|---------------------------------|----------------|
| • Short list design build firms | December 2009  |
| • Sign interagency agreement    | January 2010   |
| • Review design build proposals | April 2010     |
| • WSDOT design workshops        | June 2010      |
| • Perform 60 day Part 1 effort  | June 2010      |
| • UW decision to proceed        | August 2010    |
| • Start construction            | 1Q 2011        |
| • Project complete              | September 2012 |

#### PREVIOUS ACTIONS:

October 2008 – Rainier Vista Concept Plan (information only)

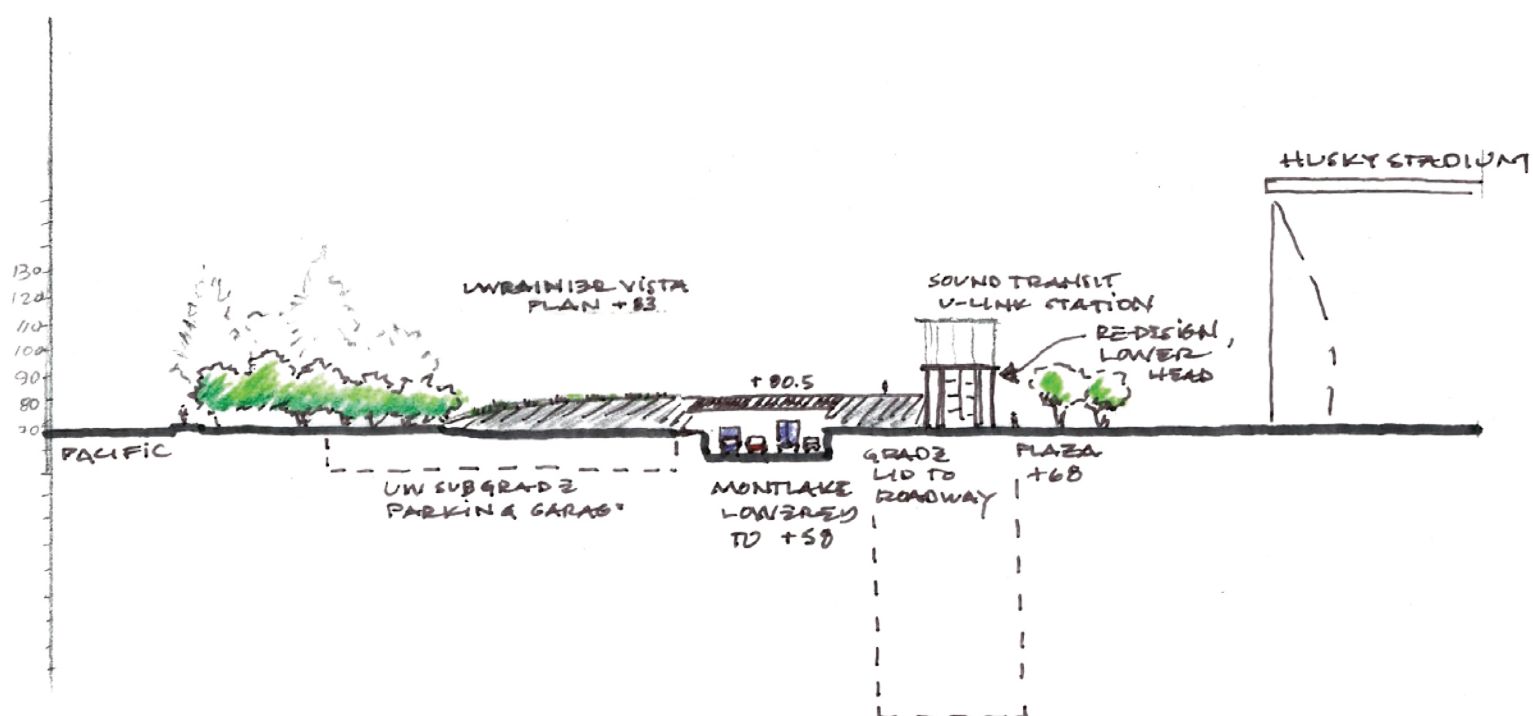
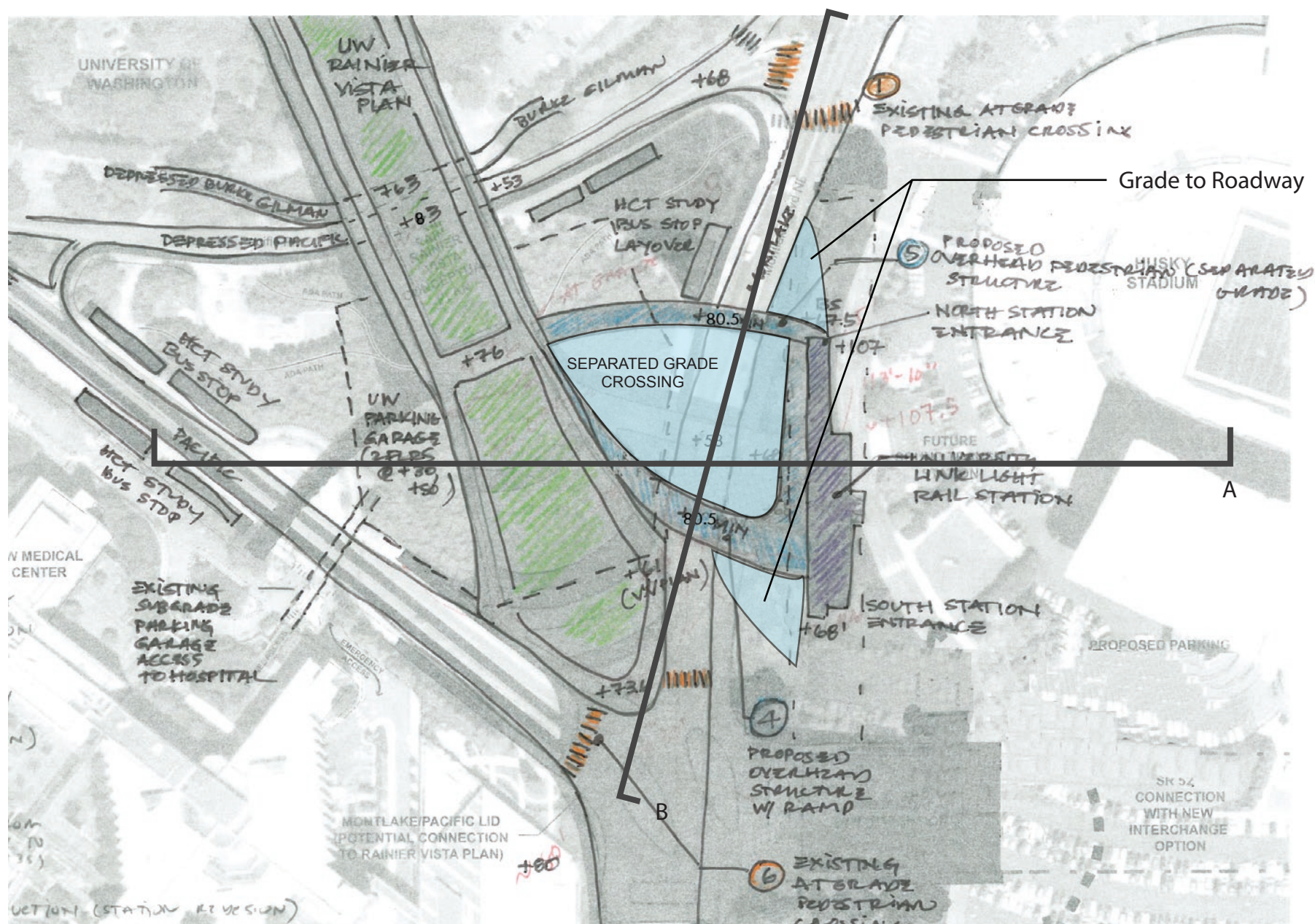
January 2010 – Rainier Vista Pedestrian Land Bridge (information only)

*Attachment*

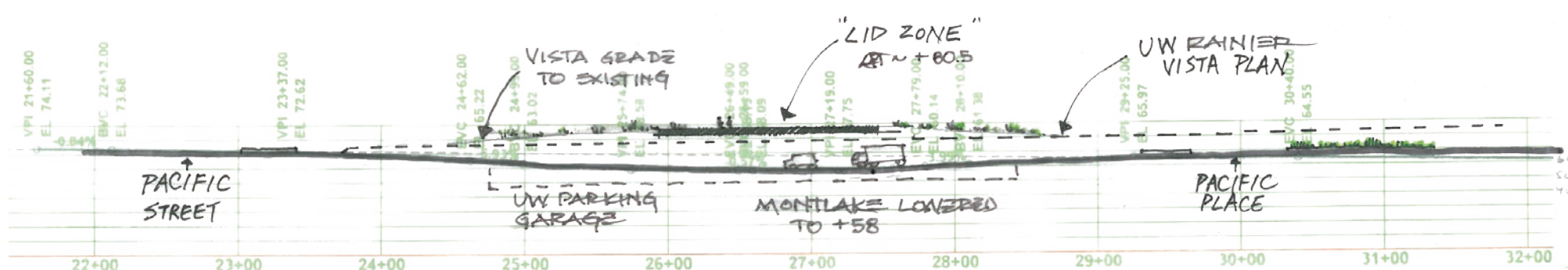
Rainier Vista Separated Grade Crossing Study



## UW Rainier Vista Separated Grade Study



A Section



B Profile

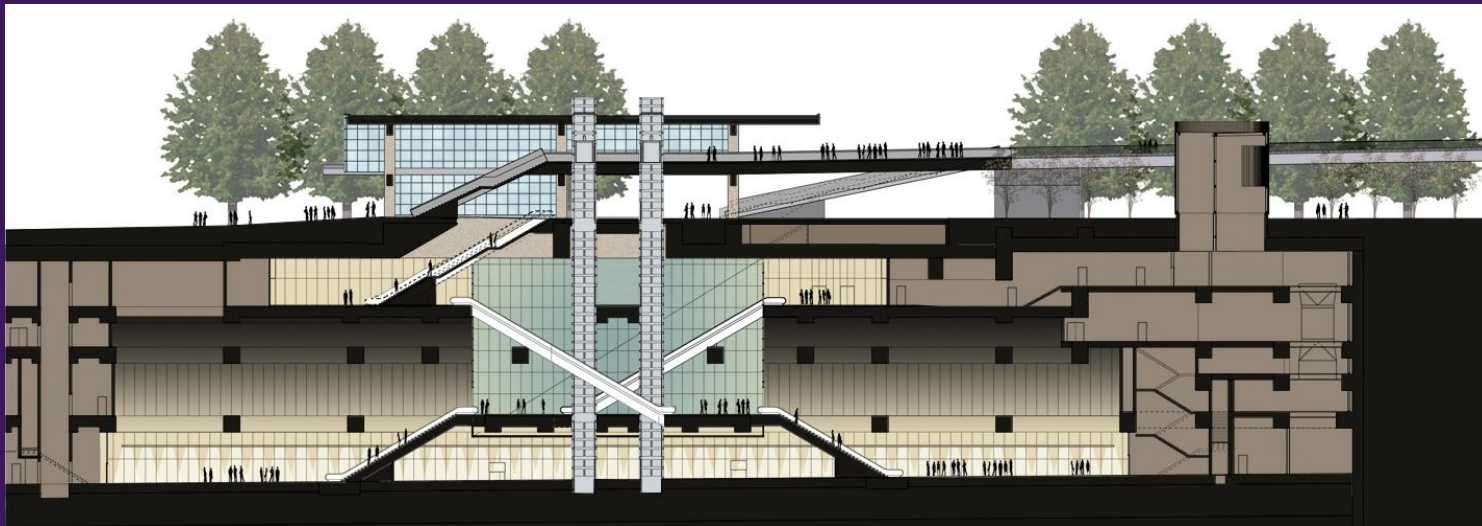


**CONCEPTUAL**  
DRAFT - THIS SKETCH ONLY DEPICTS THE IDEA.  
ENGINEERING, OPERATIONS AND ENVIRONMENTAL  
ANALYSIS REQUIRED.

April 16, 2010









**VII. STANDING COMMITTEES****A. Academic and Student Affairs Committee**

*In Joint Session with*

**B. Finance, Audit and Facilities Committee**

UAW Local 4121 Academic Student Employees Collective Bargaining Agreement – UW Ratification

RECOMMENDED ACTION

It is the recommendation of the administration that the Board of Regents approve the tentative agreement for a collective bargaining agreement between the University and the UAW Local 4121 that covers approximately 4,200 Academic Student Employees at the University of Washington. This tentative agreement was concluded on June 1, 2010 and ratified by the bargaining unit on June 4, 2010. The duration of the agreement is from June 4, 2010 through April 30, 2011.

BACKGROUND

The UAW Local 4121 was certified as the exclusive bargaining representative for the bargaining unit on April 7, 2004 by the Public Employment Relations Commission.

This is a successor agreement for this bargaining unit.

Following is a summary of the critical elements of the tentative agreement:

Healthcare

- The current Graduate Appointee Insurance Plan (GAIP) shall be continued. The University pays one hundred percent (100%) of the premium for ASEs and sixty-five percent (65%) of the premium for ASEs' dependent coverage.

Budget

- Confirmed that the University will not be going forward with the 447 TA reductions in the College of Arts & Sciences which were modeled during the budget process for fiscal year 2011 and that the College of Arts & Sciences will maintain its current level of

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#### UAW Local 4121 Academic Student Employees Collective Bargaining Agreement – UW Ratification (continued p. 2)

funding for the Odegaard Writing and Research Center in fiscal year 2011.

#### Compensation

- Effective July 1, 2010 all non-variable ASE pay rates shall be increased by the percentage increase available for all faculty. Effective July 1, 2010 all variable ASE pay rates shall be increased by the percentage increase available for all faculty, or the departmental increase, whichever is greater. (It should be noted that there is no wage increase scheduled for fiscal year 2010-2011 for faculty.)
- ASEs shall be granted one (1) four (4) hour paid leave of absence day for childcare emergencies.

#### Overpayment of Health Insurance Premium

- The University will notify and discuss with the UAW any pre-litigation settlement, if any.
- The University will notify the UAW if it files a lawsuit and will provide a copy of the filing. The University will notify the UAW if it decides not to file a lawsuit.
- The University will bargain over the recovery of overpaid funds, if any, including how any recovered funds will be distributed, if required by state law (RCW 41.56).

#### General

The parties agreed to extend all other provisions of the existing agreement which includes the obligation to provide tuition waivers for academic student employees holding a fifty percent (50%) appointment.

**University of Washington  
Board of Regents  
Resolution of Appreciation to  
Benjamin B. Golden**

WHEREAS, in accordance with Washington state law, Governor Chris Gregoire appointed second-year law student Ben Golden, to serve the prescribed one-year term, from August 3, 2009 to June 30, 2010, as the student member of the University of Washington Board of Regents; and

WHEREAS, as a 2007 alumnus of the University of Washington, graduating *magna cum laude* with honors in political science and being elected to membership in Phi Beta Kappa, he brought to his Regental responsibilities a deep appreciation and affection for his alma mater; and

WHEREAS, through his active involvement in student life, including serving as Director of Government Relations for the Associated Students of the University of Washington (ASUW), a columnist for *The Daily*, and in residence hall governance, he has demonstrated his exceptional leadership skills and contributed significantly to the enhancement of student life at the University; and

WHEREAS, he has served the Board with great distinction, admirably representing the students of the University and bringing to his work on the Board the perspective of an extremely knowledgeable, thoughtful, policy-driven and informed student, thoroughly committed to the pursuit of excellence and to wise decision-making; and

WHEREAS, he demonstrated throughout his year of service on the Board a deep commitment to student engagement and to the importance of communicating with all students about the work of the Board and the issues before it, making him an especially effective, respected, and approachable Regent; and

WHEREAS, his political acumen and deep commitment to social justice and opportunity and the importance of ensuring that students from all walks of life have access to the University has helped further the University's public mission; and

WHEREAS, his intelligence, seriousness of purpose, strong work ethic, sensible judgment and good humor have made him an exemplary Regent, colleague, and friend;

NOW, THEREFORE, BE IT RESOLVED: that the members of the Board of Regents express to Ben Golden their gratitude on behalf of the entire University community, in particular the student body, and their own personal thanks for his outstanding service, dedication, and hard work, that we wish him continued success and happiness in all his endeavors, and that this resolution be spread upon the minutes of the Board as a permanent record of the Board's sincere appreciation.

To: University of Washington Board of Regents  
From: Campus Sustainability Fund Working Group  
Date: 10 June 2010  
Re: **The University of Washington's Campus Sustainability Fund**

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## Background: Establishing the Campus Sustainability Fund

The Campus Sustainability Fund is a major, student-led investment in a greener, more sustainable campus. In 2009, following more than seventy of our peer institutions nationwide, the Campus Sustainability Fund Working Group proposed a small “green fee” to pay for projects that improve the University’s environmental impact, promote student leadership and involvement, and educate the campus community.

On May 17, 2010, the seven student members of the Services & Activities Fee Committee unanimously agreed to allocate \$339,805 to the Fund in its first year. As you review SAF’s proposed budget, we hope you’ll take a big step toward making the UW the greenest campus in the nation by establishing the UW’s first Campus Sustainability Fund.

## Understanding the Structure of our Fund

The structure of our Fund is based on successful models from several University of California branches, tailored to fit the unique contours of our campus:

- The Fund will be housed in *Environmental Stewardship & Sustainability*, part of the University’s F2 Strategy Management team;
- *Students, faculty, and staff members* of the UW-Seattle can propose projects that improve the University’s environmental impact and provide opportunities for students;
- *A seven-member student committee* will evaluate each proposed project and make funding decisions; and
- *A graduate student assistant and an undergraduate student employee* will coordinate the administrative aspects of the Fund, including ongoing student engagement efforts.

## Our Outreach to Students

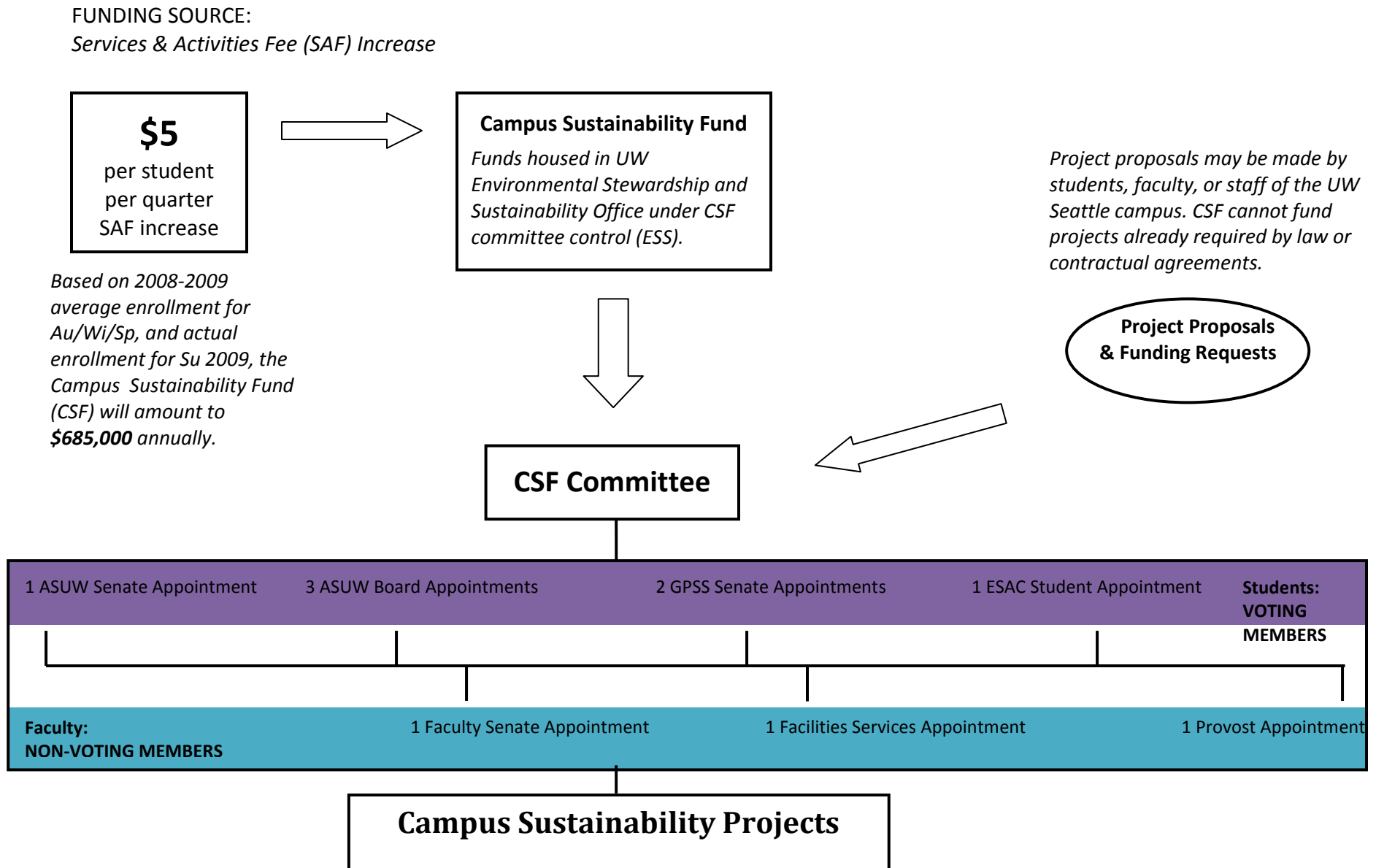
The CSF Working Group led an unprecedented campaign to engage the student body in the creation of the Fund. Our volunteers spent more than 1000 hours over ten months to educate and engage the campus community. We hosted informational tables during more than half the class days of winter quarter—resulting in thousands of one-on-one conversations with students about the Fund. We presented CSF to more than 60 classrooms, and hosted several public forums.

Our final campaign numbers—detailed in the box at right—reveal a campus community that is deeply committed to sustainability, and to student participation in the University’s environmental agenda.

### Indicators of Student Support

- *Signatures of Student Support: 5,511*
- *Endorsements from Registered Student Organizations: 52*
- *Sample Project Proposals Submitted: 97*  
*Total Budget for All Sample Projects: \$4,332,400*
- *ASUW Vote in Support of CSF: 84 yes, 3 no*  
*GPSS Vote in Support of CSF: Passed with only 1 no*
- *SAF Committee Vote in Support: Unanimous*

### Figure 3: Proposed Campus Sustainability Fund Structure



The CSF Committee distributes funds to projects that increase campus sustainability while creating an environmentally conscious University culture. It prioritizes projects based on four core principles: (1) Environmental Impact; (2) Student Leadership & Involvement; (3) Education, Outreach, & Behavior Change; and (4) Feasibility, Accountability, & Sustainability.